

**INTERNATIONAL THEORY, RESEARCH AND REVIEWS IN**

**SOCIAL, HUMAN AND  
ADMINISTRATIVE  
SCIENCES**

*October 2023*

**EDITORS**

**PROF. DR. HAKAN ALTINTAŞ**

**PROF. DR. MUSTAFA METE**

**ASSOC. PROF. DR. NESLİHAN BOLAT BOZASLAN**

**Genel Yayın Yönetmeni / Editor in Chief • C. Cansın Selin Temana**

**Kapak & İç Tasarım / Cover & Interior Design • Serüven Yayınevi**

**Birinci Basım / First Edition • © Ekim 2023**

**ISBN • 978-625-6760-09-7**

**© copyright**

Bu kitabın yayın hakkı Serüven Yayınevi'ne aittir.

Kaynak gösterilmeden alıntı yapılamaz, izin almadan hiçbir yolla çoğaltılamaz.

The right to publish this book belongs to Serüven Publishing. Citation can not be shown without the source, reproduced in any way without permission.

**Serüven Yayınevi / Serüven Publishing**

**Türkiye Adres / Turkey Address:** Kızılay Mah. Fevzi Çakmak 1. Sokak

Ümit Apt No: 22/A Çankaya/ANKARA

**Telefon / Phone:** 05437675765

**web:** www.seruvenyayinevi.com

**e-mail:** seruvenyayinevi@gmail.com

**Baskı & Cilt / Printing & Volume**

Sertifika / Certificate No: 47083

# **INTERNATIONAL THEORY, RESEARCH AND REVIEWS IN SOCIAL, HUMAN AND ADMINISTRATIVE SCIENCES**

**OCTOBER 2023**

Editors

PROF. DR. HAKAN ALTINTAŞ

PROF. DR. MUSTAFA METE

ASSOC. PROF. DR. NESLİHAN BOLAT BOZASLAN



# **CONTENTS**

## ***Chapter 1***

### **BRONZE SCULPTURES APHRODITE AND HERMES-THOT FOUND IN THE URGUP MUSEUM**

*Bartış Emre SÖNMEZ* .....1

## ***Chapter 2***

### **FUNCTIONAL NEAR-INFRARED SPECTROSCOPY (FNIRS) METHODOLOGY: A SYSTEMATIC REVIEW FOR SOCIAL NEUROSCIENCE**

*Nihan TOMRİS KÜÇÜN, Hazal DUMAN ALPTEKİN* .....17

## ***Chapter 3***

### **MATE CHOICE**

*Bartış DEMİREL* .....39

## ***Chapter 4***

### **CRISIS THOUGHT IN SOCIAL THEORY: REINHART KOSELLECK AND WALTER BENJAMIN**

*Başak TİTİZ, Akın BAKİOĞLU* .....57

## ***Chapter 5***

### **SELF-ORIENTALISM IN CIVIL SERVANTS: A QUALITATIVE RESEARCH ON OFFICE CLERKS**

*Betül KARAKOYUNLU* .....69

## ***Chapter 6***

### **ETHNIC CONFLICTS IN SOUTH ASIA: RELIGION, POLITICS, AND BEYOND**

*Elif GÖZLER ÇAMUR* .....93

## ***Chapter 7***

### **TYPES OF HUMOUR AND THEIR FUNCTIONS: FROM INFANCY TO EARLY CHILDHOOD**

*Burcu Soy TELLİ* .....107

***Chapter 8***

**THE POSSIBILITY OF SPIRITUALITY AT WORK: SHOULD A LEADER HAVE A SPIRITUAL SIDE?**

*Saffet KARAYAMAN*.....125

***Chapter 9***

**APPLICATION OF ECLECTIC COMMUNICATION TECHNOLOGIES IN CYBER SECURITY POLICIES: ANALYSIS OF THE SIBERTÜRK MODEL?**

*Mustafa AYDEMİR, Vedat FETAH*.....147

***Chapter 10***

**THE EFFECT OF THE HUMAN DEVELOPMENT INDEX ON COVID-19 MORTALITY RATES**

*İstem Köymen KESER* .....173

***Chapter 11***

**THE IMPACT OF COVID-19 PANDEMIC ON THE PROFITABILITY OF BANKS: EVIDENCE FROM TURKIYE**

*Pınar PEHLİVAN, Cansu METE*.....189

***Chapter 12***

**IMPORTANCE OF FAIR TRIAL IN CASES OF ETHNIC CLEANSING: THE BELENE CASE**

*Hasan ULUSOY, Harun KOÇAK*.....215

***Chapter 13***

**AN OVERVIEW OF MODERN LEADERSHIP STYLES**

*Yusuf Taha OKAN*.....227

***Chapter 14***

**BURNOUT SYNDROME IN TERMS OF BUSINESS EMPLOYEES: AN EVALUATION ON AVIATION SECTOR**

*Rabia YILMAZ* .....241

***Chapter 15***

**INTEGRATING ENVIRONMENTAL AND FINANCIAL RISK  
ACCOUNTING: AN ANALYSIS OF VALUE-AT-RISK AND CDP  
SCORES**

*Aysun ATAGAN ÇETİN*.....257

***Chapter 16***

**'CONSTRUCTIVE JOURNALISM' IN TIMES OF CRISIS AND  
CONFLICT**

*Zuhal DEMİR* .....277

***Chapter 17***

**ENHANCING TURKEY'S RESPONSE TO MIGRATION AND REFUGEE  
CHALLENGES THROUGH EFFECTIVE PUBLIC DIPLOMACY  
STRATEGIES**

*Deniz ALCA*.....297

***Chapter 18***

**AN EVALUATION OF THE EXPERT WITNESS INSTITUTION AND  
FORENSIC ACCOUNTING IN TURKEY**

*Neşegül PARLAK* .....321

***Chapter 19***

**REVISIT INTENTION: A KEY CONCEPT IN TOURISM**

*Halil İbrahim KARAKAN, Kemal BİRDİR*.....339

***Chapter 20***

**PERFORMANCE ANALYSIS OF BANKING BY USING THE MULTI  
CRITERIA DECISION MAKING METHOD: SECA**

*Naci YILMAZ* .....359

***Chapter 21***

**ORIENTALIST VISION IN LADY MONTAGU'S EMBASSY LETTERS  
AND KELEMEN MIKES' LETTERS FROM TURKEY: A NEW  
HISTORICIST PERSPECTIVE**

*Neslihan ALBAY* .....375





# *Chapter 1*

## **BRONZE SCULPTURES APHRODITE AND HERMES-THOT FOUND IN THE URGUP MUSEUM<sup>1</sup>**

*Barış Emre SÖNMEZ<sup>2</sup>*

---

1 This work, Urgüp District Governorate, Urgüp Museum Directorate Number: E-76403381-155.99-1399631 prepared under the permission. I would like to thank the Museum Director, Mr. Mehmet ÖNCÜ, for his contributions.

2 Lect. PhD., Nevşehir Hacı Bektaş Veli University, Avanos Vocational School of Fine Arts, Architectural Restoration Program, besonmez@nevsehir.edu.tr, ORCID: 0000-0002-9273-8920.

## **Introduction**

The aim of this study is to examine, date and introduce the bronze figurines consisting of Aphrodite and Hermes-Thot figurines belonging to the metal artifacts collection in the Urgüp Museum and contribute to the studies on cultural history. The artifacts we examined were not found as a result of any scientific study such as archaeological excavation or survey. These artifacts were brought to the Urgüp Museum by transfer from the Ankara Museum. For this reason, any data obtained as a result of a context or stratigraphic examination could not be used during the evaluation of the works. On the other hand, it has been tried to give similar examples from different geographies for each of the works by making a literature review as wide as possible.

Bronze figurines of Aphrodite and Hermes-Thot are important in terms of shedding light on the social, cultural and religious structure of the Roman Period. The works were examined according to their technical features and described in detail; In addition, iconographic evaluation was made. There are different views on the naming of the figures, their origin and the first examples. Then, the characteristics, postures and types of the bronze figurines in the museum were mentioned, and they were dated by comparing them with other examples.

These bronze statuettes in the Urgüp Museum attract attention with their iconographic richness of the period. These bronze figurines were used for many different purposes, such as being left as votive items to a god or goddess in tombs, sanctuaries or temples, as well as being used as daily items in Antiquity. The works considered within the scope of the evaluation should be considered as part of a religious ritual or as a votive object.

### **1. APHRODITE MYTH AND ICONOGRAPHY**

Aphrodite is one of the important goddesses of the Greek Pantheon (Homer Iliad, II 819-821; Odyssey IV, 14-261). Hesiod mentions Aphrodite and describes her birth in detail (Hesiod Theogonia, 154-155; Sale, 1961, p. 8). The Goddess is the one who plans the friendship of people to each other, the conduct of relations in harmony and the relationship of people with each other to the future (Karaosmanoğlu, 2005, p. 95).

Its origins, like many of the Greek gods, are murky, centered on the places where cult originally flourished. The traditional view is that it was borrowed from the Near East and that Greek religion refers to the pantheon of eastern Mother Goddesses such as Ishtar and Astarte in the form of Aphrodite. However, it has recently been said that he is an Indo-European god and is unique to Greek culture (Eliade, 2015, p. 356, f.n. 94).

Although Aphrodite symbolized love and beauty, she was especially

worshiped in Anatolia as a symbol of fertility. In Aphrodisias, it symbolized fertility as well as its beauty and was described as more than one mammal (Ful, 2008, p. 158). Young and beautiful girls were tried to be equated with Aphrodite (Brody, 1999, p. 80). Youth and beauty carry with them fertility and reproduction. With this feature, we can see Kybele with qualities such as “Mother of Gods, Great Mother, Mother Goddess”. Aphrodite is a protective power and a symbol of fertility in the realms of humans, plants and animals on earth (Boyana 1997, p. 147). This is a point that intersects it with Kybele. The concept of the Great Mother is an important concept that comes to the fore in Near Eastern societies. This quality is the state that reveals the basic ones such as creative, formative, protective and nurturing in a religious sense. It is the woman who dominates the nature and her representation in a goddess. This goddess can be seen as Inanna in Sumer, Ishtar in Babylon, Ma in Cappadocia, and Kybele in Phrygia (Marcovich, 1996, p. 46; Ferguson, 1970, p. 16). This “Great Mother” quality possessed also evolves within the societies mentioned and manifests itself as Aphrodite in Western society (Strolonga, 2012, p. 6). An important aspect of the goddess is that she is the goddess of destiny. Aphrodite was identified with the *Moiras*, also known as the goddesses of fate, and was shown as the greatest of these goddesses (Bailey, 1935, pp. 220-224). Although the phenomenon of nudity is associated with beauty, it is thought that it may also have the feature of protecting sailors together with maritime (Gürbüz, 2012, p. 175). Aphrodite, believed to prevent ships from sinking and to blow good winds, was also worshiped in Naukratis and Knidos; with a practice from the Phoenicians, the idols of the goddess were carried on ships as a protective force (Larson, 2007, p. 114; Boyana, 1997, p. 148). The depiction of the goddess as a power dominating the seas also reveals her oriental characteristics. (Larson, 2007, s. 123). Representation of the goddess with symbols such as the bow and dolphin; The epithet/epitheton *Pontia* (Belonging to the Sea) and *Euploia* (Safe Sea and Ship Travel) show the dominance of the goddess regarding the sea (Durna, 2002, p. 20). In the Greek world, *Androphonos* was worshiped as the “Murderer of People”, *Tymborychos* “The Grave Digger”, and *Persephaessa* “Queen of the World of the Dead” (Kerenyi, 1951, p. 81). These attributes show that the goddess has a sacred value in death and life after death. Aphrodite’s symbols include pomegranate, apple, myrtle, violet, poppy and rose (Dümmler, 1894, RE I, 2, pp. 2767-2768).

The beauty contest and other events that would cause the Trojan War took place on Mount Ida. According to the mythological story, which is expressed as the “Judgment of Paris” and shown as the cause of the Trojan War, the Olympians never invite her to their feasts because they dislike Eris, the goddess of war. Eris, who was not invited to the weddings of King Peleus and Thetis, wants to take revenge and throws the apple among the guests by taking the golden apple in her hand and writing “the most beautiful woman” on it. All

goddesses claim the apple; however, the candidates are eliminated and reduced to three. These three goddesses are Hera, Aphrodite and Athena. They leave the final decision to Zeus. Zeus, with his cunning worthy of his glory, said, “You best go to Mount Ida. There, a man named Paris works as a shepherd. There is no one who understands beauty as much as him. Let him give the judgment.” says. As it is known, in the Judgment of Paris scene, Hera, Athena and Aphrodite are depicted as being taken across Paris under the leadership of Hermes (Harrison, 1886, pp. 202-204). When Paris sees three beautiful goddesses in front of her, she is surprised that she will make the judgment herself. Hera promises to make Paris the sole king of Europe and Asia if she chooses him. Aphrodite’s bribe is to give the most beautiful woman in the world to Paris. Paris, succumbing to the weakness of masculinity, chooses Aphrodite and gives her the golden apple (Hamilton, 2006, p. 136).

Myths, which have a symbolic narrative language, offer clues about the way we perceive the world in general. As they are a generalized model of life events, they make visible the reflections of a dialectical logic. For this reason, the possibilities of expression of symbols are associated with the reasons for their emergence rather than events (Bayat, 2019, p. 11). Symbolic narratives offer similar metaphorical meaning systems in art as in myths. The meaning relations of the used image carry the work beyond being an ordinary visual and offer different readings.

## 2. DESCRIPTION OF THE WORK

**Conservation Status:** The work has been preserved in its entirety. There are deficiencies in the tip of Stephane and certain parts of the dress that cover the left kneecap. Although there are abrasions throughout the work, the figure can be identified.

**Description of the Work:** The head of the goddess<sup>1</sup> (Fig. 1-2) is turned slightly to the right. The hair is divided into two in the middle and combed from both sides to the back. Part of her hair is gathered in a bun at the back, and the other part descends to the shoulders in the form of two thick curls. The pupils are engraved, the cheeks are full, and the mouth is slightly open and small. The neck is long, the breasts are small, the body shapes are processed in a plastic way without going into details. The left leg carries the weight of the body, while the right leg is pulled backwards, free and slightly bent at the knee. The goddess is dressed from the hips to the bottom. The left hand is holding the *hymation*, which is extended in front and wrapped around the hip, adjacent to the hip. The right arm is bent at the elbow and raised upwards, holding an apple in her hand. The folds of the *hymation*, which goes down from the hip and wraps around the body, are clearly indicated. The upper side folds surround the hips in the form of thick rings. The folds descending

1 Urgüp Archeology Museum Inventory No: 944; height 16 cm, width 4 cm.

vertically from the middle clearly indicate the fabric edges. There are diagonal folds on the carrier leg. In the free leg, the fabric is stretched over the leg from the knee down, so the plastic reflects the shapes out. In the middle, one of the pleats opens and extends towards the ankle. The toes remained outside under the *hymation*. There is a *stephane* at the on the head.



Figure 1-2: Aphrodite front and back view (Photo: B.E. Sönmez)

## 2.1. Typology and Dating

The bronze figurine is a half-dressed Aphrodite, holding an apple in her outstretched right hand. The clothes on the lower part of her body, the posture of her legs and the movement of her body allow us to think about the typology of the work. The left hip moves noticeably and the right leg bends at the knee and touches the base with the right foot and the sprained movement to the left of the figurine originally dated to the end of the 4th century BC and the beginning of the 3rd century BC in Arles (Ridgway, 1976, Pl.23, Fig. 1) and Capua. It suggests that it is an version of the statues of Aphrodite (Suhr, 1960, Pl.63, Fig.6). The *hymation* of the Aphrodite statuette in the Urgüp Museum is reminiscent of the Aphrodites of Arles and Capua; however, the garment is wrapped around the body from the side and the edges are not joined together in the front and middle as in the work in the Urgüp Museum. The Aphrodite of Arles and the statuette of Aphrodite in the Urgüp Museum are particularly noteworthy in terms of typology. In both, the right leg is bent at the knee and pulled back slightly, and the toes touch the pedestal; the left foot carries weight, and with this movement, the left hip protrudes significantly. Contrary to the similarity of body movements, head movements differ. In the Aphrodite of

Arles, the head is turned to the left; in our work, the head is turned to the right. In both works, the right arm is bent at the elbow and raised slightly, holding an apple in her hand. The bronze Aphrodite figurine in the Urgüp Museum is typologically and stylistically a copy of an original made in the late 4th or 3rd century BC. (Fig. 1-2).

Our work is similar to the statue of Aphrodite found in Corinth (Sturgeon, 2003, p. 364, Fig.21.21.). Both works have common features with the clothing arrangement on the lower part of the body, the posture of the legs and the movement of the torso/body. In our work, Aphrodite is holding the *hymation* with her left hand; The Corinthian Aphrodite, on the other hand, holds the *hymation* in her right hand. In both works, the folds of the *hymation*, which goes down from the hip and wraps around the body, are clearly indicated. The upper side folds surround the hips in the form of thick rings. The folds descending vertically from the middle clearly indicate the fabric edges. There are diagonal folds on the carrier leg. As the fabric is stretched down over the leg, the plastic reflects the shapes out.

Our work is similar in style to the Aphrodite statue in the Allard Pierson Museum in Amsterdam (Filges, 1999, Taf. 36.1.). Presence of the head part of the work is an important element for dating. It is seen that there are small drill holes on the head, especially in the hair, eye springs and lip edges. It is noteworthy that the eyelids are thickly embroidered. While there are small slits between the hair, the hair separated on the forehead is gathered upwards at the temples. The hair has a main line from the top of the forehead to the neck. The contours of the *hymation* are outlined and the depth is seen.

Our work is similar to the Tykhe statue in the Cinquantenaire Museum in terms of style (Filges, 1997, p. 269, Nr. 132). It is seen that there are drill holes in the head, especially in the hair and eye springs. Eyelids are thickly embroidered. Drill work is visible in the eyeballs and it is pulled towards the upper eyelid. Small channels were formed between the hairs due to the drill work. The *hymation* folds have progressed parallel to each other and are separated by deep channels. The posture of the work began to form in the center of the body in an “S” shape. In addition, the left shoulder is slightly posterior and the right shoulder is forward, and the slight rotation of the body postural shows a certain type and style.

Our work is similar in style to the portrait of Lucilla found in Perge (Özgan, 2013, p. 276, Pic. 291 a-b). It is seen that there are drill holes in the head, especially in the hair and eye springs. Eyelids are thickly embroidered. Drill work is visible in the eyeballs and it is pulled towards the upper eyelid. Small channels were formed between the hairs due to the drill work.

Our work is stylistically similar to the comparison sculptures and is dated to the second half of the 2nd century AD.

### 3. HERMES MYTH AND ICONOGRAPHY

Hermes was born from the union of Zeus and Maia (Goldman, 1942, p. 60; Greene, 2005, p. 343; Hesiod 101). Although its divine nature is accepted by the Greek society, it is unfortunately secondary among the Olympians (Eitrem 1912, pp. 738-792). Apart from his duty as the messenger of Zeus, he is the most colorful god among the gods of Olympus. God is a thief, a shepherd, a craftsman, a messenger, a sportsman, a trader...etc. It has characteristics and duties (Brown, 1947, p. 3). The stealing of the durations of Apollo in the birth mythology is related to his being the shepherd and the protector god of the periods. Ensuring the productivity of animal times places it in the fertility god group (Dökü, 2002, p. 38). It's not just about animal productivity; it is also responsible and concerned with plant productivity. This continuous cycle of nature and man has also revived the relationship between soil and fertility. Since he is the god of shepherds, he can take various epithet/epitheton such as *Nomios*, *Melossos*, *Epimelios* and *Kriophoros* (Demirtaş, 2013, p. 8).

One of his important duties is to guide the dead and carry the souls underground; therefore he is called "*Psykhopompos*" (Guthrie, 1956, p. 89). This feature shows us the kithonic aspect of the god. He guides the dead in the other world; because he knows the way and can find his way in the dark. He is the one who brings the souls to the ground as he brought them underground. His relationship with the spirits of the dead is explained by his "spiritual" abilities; because his cunning and ingenuity, his inventiveness, the ability to be invisible and the ability to go wherever he wants in the blink of an eye are the precursors of the quality of wisdom, especially the mastery of the occult. This god, who can find direction in the dark, guides the souls of the dead, and is both visible and invisible, can move around with lightning speed, reflects a state of mind in the final analysis (Eliade, 2010, p. 338). His attribute is *Kerykeion*, where he awakens the dead as well as collects the souls of the dead and puts them back to sleep whenever he wants (Eitrem 1912, pp. 757-760). God is also the guardian of prophecy and the guide in dreams. He is the god who teaches people the rules, especially the order and rule structure in the family.

Among the most important signs of Hermes are the *kerykeion* (caduceus) with his staff, which he usually carries with his left hand or arm, Petasos with his wingless hat with two or three wings, the money bag (*marsupium*) he usually carries in his right hand, and the talaria with winged shoes or sandals. (Grimal, 1997, pp. 285-287). The money bag (*marsupium*) is one of the important parts of Hermes' iconography and symbolizes his aspect as the patron god of merchants and his relationship with trade (Grimal, 1996, pp. 209-211, p. 286; Kızgut, 2005, p. 59).

In Hermes (Mercury) statues or figurines, examples with *chlamys* that cover the left side of the god's naked body are mostly seen in the Roman

Period; however, from the early Antiquity, Hermes has already been shown with *chlamys* (LIMC V, 1-2, 306 ff., fig. 188 ff.). In addition, it can be said that the Roman Period Hermes statues or figurines with *chlamys* are also rooted in Classical Period sculpture (Bol, 2004, p. 136; Boysal, 1967, pp. 31-33; Perçin, 2019, pp. 26-27).

In Greek and Roman sculpture art, the god is depicted with a winged *petasos* on his head, winged shoes on his feet, a money bag in his right hand, which is usually slightly open to the side, and a *kerykeion* that he holds on his left arm (Eitrem 1912, pp. 757-760). Together with the union of the god with the Egyptian god Thot in the Hellenistic Age, a new iconography of sculpture emerges. This new iconography is distinguished by the way the *chlamys* are worn. The deity, which is usually depicted with a *chlamys* that converges on the right shoulder, covers the right breast in the front and completely covers the left breast, and is wrapped around the left arm holding the *kerykeion* after covering both shoulder blades in the back, is called the Hermes-Thot type. *Petasos*, which was transformed into three wings with a lotus leaf added in front of the forehead, generally formed an important part of the Hermes-Thot type (Çetin, 2015, p. 16). The presence of three-winged *petasos* in the sculptures, which are not dressed in the above-mentioned *chlamys* or are depicted completely naked, was used as an important evidence for the identification of the Hermos-Thot type (Kızgut, 2005, p. 89).

In bronze figurines reflecting the Hermes- Thot union, *chlamys* covers both shoulders. In this style, called the Thot style, one end of the *chlamys*, which is fixed on the right shoulder with a fibula or brooch, is directed back. Covering the back of both shoulders, the *chlamys* reaches the back of the left arm. As seen in some examples, the prominent part forms a “v” neckline under the neck, covers the left chest, passes under the *kerykeion* and reaches the arm. Again, in some Thot style Hermes bronze figurines, the garment accumulated on the arm can be hung down after being wrapped around the left arm once. However, it was also stated that the *chlamys* arm entanglement for Thot style Hermes (Mercury) bronze figurines should not be considered as a characteristic feature since it does not show a chronological development or change (Kızgut, 2005, pp. 122-124).

#### 4. DESCRIPTION OF WORK

**Conservation Status:** The right leg of the figure is slightly above the knee; His left leg was severed just below the knee. The upper part of the *kerykeion* he is carrying in his left hand is missing. There are abrasions on the face and hair. Crushes and corrosion are seen on the bronze figure.



**Description of the Work:** God's<sup>2</sup> (Fig. 3-4) it is understood that he had a young and beardless-oval face, and that slightly curved hook-shaped locks of hair descended forward and surrounded his forehead. Despite the obvious abrasions on its head, there are deep lines showing the formation of *petasos*. The right arm is bent at the elbow and extended forward, holding the *marsupium* with his hand. *Chlamys* is hung over the left arm, covering the left shoulder and left back. Deep grooves appear on *chlamys*. He is holding the *kerykeion* with only the handle part of his left hand extended forward. He gave his weight on the right leg, and the left leg was bent at the knee. The body is presented naked and its muscular form is evident. The long and shapely legs are also muscular. The ridge line is indicated by a rather long and deep line. Since the weight is on the right leg, the right hip is slightly upward; the left hip is slightly pulled down.



Figure 3-4: Hermes-Thoth front and back view (Photo: B.E. Sönmez)

#### 4.1. Typology and Dating

His right leg was severed just above the knee and the other leg was severed just below the knee, he is standing, carrying a short thick-handled and double-knotted kerykeion on his left hand, wearing a *chlamys* in a style that exposes his right shoulder, holding a *marsupium* in his right hand, to the metal artifacts collection of the Urgüp Museum. The bronze cast Hermes figurine, registered with inventory number 490, conforms to the Hermes-Thot typology (Fig. 3-4).

<sup>2</sup> Urgüp Archeology Museum Inventory No: 490; height 6.2 cm, width 3 cm.

It can be said that the general appearance of the Hermes-Thot figurine in the Urgüp Museum, and especially the stretching movement on its body, resembles or at least refers to the Polykleitos style. Although he has produced bronze sculptures, the depth in his works, the rhythm of the body and limbs, and his clear contraposte are the main characteristics of Polykleitos. The sculptor has shown the human anatomy and movements quite successfully. The movements are simple yet highly harmonious. He gave detailed musculature, especially in his medium-height athlete sculptures. His success in showing body movements and details has led to the volume and depth of his works. In this context, especially Doryphoros and Diadumenos can be cited as the leading works of Polykleitos (Boysal, 1967, pp. 31, pp. 45-49; Pollitt, 1965, pp. 75-82; Robertson, 1991, pp. 109-115). The arm of the Hermes figurine in the Urgüp Museum that is open to the down-right holding the money bag and the left arm that is open to the side that holds the *kerykeion* are different from both Doryphoros and Diadumenos; however, it is similar to the Doryphoros and Diadumenos statues with the width of the shoulders, the muscular structure of the body, the right foot being the carrier in the body stretched to the right, and the left foot in the balancing position being given backwards.

Our work is similar to the Mercury-Thot Figurine with Inventory Number A. 671 (Çelik, Kılınç & Özlü, 2022, p. 247, Fig. 1-2) in the Antalya Museum. In both works, the *chlamys* is hung over the left arm, covering the left shoulder and left back. The rest of the body is bare and the muscular structure can be observed. In addition, a right flexion movement is observed in the body. In addition, although there are chunky, bulky and sharp limb transitions in the works, factors such as the prominent muscular structure on the right abdomen and right arm, the long and deep back line and the distinctive structure of the *chlamys* folds make the figurines similar in terms of style.

Our work is similar to the bronze Hermes figurine (Pescihiutta, 2015, p. 55, Fig. 4) in the Veniza Archaeological Museum in terms of typology and style. In both works, Hermes weights on the right leg, and the left leg is depicted bent at the knee. It is understood that the god Hermes had a young and beardless-oval face, and that slightly curved hook-shaped hair strands descended forward and surrounded the forehead. In both works, the *chlamys* is hung over the left arm, covering the left shoulder and left back. The rest of the body is bare and the muscular structure can be observed; Also, a right flexing movement is observed in the body. In both works, the left arm holds the *kerykeion*. Although the right hand of the bronze Hermes figurine in the Veniza Archaeological Museum is missing, it probably holds the money bag (*marsupium*) in the outstretched hand. In both works, a distinctive musculature especially in the body area draws attention.

Our work is similar to the bronze Hermes-Thot figurine (Veseli, 2015, p. 295, Fig.1) in the Pogradec History Museum in terms of typology and style.

In both works, the right leg is supported while the left leg is bent at the knee; therefore, contrapost is formed in the body. His right arm extends the length of his body, holding a money bag (*marshupium*). In both works, the *chlamys* is hung over the left arm, covering the left shoulder and left back. He is holding the kerykeion with his left hand. The body is presented as bare except for the *chlamys* thrown over the left shoulder, the muscular form comes to the fore. The muscles of the long and shapely legs are prominent. It is noteworthy that the back line of both figurines is quite long and deep. It is understood that the god Hermes had a young and beardless-oval face, and that slightly curved hook-shaped hair strands descended forward and surrounded the forehead.

Considering the chunky, plump, heavy and solid structure and the sharpness of the transitions or lines seen in our work, it is possible to naturally suggest the work to the Roman Imperial Period in the first place. However, although it is difficult to distinguish, it is understood that God Hermes had a young and beardless-oval face, and slightly curved hook-shaped hair strands descended forward and surrounded the forehead. In this respect, the work approaches the 1st century AD. However, in the work, which is stocky, clumsy and sharp in the transitions of the limbs, factors such as the prominent muscular structure on the belly and right arm, the very long and deep back line and the distinctive structure of the *chlamys* folds make the figurine close to the 2nd century AD. For these reasons, our Hermes-Thot figurine 1st-2nd century AD is dated.

### **Conclusion and discussion**

In our study, 2 bronze works consisting of Aphrodite and Hermes figurines from the Urgüp Museum metal works collection were examined. Among these works, Aphrodite dates to the second half of the 2nd century AD and the Hermes statuette to 1st-2nd century AD is dated.

Although they are not scientific archaeological excavations or survey finds, and as a result they cannot be evaluated as a whole, it is difficult to interpret the finds and places of production of the artifacts we have examined, but it is possible to draw a few conclusions.

Like many small-sized bronze figurines, 2 bronze works consisting of Aphrodite and Hermes-Thot figurines from the Urgüp Museum metal artifacts collection may be a votive statuette used in sanctuaries (Kaufman-Heinimann, 1983, p. 12). Although Aphrodite symbolized love and beauty, she was especially worshiped in Anatolia as a symbol of fertility. Young and beautiful girls were tried to be equated with Aphrodite. In the bronze aphrodite figurine in the Urgüp Museum, the apple that the goddess is holding in her right hand is also shown as a reference to her beauty. Besides her beauty, Aphrodite also carries fertility and reproduction. Considering the trade and other relations

dating back to the Bronze Age, for example, in the Mediterranean world, it does not seem possible to determine exactly when the Hermes and Thot belief interaction began. However, it can be said that the process of identifying Thot and Hermes or fusing them especially began in the period of the Egyptian-centered Ptolemies after Alexander the Great of Macedonia and his death -within the framework of the cultural exchange of the Hellenistic Era-. In addition, in 31 BC, after the naval victory of Octavian (Augustus) in Actium, Egypt (Ptolemaic State) really joined the Roman lands, and shortly after, in 27 BC, the Roman Empire passed to the *Pax Romana* (Roman Age of Peace and Prosperity) can be suggested as a second turning point for this union or fusion of faith. Although the Roman equivalent of the god Hermes is Mercury (Turms in pre-Roman Etruscans), the belief in Hermes-Thot should have gained the opportunity to spread more easily in the imperial lands with the official joining of Egypt to Rome (Çelik, Kılınc & Özlü, 2022, p. 248).

These bronze figurines may have been used for cult/worship purposes for the *lararium*, which was the small worship section of Roman houses. (Pollini, 2007, pp. 243-244). Therefore, Aphrodite and Hermes-Thot figurines should have been preferred in terms of abundance, fertility, luck of the family people, prosperity, success and protection of their commercial business (Rhodes, 2010, p. 106). Another possibility is that these artifacts were used in a tomb in the context of the burial tradition. In this case, it is possible for Hermes to be used in line with the idea of burial or burial within the framework of *psychopompos* (guide of spirits) or Hermes-Thot belief. In addition, these bronze figurines may have been preferred for decorative purposes.

## REFERENCE

- Bailey, C. (1935). *Religion in Virgil*. Oxford Press.
- Bayat, F. (2019). *Mitolojiye Giriş*. Ötüken Yayın.
- Bol, P. C. (2004). Die Hohe Klassik: Die Grossen Meister. P. C. Bol (Ed.). *Die Geschichte der Antiken Bildhauerkunst: II Klassische Plastik* inside (pp. 123-143). Philipp von Zabern.
- Boyana, H. (1997). *Bithynia Tanrıları ve Kültleri*, (Unpublished doctoral thesis). Ankara University Institute of Social Sciences.
- Boysal, Y. (1967). *Grek Klasik Devir Heykeltraşlığı: İ.Ö. 5. ve 4. yüzyıllar*. Güzel İstanbul Matbaası.
- Brody, L. R. (1999). *The Iconography and Cult of the Aphrodite of Aphrodisias*, (Unpublished doctoral thesis). New York University.
- Brown, N. O. (1947). *Hermes Thief*. University of Wisconsin Press.
- Çelik, A., Kılınç, M. & Özcan Özlü, B. (2022). Antalya Müzesi 100 Yaşında. Antalya'nın Arkeolojik Mirası C.I, **M. Demirel, M. Arslan, S. Atalay & U. Orhan (Ed.)**, *Antalya Müzesinden Bir Grup Bronz Hermes (Merküür) Figürini* inside (pp. 247-264). Kültür ve Turizm Bakanlığı Yayınları.
- Çetin, C. (2015). Isparta Müzesinden Bir Grup Bronz Eser. *Pamukkale Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, 20, pp. 11-31.
- Demirtaş, N. (2013). *Sikkeler Işığında Lykia, Pamphylia, Pisidia ve Kilikiada Hermes*, (Unpublished doctoral thesis). Istanbul University Institute of Social Sciences.
- Dökü, F. E. (2002). *Anadolu'da Eril Bereket, Koruyucu Kültler ve Tanrılar-Phalik Sembol ve Ritüeller*, (Unpublished master's thesis). Akdeniz University Institute of Social Sciences.
- Durna, G. E. (2002). *Antik Çağda Güney-Batı Anadolu (Karia) Bölgesinde Aphrodite Kültü: Aphrodite Karakterine Analitik Bir Yaklaşım*, (Unpublished doctoral thesis). Ankara University Institute of Social Sciences.
- Dümmler, F. (1894). Aphrodite. *RE I*, 2, pp. 2730- 2787.
- Eitrem, "Hermes", *RE VIII-1*, 1912, pp. 738-792.
- Eliade, M. (2015). *Dinsel İnançlar ve Düşünceler Tarihi (Taş Devrinden Eleusis Mysterialarına)*. Kocabı Yayınları.
- Ferguson, V. (1970). *The Religions of The Roman Empire*. Cornell University Press.
- Filges, A. (1997). Standbilder Jugendlicher Göttinnen. Klasische und Frühhellenistische Gewandstatuen mit Brustwulst und Ihre kaiserzeitliche Rezeption. Köln.
- Filges, A. (1999). Marmorstatuetten aus Kleinasien Zu Ikonographie, Funktion und Produktion Antoninischer, Severischer und Späterer Idealplastik. *IstMitt*, (49), pp. 377 - 430.

- Ful, Ş. D. (2008). *Yazıtlar Işığında Mysia Bölgesi Kültürleri*, (Unpublished doctoral thesis). Atatürk University Institute of Social Sciences.
- Goldman, H. (1942). The Origin of The Greek herm. *American Journal of Archaeology*, 46(1), pp. 58-68.
- Greene, E. S. (2005). Revising Illegitimacy: The Use of Epithets in the Homeric Hymn to Hermes. *The Classical Quarterly, New Series*, 55(2), pp. 343-349.
- Grimal, P. (1997). *Mitoloji Sözlüğü: Yunan ve Roma*. Sosyal Yayınları.
- Guithrie, W. K. C. (1955). *The Greeks and Their gods*. Beacon Press.
- Gürbüz, E. D. (2012). *Klaros Kazılarında Bulunmuş Olan Pişmiş Toprak Figürinler ve Kültür Açısından Değerlendirilmeleri*, (Unpublished doctoral thesis). Ege University Institute of Social Sciences.
- Hamilton, E. (2006). *Mitoloji*. Varlık Yayınları.
- Harrison, J. E. (1886). The Judgment of Paris: Two Unpublished Vases in The Graeco-Etruscan Museum at Florence. *The Journal of Hellenic Studies*, 7, pp. 196-219.
- Hesiodos, *Tanrıların Doğuşu*. Furkan Akderin (Çev.). Say Yayınları.
- Homeros, *İlyada*. Azra Erhat (Çev.). İş Bankası Kültür Yayınları.
- Homeros, *Odysseia*. Azra Erhat (Çev.). İş Bankası Kültür Yayınları.
- Karaosmanoğlu, M. (2005). *Mitoloji ve Ege'nin Tanrıları*. Eser Ofset.
- Kaufmann-Heinimann A. (1983). *Römische Bronze Statuetten aus Augst und Kaiseraugst*. Augster Museumshefte.
- Kerenyi, C. (1951). *Myths and Man; Gods of The Greeks*. Thames & Hudson Press.
- Kızılgut, İ. (2005). *Türkiye'nin Seçilmiş Bazı Müzelerinden Hellenistik ve Roma Dönemi Bronz Heykelticikleri*, (Unpublished doctoral thesis). Akdeniz University Institute of Social Sciences.
- Larson, J. (2007). *Ancient Greek Cults*. Routledge Press.
- LIMC V, 1-2. (1990). *Lexicon Iconographicum Mythologiae Classicae V, 1-2*. Artemis Verlag.
- Marcovich, M. (1996). From Ishtar to Aphrodite. *The Journal of Aesthetic Education*, 30(2), Special Issue: Distinguished Humanities Lectures II, pp. 43-59.
- Özgan, R. (2013). *Roma Portre Sanatı II*. Ege Yayınları.
- Perçin, Ö. (2019). *Seleukeia Sidera Terrakota Figürinleri*, (Unpublished master's thesis). Süleyman Demirel University Institute of Social Sciences.
- Pesciuiatta S. (2015). *Bronzetti Figurati Romani del Museo Archaologico di Venezia*. Tesi di Laurea, Università Ca'Foscari Venezia.
- Pollini J. (2007). Performing Death: Social Analyses of Funerary Traditions in The Ancient Near East and Mediterranean. N. Laneri, (Ed.), *Ritualizing Death in Republican Rome: Memory, Religion, Class Struggle, and The Wax Ancestral*

*Mask Tradition's Origin and Influence on Veristic Portraiture* inside (pp. 237-285). The University of Chicago Publishers.

Rhodes R. F. (2010). *Eclectic Antiquity: The Classical Collection of The Snite Museum of Art*. University of Notre Dame Press.

Ridgway, B. S. (1976). The Aphrodite of Arles. *American Journal of Archaeology*, 80(2), pp. 147-154.

Robertson M. (1991). *A Shorter History of Greek Art*. Cambridge Press.

Sale, W. (1961). Aphrodite in The Theogony. *Transactions and Proceedings of the American Philological Association*, 92, pp. 508-521.

Strolonga, V. (2012). Aphrodite Against Athena, Artemis and Hestia a Contest of Erga. *Illinois Classical Studies*, 37, 1-20.

Sturgeon, M. C. (2003). Sculpture at Corinth, 1896-1996. *Corinth*, 20, pp. 351-368.

Suhr, E. G. (1960). The Spinning Aphrodite in Sculpture. *American Journal of Archaeology*, 64(3), pp. 253-264.

Tarhan, M. A. (2006). *2002-2003 Yılı Laodikeia Antik Kenti Kabartma Buluntuları* (Unpublished master's thesis). Pamukkale University Institute of Social Sciences.

Veseli S. (2015). Një Figurinë Bronzi e Mërkur-Tot në Muzeun e Pogradecit. *Iliria*, 39, pp. 291-302.





# *Chapter 2*

## **FUNCTIONAL NEAR-INFRARED SPECTROSCOPY (FNIRS) METHODOLOGY: A SYSTEMATIC REVIEW FOR SOCIAL NEUROSCIENCE**

*Nihan TOMRİS KÜÇÜN<sup>1</sup>*

*Hazal DUMAN ALPTEKİN<sup>2</sup>*

---

1 Assoc. Prof. Dr, Eskişehir Osmangazi University Cognitive Behavioral Application and Research Center, Eskişehir Osmangazi University, Meselik Campus, 26480 Eskişehir, Turkey. E- mail: nihan\_tomris@hotmail.com , ORCID ID: <https://orcid.org/0000-0001-5548-6093>

2 Corresponding author: Asst. Prof. Dr, Department of Insurance and Social Security, KTO Karatay University, Konya, Turkey. E-Mail: hazal.duman.alptekin@karatay.edu.tr, ORCID ID: <https://orcid.org/0000-0001-8893-4622>

## Introduction

The dynamics that shape human behavior have been one of the most fundamental aspects that social scientists have sought to clarify from the past to the present. Specially, economists concentrated on economic behavior patterns, managers on organizational patterns, politicians on the dynamics of political behavior, and marketers on consumer behavior.

While each discipline seeks answers to its concerns using the methodological tendencies it has developed within itself, advancements over the past two decades have encouraged disciplines within the social sciences to look for solutions to their issues within the paradigm of neuroscience (Fitzgerald and Callard, 2015). The foundation of this orientation can be handled of with two different components. First, the importance of the black box in highlighting the need to further our understanding of behavioural patterns (Pérez-González, 2020).

Specifically, according to Morin (2011), one of the pioneers of neuroscience in the field of marketing, neuroscience is considered as a revolution that allows activating the buy button in the consumer's brain. Examining the topic of economics, Rustichini's (2005) work highlights the importance of neuroeconomics in explaining how risk and uncertainty in the decision-making process transform logical human behavior into an irrational structure.

Similarly, organizational neuroscience, a topic that has emerged in the field of management over the past five years, focuses on how neuroscience techniques impact the organizational field through employee behavior, performance, and even emotions. (Becker et al., 2011; Murray and Antonakis, 2019) These neuroscientific considerations, which stand out in a variety of fields, enable the social sciences and human behavior to construct a comprehensive body of knowledge.

The second factor that enables the merger of the social sciences under the neuroscience umbrella is the inadequacy of traditional research methods to address contemporary research issues (Sanford et al., 2002). Participants' responses and information tend to be influenced by social norms in data collection processes that rely on traditional methodologies (Alshenqeti, 2014). In other words, people tend to express the socially accepted truths rather than their own beliefs or practices in data collection process (Achrol and Kotler, 2012). In neuroscience-based techniques, the restricted influence of social constraints and norms on the data collection process enhances the dynamics of the produced data's reliability and validity (Gountas et al., 2019).

While the aforementioned advantages of neuroscience and dynamics have opened new opportunities for social science researchers, they have also increased the use of neurometric measurement approaches in social sciences

(Rawnaque et al., 2020). In this regard, a review of the literature reveals that electroencephalography (EEG) and functional magnetic resonance imaging (fMRI) are the most popular methods in the social sciences (Kenning et al., 2007; Tong, 2022). When we look at the field of neuroscience, we can observe that different measurement methods that eliminate the various disadvantages of fMRI and EEG have gained prevalent (Hu and Shepley, 2022; Carollo et al., 2022).

In this regard, the purpose of this study is to explain implementation process and benefits of functional near infrared spectroscopy (fNIRS), a neurometric assessment method in the field of social sciences. Although the application of fNIRS in fields such as psychology and neuroscience is discussed in the literature (Fronza and Balconi, 2022; Hu and Shepley, 2022), limited research has been conducted on its application in the social sciences (Krampe et al., 2018a; Mehlhose, 2022). Based on this gap, the origin of the fNIRS technique and its opportunities for social sciences are detailed in the first section of the research.

In the second part of the study, on the basis of the Rowley and Slack (2004) systematic review model, fNIRS-based research in social science disciplines (management, organizational behaviour, marketing, economics, and finance) was reviewed and a roadmap for future research was attempted to be developed.

### **1.1. Origin of the fNIRS Methodology**

fNIRS is a non-invasive neuroimaging device. It is used to determine the hemoglobin concentration over the cortex, which forms the outermost layer of the brain (Naseer and Hong, 2015). Oxygenated hemoglobin (oxyHb) density indicates that a cognitive process is carried out in the detected area (Grossmann et al., 2010).

For this reason, the hemodynamic response monitored by fNIRS makes it possible to analyze the cognitive responses of the individual regarding the experienced process. fNIRS's working principle is based on sending rays at two different wavelengths and monitoring the oxyhemoglobin (Hb<sub>o2</sub>) and deoxygenated hemoglobin (Hb<sub>R</sub>) values in this way (Aghajani et al., 2017). The technique utilizes the optical window in which skin, tissue, and bone are transparent to NIR light (700-900 nm spectral range) hemoglobin (Hb), and oxygen-free hemoglobin (deoxy-Hb).

The differences in the absorption spectra of deoxy-Hb and oxy-Hb make it possible to monitor the attenuation of light at different wavelengths, and thus the relative changes in hemoglobin concentration can be measured (Kirilina et al., 2012). Although these rays, which are transmitted from optodes and can pass through the scalp and skull, have certain spatial resolution limitations,

many researchers describe the technique as a useful method for the assessment of hemodynamic alterations accompanying brain activation (Wilcox and Biondi, 2015; Aghajani et al., 2017).

The first study on fNIRS was the experiment performed by Frederick William Herschel in the 1800s, which ultimately led to the discovery of the energy behind the first visible light spectrum (Davies, 1998). However, the use of fNIRS rules in the field of health was first discussed after the study by Jöbsis (1977).

Jöbsis's (1977) determination to monitor changes in cortical oxygenation is the first study in the field. The first system developed for the detection of cognitive activation was used in 1992 (Ferrari and Quarisma, 2012). Chance et al. (1992), employed a single-channel fNIRS system, and later on, it needed to be developed due to its relatively low temporal resolution and low sensitivity in data collection. So the first 10-channel fNIRS was produced by Hitachi in 1994 (Nagamitsu et al., 2012). Another cornerstone for fNIRS is the study in which this optical signal is associated with a neural activation (Gratton et al. 1995). Over time, studies on the detection of this biomarker have intensified and several optodes and visualization applications have been developed quantitatively and qualitatively to support the sensitivity of the instrument.

The use of fNIRS in neuroscience and the principles of near-infrared energy behind it are quite old. However, it is possible to say that its use in the fields of social sciences are still quite new and limited (Kim et al., 2016). Therefore, it is still of great importance for researchers and practitioners to explore the potential of fNIRS in the field of social science. In addition, the fact that it is the only method that allows the possibility of recording from more than one person at the same time for topics such as social interaction (Boas, 2012) is also promising for social-cognitive studies that are frequently examined in different disciplines of social science.

## **1.2. Potential advantages of fNIRS in the scope of social science context**

The high cost and high expertise of neuroscience techniques, especially methods such as fMRI, EEG, and PET used for neural activity, direct the attention of researchers in the field to alternative measurement methods (Singh et al., 2020). However, the data provided by each of the biometric and neurometric-based measurement methods have significant advantages and disadvantages compared to each other. The growing interest in fNIRS is mostly due to its more practical application and reduced research costs as compared to techniques like fMRI and EEG, which are favored for similar purposes (Quarisma and Ferrari, 2019). Since fNIRS is more tolerant of small movement aberrations, it is simpler to apply in real-world scenarios (Pinti et al., 2019).

fNIRS also has a much shorter preparation time compared to other cerebral measurement methods, and it can be used for implants, hearing aids, etc. There is no harm in using it with biomedical components (Quarisma and Ferrari, 2019). Thus, it offers significant advantages for research designs that require long-term or repeated measurements. In line with the stated reasons, Pinti et al. (2019) describe the instrument as “a major innovation in neuroeconomic research”.

In their study, Quaresima and Ferrari (2019) note that the fNIRS technique is a promising approach in the field of social sciences, and that it will allow for the in-depth examination of key social science themes such as attention, emotions, and cognition. Moreover, Murray and Antonakis (2019) also note the significance of the fNIRS technique in comprehending cognitive patterns in the context of the organization, as well as the fact that fNIRS technology is a cost-effective and technically innovative research approach.

Another reason for the increasing interest in fNIRS in terms of social science disciplines are that it works with the BOLD principle. Because BOLD is also a neuro-vascular coupling principle that forms the core of the fMRI technique. BOLD response reflects regional, relative variations in HbR levels (Kwong et al., 1992). This makes fNIRS and fMRI sensitive to similar physiological changes. Therefore, studies on fMRI and fNIRS show highly correlated results in cognitive tasks (Huppert et al., 2006; Steinbrink et al., 2006; Heinzl et al., 2013; Noah et al., 2015). As a result, the similarities detected indicate that fNIRS can be used as an alternative to fMRI in certain experimental designs (Steinbrink et al., 2006).

This represents a method that can partially replace fMRI, which is seen as the only alternative in studies such as detailed emotion recognition that requires spatial resolution. In line with the reasons mentioned, it is possible to predict that the use of fNIRS in the social science disciplines which include neurofinance, neuroeconomics, organizational neuroscience, and neuromarketing will gradually increase.

## **2.Method**

As our objective was to analyze literature where fNIRS methodology is applied in social science studies, we selected the five-stage procedure described by Rowley and Slack (2004) as our methodology.

### **2.1. Data set selection**

In order to understand the scientific improvement on fNIRS methodology on social science literature, we searched 3 different databases, which included Scopus, Web of Science (WoS), and Google Scholar. Specially, Scopus and WoS are the two most prominent databases that gather together research from a variety of academic

fields and provide a substantial amount of source potential for the dynamics of scientific creation (Martín-Martín et al., 2018). The selection of the database was influenced by the vast resource advantage afforded by both databases.

Another database which was used in the scope of our study is Google Scholar. In contrast to the WoS and Scopus, which have stringent journal-based inclusion criteria, Google Scholar has the capacity to incorporate a variety of publications with diverse academic indexes (Bergman, 2012). fNIRS is essentially a novel approach for social science research. This circumstance limits scientific production. In order to overcome this disadvantage, it has been accounted for in the research contained in the Google Scholar database.

## 2.2. Search strategy

In the literature review carried out to create the theoretical structure of the research, it was determined that the methodology of functional near-infrared spectroscopy was termed with different keywords such as fNIRS, functional-NIRS, and NIRS. In addition to that, in the scope of social science, neuroscience research also has different keyword options, which include social neuroscience, organizational neuroscience, neuroeconomics, consumer neuroscience, neuromarketing, and neurofinance.

To overcome constraint of different uses of terminology, the initial search criteria were conducted with broad keyword combinations like “fNIRS” and “neuromarketing/ social neuroscience/ consumer neuroscience/ organizational neuroscience/neurofinance/ neuroeconomics”, “functional-NIRS “ and “neuromarketing/ social neuroscience/ consumer neuroscience/ organizational neuroscience/ neurofinance/ neuroeconomics”, “NIRS” and “neuromarketing/ social neuroscience/ consumer neuroscience/ organizational neuroscience/ neurofinance/ neuroeconomics.”

## 2.3. Criteria determination

To identify proper articles researchers was determine 4 inclusion and 4 exclusion criteria. Minimum inclusion conditions were as follows:

- The study sample included articles that were published between 1992 (early empirical fNIRS studies conducted by Bandettini et al., 1992; Kwong et al., 1992) and 2022/June.
- Only English-language papers are included.
- Included paper must related to main social science discipline (marketing, management, finance, organizational behaviour, economics, consumer behaviour etc.) topics.
- Only empirically-based studies which conducted the fNIRS methodology are included.

Research was not included if it met any of the following criteria:

- Studies that do not meet the inclusion criteria.
- Studies conducted prior to 1992 and subsequent to June 2022 were omitted from the data set.
- Book chapters, conference papers, systematic literature reviews were excluded.
- The sample didn't include any studies that were written in a language other than English.

One researcher implemented the inclusion and exclusion criteria, while the other conducted the control method during the primary sample formation phase. During an initial search of three databases, it was found that 33 studies in scope of social science which are dealt with the fNIRS approach. However, only 18 empirically-based studies made up the primary sample for the research.

#### **2.4. Data analysis**

The 18 papers constituting the research sample were subjected to independent content analysis (Tranfield et al., 2003) by two researchers. First, two researchers classified each article based on identifiers such as authors, publications, sample size, brain regions, and primary measuring instruments and parameters. In the second part of the analysis, the researchers conducted a theme categorization analysis on each empirically-based study to highlight the theoretical framework of fNIRS studies in social science literature.

According to Tranfield et al. (2003), thematic classification facilitates comprehension of scientific knowledge's primary tendencies. From this point, two researchers analyzed each article separately and coded them in a manner that illustrates the theoretical underpinning of the publications. After then, the theoretical themes which coded by the two researchers independently were compared with one another, and similar themes were identified. At the stage of comparing the coding, the coding phase was repeated in the thematic codings where consistence could not be reached (Vaismoradi et al., 2013).

#### **2.5. Evaluation of results**

External auditor assistance was consulted in order to provide inter-rater reliability (Drost, 2011). The external auditor, who experienced qualitative analysis, controlled each phase of the analysis, and the final findings were decided through a discussion of all the data with the researchers. In this process, each empirical research which representing the application of fNIRS in social science field was discussed in order to identify research gaps and guide future research efforts.

### 3. Findings

The findings are described in two distinct sections. In the first section, we look at the descriptive categorization, which shows how the articles are spread out by publication year, journal, author, and country. The second section examines the categorization of fNIRS studies, which describes the methodology and additional tools, brain area, sample characteristics, sample size, theoretical themes of articles and research findings that have been examined.

#### 3.1. Descriptive classification of fNIRS studies in social science literature

The analysis of 18 studies constituting the sample in line with the determined descriptive criteria is given in Table 1.

**Table 1.** *Descriptive classification of fNIRS studies in scope of social science*

Journal	Publication Year	Author(s)	Author's Department	Author's Country
International Journal of Engineering and Innovative Technology (IJEIT)	2014	Tadanobu Misawa	Information Engineering	Japan
		Tetsuya Shimokawa	Business Economics	Japan
		Shigeki Hirobayashi	Information Engineering	Japan
Journal of Near Infrared Spectroscopy	2016	Jeong-Youn Kim	Biomedical Engineering	Korea
		Kun-Il Kim	Neuroscience	USA
		Chang-Hee Han	Biomedical Engineering	Korea
		Jeong-Hwan Lim	Biomedical Engineering	Korea
		Chang-Hwan Im	Biomedical Engineering	Korea
European Journal of Marketing	2018	Caspar Krampe	Marketing	Germany
		Enrique Strelow	Marketing	Germany
		Alexander Haas	Marketing	Germany
		Peter Kenning	Marketing	Germany
Frontiers in Human Neuroscience	2018	Caspar Krampe	Marketing	Germany
		Nadine R. Gier	Marketing	Germany
		Peter Kenning	Marketing	Germany
European Journal of Marketing	2018	Murat Perit Çakir	Cognitive Sciences	Turkey
		Tuna Çakar	Computer Engineering	Turkey
		Yener Giriskan	Marketing	Turkey
		Dicle Yurdakul	Marketing	Turkey



Plos One	2018	Xiaolong Liu Chang-Seok Kim Keum-Shik Hong	Mechanical Engineering Mechatronics Engineering Mechanical Engineering	Korea Korea Korea
Journal of Personality and Social Psychology	2019	Shannon M. Burns Lianne N. Barnes Ian A. McCulloh Munqith M. Dagher Emily B. Falk J. Douglas Storey Matthew D. Lieberman	Psychology Psychology Public Health and Engineering Public Administration Psychology Health, Behavior and Society Psychology	USA USA USA USA USA USA
Asia Pacific Journal of Marketing and Logistics	2019	Kyoung Cheon Cha Minah Suh Gusang Kwon Seungeun Yang Eun Ju Lee	Business Administration Biomedical Engineering Neuromarketing Data Analyst Business Administration	Korea Korea Korea Korea Korea
Frontiers in Neuroscience	2020	Nadine R. Gier Enrique Strelow Caspar Krampe	Marketing Marketing Marketing	Germany Germany Germany
Nutrients	2020	Clara Mehlhose Antje Risius	Agricultural Economics and Rural Development Agricultural Economics and Rural Development	Germany Germany
Journal of Business Research	2020	Stephan Meyerding Clara Mehlhose	Agricultural Economics and Rural Development Agricultural Economics and Rural Development	Germany Germany
Frontiers in Psychology	2021	Lian Duan Hui Ai Lili Yang Lianlian Xu Pengfei Xu	Neuroscience Neuroscience Neuroscience Neuroscience Neuroscience	China China China China China
Sustainability	2021	Clara Mehlhose Antje Risius	Agricultural Economics and Rural Development Agricultural Economics and Rural Development	Germany Germany
Computers in Human Behavior	2021	Anika Nissen Caspar Krampe	Business Informatics and Integrated Information Systems Social Science (Marketing and Consumer Behaviour Group)	Germany Germany

Journal of International Food & Agribusiness Marketing	2022	Konstanze Laves	Marketing	Germany
		Clara Mehlhose	Agricultural Economics and Rural Development	Germany
		Antje Risius	Agricultural Economics and Rural Development	Germany
Frontiers in Psychology	2022	Jialin Fu	Healthcare Management	China
		Xihang Li	Economics and Management	China
		Xi Zhao	Economics and Management	China
		Keyi Zhang	Economics and Management	China
		Nan Cui	Marketing and Tourism Management	China
Brain Sciences	2022	Martina Sansone	Cognitive Applied Neuroscience Lab.	Italy
		Michela Balconi	Psychology	Italy
Frontiers in Neuroscience	2022	Zhikun Ding	Artificial Intelligence and Digital Economy	China
		Zhiyu Zhang	Artificial Intelligence and Digital Economy	China
		Weilin Chen	Artificial Intelligence and Digital Economy	China

Our data collection contains a total of 18 empirically- based papers addressing the social science domain that were discovered in the Web of Science, Scopus, and Google Scholar databases and published between 1992 and the end of June 2022. In this point, 2014 is the first year in which the fNIRS approach has been experimentally applied to the area of marketing. Despite this starting era, a combined evaluation of the 18 reviewed publications reveals that over half were published in the recent three years (Table 1).

According to Table 1, there is a group of productive researchers from Germany, China, Korea, the United States, Turkey, and Italy who have examined various marketing topics within the framework of fNIRS technique in the context of inter-disciplinary domains (i.e. engineering, neuroscience, psychology, agriculture and public health).

Our review also indicates journals that include fNIRS research in the scope of social science. Academic journals are an example of the kind of source that guides scholars in the direction of more in-depth information (Rallison, 2015). According to the results stated in Table 1, there are no specific journals which publish the vast majority of the articles. Specifically, it can be observed that the 18 publications have an interdisciplinary profile, and within the social sciences, marketing and business-based journals contain fNIRS research.

In this context, the European Journal of Marketing, the Asia Pacific Journal of Marketing and Logistics, the Journal of International Food & Agribusiness Marketing, and the Journal of Business Research stand out in the social sciences.

### 3.2. Thematic and methodologic classification of fNIRS studies

To address the intellectual and methodological development of the use of fNIRS in scope of social science disciplines, it has adopted the thematic analysis (Tranfield et al., 2003). A summary of the thematic analysis results, which includes 18 empirically-based studies, is presented in Table 2.

**Table 2.** *Thematic and methodologic classification of fNIRS studies in scope of social science*

Author(s)	Method	Brain Region	Sample Size	Parameters	Main Theme	Findings
Tadanobu Misawa, Tetsuya Shimokawa, Shigeki Hirobayashi (2014)	fNIRS	Prefrontal cortex	34	Bandpass Filter: 0.75 Hz and 6.10 Hz, Wavelengths: 770 nm and 840 nm, Sampling rate: 1 Hz, Channel: 16	Purchase decision making	Differentiation between product pricing and subject's prediction in purchase decision process was connected with oxygenated hemoglobin levels.
Kim, J-Y. et al.(2016)	fNIRS + questionnaire	Anterior prefrontal cortex, dorsolateral prefrontal cortex	10	Bandpass Filter: 0.01Hz and 0.1Hz, Wavelengths: 770 nm and 840nm, Sampling rate: 1.5Hz, Channel: 16	Purchase decision making	Oxy-Hb concentration was found to be higher in the right prefrontal area when less preferred foods were encountered.
Krampe, C. et al. (2018a)	fNIRS	Prefrontal cortex	36	Bandpass Filter: 0.01Hz and 0.1Hz, Wavelengths: 770 nm and 840nm, Sampling rate: 1.5Hz, Channel: 16	The point-of-sale (PoS) merchandising	Wall decoration was found to be effective in cognitive activation, but product display did not make a significant difference. The orbitofrontal cortex (OFC) might be crucial for processing and predicting merchandising communication strategy effectiveness.
Krampe, C. et al. (2018b)	fNIRS + questionnaire	Prefrontal cortex	42	Bandpass Filter: 0.2 Hz, Wavelengths: 760 nm and 850 nm Sampling rate: 7.81 Hz, Channel: 22	First choice brand effect	In order to question the validity of fNIRS, the first brand effect was determined as a criterion and a comparison was made with the results of a previous study with fMRI. The results obtained were found to have parallel outputs with the previous research.
Çakir et al. (2018)	fNIRS + questionnaire	Prefrontal cortex	33	Bandpass Filter: 0.1Hz, Wavelengths: 750 nm and 850nm, Sampling rate: 2 Hz Channel: 16	Purchase decision making	Behavioral analysis suggested budget sensitivity is a potentially important factor in purchase- related decision making. Also, there is empirical evidence that fNIRS-measured neural activations can be used to resolve buy/pass decisions with 71% accuracy.

Liu, X. et al (2018)	fNIRS + questionnaire	Prefrontal cortex	20	Bandpass Filter: 0.005–0.5 Hz Wavelengths: 760 nm and 830 nm Sampling rate: 1.81 Hz Channel: 16	Visual merchandising display (VMD)	The exhibitors were shown the window design in four categories (menswear, womenswear, underwear, and sportswear) and were asked to report whether they liked it or not. The results show that self-report and fNIRS are compatible. In this context, researchers suggest that fNIRS is a reliable tool for visual merchandising testing.
Burns, S. M. et al. (2019)	fNIRS + questionnaire	Prefrontal cortex	36	Bandpass Filter: 0.005–0.5 Hz Wavelengths: 760 nm and 850 nm Sampling rate: 7.81 Hz Channel: 22	Persuasion	9 persuasive videos on smoking, family planning, and violence were watched by the Middle East participant sample, and data were collected in the meantime. Since the results obtained are compatible with other neuroimaging methods, the researchers reported that they found the validity and reliability of fNIRS to be high.
Cha, K. C. et al. (2019)	fNIRS	Medial prefrontal cortex	56	Bandpass Filter: 0.01 Hz- 0.2 Hz Wavelengths: 780 nm and 850 nm Sampling rate: 8 Hz Channel: 10	The sensory load of sound and music	The participants listened to songs at 5 different tempos and their cognitive responses were monitored. It has been determined that when adults have listened to songs that offer acoustic stimuli far above the previously defined optimal sensory level, TBF (total blood flow) in the right medial prefrontal cortex increases more.
Gier, N. R. et al (2020)	fNIRS	Dorsolateral prefrontal cortex	45	Bandpass Filter: 0.01 Hz- 0.2 Hz Wavelengths: 760 nm and 850 nm Sampling rate: 7.81 Hz Channel: 16	The point-of-sale (PoS) merchandising	The authors stated that spontaneous purchases account for 70% of purchases made and that an act of decision-making takes about 60 seconds. The results of the study demonstrate that decreased neural activity in brain areas connected to the dlPFC can be used to forecast purchases at the point of sale.
Mehlhose and Risius (2020)	fNIRS + questionnaire	Orbitofrontal, dorsolateral, frontopolar prefrontal	78	Bandpass Filter: 0.01 Hz- 0.2 Hz Wavelengths: 760 nm and 850 nm Sampling rate: 7.81 Hz Channel: 22	The health warning messages	The orbitofrontal cortex (OFC), frontopolar cortex (FOC), and dorsolateral prefrontal cortex (dlPFC), which are involved in reward evaluations, social behavior implications, and self-control, showed various hemodynamic responses.
Meyerding and Mehlhose (2020)	fNIRS + questionnaire	Prefrontal cortex	31	Bandpass Filter: is not mentioned Wavelengths: 760 nm and 850 nm Sampling rate: 62.5 Hz Channel: 16	Purchase decision making	The study consists of two phases. In the first stage, how local, organic and non-label foods are perceived was tested. In the second, little-known weak brands were presented against Coca-Cola and Pepsi, and the participants were asked to taste them. It has been determined that although the same coke is always served, the participants tend to like food and beverages with known brands more.

Duan, L. et al. (2021)	fNIRS	Dorsal and medial prefrontal cortex	40	Bandpass Filter: 0.01 Hz- 0.2 Hz Wavelengths: 785 nm and 830 nm Sampling rate: 3.91 Hz Channel: 16	Purchase decision making	In the experiment, 15 global brands were shown in the context of their culture and in the context of Chinese culture (cultural images are conveyed with background elements such as the Great Wall of China and the Statue of Liberty). The fNIRS results also showed that, unlike the male participants, watching mixed-culture advertising significantly increased female participants' dorsolateral prefrontal brain positive activation and decreased their medial prefrontal cortex negative activation. These findings raise the possibility of cognitive and emotional distinctions between men and women when it comes to choosing between various cross-cultural marketing strategies.
Mehlhose and Risius (2021)	fNIRS	Orbitofrontal, dorsolateral, frontopolar prefrontal	26	Bandpass Filter: is not mentioned Wavelengths: 760 nm and 850 nm Sampling rate: 7.81 Hz Channel: 22	Food labeling and message framing	It was determined that the activity in 10.th Brodmann Areas (OFC/FPC) increased when aesthetic and desired images were encountered. Since these results are consistent with other methods used in previous studies, it has been reported that fNIRS may offer advantages in emotion recognition studies.
Nissen and Krampe (2021)	fNIRS + questionnaire	Prefrontal cortex	20	Bandpass Filter: is not mentioned Wavelengths: 760 nm and 850 nm Sampling rate: 7.81 Hz Channel: 22	Gender differences	Websites with different designs were shown to the participants, and data on their liking were collected using both a questionnaire and fNIRS. According to the self-reported findings, there are no appreciable differences between men and women's expressed opinions about e-commerce websites. However, the fNIRS findings suggest that gender-related variations in how e-commerce
Laves et al. (2022)	fNIRS	Dorsolateral prefrontal cortex	91	Bandpass Filter: is not mentioned Wavelengths: 760 nm and 850 nm Sampling rate: 7.91 Hz Channel: 22	Hedonic preferences	Participants were tested with two different types of plant milk and the difference between expected and perceived taste was analyzed via fNIRS. No neuronal difference in the specific taste evaluation of the two plant-based milk alternative samples was detected.
Fu, J. et al (2022)	fNIRS + questionnaire	Dorsolateral prefrontal cortex	16	Bandpass Filter: 0.01- 0.1 Hz Wavelengths: 762 nm and 841 nm Sampling rate: 10 Hz Channel: 18	Effectiveness of public service announcements (PSAs)	fNIRS was used to determine the effectiveness of public service announcements (PSA). A correlation between activation of dorsolateral prefrontal cortex (dlPFC) and the effectiveness of PSAs was detected.

Sansone and Balconi (2022)	fNIRS + questionnaire	Prefrontal cortex	19	Bandpass Filter: 0.01- 0.3 Hz Wavelengths: 760 nm and 850 nm Sampling rate: 6.25 Hz Channel: 16	Brand engagement	By watching covid related and covid unrelated ads, the relationship between emotional engagement and purchasing tendency was investigated. According to the results, utilizing COVID-19's negative emotional potential could not change explicit purchase intentions, but it might increase emotional involvement and hence improve the brand's implicit final evaluation.
Ding, Z. Et al. (2022)	fNIRS + questionnaire	Dorsolateral prefrontal cortex, orbitofrontal cortex, medial prefrontal cortex	22	Bandpass Filter: is not mentioned Wavelengths: 762 nm and 841 nm Sampling rate: is not mentioned Channel: 27	Purchase decision making	The influence of the media was used, considering that consumers see recycled products as products obtained from garbage, and in this context, the purchase intention is low. As a result of the intervention, it was determined that the purchase intention increased.

Table 2 shows that most empirical studies use both questionnaire data and fMRI measurements. Based on our research, we can say that combining fNIRS with other neuroscience approaches like eye tracking (ET) or galvanic skin response (GSR) is not a common practise among social scientists. When we look at contemporary neuroscience literature, we can observe that multiple neuroscience tools (EEG, fMRI, GSR, ET) are used together to acquire additional information about cognitive and biometric responses (Cuesta et al., 2018; Guo et al., 2019; Wang et al. 2020; Yen and Chiang, 2021). At this point, an integrated measuring method within the scope of the fNIRS approach is a research gap that will be filled by future studies.

A notable finding within the scope of the conducted content analysis relates to the mentioned research themes. Within the scope of social sciences, the discipline that uses the fNIRS methodology the most is neuromarketing. In this point, “attention” and “decision making process” are the most researched topics in the field of marketing. Despite the fact that fields like organizational neuroscience (Hannah et al., 2013; Laureiro-Martínez et al., 2015), neurofinance (da Rocha et al., 2015; Razi et al., 2017), and neuroeconomics (Nermend, 2017) focus with the attention and decision-making process using neuroscience instruments such EEG and fMRI, the findings show that the fNIRS methodology has not yet infiltrated the fields of organizational neuroscience, neurofinance and neuroeconomics.

In addition, another interesting finding is related to the theme of “emotional process”. Specially, research indicates that the fNIRS methodology is more effective at analyzing emotional change and emotional arousal processes than EEG and fMRI (Gero and Milovanovic, 2020). Despite this advantage, it is noticeable that the fNIRS method in the social sciences is not widely used in studies that focused on the theme of emotion.

The prefrontal cortex is the most studied brain region which helps to understand cognitive patterns of attention and decision processes, according to a general trend in the 18 research reviewed. Moreover, when the relevant literature is reviewed, it is noted that the fNIRS methodology is an appropriate tool for examining the cerebral cortex region, which explains the effect of cognition on human behavior during social interaction (Leff et al., 2011; Quaresima and Ferrari, 2019). Despite this advantage of the fNIRS methodology, no study on the cerebral cortex was found in the social sciences during in the review.

#### 4. Results and Discussion

Researchers are becoming more and more interested in neuroscience paradigm in social science because it diversifies research methodologies and offers results that are not dependent on self-report. Specially, the benefits offered for understanding human behavior in its essence make the use of neuroscience methodologies in social science research commonplace (Cacioppo et al., 2002).

fNIRS is one of the techniques that has most recently been applied to the study of social neuroscience. Although fNIRS has only recently become widely used in the field compared to other neural imaging techniques, factors such as its ease of use (Meyerding & Mehlhose, 2020), wide participant selection criteria (Ehrlis et al., 2013), high temporal resolution is compared to fMRI (Wilcox and Biondi, 2015), and low research costs (Krampe et al., 2018b) may help support the idea that it will be used frequently in the near future.

fNIRS basically allows monitoring of Oxygen-hemoglobin (Oxy-Hb) concentrations in the parts of the brain for detecting neural activity. Thus, it can be possible to make inferences about cognitive activities such as emotion recognition (Wang et al., 2018; Hu et al., 2019; Tang et al., 2021), cognitive load (Fishburn et al., 2014; Zhuang et al., 2022), memory (Vural and Yildirim, 2021) and emotional processing (Balconi et al., 2015). For the stated reasons, fNIRS has the potential to make a significant contribution to social science studies.

All of the research examined in this study have an experimental phase. The primary purpose of determining this criterion is to compile technical information for future studies at the same time. In all reviewed studies, the collected Oxy-Hb concentration data are preprocessed using the following procedure: bandpass filtering (to reduce physiological noises and artifacts such as Mayer waves (approximately 0.1 Hz), heart rate (0.8–1.2 Hz) and breathing (0.2–0.3 Hz), segmentation, z-score transformation, baseline correction, and statistical analysis.

When the research samples and the devices used are examined, it is seen that both variables differ according to the our review. However, one of the

most important common points of all the studies is that they focused on the prefrontal cortex. The prefrontal cortex, which is responsible for cognitive processing (Roberts and Robins, 1998), has been examined at the sub-area level in some studies, and more detailed analyzes have been performed in line with more brain regions and cognitive function classifications.

In addition to this finding, the lack of research on the cerebral cortex in the social sciences indicates a significant gap in the literature. It is predicted that addressing this gap in future social science research will help a deeper understanding of human behavior patterns.

When the publication dates of the studies are examined, it is seen that the social science studies using fNIRS are in an increasing trend. Especially, within the domain of social sciences, the field of marketing stands out as the discipline that emerges as the one in which the fNIRS approach is applied the most frequently.

In this perspective, a noteworthy finding of the study is that the fNIRS methodology has not become widespread in the management, finance, and economics disciplines. Addressing this gap in future studies and increasing the number of social scientists who have acquired the fNIRS approach would strengthen the foundation of social neuroscience.

One of our findings that relates to the research themes addressed by the fNIRS methodology. At this point, “decision making process” and “attention” are the most researched themes within the scope of social sciences using the fNIRS methodology.

Although the “emotional process” is also a common topic that is examined in fields such as psychology and neuroscience (Balconi et al., 2015; Hu et al., 2019), there is no research on emotional arousal or emotions within the disciplines of social science. At this point, it is expected that addressing the emotional arousal process in future research will allow the social neuroscience approach to expand.

As with any scientific study, there are some limitations with this one. In this case, our research only reviewed at the years 1992 to 2022. Despite the fact that the application of empirical constructs of fNIRS thought dates back to 1992, its theoretical foundation has a much longer history.

At this point, considering the topic with a broader temporal frame in future research will contribute in developing a deeper understanding of its theoretical roots. In addition, only empirically based research articles were included in the systematic literature review process. To overcome this limitation, future research will evaluate all scientific outputs (conference papers, books, book chapters etc.) together to provide more deeper insight on fNIRS methodology.



## REFERENCES

- Achrol, R. S., & Kotler, P. (2012). Frontiers of the marketing paradigm in the third millennium. *Journal of the Academy of marketing Science*, 40(1), 35-52.
- Aghajani, H., Garbey, M., & Omurtag, A. (2017). Measuring mental workload with EEG+ fNIRS. *Frontiers in human neuroscience*, 11, 359.
- Alshenqeeti, H. (2014). Interviewing as a data collection method: A critical review. *English linguistics research*, 3(1), 39-45.
- Balconi, M., Grippa, E., & Vanutelli, M. E. (2015). What hemodynamic (fNIRS), electrophysiological (EEG) and autonomic integrated measures can tell us about emotional processing. *Brain and cognition*, 95, 67-76.
- Bandettini, P. A., Wong, E. C., Hinks, R. S., Tikofsky, R. S., & Hyde, J. S. (1992). Time course EPI of human brain function during task activation. *Magnetic resonance in medicine*, 25(2), 390-397.
- Becker, W. J., Cropanzano, R., & Sanfey, A. G. (2011). Organizational neuroscience: Taking organizational theory inside the neural black box. *Journal of Management*, 37(4), 933-961.
- Bergman, E. M. L. (2012). Finding citations to social work literature: The relative benefits of using Web of Science, Scopus, or Google Scholar. *The journal of academic librarianship*, 38(6), 370-379.
- Cacioppo, J. T., Berntson, G. G., Adolphs, R., Carter, C. S., McClintock, M. K., Meaney, M. J., ... & Taylor, S. E. (Eds.). (2002). *Foundations in social neuroscience*. MIT press.
- Carollo, A., Cataldo, I., Fong, S., Corazza, O., & Esposito, G. (2022). Unfolding the real-time neural mechanisms in addiction: Functional near-infrared spectroscopy (fNIRS) as a resourceful tool for research and clinical practice. *Addiction Neuroscience*, 4, 100048.
- Chance, B., Villringer, A., Dirnagl, V., Einhäupl, K.M. (1992). Optical imaging of brain function and metabolism. Garmisch-Partenkirchen, 21-22 October 1991. *J. Neurol.* 239, 359-360.
- Cuesta, U., Martínez-Martínez, L., & Niño, J. I. (2018). A case study in neuromarketing: Analysis of the influence of music on advertising effectiveness through eye-tracking, facial emotion and GSR. *Eur. J. Soc. Sci. Educ. Res*, 5(2), 84-92.
- da Rocha, A., Vieito, J. P., Massad, E., Rocha, F., & Lima Filho, R. (2015). EEG Activity Associated to Investment Decisions: Gender Differences. *Journal of Behavioral and Brain Science*, 5, 203-211.
- Davies, T. (1998). The history of near infrared spectroscopic analysis: Past, present and future” From sleeping technique to the morning star of spectroscopy”. *Analisis*, 26(4), 17-19.
- Drost, E. A. (2011). Validity and reliability in social science research. *Education*

Research and perspectives, 38(1), 105-123.

- Ehlis, A. C., Schneider S Fau - Dresler, T., Dresler T Fau - Fallgatter, A. J., & Fallgatter, A. J. (2013) Application of functional near-infrared spectroscopy in psychiatry. (1095-9572 (Electronic)).
- Ferrari, M., & Quaresima, V. (2012). A brief review on the history of human functional near-infrared spectroscopy (fNIRS) development and fields of application. *Neuroimage*, 63(2), 921-935.
- Fishburn, F. A., Norr, M. E., Medvedev, A. V., & Vaidya, C. J. (2014). Sensitivity of fNIRS to cognitive state and load. *Frontiers in human neuroscience*, 8, 76.
- Fitzgerald, D., & Callard, F. (2015). Social science and neuroscience beyond interdisciplinarity: Experimental entanglements. *Theory, Culture & Society*, 32(1), 3-32.
- Fronza, G., & Balconi, M. (2022). What hyperscanning and brain connectivity for hemodynamic (fNIRS), electrophysiological (EEG) and behavioral measures can tell us about prosocial behavior. *Psychology & Neuroscience*, 15(2), 147.
- Gero, J. S., & Milovanovic, J. (2020). A framework for studying design thinking through measuring designers' minds, bodies and brains. *Design Science*, 6.
- Gountas, J., Gountas, S., Ciorciari, J., & Sharma, P. (2019). Looking beyond traditional measures of advertising impact: Using neuroscientific methods to evaluate social marketing messages. *Journal of Business Research*, 105, 121-135.
- Gratton, G., Corballis, P.M., Cho, E., Fabiani, M., Hood, D.C., (1995). Shades of gray matter: noninvasive optical images of human brain responses during visual stimulation. *Psychophysiology* 32, 505–509.
- Grossmann, T., Oberecker, R., Koch, S. P., & Friederici, A. D. (2010). The developmental origins of voice processing in the human brain. *Neuron*, 65(6), 852-858.
- Guo, F., Li, M., Hu, M., Li, F., & Lin, B. (2019). Distinguishing and quantifying the visual aesthetics of a product: an integrated approach of eye-tracking and EEG. *International Journal of Industrial Ergonomics*, 71, 47-56.
- Hannah, S. T., Balthazard, P. A., Waldman, D. A., Jennings, P. L., & Thatcher, R. W. (2013). The psychological and neurological bases of leader self-complexity and effects on adaptive decision-making. *Journal of applied psychology*, 98(3), 393.
- Heinzel, S., Haeussinger, F. B., Hahn, T., Ehlis, A. C., Plichta, M. M., & Fallgatter, A. J. (2013). Variability of (functional) hemodynamics as measured with simultaneous fNIRS and fMRI during intertemporal choice. *Neuroimage*, 71, 125-134.
- Hu, L., & Shepley, M. M. (2022). Design Meets Neuroscience: A Preliminary Review of Design Research Using Neuroscience Tools. *Journal of Interior Design*, 47(1), 31-50.
- Hu, X., Zhuang, C., Wang, F., Liu, Y. J., Im, C. H., & Zhang, D. (2019). fNIRS evidence for recognizably different positive emotions. *Frontiers in human neuroscience*, 13, 120.

- Huppert, T. J., Hoge, R. D., Diamond, S. G., Franceschini, M. A., & Boas, D. A. (2006). A temporal comparison of BOLD, ASL, and NIRS hemodynamic responses to motor stimuli in adult humans. *Neuroimage*, 29(2), 368-382.
- Jöbsis, F.F. (1977). Noninvasive, infrared monitoring of cerebral and myocardial oxygen sufficiency and circulatory parameters. *Science* 198, 1264–1267.
- Kenning, P., Plassmann, H., & Ahlert, D. (2007). Applications of functional magnetic resonance imaging for market research. *Qualitative Market Research: An International Journal*, 10(2), 135-152.
- Kim, J. Y., Kim, K. I., Han, C. H., Lim, J. H., & Im, C. H. (2016). Estimating consumers' subjective preference using functional near infrared spectroscopy: a feasibility study. *Journal of near infrared spectroscopy*, 24(5), 433-441.
- Kirilina, E., Jelzow, A., Heine, A., Niessing, M., Wabnitz, H., Brühl, R., ... & Tachtsidis, I. (2012). The physiological origin of task-evoked systemic artefacts in functional near infrared spectroscopy. *Neuroimage*, 61(1), 70-81.
- Krampe, C., Gier, N. R., & Kenning, P. (2018a). The application of mobile fNIRS in marketing research—detecting the “first-choice-brand” effect. *Frontiers in Human Neuroscience*, 12, 433.
- Krampe, C., Strelow, E., Haas, A., & Kenning, P. (2018b). The application of mobile fNIRS to “shopper neuroscience”—first insights from a merchandising communication study. *European Journal of Marketing*, 52(1/2), 244-259.
- Kwong, K. K., Belliveau, J. W., Chesler, D. A., Goldberg, I. E., Weisskoff, R. M., Poncelet, B. P., ... & Turner, R. (1992). Dynamic magnetic resonance imaging of human brain activity during primary sensory stimulation. *Proceedings of the National Academy of Sciences*, 89(12), 5675-5679.
- Laureiro-Martínez, D., Brusoni, S., Canessa, N., & Zollo, M. (2015). Understanding the exploration–exploitation dilemma: An fMRI study of attention control and decision-making performance. *Strategic management journal*, 36(3), 319-338.
- Leff, D. R., Orihuela-Espina, F., Elwell, C. E., Athanasiou, T., Delpy, D. T., Darzi, A. W., & Yang, G. Z. (2011). Assessment of the cerebral cortex during motor task behaviours in adults: a systematic review of functional near infrared spectroscopy (fNIRS) studies. *Neuroimage*, 54(4), 2922-2936.
- Martín-Martín, A., Orduna-Malea, E., Thelwall, M., & López-Cózar, E. D. (2018). Google Scholar, Web of Science, and Scopus: A systematic comparison of citations in 252 subject categories. *Journal of informetrics*, 12(4), 1160-1177.
- Mehlhose, C. (2022). Applying Mobile Consumer Neuroscience for Food Marketing—the Special Case of fNIRS.
- Meyerding, S. G., & Mehlhose, C. M. (2020). Can neuromarketing add value to the traditional marketing research? An exemplary experiment with functional near-infrared spectroscopy (fNIRS). *Journal of Business Research*, 107, 172-185.
- Morin, C. (2011). *Neuromarketing: the new science of consumer behavior*. Society,

48(2), 131-135.

- Murray, M. M., & Antonakis, J. (2019). An introductory guide to organizational neuroscience. *Organizational Research Methods*, 22(1), 6-16.
- Nagamitsu, S., Yamashita, Y., Tanaka, H., & Matsuishi, T. (2012). Functional near-infrared spectroscopy studies in children. *BioPsychoSocial medicine*, 6(1), 1-7.
- Naseer, N., & Hong, K. S. (2015). fNIRS-based brain-computer interfaces: a review. *Frontiers in human neuroscience*, 9, 3.
- Nermend, K. (2017). The implementation of cognitive neuroscience techniques for fatigue evaluation in participants of the decision-making process. In *Neuroeconomic and Behavioral Aspects of Decision Making* (pp. 329-339). Springer, Cham.
- Noah, J. A., Ono, Y., Nomoto, Y., Shimada, S., Tachibana, A., Zhang, X., ... & Hirsch, J. (2015). fMRI validation of fNIRS measurements during a naturalistic task. *JoVE (Journal of Visualized Experiments)*, (100), e52116.
- Pérez-González, S. (2020). Integrating with mechanisms: Neuroscience and social science. In *Social Neuroeconomics* (pp. 31-46). Routledge.
- Pinti, P., Scholkmann, F., Hamilton, A., Burgess, P., & Tachtsidis, I. (2019). Current status and issues regarding pre-processing of fNIRS neuroimaging data: an investigation of diverse signal filtering methods within a general linear model framework. *Frontiers in human neuroscience*, 12, 505.
- Quaresima, V., & Ferrari, M. (2019). Functional near-infrared spectroscopy (fNIRS) for assessing cerebral cortex function during human behavior in natural/social situations: a concise review. *Organizational Research Methods*, 22(1), 46-68.
- Rallison, S. P. (2015). What are Journals for?. *The Annals of The Royal College of Surgeons of England*, 97(2), 89-91.
- Rawnaque, F. S., Rahman, K. M., Anwar, S. F., Vaidyanathan, R., Chau, T., Sarker, F., & Mamun, K. A. A. (2020). Technological advancements and opportunities in Neuromarketing: a systematic review. *Brain Informatics*, 7(1), 1-19.
- Razi, N. I. M., Othman, M., & Yaacob, H. (2017). Investment decisions based on EEG emotion recognition. *Advanced Science Letters*, 23(11), 11345-11349.
- Roberts, A. C., Robbins, T. W., & Weiskrantz, L. E. (1998). *The prefrontal cortex: executive and cognitive functions*. Oxford University Press.
- Rowley, J., & Slack, F. (2004). Conducting a literature review. *Management research news*.
- Rustichini, A. (2005). Neuroeconomics: Present and future. *Games and economic Behavior*, 52(2), 201-212.
- Sanford, A. J., Fay, N., Stewart, A., & Moxey, L. (2002). Perspective in statements of quantity, with implications for consumer psychology. *Psychological Science*, 13(2), 130e134.
- Singh, J., Goyal, G., & Gill, R. (2020). Use of neurometrics to choose optimal

- advertisement method for omnichannel business. *Enterprise Information Systems*, 14(2), 243-265.
- Steinbrink, J., Villringer, A., Kempf, F., Haux, D., Boden, S., & Obrig, H. (2006). Illuminating the BOLD signal: combined fMRI-fNIRS studies. *Magnetic resonance imaging*, 24(4), 495-505.
- Tang, T. B., Chong, J. S., Kiguchi, M., Funane, T., & Lu, C. K. (2021). Detection of emotional sensitivity using fnirs based dynamic functional connectivity. *IEEE Transactions on Neural Systems and Rehabilitation Engineering*, 29, 894-904.
- Tong, L. (2022, January). Evaluation of Different Brain Imaging Technologies. In 2021 International Conference on Public Art and Human Development (ICPAHD 2021) (pp. 692-696). Atlantis Press.
- Vaismoradi, M., Turunen, H., & Bondas, T. (2013). Content analysis and thematic analysis: Implications for conducting a qualitative descriptive study. *Nursing & health sciences*, 15(3), 398-405.
- Vural, Ö., & Yıldırım, E. (2021). Depression Affects Working Memory Performance: A Functional Near Infrared Spectroscopy (fNIRS) Study.
- Wang, F., Mao, M., Duan, L., Huang, Y., Li, Z., & Zhu, C. (2018). Intersession instability in fNIRS-based emotion recognition. *IEEE Transactions on Neural Systems and Rehabilitation Engineering*, 26(7), 1324-1333.
- Wang, Y., Yu, S., Ma, N., Wang, J., Hu, Z., Liu, Z., & He, J. (2020). Prediction of product design decision Making: An investigation of eye movements and EEG features. *Advanced Engineering Informatics*, 45, 101095.
- Wilcox, T., & Biondi, M. (2015). fNIRS in the developmental sciences. *Wiley Interdisciplinary Reviews: Cognitive Science*, 6(3), 263-283.
- Yen, C., & Chiang, M. C. (2021). Examining the effect of online advertisement cues on human responses using eye-tracking, EEG, and MRI. *Behavioural Brain Research*, 402, 113128.
- Zhuang, C., Meidenbauer, K. L., Kardan, O., Stier, A. J., Choe, K. W., Cardenas-Iniguez, C., ... & Berman, M. G. (2022). Scale Invariance in fNIRS as a Measurement of Cognitive Load. *Cortex*.



# *Chapter 3*

## **MATE CHOICE**

*Barış DEMİREL<sup>1</sup>*

---

<sup>1</sup> Assistant Professor, Kırıkkale University, Delice Vocational School, Department of Social Work and Counseling, bbarisdemirel@gmail.com, ORCID ID: 0000-0001-5916-4999

## Introduction

Individuals have to face complex decisions and vital choices in the developmental process. The family, which is called the basic unit of society and a parallel for being healthy, is shaped in line with the decisions made by individuals. Problems in the family can cause emphasizing the mistakes made at the point of choosing a mate, usually over the concept of “wrong choice”. The most important reasons for divorce include not giving importance to the personality traits of the mate and wrong choices (Chun, 2014). If the choice of mate, which is essential for married life, is not done well, other related problems may arise.

While the dating and getting to know each other phase, which is called flirting, does not take place in some societies, this phase is seen as crucial in some societies. Although there are great differences between choosing a partner and finding someone to flirt with, people generally tend to choose people with similar characteristics at cultural, religious, socio-economic and ethnic levels (Körük, 2019, pp. 113-116).

All societies have developed different systems to match their individuals on marriage and parenting. While some of them choose to match individuals when they are still babies, some use astrology as a basis, and some make matching according to an agreed system in which an agreement is made to serve the parents of the groom and the bride (Olson, DeFrain and Skogrand, 2011, p.278).

In particular, changing economic and social structures also affect the decision-making mechanisms of individuals. At the point of mate choice, forms and criteria that were valid for certain groups, communities or societies until the 2000s have changed with the changing structures. The mass media have reduced the importance of geographical distances. Moreover, these tools have transformed the relationships and interactions of individuals with others.

In this study, in which the choice of mate is discussed in terms of the quality of family life, the theories related to the choice of a mate, as well as the traditional and free choice of mates, and examples from some countries of the world are shared. In addition, family problems that may occur as a result of the wrong choice of mate and the social work context of these problems are briefly discussed.

## 1. TYPES OF MATE CHOICE

Individuals generally use free choice or traditional selection methods in mate choice. Accordingly, in traditional selection methods, parents or mates interfere with the choice of mate, and in the free choice type, individuals meet each other, and if they like each other, the marriage process can take place.



The traditional method is an agreement between two families, and families can engage in research on each other's economic, social, moral and similar situations. In another selection type, mixed selection, individuals both allow the intervention of parents and reflect their wishes and expectations in the mate choice process (Rajab, Abbasi and Jelodari, 2016).

Mixed mate choice type is structurally similar to Turkish marriage practices. While the common type of marriage in Türkiye stands out as arranged, it is possible to meet through families and to obtain the joint approval of individuals of marriageable age. According to the Türkiye Family Structure Survey (2021), which examines how individuals with marriage experience make their choice of mate, it is understood that 46.1% of the marriages were arranged with the consent of the individual, 34.9% with the decision of the person and the consent of the family and 10.7% with the decision of the family without the arranged and personal consent (TÜİK, 2022). 45.9% of men and 46.3% of women declared that they acted in an arranged manner and with their consent in choosing a mate. In addition, the rate of men who chose their mates with the consent of their families as well as their personal decisions was 37.5%, while the rate of women was 32.7% (TÜİK, 2022).

In many societies, the parents of the bride and groom appear as the ones who decide the future mate and organize the marriage activity. In these marriages, parents and older individuals tend to make decisions based on economic, social and political characteristics to ensure the continuity of the family's position. It is not seen as important that there is a love-based situation between the mates in this type of marriage. With the thought that the effect and respect in marriage will develop over time, individuals other than the bride and groom constantly support the married individuals in the process.

While families focus on issues such as the social status, economic level, health status and basic skills of individuals in traditional societies, criteria such as attractiveness, love, sexual attractiveness, intimacy, and desire to have children are evaluated by individuals themselves, especially in western societies (Rajab, Abbasi and Jelodari, 2016, p. 230). This distinction is made by Apostolou (2011) as pre-industrial societies and post-industrial societies. The situations that are focused on differ according to the level of societies acting with science and technology.

In particular, industrialization, urbanization, changes in the labour market due to social developments, formal education, and occupational and geographical mobility cause the modern life structure to become widespread, which restricts the participation of individuals' parents and relatives in the mate choice process. Even in this case, circumstances may actually allow parents to be involved in mate choice decisions for their children. This is generally valid in cases where parents have a say in matters that fall within the child's interest,

such as financial matters (Apostolou, 2011, p.13). In the mate choice process, men are usually the party looking for their wives or fathers-in-law, but parents take a more active role in the mate choice process of girls and can provide more benefits (Apostolou, 2017).

An important issue in choosing a partner is online dating along with technological developments and the prevalence of communication tools. It is an observable situation that there is an increase in the number of couples who meet and get married, especially through social media tools. Apart from social media tools, there is an online dating and marriage site network with approximately 5 million members in Türkiye (Tanrıöver and Sunam, 2017). Marriages made through such social networks allow the construction of new marriages between countries as well as within the country.

Individuals need to reflect themselves outward in online mate choice, like other forms of mate choice. However, unlike other forms, in online mate choice, individuals first reflect themselves with the photographs they share and the way they describe themselves in the virtual environment. For example, it has been observed that a person who defines himself as a libertarian can post his photos taken in a cafe or bar, while people who define themselves as religious are more likely to share photos that include elements such as green space, forest and water (Tanrıöver and Sunam, 2017). In line with the shared images, individuals develop a foresight about whether the person sharing is suitable for them or not. An international social media marriage, which was reflected in the national media and came to the public's agenda, is described as follows:

Brazilian Cheyeme Silveire Soler, who met Mahmut Budak, who was a farmer in the Harran district of Şanlıurfa, on social media, converted to Islam and took the name "Sara". 25-year-old Sara, who is a biology student in her country and on the way to becoming a scientist, left her entire career and settled in Harran and got her wish. (<https://www.haberler.com>)

It seems much more possible to reproduce these and similar examples in line with today's technological possibilities. Even if people choose a mate in this way, there may be various expectations of change from the person in front of them, especially the change of religion, as in the example.

## **2. HIGHLIGHTED CRITERIA FOR MATE CHOICE**

Some of the main criteria for the choice of mates are given below.

### **Physical Attraction**

Physically attractive people are expressed as those who have more friends of the opposite sex and do not interfere much with their partner's relationship with other individuals. However, this situation differs in men and women.

Especially if the individual is male, physical attractiveness is measured by the attention of the opposite sex, but women in the same situation may not be considered attractive.

According to the study of Buss et al., while physical attractiveness is an important criterion in choosing a partner, this situation has lost its importance for both genders over time. In particular, having emotional stability, being reliable and having a pleasing disposition began to appear as prominent personal characteristics. Mutual interaction and love have become important for both sexes (Olson, DeFrain and Skogrand, 2011). This differentiation can be evaluated as a result of the increase in the level of awareness of individuals, the process of social change and the ability of societies to follow the changes in the world much more closely through globalization.

### **Empathy and Commitment**

Some concepts are important at the point of mate choice. At the beginning of these is empathy, and it refers to the situation of understanding the events from the perspective of the other party rather than the couple's perspective (Lamanna, Riedmann and Stewart, 2017, p.112). It is extremely important to develop empathic skills and show this to your partner for the continuity and happiness of the marriage process. With the empathic skill displayed, the other party will think that they are understood and the course of the relationship will gain a positive momentum.

Another important concept is commitment. Commitment explains the desire of couples to work together to solve the problems instead of avoiding or leaving them (Lamanna, Riedmann and Stewart, 2017, p.113). It is possible to state that there is a problem here if there is a continuity of disagreements and if there is no problem, or if the existing problems are trivialized and left unsolved. Having a strong bond will make all kinds of issues more effable between mates.

### **Age**

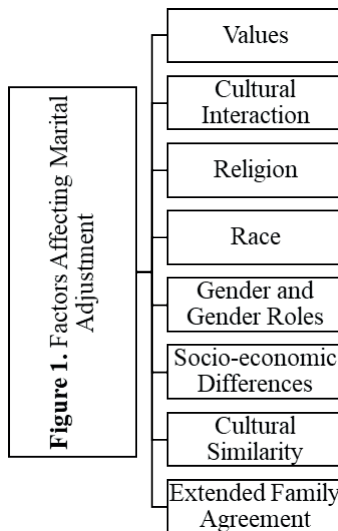
A stereotype in the social sciences is that women tend to marry men with higher levels of education and achievement than them. This is called the dating gradient. The fact that women develop faster than men physiologically and have a longer life expectancy are included in the literature as criteria used to explain this situation. The age of marriage increases as women enter the workforce. Especially after the age of 30, women have difficulty in finding an individual who is equal to them in terms of both socio-economic and success levels among single men (Olson, DeFrain and Skogrand, 2011). The gradual increase in the age of first marriage in the world and Türkiye can be considered as an indicator of this situation.

## Marriage of People of Different Races and Religions

Among the factors affecting the choice of mate are internal marriage and marriage outside the family. Internal marriage is a tradition or practice that involves individuals choosing a mate from their group. Internal marriage includes especially ethnic, religious, cultural, socio-economic characteristics and age groups. On the other hand, out-of-family or group marriage means choosing a mate from outside of these groups.

The diversity of ethnic or religious groups in societies creates changing rules about out-group marriage. Depending on these changing rules, the choice of mates also differs. Group or out-of-family marriage is something that parents often oppose. The love-related ignorance or idealistic approach of young individuals may prevent them from seeing possible problems, and parents can assume an awareness-raising role at this point (Olson, DeFrain and Skogrand, 2011). The main concern of parents while taking on this role is because of the large differences, the risk of not achieving marital harmony and the risk of their children being unhappy.

According to the report from McGoldrick et al., there are eight main factors affecting the harmony between couples (Olson, DeFrain and Skogrand, 2011, pp. 292-293):



When the issues listed above and specified as criteria for marital adjustment are examined, it is emphasized that the general tendency is to marry people who are similar to themselves and this situation will reduce incompatibility. The fact that the points that both individuals have in common are at the maximum extent and in large numbers have a quality that increases the harmony. Although it is considered more exceptional, it is also known that individuals

who complement each other and have differences rather than similarities also marry for this reason. There is a general tendency in countries like Türkiye that the “Extended Family Agreement” comes to the fore and marriage should be made by seeking family consent. The cultural communication codes that exist with the root families also necessitate the reconciliation between families for marital adjustment.

### **3. MATE CHOICE THEORIES**

#### **Sternberg’s Love Triangle Theory**

In his study of relationships ranging from one month to thirty-six years, Sternberg proposed three key components of true love. These are passion, intimacy (intimacy) and commitment (Lamanna, Riedmann and Stewart, 2017, p. 112):

Passion includes the impulses that lead to romance, physical attraction, sexual fulfilment, and the like in a relationship. Intimacy refers to the feelings that create the experience of warmth in a loving relationship. Commitment, on the other hand, includes the determination to maintain love rather than loving someone. Among them, passion is the one that develops the fastest and declines the fastest, while intimacy develops more slowly. Intimacy, which includes conveying and understanding each other’s needs, listening to and supporting each other, and sharing common values, becomes more and more important as time goes on (Lamanna, Riedmann and Stewart, 2017, p. 114). Along with passion and intimacy, a trusting attachment is likely to develop between couples.

#### **Attachment Theory**

According to the attachment theory, which assumes that the commitment styles that individuals develop in infancy and childhood affect their relationships with others, individuals with secure commitment styles experience less indecision about emotional intimacy and commitment. At this point, secure commitment develops depending on the availability and reliability of the partner (Lamanna, Riedmann and Stewart, 2017, p. 115).

In insecure commitment, there is a fear of abandonment with unwarranted jealousy and the desire to constantly control the other party. In the avoidant commitment style, men may avoid closeness or intimacy by rejecting romance, displaying hostility towards women, avoiding relationships, and showing indecision. Hazan and Shaver (1987) discussed the adult commitment styles, which they developed based on Bowlby’s commitment theory, over three classes:

- **Safe:** Secure individuals have no difficulty in establishing close relationships. They tend to rely on others for support and are confident

that others like them. They have positive descriptions of themselves and positive expectations about others.

- **Avoidant:** According to these individuals, the important issue is self-confidence. When they are likely to be rejected by others, they tend to create a positive image of themselves by rejecting themselves first.
- **Anxious/Hesitant:** While these people feel an intense desire to establish close relationships, they also worry about being rejected. They may see being accepted by others as a prerequisite for being happy. They tend to create negative portrayals of others and themselves.

Latty-Man and Davis (1996) add the anxious commitment style to the avoidant and anxious insecure commitment styles in their research.

Studies dealing with mate choice in the context of commitment theory focus on the principles of similarity or complementarity, and individuals tend to choose partners that offer opportunities for them to form secure commitment guarantees (Latty-Man and Davis, 1996). Again, the scoring or ranking in the mate choice criteria of individuals varies according to how secure a basis the individuals offer. In other words, an anxious individual can offer a more secure basis than an avoidant individual. Therefore, attachment theory predicts that all individuals will make a choice from secure to insecure. However, in general, a secure individual tends to mate with a secure individual, while an insecure individual may mate with a secure individual. The least common case here is the pairing of two insecurities. Mate marriages from undivorced families who get married and continue this marriage after the average age of 25 are the most likely to be satisfactory and stable (Olson, DeFrain and Skogrand, 2011).

### **The Sequential Model of Mate Choice**

In this model, whether couples can be together for life includes the factors that affect the existing stability. The durability of a relationship, happiness and satisfaction depend on how individuals interact with each other and the level of social support they perceive from family, relatives and society. Again, the way couples interact with each other varies depending on an individual's thoughts about their partner and relationship. These beliefs and attitudes depend, at least to some extent, on the personal characteristics that couples bring to their relationship unity (Lamanna, Riedmann and Stewart, 2017). Continuing attitudes and behaviours determine the course of the relationship and shape the opinions of individuals about their relationships.

### **Social Exchange Theory**

This approach states that a relationship is shaped and regulated depending on the rewards spent and earned by the couples. Accordingly, individuals tend to choose the most suitable mate to avoid the cost and increase the reward.

This cost-reward approach seeks to raise resources by negotiating not only money but also physical attractiveness, intelligence, educational skills, and family status. For example, having a child in modern societies may indicate economic difficulties, which may cause individuals to set criteria such as not having children or having few children in their choice of mate. For another example, the differentiation of gender distribution in countries such as China and India makes it difficult for men to find a mate (Lamanna, Riedmann and Stewart, 2017). According to current data, the male population in the two countries cited as examples has surpassed the female population.

In the traditional exchange, women can exchange their childcare, household chores, sexual availability and physical attractiveness in exchange for men's protection, social status and economic support (Lamanna, Riedmann and Stewart, 2017).

### **Complementarity VS Homogamy**

Homogamy is the situation in which individuals generally marry of the same ethnicity, culture, religion and socio-economic status. Homogamy is a common condition. Because most people choose to marry individuals of the same religion, ethnicity, culture, race and socio-economic status (Olson, DeFrain and Skogrand, 2011).

Educational homogamy, on the other hand, refers to the preference of individuals to marry people with similar education levels. Especially, only 1% of people with higher education prefer to marry an individual who does not have high school graduation, while 94% of high school graduates prefer to marry at least a high school graduate (Olson, DeFrain and Skogrand, 2011). This situation may not be a result of high school graduates being excluded by doctors or lawyers, but also the result of high school graduates having more fun together (Rosenfeld, 2005, p. 1294). The belief that having a similar education level will increase marital adjustment and reduce disagreements between mates supports this situation.

Robert Winch (1958) proposes the theory of complementary needs, in which he argues that individuals may prefer to choose individuals with opposites to complement their personality, as opposed to preferring those with the same/similar characteristics as themselves. An example can be given as a dominant individual and a submissive individual choosing each other as spouses in line with these characteristics. It is seen as the main element of complementarity that spouses can have a complementary quality at the points where each other is missing in areas such as housework, social life, etc.

### **Murstein's Stimulus-Value-Role Theory**

In this theory, people's suitability to establish a relationship is discussed by comparing their agreement on value orientations and roles, while they are

influencing each other with first stimuli. The three components, stimulus, values and roles that Murstein deals with in this theory are shared as follows:

- **Stimulus:** It includes the first stimuli, such as physical attractiveness or popularity, that create the first impressions of individuals. Accordingly, individuals think about how impressive their potential partner is or how they affect them.
- **Value Complementarity:** After a successful change in the stimulus stage of attractiveness, prospective mates begin to progress to the value stage of the relationship, where they evaluate the compatibility of their core beliefs and values. At this point, they go to the way of comparing basic religious and political ideas in very indirect ways. This stage is more important than physical attractiveness.
- **Role Complementarity:** While individuals make comparisons at the point of value complementarity, they also assess at the point of role complementarity for a collaborative relationship. During their interactions, prospective mates discover issues such as the thoughts, feelings and expectations of individuals about each other, in the focus of power and authority (Olson, DeFrain and Skogrand, 2011, p. 296).

In line with this information, the stimulus-value-role theory provides us with a basis for understanding how these three components affect the different stages of the relationship. Some researchers have argued against the gradual relationship model and stressful interaction processes, referring to the mutual development of complementary roles (Latty-Man and Davis, 1996).

### **The Wheel of Love Theory**

This theory, which includes four important components: intimacy, self-disclosure, interdependence, and meeting the need for intimacy, was developed by Ira L. Reiss.

Harmony is the interaction process in which two individuals develop a sense of closeness and understanding, and occurs when individuals are “on the same wavelength”. In other words, individuals’ perspectives on subjects and the way they perceive events are similar. In the adaptation stage, individuals do not blame the other party and make an effort to understand the other party.

Intimacy often leads to a process called self-revelation. This is the stage in which the individual reveals information about himself. Harmony and self-disclosure breed interdependence. On the other hand, interdependence is expressed as individuals’ feeling the need of the other party and their need for it.

Meeting the need for intimacy, which is the last step, is called the satisfaction one receives from meeting his personal needs, and this provides more intimacy. These four components are interconnected, and a decrease in



one of them can delay the love relationship. For example, a couple's argument may cause them to suspend self-disclosure for a while, and this may delay meeting the need for intimacy (Olson, DeFraim and Skogrand, 2011). In other words, it is possible to talk about the existence of a cyclical process.

According to Reiss, a love relationship has two aspects, positive and negative. Love can decrease or increase. In the case of increased love, the direction of the relationship gains a positive quality through the increase in sincerity (Olson, DeFraim and Skogrand, 2011, p. 296). Reiss states that the wheel in which these four components are in the centre is surrounded by role perceptions and socio-cultural background. Accordingly, while the socio-cultural backgrounds of individuals affect their role perceptions, this effect affects the four components mentioned above. Factors such as individuals' religious beliefs, educational backgrounds, and family members affect thoughts about the relationship and shape our actions in the relationship (Olson, DeFraim and Skogrand, 2011, p. 297).

### **Darwin's Approach to Sexual Selection**

In hunter-gatherer societies, someone trying to decide between two males tends to value someone who is generous with their resources and is not stingy more than someone who is stingy. The generous man can help him survive by sharing meat from his prey. He can sacrifice his time, energy and resources for the benefit of the children to help the woman's reproductive success. At this point, it is seen that generosity is the main criterion in choosing a mate since it weighs the whole (Buss, 2007).

In particular, Darwin focused on the evolution of adaptations that give organisms an advantage in the struggle with the physical environment, parasites, predators and similar species, including the survival selection of individuals, and members of any species (Buss and Schmitt, 2019). In particular, Darwin focused on same-sex competition and opposite-sex selection at the point of mating. However, especially since the reproductive behaviour of women is a longer-term investment than men, women choose a mate by looking at their capacity and willingness to provide, especially after they become pregnant and the child is born (Korunur, 2020).

### **Sexual Strategies Theory**

The theory of sexual strategies is the development of Darwin's approach to sexual selection, especially in the context of evolutionary psychology. Buss argues that it is necessary to address areas related to resources that are important in mate choice, such as sexual, economic and parental resources (Buss and Schmitt, 2019). According to him, it is important for a good mate choice approach to explain how the mating strategy changes in predictable contexts (such as long- or short-term strategy selection, short- and long-term

mating, and sex ratios in the mating pool). Buss and Schmitt (1993) state that mate preferences are similar to people's food preferences, but rather than solving life problems, mate preferences solve reproductive problems.

#### 4. EXAMPLES OF MATE CHOICE FROM THE WORLD AND TÜRKİYE

Especially in cases where women are involved in business life and their socio-economic level is sufficient, love-based marriages may be preferred instead of arranged marriages (Olson, DeFrain and Skogrand, 2011). According to data from Africa, Israel, Malaysia, and India, love marriages are more common in individuals with higher socio-economic status, education level and age, and those living in urban areas. For example, in India mates are predestined persons through the transfer of the soul from one body to another. The situation is different in China and the USA. Love-based mate choice is common, especially in urban areas, and young people are often undecided about how to choose a mate. Although arranged marriages are seen in Japan, there is a transition towards love-based. Scandinavian countries, on the other hand, are a region where arranged marriage is rarely seen, but cohabitation without marriage is a common situation (Olson, DeFrain and Skogrand, 2011, p. 280).

Especially in post-industrial countries such as the USA and England, people make their mate choices more freely outside of traditional patterns. For this reason, it is possible to say that in such post-industrial countries, mate choices are made especially through online dating (Tanriöver and Sunam, 2017). While distance between couples was an important factor affecting mate choice in the past, individuals had the opportunity to interact with others in a way less restricted by distance, especially with the internet (Olson, DeFrain and Skogrand, 2011, p. 285).

Choosing a mate is a crucial issue for people to marry. The cases where the choice of mate is made by the individual, their parents or the society is considered as an element that reflects the social development in the society.

For example, in the Shannan region, while the choice of mates is made by the parents among the wealthy people, the poor can make more autonomous decisions about the selection of mates (Ma, 2001, p. 81). There is a general belief that individuals tend to choose someone from the same profession at the point of mate choice. However, in the research conducted, 40% of marriages are made with individuals from the same profession in urban areas, while this rate is 89.2% in rural areas. In the marriages in rural areas, it has been determined that the farmers marry the farmers again (Ma, 2001, p. 98).

Arranged marriages, which are common throughout Türkiye, differ depending on social and economic developments. It can be said that especially

online dating has become widespread in Türkiye. However, this does not mean that there has been a significant change in mate choice criteria.

Göz, Bahçekapılı and Yılmaz (2018) conducted a study with 525 males between the ages of 18-26 and 589 females between the ages of 18-27, and their prominent characteristics in choosing a mate are expressed as follows: being religious, intelligent, capable of earning well, wanting children, being well-educated, physically attractive, persevering, loyal, honest, and responsible. It was determined in the same study that women pay more attention to having good genes and being smart in men, while men pay more attention to having good genes and being physically attractive in women. Bağ (2019), on the other hand, determined that religious belief, having a profession, education level, economic status, age and personal decision, as well as family approval, as the main criteria for marriage, focused on mate choice on the department of social service students. These findings are also an indication that mate choice criteria do not differ significantly according to face-to-face or virtual environments.

## 5. POSSIBLE EFFECTS OF WRONG MATE CHOICE

There are some basic indicators for making a healthy and correct mate choice. Individuals' psycho-social well-being, cognitive adequacy, economic status, personality traits, etc. can be counted among these. The point to be emphasized here is that these and similar features give us clues about the functioning and maintenance of marriage and what kind of marriage system it will be. Of course, it is possible to experience negativities in the selection of a mate, which is carried out within the framework of healthy and correct criteria, and the entropy of the marriage system. However, it can be stated that those who have not experienced the correct and healthy mate choice process have a greater risk of encountering negative effects. These risks will manifest themselves as the family system created after the choice of mate continues. The risks that arise while the family system continues can be listed as domestic violence, child neglect, unemployment, poverty, addiction and failure to fulfil family responsibilities, etc.

Domestic violence is more likely to occur in an unhealthy and dysfunctional family system. This violence can include psychological, physical, economic and sexual dimensions. Particularly in such family systems, a tendency towards violence can be observed first against the woman and then against the children and the elderly in the family.

When it is revealed that one of the basic functions of the family is the economic function, the failure of the family to become a production system, the inability to meet the economic needs of the family and the failure to fulfil the family responsibilities may be another possible result. In such an organization, there may be consequences such as the family's being in a

pattern of unemployment and poverty, and even the fact that the children in the household have to work from an early age.

Leaving the problems in the family unresolved leaves family members in a difficult situation, especially negatively affecting the bio-psycho-social development of children. In the absence of intervention and/or failure to carry out activities focused on strengthening the family, it may still be possible for children to be considered as children in need of protection.

The most basic result of the wrong choice of mate stands out as femicide and divorce. According to the monthly and annual data shared by the “We will stop femicides” platform, it is shared that 46% of women who were victims of murder in Türkiye in 2022 were killed by their mate, 10% by their partner and 8% by their former partner (<https://kadincinayetlerinidurduracagiz.net/veriler/3040/> kadın-cinayetlerini-durduracagiz-platformu-2022-yillik-veri-raporu). These data reveal the existing risks.

In the case of divorce, we often see that the child is in a new family organization with the mother. It is considered possible that women and children who have to live in a single-parent family have problems such as psychological, economic, loneliness and lack of social support (Demirel, 2022).

## CONCLUSION

Focusing on power and skill in mate choice is related to individuals’ family role perceptions. Along with the differences between cultures, in traditional gender roles, while women take on more domestic roles such as cleaning, cooking, caring for children, men also undertake operational tasks such as earning, repair work, and transportation. These mate roles, which take a place in the minds of individuals, create the perception of the “right mate” by being effective in their cognition. For this reason, changing mate roles with factors such as women’s participation in the labour market, increased education level, and changing and differentiating market economy can also change the mate choice criteria of individuals.

In some studies, it is mentioned that the increase in the income level of women makes the income level of men more important in choosing a mate (Göz, Bahçekapılı and Yılmaz, 2018). Especially in the context of sexual strategies theory, when the increase in the income level of women is considered, the desire for “provider” comes to the fore. As a long-term strategy, women tend to choose a man who can take care of both themselves and their children, while the increase in their income level and their search for a mate with a higher income than theirs indicates that they are looking for a wife who will protect their social status and protect their traditional roles.

While family types change with economic, social and political

developments, the forms of establishing a family and choosing a mate are also affected by these processes. Recently, it has been seen that people meet online and turn this acquaintance into a family. People can choose to reflect themselves through the way they express themselves with their profile photos or the photos they upload to online platforms or the limited characters offered to them.

The mate choices of individuals can vary according to a certain strategy, past, social adaptation processes, living conditions, context and time. Sometimes a rule that seems to be valid for a particular society may not be accepted by another member of that society. With the development of social structures and rights-based searches, people can choose their mates completely in line with their wishes, strategies and thoughts, and sometimes they can include the individuals around them in the decision-making process. However, while the individual can decide to choose a mate by himself, he can also consider the family characteristics of the prospective mate or possible relationships with family members. For this reason, although individuals tend to make decisions independently of their environment, the relationship between “environment” and “mate choice” appears in front of the individual somewhere.

While the choice of a mate is a common situation, the possible negative consequences of choosing the wrong mate appear to be just as difficult. It should not be forgotten that the results of the choice of mate can manifest themselves at individual, familial and social levels. It is predicted that the possible effects of choosing a wrong mate may be negative, as well as negatively affecting the development and socialization process of children, especially in the family system. The wrong choice of mate may also cause an increase in the number of disadvantaged groups in the focus of social work discipline and an increase in those who need social work professional intervention. In this direction, it is necessary to foresee the problems that may arise in advance and to take protective-preventive steps. While the “Pre-Marriage Education Programs” provided by the Ministry of Family and Social Services are seen as a valuable practice in this context, it would be extremely beneficial to conduct studies focused on “mate choice” before including the entire society in this process.

## REFERENCES

- Apostolou, M. (2011). Parental influence over mate choice in a post-industrial context. *Letters on Evolutionary Behavioral Science*, 2, 13-15.
- Apostolou, M. (2017). *Sexual Selection in Homo sapiens: Parental Control over Mating and the Opportunity Cost of Free Mate Choice*. Springer International Publishing.
- Bağ, H. (2019). *Sosyal hizmet öğrencilerinin eş seçimi ve evliliğe ilişkin tercihleri*, Üsküdar Üniversitesi, Yayınlanmamış Yüksek Lisans Tezi.
- Buss, D.M. (2007). *Evolutionary Psychology: The New Science of Mind*. Boston: Pearson Education.
- Buss, D.M., & Schmitt, D. (1993). Sexual Strategies Theory: An Evolutionary Perspective on Human Mating. *Psychological Review*, 100(2), 204-232.
- Buss, D.M., & Schmitt, D.P. (2019). Mate Preferences and Their Behavioral Manifestations. *Annual Review of Psychology*, 77-110.
- Chun, D. (2014). *How to Pick A Spouse*. Washington: Revell.
- Demirel, B. (2022). *Tek Ebeveynli Aileler, Yaşayanlar ve Meslek Elemanları Anlatıyor: Güçlükler, Gereksinimler ve Beklentiler*. Ankara: Nika Yayınevi.
- Göz, İ., Bahçekapılı, H.G., & Yılmaz, O. (2018). Testing evolutionary and cultural theories regarding mate selection in Turkey. *Personality and Individual Differences*, 135, 307-311.
- Haberler.Com İnternet Sitesi. Erişim Adresi: <https://www.haberler.com/guncel/harranli-mahmut-ile-sara-muradina-erdi-8900753-haberi/> Erişim Tarihi: 21.08.2023.
- Hazan, C., & Shaver, P.R. (1987). Conceptualizing romantic love as an attachment process. *Journal of Personality and Social Psychology*, 52, 511-524.
- Kadın Cinayetlerini Durduracağız Platformu. 2022 Yılı Kadın Cinayetleri Veri Raporu. Erişim Adresi: <https://kadincinayetleriniidurduracagiz.net/veriler/3040/kadincinayetlerini-durduracagiz-platformu-2022-yillik-veri-raporu> Erişim Tarihi: 21.08.2023.
- Korunur, R. (2020). *Üniversite Öğrencilerinin Eş Seçimine Yönelik Tutumlarının Ana-Babaya Bağlanma ve Kişilik Özellikleri İle İlişkisi*, Kırıkkale Üniversitesi, Yayınlanmamış Yüksek Lisans Tezi.
- Körük, S. (2019). *Eşimizi Nasıl Seçeriz? Eş Seçimi Üzerine Bir Derleme*. 21. Uluslararası Psikolojik Danışma ve Rehberlik Kongresi. Tam Metin Bildiri Kitabı, 112-117.
- Lamanna, M.A., Riedmann, A., & Stewart, S. (2017). *Marriages, Families, and Relationships: Making Choices in a Diverse Society*. Boston: Cengage Learning.
- Latty-Man, H., & Davis, K.E. (1996). Attachment Theory and Partner Choice: Preference and Actuality. *Journal of Social and Personal Relationships*, 5-23.

- Ma, R. (2001). Marriages and Spouse Selection in Tibet. *Development and Society*, 30(1), 79-117.
- Olson, D. H., DeFrain, J., & Skogrand, L. (2011). *Marriages and Families: Intimacy, Diversity and Strengths*. New York: McGraw-Hill.
- Rajab, G., Abbasi, G. A., & Jelodari, A. (2016). The Relationship Between Mate Selection Styles and Marital Satisfaction of Married Nurses. *Journal of Practice in Clinical Psychology*, 4(4), 229-236.
- Rosenfeld, M. J. (2005). A Critique of Exchange Theory in Mate Selection. *American Journal of Sociology*, 110(5), 1284-1325.
- Tanrıöver, H. U., & Sunam, A. (2017). Türkiye'deki Çevrimiçi Evlilik Siteleri: Medyanın Benlik Sunumuna Etkisinin Toplumsal Cinsiyet Odaklı Bir Analizi. *Galatasaray Üniversitesi İletişim Dergisi*, 26, 9-38.
- TÜİK (2022). Türkiye Aile Yapısı Araştırması 2021. Erişim Adresi: <https://data.tuik.gov.tr/Bulten/Index?p=Turkiye-Aile-Yapisi-Arastirmasi-2021-45813> Erişim Tarihi: 21.08.2023.





# *Chapter 4*

## **CRISIS THOUGHT IN SOCIAL THEORY: REINHART KOSELLECK AND WALTER BENJAMIN**

*Başak TİTİZ<sup>1</sup>*

*Akın BAKIOĞLU<sup>2</sup>*

---

1 Arş. Gör. EBYÜ, Sosyoloji Bölümü. ORCID:0000-0002-8781-1548.

2 Dr. Öğr. Üyesi. EBYÜ, Sosyoloji Bölümü. ORCID:0000-0002-5108-2152.

## Introduction

Reinhard Koselleck and Walter Benjamin are the two thinkers most emphasized in terms of historical theory today. The two thinkers look at historical events from a cultural and social projection, develop an understanding of culture and conceptual history, have a unique understanding of temporality, use theology creatively in their theories, criticize modernity and enlightenment, and interpret the present as a place and process that reveals history. These are approaches that have been effective in gaining a place in the theory literature.

Another important feature of Koselleck and Benjamin is that they give an important place to the concept or thought of crisis in their philosophy of history. Both thinkers deal with the concept of crisis by associating it with the modern. Koselleck and Benjamin crisis; While discussing in the context of temporality, theology, apocalypse, revolution, salvation, the relationship between past-present-future and modernity, they basically point out the necessity of considering the concept or idea of crisis together with social and political history. Unlike Koselleck, Benjamin defends the idea of revolutionary intervention in crisis due to its connection with the idea of the revolutionary subject that will transform history.

This study compares the historical theories of Koselleck and Benjamin, both in general terms and with a focus on the concept and thought of crisis. Because Koselleck and Benjamin's approaches to the concept and thought of crisis can only be understood in the context of the two thinkers' theories of history. Therefore, the study discusses the fundamental differences and similarities in both the historical theories of the two thinkers and their approaches to the concept and thought of crisis.

### Reinhard Koselleck: Crisis as the Consequence of Modern History

One of the concepts that holds a central place in the theory of history of Reinhard Koselleck, one of the leading thinkers of the conceptual history approach, is "crisis". Koselleck has discussed the concept of crisis in more than one of his texts and made important evaluations about the historical and social transformation of the concept with his unique analysis method. In his discussion of the concept of crisis, in line with his conceptual history approach, Koselleck first draws our attention to the difference or transformation between the meaning of the concept in ancient Greek thought and its meaning in the modern period. The scope of the concept of crisis for the Greeks was limited to the fields of law, medicine and theology, and the medical meaning of the concept maintained its strong place until the early modern periods (Koselleck, 2006, p.358). In this respect, a medical crisis is a sudden change or disruption in the body's routine. According to Koselleck, in this period, the concept that

implies irreconcilably extreme situations (success-failure, rightness-injustice, life-death, etc.) ultimately includes the decision situations of the society and “about which an appropriate decision must be made” (Koselleck, 2009, p.211) included alternatives. Therefore, the concept of “crisis” also carried the meaning of the concept of “decision”, which means reaching a verdict or judgment (Koselleck, 2006, p.359).

With the transformation brought about by the Enlightenment and modernity since the 18th century, crisis has become a concept that expresses more of a period (Koselleck, 2006, p.358). The importance that the Enlightenment period placed on the concept of time and change has also spread to the concept of crisis. This period is a period of transition from a certain period of history to another phase (such as a revolution), thus change and a preliminary threshold of the future; or it expresses a political or economic crisis within current conditions (Koselleck, 2009, p.212-213).

Another point that Koselleck draws attention to in his evaluation of the historical transformation of the concept of crisis is that there has never been a crystallized clarity regarding the widespread use of the concept in social, economic and political language (Koselleck, 2006, p.367). According to Andrew Simon Gilbert, Koselleck’s political understanding of the crisis contains the influences of Carl Schmitt. In this respect, unresolved problems and undecided decisions of the sovereign are the cause of the political crisis. Therefore, the crisis is the crisis of the politically dominant inability to govern. In addition, Schmitt’s definition of concepts as “the general state of opinions” indicating a point in history in the “sociology of concepts” mentioned in *Political Theology* has similarities with Koselleck’s idea of the history of concepts (Gilbert, 2019, p.81).

A multi-layered concept emerges with the introduction of historical-philosophical crisis thought along with modernity to the political, legal, medical and theological meanings and uses of the concept of crisis. Koselleck proposes three semantic models to understand this multi-layeredness and transformation in the concept. According to the first of this model, “it is possible to interpret history as a constant crisis. World history is the world court” (Koselleck, 2009, p.214). According to the second model, “a crisis may describe a self-accelerating, one-time process in which multiple conflicts gather after the crisis, breaking the system apart to reveal a new situation. In this case, ‘crisis’ refers to crossing the threshold of an era, an event that can repeat itself *mutatis mutandis* (a Latin phrase meaning “changed that must be changed” *Author’s note*) (Koselleck, 2009, p.214). For example, descriptions such as “economic crisis”, which became part of the language with capitalism, belong to this model. According to the third model, crisis “can refer to the last crisis of history that has been experienced until today; Here, apocalyptic expressions are used only as metaphors” (Koselleck, 2009, p.214). According to Koselleck, in this third model, which differs from the others by a significant difference, crisis is

“unlike the others, it is a concept that belongs only to the future and aims at a final judgment” (Koselleck, 2009, p.214). According to Koselleck, here we see through which categories modern history constructs its specific aspect. Koselleck calls this specific aspect of modern history the Last Judgment (Koselleck, 2004, p.103). It is an issue that should not be overlooked that Last Judgment means both the final decision (judgment) and the day of judgment. Because the “apocalypse” as the “last day of reckoning” also reveals the roots of modern history, progress and the idea of revolution in theology. The apocalyptic threshold where the account is called represents a historical situation evolving from crisis to salvation.

Here, it is a matter of reproducing a theological approach in a modernist-political context. This is the model in which we can follow the traces of the transitivity between the meanings of the concepts of apocalypse and revolution. Koselleck therefore places Marx’s thought in an “intermediate position” between the second and third model. Here, on the one hand, the last crisis of capitalism will bring salvation, but on the other hand, it is pointed out that the crises of capitalism cannot be interpreted as causing a necessary disintegration in the system. In other words, there is a unity between the claim that the recurring structure of economic crises is a normal part of the system and the horizon that the last major crisis will tear the system apart (Koselleck, 2009, p.219). Here, the crisis turns into a political imagination that includes both a situation, a judgment and a moment, and a future horizon. Seeing the future in crisis, as a situation heralded by the “fire alarm”, expresses the revolutionary hope (or utopia) drawn from this political imagination.

An important component of Koselleck’s thought is the Enlightenment and the critique of modernity. According to Koselleck’s approach, the concepts of “critical” and “crisis” that developed with the enlightenment have become equivalent and are a part of the historical dialectic of the same period (İnan, 2020, p.95). In his dissertation, *Critical and Crisis*, in which he deals with this issue, Koselleck argues that Enlightenment thought is utopian and anti-political. According to this approach, this utopian imagination of the future of a universal humanity also provides a source for the formation of modern totalitarianism (Edwards, 2006, p.429). A critical questioning of the Enlightenment, which developed a utopian attitude and a way out to the crisis the world is in, can be read as a prerequisite for a critical philosophy of history to be developed for the present. The skeptical attitude towards the Enlightenment and modernity, especially in the critical studies that emerged in German thought from the 1930s, also acts from the same framework. The perspective that Koselleck tries to develop in this work is to question the Enlightenment and modern roots of modern totalitarianism (Koselleck had in mind the German nationalism of the Nazi period) by developing a sharp critical view of the Enlightenment, with an attitude close to the works of the members of the Frankfurt School, especially

in the *Dialectics of Enlightenment* (Koselleck had in mind Nazi-era German nationalism) (Edwards, 2006, pp.430-431). This is the basis of Koselleck's elbow contact not only with Adorno and Horkheimer but also with Benjamin. If we follow this framework followed by Koselleck, according to an accepted opinion, National Socialism, with an important aspect, dragged the masses after it with the promise of a utopian future that was disconnected from reality.

The universal claim produced by these utopian ideologies has a strong connection with Enlightenment thought. De-historicizing thought by taking it out of historical reality and taking a moral rather than a political attitude towards real conditions are the basic elements of this anti-politics of the Enlightenment. Koselleck argues that the main mistake of the Enlightenment was this anti-politics (Edwards, 2006, p.433-434). Couldn't the connection between Enlightenment and utopia and its origins in totalitarianism open the door to questioning the French Revolution as another idea that has a connection with utopia? As a matter of fact, similar to Koselleck's criticisms of the Enlightenment, post-Koselleck commentators began to look critically at the French Revolution and the reduction of politics to a dialectical impasse and the determination of the mentality of the last two centuries (Edwards, 2006, p.439). Critics of Enlightenment thought are "pioneers of a progress that turns into a revolution" (İnan, 2020, p.113). Their evolution can also be read as an indication that the concept is shifting more from the philosophy of history to political theory. Diagnosis, determination or criticism of the historical crisis has gradually turned into a rehearsal for a political intervention in this crisis.

Koselleck sees the concept of crisis as both an explanation (or a basic feature) of modernity and its intellectual driving force (Gilbert, 2019, p.61). In this context, Koselleck states that the concept of "crisis" has become a "structural signature of modernity" (Koselleck, 2006, p.372), especially since the 18th century with the development of Enlightenment philosophy. The main reason for this signature is undoubtedly the progressive and futuristic temporality that dominates modernity. For modern society, which is dominated by the lure of the promise of change, progress and constant renewal, the crisis reveals an optimistic expectation for the future as well as a troubled period. Therefore, crisis with modernity expresses the temporal tension of "past", "present" and "future" (Koselleck, 2006, p.372). The "medical diagnosis" that the present time is "diseased" and the "theological plea" about the idea of curative freedom of the future, which Enlightenment thinkers placed in the philosophy of history, were effective in making the concept of crisis the signature of modernity (Koselleck, 2006, p.374).

With the French Revolution, which we can read as the political output of the Enlightenment and modernity, the crisis becomes almost synonymous with the idea of revolution. In this respect, we can see the idea of crisis in socialist politics since the first socialists. For example, the idea of crisis has

a central place in the political understanding of Saint Simon and his circle (Koselleck, 2006, p.376). The crisis, which has become an explanatory key to the philosophy of history, is not limited to the French thought of the period. It can be seen that crisis has turned into a groundbreaking concept of history in German thought since the 1800s. The use of the concept here is interpreted with the implications of a new age, a general confusion, salvation and apocalypse (Koselleck, 2006, s.380-381). The concept of crisis has been widely dominated by the reference to “economic crisis” since the mid-19th century. Social criticism of capitalism increasingly turns to market criticism and makes sense of the causes of the crisis by placing them in the history of the world economy (Koselleck, 2006, pp.391-392).

*Crisis, time and revolution*; are three concepts that express the characteristic of modern history. According to Koselleck, especially with the French Revolution, the concept of time affected every field, especially the social and political language. This means temporalizing every concept. The “isms” (i.e. ideologies) that have developed since the 19th century are new concepts developed within the framework of this temporalization (Koselleck, 2004, p.248-249). The temporalization that emerged with new concepts was about both the past and the future, and the present, which moves from the past to the future, is a castle that needs to be captured between these two. This castle also formed the basis for the emergence of the concept of revolution, which includes the past, present and future at the same time.

According to Koselleck, the concept of “revolution” belonging to the New Age became widespread during the French Revolution. First of all, the concept refers to “the unrest caused by the violence of the rebellion, which may lead to a change in the constitutional order and turn into a war; (...) The second one “specifies a long-term transformation that can extend from the past to the future” (Koselleck, 2009, p.248). In this second use by Koselleck, the concept of revolution goes beyond the narrow political meaning associated with “violence” and covers the whole of society (Koselleck, 2009, p.248). Therefore, we see that in the concept of revolution, a short-term disruptive violence related to a certain historical situation and a long-term historical-social transformation take place together.

Although it became widespread with modernity, revolution, like other concepts, “includes the experiences of the pre-modern and brings together strands of meaning that have historically been graded at different depths” (Koselleck, 2009, p.249). In this context, we can say that the concept of revolution is multi-layered, socially, politically and linguistically. One of the surfaces within this multi-layeredness is theology. According to Koselleck, revolution is also a concept that reveals “new expectations” and in fact, these expectations do not eliminate the concept’s relationship with theology. In this respect, we can say that the “expectation of religious salvation” works within the concept

of revolution (Koselleck, 2009, p.251). With this conceptual repertoire (the Enlightenment and the critique of modernity, the place of the concept of crisis in this critique, the debates on revolution, an approach that does not exclude theology), we can introduce the thought of Walter Benjamin, who has developed an original philosophy of history and critique of modernity.

### **Walter Benjamin: The Ruins of Progress and the Philosophy of History of the Revolutionary Crisis**

In Walter Benjamin's thought, especially the criticisms of modernity, enlightenment and progress, and his objections to determinist interpretations of history have an important place. The basic text of Benjamin's thoughts on history is *On the Concept of History*, which he wrote in 1940. The text, which consists of seventeen theses and an appendix written by the author in fragments about history, is "a unique combination of theology and Marxism, messianism and class struggle, religion and social utopia," as Michael Löwy states (Löwy, 1999, p.220). His theses on history are like a composite reflection of Benjamin's thought. Apart from the concepts that Löwy draws attention to, Benjamin also deals with his own thoughts on revolution, historical materialism and progress in these theses.

As in Koselleck, there is a strong relationship between temporality and crisis in Benjamin's philosophy of history. The relationship or line between these two concepts; It is established with the concepts of class struggle, revolution, violence, war, liberation and apocalypse. Before Benjamin's theses on the concept of history, the fragment titled "Fire Warning Point" in his essay titled *One-Way Street*, written in the 1920s, contains the roots of the history theses. In this fragment, Benjamin says the following about the class struggle:

"The notion of class struggle can be misleading. It is not a struggle in which the answer to the question "Who will win and who will lose," will be answered, and after it is over, the winner will live well and the loser will suffer badly. To think like this means to cover the facts with romanticism. Because the bourgeoisie can win or be defeated in the struggle, it will be doomed to collapse because of the business contradictions that will show their deadly faces in the process of development. The only question is whether it will collapse by itself or by the hand of the proletariat" (Benjamin, 2000, p.53).

Benjamin emphasizes the concept of "temporality" here. In Benjamin, the concept of temporality is loaded with the experience of modernity, notions of memory and history (Dolson, 2009, p.45). The question of whether salvation will be the result of contradictions in the historical materialist flow of time or whether there will be political intervention in reality is one of the most important problematics of Benjamin's philosophy of history. In the continuation of this fragment, Benjamin refers to the importance of not missing the moment

of revolutionary crisis by the historical subject when he says “timing is only the measure of the real politician” (Benjamin, 2000, p.53). The revolution cannot be realized in a fully calculable time and may result in frustration: “The spark must be cut off before the dynamite comes on” (Benjamin, 2000, pp.53-54). These striking statements in a short trailer are the product of a mental discussion about when the revolutionary subject and the moment of revolutionary crisis will coincide. In other words, there is a revolutionary imagination built around the question of when to sound the “fire alarm”.

Benjamin’s approach to history is not determinist or mechanical materialist. The place where we can see this best is history theses. It is significant that the first thesis of *On the Concept of History* calls for theology’s help against mechanical-determinist materialism. In the very first thesis, Benjamin distinguishes his philosophy of history from the crude determinism of his age. The necessary laws of history cannot direct history like a puppet. The analogy of “the puppet” called “historical materialism” (Benjamin, 2002, p.37), which is supposed to win over and over again, is a critique of mechanical materialism reduced to an automaton. According to Benjamin, when theology serves this puppet, the messianic and revolutionary power of historical materialism can emerge (Löwy, 2007, p.35). A messianic intervention in the revolutionary crisis of the present is an important part of Benjamin’s political philosophy. There is an approach that implies that instead of excluding theology, we can put it in the service of the revolution.

In Benjamin’s idea of history, salvation is not just a vision of the present or the future. We see this in very clear terms in the third thesis:

“...only a fully redeemed humanity can fully possess its past. What is meant is this: Only for a humanity that has achieved salvation, its past has become quotable in every moment. “Each of its lived moments has become a trending quote – a quote on the agenda of judgment day” (Benjamin, 2002, p. 38).

Benjamin describes the revolutionary situation resulting from the crisis that capitalism and modernity have fallen into as apocalypse and apocalypse. Benjamin rejects a political attitude that turns its back on the past and is entirely oriented towards the future. The way to own the past is through complete liberation, that is, through a messianic-revolutionary liberation that extends to the present and the future. The moments experienced on Judgment Day are brought to the agenda, that is, to the present. There is a reference to a judgment here, a judgment that includes coming to terms with the past. Because “the past expects its redemption from us” (Löwy, 2007, p.41).

Saving the past and carrying it to the present and the future is also present in the fourth thesis: “Just as flowers turn their heads to the sun, the past is trying to return to the rising sun in the sky of history, with the effect of a



hidden sun orientation” (Benjamin, 2002, p.39). With past wins and losses; with hope and disappointment; It is filled with pain and happiness. With this aspect, saving the past is also breaking the domination of the sovereigns over the past. If history is written by the rulers with a Marxist reading, it is necessary to rewrite it after the apocalypse. As Löwy puts it, “the present illuminates the past and the enlightened past becomes a force in the present” (Löwy, 2007, p.50). Against the sharply progressive understanding of modernism, and indeed its positivist side, Benjamin favors both progress and history. He is aware that a revolution that excludes historical and social memory cannot be successful and in this context, the importance of a new historiography. Following a philosophy of history that can see the crisis of the present without rejecting the past, Benjamin establishes the link between past-present-future without reducing it to a mechanical historical materialism and by affirming the role of the subject in history.

The fifth thesis of *On the Concept of History* is important in that it includes the statements that best reflect Benjamin’s philosophy of history and that it deals with the idea of historical crisis in very clear terms:

“Expressing the past historically does not mean knowing that past ‘as it really was’. On the other hand, it means capturing a memory in its position when it flashes in a moment of danger. What is important for historical materialism is to preserve an image of the past as it suddenly appears to the historical subject at a time of danger. The danger is both to the existence of the tradition and to those to whom that tradition speaks. There is the same danger for both, namely, the danger of becoming a tool of the ruling classes. What needs to be done in every age is to make an effort to save tradition once again from the hands of conformism that is about to defeat it. Because Christ does not come only as a savior; It also carries the title of defeating the devil. The ability to fan and ignite the spark of hope in the past can only be found in the historian who has absorbed the past; When the enemy wins, even the dead will not be able to save themselves from this enemy. And this enemy continues to gain victory” (Benjamin, 2002, p.40-41).

First of all, Benjamin here defends the idea of memory that remembers the past in the form of fragments and therefore a fragmented understanding of temporality (Dolsun, 2009, p.45). The past is reflected in the present or in our memories, or is remembered by the present, not holistically but in parts. One of the topics that Benjamin deals with in this thesis is the moments in history when the fire alarm goes off, that is, the crisis. Naming a historical situation as “danger” is exactly the crystallization of his idea of revolutionary crisis. Failure to take a correct position against the past in times of danger results in destruction from which even the dead cannot escape the enemy. The historical subject who will change the direction of history must be able to sense historical dangers by looking through the tradition that makes it strong. The historical sub-

ject who cannot remember tradition in times of danger is doomed to defeat, and this experience is the historical experience of class struggles.

In the seventh thesis, we see that the crisis is discussed with a different concept: the state of emergency. Benjamin argues that the oppressed should create their own extraordinary state against the extraordinary state of the sovereigns:

“The tradition of the oppressed teaches us that the “state of emergency” in which we live is in fact the rule. What we need to do is to reach a concept of history that will suit this situation. Then, the creation of a real state of emergency will appear as a duty in our eyes; Thus, our position in the fight against fascism will be a better position” (Benjamin, 2002, p.41).

The rulers have turned their own state of emergency into a rule. This approach states that the politics of the ruling class is also the politics of crisis. This is the main tool of fascism’s way of ruling and oppressing the masses. The atmosphere created in which the well-being of society is in danger and crisis at all times is a part of the politics of fascist governments.

Crisis is one of the parts of the eighth thesis about *Angelus Novus*, which we can consider as the most famous thesis of *On the Concept of History*. The *angel of history*;

“He has turned his face to the past. Where we see a chain of events, he sees a single catastrophe, a catastrophe that piles ruins on top of each other and throws them at his feet. The angel probably wants to stay there, to raise the dead, to put back together what has been torn apart. But a storm blowing from heaven has entangled his wings, and this storm is so strong that the angel can no longer close his wings. The storm constantly drags him towards the future from which he has turned his back; The pile of ruins in front of him rises towards the sky. It is this storm that we call progress” (Benjamin, 2002, p.41).

The angel of history who sees the disaster surrenders to the storm blowing from the future, even though his face is in the past. The use of the concepts of disaster and storm is extremely meaningful in terms of Benjamin’s philosophy of history. The unrecovered past is a mass of disasters. Even if you turn your face to disaster, you cannot resist the storm. The revolutionary hope that represents the optimistic side of Benjamin’s thought emerges clearly here. This hope, described as a breeze from the future, is progress itself (even though that progress also produces destruction). But the other side of the angel of history shows that the door to crisis is not completely closed. “There will always come new disasters and new massacres that are larger and more destructive” (Löwy, 2007, p.80). Benjamin, both in this thesis and in general, thinks of historical crisis with modernity and associates the dream of progress of modernity with the concept of disaster and its idea of progress (Schinkel, 2015, p.39). In

*Angelus Novus*, the relationship established between modernist progress and disaster is clear. The power to get out of this crisis that modernity has fallen into is possible with the timing ability of the revolutionary historical subject to activate the fire alarm.

## Conclusion

Reinhart Koselleck and Walter Benjamin's philosophy of history uses very similar conceptual baggage: Modernity, enlightenment and its criticism, their use of theology, their attention to the theological roots of concepts and even the concept of revolution, an analysis of the present situation that does not neglect the past and transformation, and the strong place of the idea of crisis in history. Although Koselleck does not associate his theory with Benjamin, he wanders around similar places, concepts and problems. When we look at the similarities and differences in both their general theories of history and their thoughts about crisis, we see that the two thinkers read common issues sometimes from the same philosophical tradition and sometimes from a very different perspective.

Koselleck and Benjamin approached concepts by questioning the past in the present, not with a chronological mechanism from the past. They attribute a central position to the concept of crisis in their philosophy of history and use this concept especially in their criticism of the Enlightenment and modernity. Both thinkers agree on the share of the Enlightenment, modernity and the idea of progress in the disasters that occurred in the 20th century, and according to them, all concepts, including the concept of revolution, have a direct or indirect relationship with the theology from the past. In this context, using theology creates an effect that strengthens the philosophy of history.

Koselleck and Benjamin reject the universal and holistic understanding of history. In this sense, we can say that they imagined historical fragments. However, unlike Koselleck, Benjamin has a strong idea of materialism and class projection, and a strong idea of historical consciousness. Again, while Koselleck does not have the idea of historical subject, the historical subject has a strong place in Benjamin's philosophy of history. While Koselleck focuses on the history of the concept of crisis, Benjamin treats crisis as a moment, a historical moment and a starting point in the interpretation of history. While Koselleck does not take a political stance against the crisis, Benjamin turns the "revolutionary crisis" into an opportunity and aims to save the past as well as salvation in the present and future. Thus, Benjamin has the idea of political intervention in the historical crisis and the hope of new life.

## REFERENCES

- Benjamin, W. (2000). *Tek Yön*, çev. Tefik Turan, İstanbul: YKY.
- Benjamin, W. (2002). “Tarih Kavramı Üzerine”, *Pasajlar*, trans. Ahmet Cemal, İstanbul: YKY.
- Dolson, M.S. (2009). “On Benjamin’s Temporality of Crisis, Foucault’s Subjugated Knowledges and their Import in Theorising Revitalisation Movements: A Critical Theoretical Examination”, *Anthropological Notebooks*, 15 (3), 43-63.
- Edwards, J. (2006). “Critique and Crisis Today: Koselleck, Enlightenment and the Concept of Politics”, *Contemporary Political Theory*, 5, 428-446.
- Gilbert, A.S. (2019). “Reinhart Koselleck: Demoralizing Crisis”, *The Crisis Paradigm: Description and Prescription in Social and Political Theory*, London: Palgrave Macmillan, 61-103.
- İnan, F. (2020). *Kamusal Alan ve Özgürlük Düşüncesine İki Farklı Bakış: Jürgen Habermas ve Reinhart Koselleck*, Ankara Üniversitesi, Sosyal Bilimler Enstitüsü, Yayınlanmamış Yüksek Lisans Tezi, Ankara.
- Koselleck, R. (2004). *Futures Past: On the Semantics of Historical Time*, trans. Keith Tribe, New York: Columbia University Press,
- Koselleck, R. (2006). “Crisis”, trans. M.W. Richter, *Journal of the History of Ideas*, 67 (2), 357-400.
- Koselleck, R. (2009). *Kavramları Tarihi: Politik ve Sosyal Dilin Semantiği ve Pragmatiği Üzerine Araştırmalar*, trans. Atilla Dirim, İstanbul: İletişim Yayınları.
- Koselleck, R. (2012). *Kritik ve Kriz: Burjuva Dünyanın Patolojik Gelişimi Üzerine Bir Katkı*, trans. Eylem Yolsal Murteza, İstanbul: Otonom Yayınları.
- Löwy, M. (1999). *Dünyayı Değiştirmek Üzerine: Karl Marx’tan Walter Benjamin’e Siyaset Felsefesi Denemeleri*, trans. Yavuz Alogan, İstanbul: Ayrıntı Yayınları.
- Löwy, M. (2007). *Walter Benjamin: Yangın Alarmı*, trans. U. Aydın, İstanbul: Versus Yayınları.
- Schinkel, W. (2015). “The Image of Crisis: Walter Benjamin and the Interpretation of ‘Crisis’ in Modernity”, *Thesis Eleven*, 127 (1), 36-51.

# *Chapter 5*

## **SELF-ORIENTALISM IN CIVIL SERVANTS: A QUALITATIVE RESEARCH ON OFFICE CLERKS**

*Betül KARAKOYUNLU<sup>1</sup>*

---

<sup>1</sup> Dr. Gençlik ve Spor İl Müdürlüğü, Konya, [sosyologkarakoyunlu@gmail.com](mailto:sosyologkarakoyunlu@gmail.com), ORCID: [0000-0003-2772-3500](https://orcid.org/0000-0003-2772-3500)

## Introduction

Conceptually, the word Orientalism refers to the studies and approaches in which the history, language, social structure, or culture of Eastern societies are studied and treated by Western researchers, travelers, or scholars. However, the term ‘Oriental’ is used to refer to the East in a geographic sense (Köse and Küçük, 2015, p. 110), the geographical ambiguities of East and West and the construction of the other by the subject and object at the heart of Orientalism have made the concept controversial. The definition in question is one-sided and fictional because it is in the “nature” of Orientalism to define East and West based on the “self’s” need for the “other”. It is perhaps less troublesome for the self and the other to discuss each other in the orbit of identity, but the ideological approach appears at the point where one of the two begins to construct the other. Here Said (2014) references Foucauldian relations between knowledge, discourse and power. In fact, in Orientalist thought, the West is constructing the East through the Foucauldian link between knowledge and power, using knowledge as a foundation stone in the construction of its own identity. Colepston (2010, p. 39), refers to a similar relationship of power, when he draws our attention to the emergence of one side as the master and the other as the slave in the process of the institutionalization of the self and the other. This struggle between self and other is essentially an expression of will to acceptance. Furthermore, the Western orientalist’s interpretation of the data about the land or people of the East in a way that serves their own interests has led to both the perception of themselves as masters over the East and the development of an orientalist and colonialist approach to the East (Göregen, 2017, p. 33). However, through the ontological basis in the slaves, the masters can secure their very existence. In this context, Western desires to hold a mirror up to itself while constructing the East as barbaric, backward or ignorant in order to exist itself.

The fictitious nature of Orientalism that constitutes the subject-object duality has not only occurred between the East and the West but has also undergone a sematic shift in the process of modernization of non-Western societies. This shift indicates the reorientation of the mirror from the inside, towards what’s inside. Although Orientalism takes on a hegemonic character in the modernization process, where the West is followed as a trajectory, it manages to produce a new form of orientalism internalized by Eastern societies. The crossroads of Orientalism and modernity at this point has paved the ontological ground for self-orientalism. The experience of modernization in almost all non-Western societies, whether intentional, repressive or colonial, has met this ground.

Modernity is exclusively a Western creation that emerged without any external influence, while non-Western societies engaged in modernization,

which is simply an internal transfer of this process. Scientific, political, technological, and social transformations were key aspects of Western modernity, which emerged with the Renaissance and Reform movements. Meanwhile, internal carrier groups facilitated Westernization efforts in non-Western societies. The elites who transmitted modernity, and were themselves modernized, viewed their own societies through Western eyes and thus accepted the West's claim to superiority from within and outwards. Self-doubt within the Easterner became self-orientalism, which transfigured the parties of domination. Eastern, local, cultural values and social norms are now mere objects for these westernized elites.

In this context, the Ottoman Empire and Turkey have a similar set of circumstances, even though they have never had a colonial experience and have voluntarily embraced modernization. The Ottoman Empire initially saw westernization as a solution to save the state from collapse and reformed only the military and administration; the Republic, by contrast, took a broader approach to modernization, addressing society as a whole. During the transition from the Ottoman Empire to the Republic, the new modern state adopted a Eurocentric approach, and constitutional practice became increasingly influenced by self-orientation. In this context, the process of Turkish modernization has a top-down character, and the state has been at the forefront of its implementation. The term "top" refers to the bureaucratic elite. According to Akin (2018, p. 155), Turkish modernization is the modernization of civil servants. This implies that civil servants are the main actors in transforming orientalism into self-orientalism, leading to a relationship of domination. This is due to the top-down modernization approach of the bureaucratic elite, which has marginalized a significant portion of society, whilst obscuring genuine values. For this reason, conducting a study on self-orientalism with civil servants will indirectly enable us to examine the codes produced by self-orientalist subjects from this day forward.

### **From Orientalism to Self-Orientalism; From West to East, from East to East**

It is seen that those who produce ideas about Orientalism emphasize three sets of concepts. The first of these is the academic approach; the second is the institutes dealing with the East; and the third is the way of thinking based on the East-West dichotomy (Hoff, 2009, pp. 10-11). However, there are those who trace the beginning of Orientalist thought back to the curiosity of Ancient Greece about the East. There are also approaches that point to the establishment of Oriental languages courses in European countries such as Paris in the 1300s as the beginning of classical Orientalism. The classical period, especially the Crusades, is a period that should be mentioned in terms of the development of Orientalism. Modern Orientalism, on the other hand, according to Said (1995), began with Napoleon's expedition to Egypt in

1798, when he took intellectuals interested in biology, history, mathematics, archaeology, chemistry, botany, and theology.

During the pre-modern period, orientalism was regarded as an academic pursuit focused on Oriental languages and the ways of life of Eastern people. It was also seen as a means to recognize the advancement of other civilizations. However, with the Crusades and the rise of the Ottoman Empire in Europe, the nature of Orientalism changed. Following the conclusion of the Middle Ages, discoveries of new lands, and the Industrial Revolution, it became a colonial undertaking intertwined with the exploration for raw materials by European countries. As a result, the East was considered an object, and this was reflected in academic and scientific circles. However, instead of pursuing their expansionist agenda, the West sought to promote the notion of Western civilization as superior to non-Western societies, via the process of modernization. Thus, orientalism has become hegemonic by changing its meaning with modernization. The Keen interest of the West in the East in the past has now transformed into a need to construct and influence it in modern times. Moreover, there's a suggestion that the very fiction in question defines Eastern identity. Thus, there are supposedly ontological distinctions, independent of each other, between the East and the West. This distinction is clearly emphasized by Turner, who highlights that Orientalism is a way of thinking, based on ontology and epistemology, that creates profound differences between the Western and the Oriental. Additionally, he claims that we can perceive this way of thinking, which defines Eastern identity, as an all-inclusive institution (Dec., October 2002, p. 148). When viewed from this perspective, orientalism is more complex than a mere 'Western research on the East' definition, involving both a way of thinking and ontological and epistemological distinctions. Edward Said (1998, p. 65) describes orientalism as a modern colonial tool used by the West and has placed orientalism in a scientific paradigm. According to Said, Orientalism is a discipline that is not only concerned with the study and analysis of the problems of the East, but also with their evaluation and management. The West has positioned itself in the roles of judge, manager, and dominator, which it considers 'natural' in view of its supposed superiority. The described role creates a perception of the East as backward, sinful, and indulgent. This provides a legitimate basis for exploiting the cultural and natural resources of the East.

Evstatiev highlights the siege of Vienna as a critical moment in the rise of Orientalist self-confidence. During the Ottoman siege of Vienna in 1529, European administrators and clergymen attempted to create awareness against Islam. Consequently, they attempted to promote the concepts of "Islam as a violent religion" and "barbaric Muslims" widely across Europe. The West's supposed right to bring civilization to those lands was therefore accepted once the idea of barbarism was linked to the exotic Orient (Evstatiev, 2008,



pp. 224-26). Orientalist pursuits were not limited to colonization. During the 11th to 17th centuries, translations of Eastern books flourished in disciplines such as literature, sociology, language, education, and theology. During the 18th to 20th centuries, however, it persisted alongside bloody conflicts. Later, orientalist depictions found expression in literature, art, and communication, which exerted a direct influence on cultural hegemony. During this era, political authorities also played a role in the process, and Orientalism became a topic of political interest. In fact, state funds were allocated for orientalist studies, and significant resources were provided to scholars. For instance, organizations that originated from the Middle East Studies Association, founded in Washington, 1946, were backed by the Ford Foundation (Said, 1998, p. 400). In current times, it's also essential to acknowledge the impact of mass media, the film industry, or social media concerning their influence on self-orientalist research. The influence of orientalism persists in the portrayal of Eastern Muslims on social media, in Hollywood films, and in television programs produced in a judgmental manner. Furthermore, the 9/11 Twin Tower Attacks bolstered the persuasiveness of these sectors and institutionalized suspicion and fear towards the East and Orientals.

Despite the West's overt Orientalist stance, the historical course of different societies has produced tacit forms as well. This new paradigm, which we call self-orientalism, is an extension and new form that includes but transcends Orientalism. This approach surfaced during the modernization phase of non-Western societies, pointing to the possibility of achieving development by following and replicating Western advancements. The defeat of Eastern societies against the West played an essential role in the emergence of this paradigm. This defeat has led to the development of a Eurocentric understanding that, in addition to considering the West as more advanced and technologically capable, also rejects the authentic values, way of life, production, or ideas of their own societies.

The dominant influence on the emergence of the self-orientalist paradigm in Turkey was held by the modernizing elites. It established its presence in a hierarchical manner, often driven by the ruling elite and frequently supported by legal measures. The internal orientalist or carrier elite prepared the ontological foundation for self-orientalism by perceiving the West as superior not only technologically but also culturally, politically, and socially. Orientalism, on the one hand, has assumed a hegemonic character; on the other hand, it has shifted in meaning with self-orientalism. For greater clarity, it becomes evident that the narrative crafted by the West in contrast to the East is actually being internalized by non-Western societies during the transmission of modern culture.

Self-orientalism refers to the internalization and acceptance by those living in the East of the West's perception of the East. This often involves the creation

of a local 'other' aimed at aligning with Western values. As a consequence of an Oriental viewing their own culture through the lens of Western ideas, ideals, and outlooks, there may be comprehension, lack of understanding, denigration, or belittling of their culture. This leads to the subject and object positions being reversed. Contrary to Orientalism, which objectifies the Oriental, self-Orientalism objectifies the Westernized authentic Oriental. Bezci and Çifci (2012, p. 145) stated that in states established by a founding cadre during the modernization phase, social groups that go against the homogeneous consciousness in religion, language, race, or culture, acting outside the national project, become the objects of self-orientalist thought. Consequently, an act of othering took place between the modernizing elite and social groups aligned with tradition and religion. Furthermore, groups that were believed to be acting outside the national project were not only marginalized but also punished with criminal sanctions. The primary reason for the estrangement between social groups, composed mainly of Muslims, and the state, especially civil servants, was rooted in these circumstances. Therefore, self-orientalism in Turkey is defined as the marginalization of tradition and Islam within the country, indirectly by civil servants since the country's early republican periods.

### **Self-Orientalism in Turkey**

Many countries, such as Japan, China, South Korea, Malta, India, and Turkey, have adopted a general policy of Western portrayal of non-Western societies and habituation to the Western style as a prototype (Bezci and Çifci, 2012, p. 145). The points of contact where the East and West intersect, as elaborated by Pratt (1991, pp. 34-36), gave rise to the emergence of the self-orientalist paradigm within the Ottoman Empire, which was undergoing modernization as a society in a later period. In this context, the initial skepticism in the intellectual memory arose after the defeats on the battlefields (Çifci, 2012, p. 44). In addition to shared trade areas, contact zones were established via exiles from the West, prisoners captured in battle, ambassadors to and from the West, and individuals who traveled to and from the West for the purpose of education (Çifci, 2012, pp. 51-59). Doubt is the primary self-orientalist indicator in contact zones, which includes self-doubt and questioning oneself and others. In these contact zones, the empire, exposed to the West, analyzes itself and defines itself in relation to the West. This results in skepticism about both the 'other' and the 'self,' leading to imitation and a desire to be like the West. In contrast, the carrier elites were the actors in these contact zones. By comparing their own societies with European societies, the carrier elites used Western views and attitudes as a tool to understand their own societies. This laid the foundations of self-orientalism.

Indeed, while there is controversy around the efforts and techniques used by carrier elites to revive the Ottoman Empire or "cure the sick man," the main criticism here is that the Western hermeneutic view has prescribed salvation

by denigrating and neglecting its core principles. Self-orientalism played the principal role in establishing the new nation-state, along with the effort to save the Empire and the patient's own decision not to recover. Türkdoğan notes that self-orientalism was documented with the establishment of the nation-state (2008, p. 491). Conversely, the nation-state was founded on a prevalent cultural identity. The elites' familiarity with Western culture in areas of contact, their advancement ahead of their own societies, and their belief that they embody Western values granted them a privileged position and established their dominance. The dominant idea of homogenization involves unifying a society's history, language, religion, and identity. In simpler terms, the predominant community in a society represents and consolidates the religion, language, and identity of the society as a whole, while the other components of the community are discriminated against. Cultural essentialism is considered another factor in the functionalization of self-orientalism. In this context, efforts are made to ensure homogeneity in society by imposing a certain way of life on other components (Baran, 2014, p. 188). The foundational process of constructing the nation-state, encompassing Muslims, Sunnis, and Turks, was chiefly shaped by the governing elite under the leadership of Atatürk. Nevertheless, Sunnis are expected to adhere to the limits that conform to the principle of secularism. The exclusion of various social elements beyond the prevailing core has intensified due to the fusion of the dominant essence and imposed vigor, accompanied by their corresponding constitutional influences. The context presented allows for the evaluation of the complete transformation of all institutions, particularly the state shape, as well as the imposition of vitalities, such as the fez, which cannot be regarded as symbols, in everyday life.

Upon the establishment of the nation-state, numerous constitutional, cultural, social, and structural arrangements were implemented based on Eurocentric values. Gradually, self-orientalism became entrenched within society (Hanioglu, 2012). The abolition of the Sultanate, a proclamation of the Republic, the abolition of the Caliphate, the Laws on Unified Education and the Hat, the transition to the Gregorian calendar, the closure of dervish lodges, the adoption of the Civil Code, the removal of the clause "the religion of the state is Islam" from the constitution, and the Alphabet Revolution all suggest the further entrenchment of self-orientalism despite the state's officially embraced Westernism. Although the newly formed state officially adopted Westernism, the local "others", who were objectified as being part of self-orientalism, expressed strong objections to the proposed changes.

It is comprehensible that the primary cause of responses revolves around religion and tradition. Westernism, which was regarded as the ultimate aim, highlighted that religion and tradition would act as a hindrance to advancement. In the modernization of the Republic, particularly within the positivist and materialist founding cadre, Islam and tradition were deemed to be archaic

phenomena and were relegated to the periphery. Ernest Renan's arguments, including "Islam stands in the way of progress," were extended to elitist members like Abdullah Cevdet. In this context, instances such as clergymen, Muslim women, freedom of women, and the veil serve as additional examples that make up the aspects of marginalization.

The attitude of self-orientalism towards Islam and tradition still holds sway to this day. Presently, there is a prevailing notion that individuals who identify as religious conservatives and seek to uphold their native cultural values are facing exclusion from those who adhere to viewpoints rooted in historical, positivist, and materialist principles. In fact, Islamophobia, which arose in Europe due to different historical reasons, is now a reality even in Muslim countries. Elements like the headscarf or clergy are still portrayed as forces that stand against modernity. This binary dichotomy still dominates political discourse. Besides politics, it is also crucial to address the media in this regard. The elite media significantly contributes to the promotion of Islamophobia, ranging from the film and television series industry to journalism and cartoons. The media benefits from Islamic terrorism, so to speak. Although the Middle East is commonly associated with terror, violence, superstition, and backwardness, the discourse of "those who say Allahu Akbar even though they are beheaded and beheaded" remains the most potent influence of self-orientalism. Hence, religion is shown as the source of problems in Eastern societies. Conversely, a faction of religious and conservative individuals who state, "We are not to blame at all!" argue that self-orientation is nothing more than a form of conformist shelter. Some quote obscene remarks: "Why are Muslims always deceived? Why don't they use their intelligence? Let us do the same for the West." The list of conversations expressed in offensive language is unending. Some argue that this discourse accurately represents reality, while others claim that it perpetuates another form of self-orientalism without recognizing it. The current data obtained from the participants indicates that these two concepts exist. For this reason, the study endeavors to incorporate all the different forms of self-orientalism.

### **Methodology**

This study aims to expose self-orientalist representations of civil servants who work in public institutions. The qualitative research method was the preferred approach in this study because the subject matter required detailed information and the results were not intended for generalization. Qualitative research facilitates the disclosure of perceptions and scenarios holistically and realistically in a natural setting (Yıldırım & Şimşek, 2018). Qualitative research employs specific tools for data collection. This study utilized the semi-structured interview technique, which is one of several methods used for collecting qualitative data. The semi-structured interview technique lies between the rigidity of tests based on writing and filling them in and the

flexibility of an unstructured interview. Being a balanced technique that can answer why and how questions in group discussions with a specific goal, the semi-structured interview has been regarded as the most suitable data collection method (Karataş, 2015, p.18).

Twenty-one civil servants were interviewed for this study after obtaining permission from the Ethics Committee (2022-412) of Necmettin Erbakan University of Social and Human Sciences on November 11, 2022. Civil servants were preferred due to their assumed self-orientalism and their involvement in Turkish modernization. On the other hand, it is believed that conducting the study with civil servants can provide rich data on self-orientalism. This is because civil servants act as a bridge between the state and its citizens and represent a tangible and real manifestation of the state. The study subjects were 11 female and 10 male civil servants employed in different public institutions. To ensure homogeneity in the data, the study did not include senior civil servants or bureaucrats. Instead, it preferred clerical officers. The sample group included an equal number of women and men. Additionally, the study aimed to include civil servants with a range of world views. The study excluded the personal information of participants and instead used interview data, assigning a code to each participant.

The purposive sampling methods called snowball and chain sampling were employed for identifying participants. Snowball sampling is an effective method, particularly in disadvantaged groups that exhibit reluctance to take part in interviews, or when the research subject indicates a specific area. In this technique, a reference person is selected that relates to the subject of the study, and from there, other candidates are approached. This reference can be either an individual or each interviewer may assume this role, leading to the possibility of including more participants in the study. This continuous and repetitive process is analogous to that of the snowball effect. By contrast, the longest of the interviews conducted in November 2022 took 1 hour and 23 minutes, while the shortest lasted 42 minutes. The interviews, conducted in venues such as cafes and restaurants, took place at participants' preferred times, and an audio recording was made only after obtaining explicit permission from each participant. The data were divided into themes at the description and systematic analysis stages, which are specific to qualitative research techniques. The identified themes include violence, treatment of women, clergy matters, and Islamophobia. Lastly, the themes were interpreted through the subjective internalization of the researcher.

## Findings

*Table 1. Demographic Information of the Participants*

Participant	Age	Gender	Qualification	Position	Marital status	Hometown
(MK1)	33	Female	Bachelor's degree	Officer	Married	Ankara
(MK2)	39	Female	Bachelor's degree	Officer	Married	Karaman
(MK3)	29	Female	Bachelor's degree	Officer	Married	Aksaray
(MK4)	33	Female	Bachelor's degree	Officer	Married	Antalya
(MK5)	46	Female	Bachelor's degree	Administrator	Married	Kırıkkale
(MK6)	36	Female	Bachelor's degree	Officer	Married	Konya
(MK7)	39	Female	Bachelor's degree	Officer	Single	Konya
(MK8)	37	Female	Bachelor's degree	Officer	Divorced	Konya
(MK9)	45	Female	Master's Degree	Administrator	Married	Konya
(MK10)	35	Female	Bachelor's degree	Officer	Married	Konya
(MK11).	37	Female	Master's Degree	Administrator	Married	Konya
(ME1)	38	Male	Bachelor's degree	Officer	Married	Konya
(ME2)	30	Male	Bachelor's degree	Officer	Married	Konya
(ME3)	37	Male	Bachelor's degree	Officer	Married	Adana
(ME4)	31	Male	Bachelor's degree	Officer	Married	Konya
(ME5)	42	Male	Bachelor's degree	Officer	Married	Kırşehir
(ME6)	50	Male	Master's Degree	Officer	Married	Konya
(ME7)	29	Male	Bachelor's degree	Officer	Single	Konya
(ME8)	35	Male	Bachelor's degree	Administrator	Married	Aksaray
(ME9)	36	Male	Bachelor's degree	Officer	Married	Konya
(ME10)	43	Male	Master's Degree	Administrator	Married	Ankara

## Violence

During the discussion of the topic of violence, the participants were posed with the question, “*Is Islam a religion of violence or peace, and are Muslims perceived as terrorists?*”. Religion and violence are often associated phenomena. Nevertheless, the association between violence and religion is not exclusive to modern times. Throughout history, there have been numerous wars where people of dissimilar religions and sects have attempted to vanquish each other in the name of their creator. In modern times, it is widely acknowledged that Islam is often associated with violence within the Orientalist paradigm. This idea is also shared within internal orientalism. Almost all participants expressed that Islam is a religion of peace, but they also acknowledged that the current perception of Islam is associated with violence. As per this viewpoint, although Islam is a religion of peace, there is no peace in Islamic societies. The understanding of violence has been significantly shaped by the actions of terrorist organizations such as ISIS, Al-Qaeda, and the Taliban, along with events like the September 11 attacks. The misinterpretation of the concept of jihad by some Islamic groups contributes significantly to this idea. Of note is that the participants described these Muslims as “ignorant”. Under the name of jihad, Islamic terrorism is constructed by some Muslims who may be Muslims, non-Muslims, or innocent. Such individuals are often uninformed. According to almost all participants, it’s not important for Muslims to cleanse Islam from violence on intellectual grounds. If there is such a term as Islamic terrorism, it is natural for the West to perceive it that way. On the other hand, while there is a constant emphasis on the West confusing the Muslim world, it was frequently suggested that Muslims should stop using this idea as a refuge and start examining themselves. As Muslims are the representatives of Islam, it has not been deemed feasible to disassociate Islam from its followers, even if their practices diverge from the commandments of Islam.

*“Muslims are definitely seen as terrorists. There is a concept called Islamic terrorism. Terrorism should have no religion. Because we are Muslims, we can’t put the two together, but... Let’s look at the world as a Catholic British citizen. Which region has the most terrorism? Men with beards blow themselves up. Muslims are ignorant” (ME9).*

Another opinion suggests that Turkey is the lesser of two evils within Islamic societies, and this situation results from Atatürk’s principles and reforms. According to one participant, Islam is a violent religion, and Muslims are terrorists. He argues that certain verses in the Qur’an and hadiths legitimize violence, which is perceived as true by some Muslims. According to the participant, he perceives videos of stoning, beheadings, and women wearing Chadors being harassed when he sees the Islamic world, and it is common for him to formulate his opinions about Islam based on these images. Additionally, the world forms its opinions about Islam based on this depiction.

The participant raises the following question: “Why is it that our children aspire to be in Europe while no Western children aspire to be like us?” He attributes this to the aforementioned portrayal of violence and terrorism and the associated reality:

*“In my opinion, Islam advocates violence as a religion. For instance, in the Farewell Sermon, the Prophet recommended that a minor physical punishment could be a solution if someone uninvited enters your premises. Islamists claim that this justifies the use of violence. Similarly, stoning a woman who commits adultery is a common and widely accepted practice. Beheading videos are posted on social media frequently by extremists. If I witness a society mistreating a woman wearing a chador, I interpret it as a sign of faith that promotes aggression. It is commonly argued that these actions do not correspond to the true teachings of Islam, however, I find this statement to be unsubstantiated. No one seems to represent it - not him, not her. So, who represents it? Naturally, I will examine these and draw a conclusion about Islam. This is how Europe perceives us, and this is how I perceive ourselves. Some people associate Muslims with terrorism. Their mindset is often perceived as simplistic. While Turkish society admires European culture, it is not reciprocated, and there is hostility towards headscarves in Europe, which is blamed on Muslims. However, Turkey is perceived to be superior to those countries. This perception can be attributed to Atatürk's legacy and the promotion of secularism in Turkey. Even if a government has connections to Islam, it is due to these principles...” (MK5).*

Over half of the participants opined that making a comment about Islam requires assessing all Muslims globally. Despite the relatively positive stance of Islam in Turkey, it will have no effect on the situation of Islam globally. The participants use very angry language while stating that the Islamic world continuously presents the argument that the West is deceiving it and develops a discourse of victimization. However, it is worth noting that Muslims do not always act wisely. Unlike others who conveyed their criticism of Islam through Muslims, the participants expressed their frustration directly toward religion. This opinion suggests that even though the West is deliberately attacking Islamic geography, it should not ignore the situation on the ground. This reality is manifested by ‘*war, misery, and destitute people without education or even footwear*’.

### **The Portrayal of Islam in the Media**

The role of the media in shaping the thoughts of participants is undeniable. Middle Eastern countries have images related to war and poverty-stricken people; many participants have been exposed to these through the media. In this regard, the participants were asked about the representation of Islam and Muslims in the media. An overwhelming majority of respondents claimed that Western media portrayed a negative portrayal of Islam and Muslims.



In addition, more than half of the participants noted a division in the local media's portrayal. This paper highlights the dichotomy within local media, as evident through A Haber and FOX TV. As per the participants' opinion, FOX TV portrays Muslims as backward and irrational. Conversely, the opposing faction is linked with modernity, illustrated by the portrayal of a woman in a bikini reclining on a sunbed as an emblem of advancement. On A Haber, however, reports on positive developments, scientific advancements, and exemplary behavior of Islam and Muslims in the world. FOX TV is perceived as a Western channel.

Participants stated that publications seeking to manage negative perceptions of Islam and Muslims tend to use the 'Islamic terrorism' argument most often. The use of images depicting the beheading of Muslim militants is regarded as the most effective tool for this purpose. Five participants reported that the representation of Muslims in the media has become increasingly negative due to the influence of Syrians. As per this perspective, the migration of Syrians to other nations has led to the encounter of other Muslims with the world and Turkey, resulting in the amplification of anti-Islamic opinions in the media.

A participant claimed that the media published defamatory material about Islam and Muslims, but the opinions expressed here are accurate. While asserting that there are numerous problems prevalent in Islamic countries, the participant also responded to the notion that American authorities created Islamic terrorist groups:

*"For instance, in Iraq, a football team was once defeated, and as a punishment, the head of state had the players tightly confined within an iron ball. They suffered humiliation and punishment for their defeat. Terrorist organizations, such as those that appear to have an Islamic identity, commit public executions for media coverage. It was thought that Islam was a religion of tolerance. When I express this, they claim that America is responsible for the establishment of these organizations. As a result, Muslims should avoid establishing such organizations. It is recommended that Muslims behave judiciously as per" (MK10).*

The vast majority of participants believe that Islam and Muslims are portrayed negatively in the media. In the participants' view, the media contributes to the spread of Islamophobia through its portrayal of Islam and Muslims. Muslims' appearance is viewed as another image that the media particularly favors. The media often portrays Muslims with black veils, turbans, robes, beards, and islamophobia associates this image with terrorism and violence. Films are also commonly cited as examples, besides mainstream media. As per the participants, the director directs the scene in the desired direction, with Muslims and particularly the clergy often being depicted in a negative light in films. For instance, one of the participants commented that in movies featuring Kemal Sunal, the names Recep, Şaban, and Ramazan were intentionally favored.

It is noteworthy that the current government may have contributed to the increasingly negative portrayal of Islam in the media. Six participants reported that the government's frequent use of religious arguments or the growth of İmam Hatip schools has led to anxiety in society. The concern is about the future of Sharia, as it appears to be moving further away from science. According to this viewpoint, media outlets have increased their negative coverage of Islam and Muslims as a means of self-protection.

### **Women**

Within this theme, participants were asked about equality between men and women, violence against women, veiling, and polygamy to discern views on women in Eastern and Islamic societies. One of the most fundamental discussions in self-orientalism is the issue of gender equality. In this context, participants were asked the question, "Is there inequality between men and women in Islam?" Fifteen participants opined that men and women are not equal in Islam. Two participants stated equality, two participants stated women's superiority and one participant mentioned that women and men are equal in Islamic law but not in civil law. It is worth mentioning that although two participants believed in gender equality, they still highlighted that it is the woman's responsibility to manage the household and comply with the man's wishes. Most participants expressed their views around specific ideas and agreed that women and men are not equal in religion. Their main concerns pertain to the religious teachings that allow inheritance not to be shared equally, give permission to have up to four wives, forbid women's solitary travel, prohibit women from being rulers, accept two women as witnesses for one man, and create Huri specifically for men in paradise. With this in mind, the participants believed that these religious teachings demean women and relegate them to the background in the eyes of Muslim men. Furthermore, the claim that women are physically weaker and more likely to act emotionally is commonly held among those who advocate for inequality. The concept that women are feeble, delicate, or vulnerable promotes the notion that women require protection. It is believed that the sacred notion of protecting women is associated with the belief that they should be controlled and subjected to violence, when necessary, as well as having decisions made for them. The religious teaching that "woman was created from the backbone of man" is believed to particularly reinforce the idea of physical weakness in women.

The primary response of another participant occurs precisely at this juncture. He poses the question: "Why is a woman again in danger in an Islamic society?"

*"It's not equal. It's evident that women aren't prophets. The religion is dominated by men. Christianity has saints. In our religion, Prophet Khadijah is highly regarded for being the Prophet's spouse. Women in*

*Islam are assigned the duty to serve their families, educate their children, raise them appropriately, and respect their husbands. It seems like we are always provided with workarounds. A girl who is nine years old does not have the right to select her life partner. It is suggested that we stay safe by not going out alone. This statement is subjective and inappropriate. Please avoid making derogatory remarks. Protection from them is necessary. A man is required to fight for us. Yet, women must be protected at all times when on the streets in Islamic society. A woman who follows the path of Allah may encounter challenges on the road, regardless of whether the perpetrator is Christian or Muslim” (ME7).*

One of the most crucial issues that fall under the theme of women is violence against women. The participants were asked whether violence against women exists within Islam, and the findings were quite informative. Three participants asserted that there is violence against women in Islam; one participant even expressed a desire to beat females; one participant stated that some women are deserving of violence; and another participant claimed that Muslims approve of beating women. On the other hand, some participants averred that there is no violence against women in Islam. It should be noted, however, that over half of the respondents who expressed such sentiments provided justifications that condone violence against women. All the participants who claimed that there was no violence against women in Islam agreed on one point: that the Islamic world legitimizes violence against women for certain reasons based on religion, even if it is not supported by Islam.

The participants suggest that the justification for violence against women finds its basis in the Farewell Sermon of the Prophet Muhammad and a verse found in the Qur’an. Eight participants cited the verse as an example, whereas two participants mentioned the Farewell Sermon. Verse 34 of Surah Nisa states that women who may rebel should first be admonished, then left alone in bed and, if necessary, beaten. In the Farewell Sermon, the Prophet Muhammad emphasizes a woman’s obligation to safeguard her husband’s bed and property from unwanted guests. The two examples given most frequently by the participants were the Prophet’s statement: If someone not permitted enters your home, leave them alone on the bed, or in the absence of permission, lightly beat and warn them, and the verse from Surah Nisa, mentioned previously. The root of the spiral of Islam, women, and violence stems from these two directives. Muslims, including Islamic scholars, are still endeavoring to fathom the significance of the term ‘beat’ in the verse and the spoken words. According to some participants, the word “beat” in the verse does not necessarily mean physical assault but could imply other actions such as a stern warning, forcible shaking, or verbal castigation. Despite the contentions of some participants that the searches for meaning are mere cover-ups, two others believe that Islam permits women to be physically beaten in specific circumstances. On the other hand, it is noteworthy that there are men who are prone to violence, and this verse is a small license for them.

*“Today, I feel like even hitting some women... Women who go to places against men’s will, as mentioned by the Prophet in the Farewell sermon... There are men who are predisposed to violence. Yes, I believe that these verses provide a small permission for them” (MK9).*

One of the key discussions about the modernization of women in Turkey has been centered around the topic of veiling. Although some self-orientalist views imply that a modern woman should not wear a headscarf, which is seen as a symbol of backwardness, the headscarf has remained a contentious issue among religious conservatives. Today, the debate about headscarves in Turkish modernization and political life is still ongoing and remains unresolved. A question posed to the participants in this context was, “Do you regard the headscarf as a symbol of oppression and subjugation?” This perspective, also known as Orientalism, views Muslim women’s hijabs, along with their conservative dressing style, as a limitation on their freedom compared to that of Western women. Furthermore, this woman is compelled to wear the veil, restricting her from the public sphere. Over half of the respondents asserted that head-covering does not represent subjugation, whereas, in the West and some groups in our country, it is viewed as an oppressive symbol. The primary concept conveyed through this theme is that young girls wearing headscarves evoke particular associations. Another instance is the headscarf imposed on women by men’s coercion. Women cover their heads at the request of men when they get married or have boyfriends. In both of these cases, the participants regarded veiling as a sign of oppression.

Three participants highlighted that it is customary for the groups they labeled “enemies of religion, secularists, Westerners, those who abhor religion, and those who interpret female nudity as freedom” to hold this viewpoint. Social segments that view veiled women this way perceive them as second-class, constrained, and compelled to cover themselves, diminishing their significance. In this context, the Izmir example stands out. Three participants express their opinions about the secular lifestyle in the city, citing an example of “someone from Izmir or a disbeliever from Izmir” during their visit to Izmir. As a result, Izmir is considered to be a city with a high prevalence of such opinions. Three participants regard the veil as a symbol of freedom. It is important to note that the participants who wore the veil felt more secure and concealed.

Polygamy is one of the most commonly used arguments in Orientalism against women. To ascertain the participants’ views on the matter, they were questioned about their stance on the issue of polygamy in Islam and whether they regard it as mandatory. All participants stated that polygamy was not a requirement and emphasized that it was acceptable in the past. However, some characterize polygamy as sunnah, even though it is not a requirement. The topic of polygamy is characterized by a rather homogeneous view among

the participants. The vast majority of the participants express support for monogamy, and it is highlighted that the social factors that once permitted polygamy are now absent. Meanwhile, it is the participants' view that men desiring to marry multiple wives are not deemed sinful. It is still permissible for men to have up to four wives, if desired. To clarify, while polygamy is acknowledged in Islam and is not compulsory today, individuals who choose to have multiple wives should be shown respect.

One participant viewed the restriction barring women from having up to four husbands as a form of inequality. In his view, Islamic societies' permission for a man to have up to four wives, purportedly for women's protection, reflects that such societies are not secure for women. This notion posits that Islam needed to safeguard women because it lacked confidence in men, yet the remedy was entrusting women to another man. This can be seen in the following quotes of the respondents:

*“Why is it not permissible for a woman to have four husbands?” On the other hand, when a man marries four women, we recognize it as legitimate because women require protection as per the prevalent perception. What is the rationale behind the idea that a woman necessitates protection in an Islamic society? A woman must be safe when it comes to her honor. However, according to Islam, women are not safe in this Islamic society without being accompanied by a male protector” (MK5).*

### **Religious Clerics**

Following the modernization movements and the closure of Dervish Lodges, religious education was forced underground, with clergymen being regarded as a hindrance to modernization and hence losing their reputability with the people. In the context of self-orientalist thought, clergymen were considered responsible for backwardness and narrow-mindedness, and were viewed as one of the hindrances to progress. It is crucial in this context to comprehend the contemporary perception of clergymen by society. The participants were asked whether religious teachers, clergymen, or imams are trustworthy in society. Before anything else, it should be emphasized that this theme has the richest data. It is worth noting that only one participant expresses trust in clergymen. This is a significant finding. According to one participant, a teacher's reliability may depend on factors including their notoriety. For instance, Yaşar Nuri Öztürk was perceived as trustworthy, while another said that only very experienced and nationally recognized teachers could be trusted. Indeed, almost all of the participants responded with expressions such as “not trustworthy, close to untrustworthy, most of them are not trustworthy, charlatan, fortune teller, exorcist, and harasser.” The most notable example of the clergy's unreliability was the issue of harassment. According to four participants, clergymen lack credibility in today's society due to the news of

harassment reported in the press. Apart from exorcism or mediumship, it was stressed that there is a prevalent culture of fear in society, in which children sent to religious teachers to learn the Qur'an face harassment. A participant reported being unable to send their child to a Qur'anic course due to fear, citing the Ensar Foundation as an example.

Public distrust of the clergy is supported by obvious arguments. The foremost of these reasons is that clergymen are perceived to be associated with politics. Instances of clergymen taking up high positions in the state or traveling in official cars have created a perception that they cannot remain impartial towards authority and monetary matters. The relationship that clergymen have developed with authority and position, or their longing to achieve media attention, compels them to issue fatwas that will be acceptable to society. An additional point often emphasized is the clergy's low level of education and their inadequate ability to interpret religious principles in present times. In addition, it is believed that clergymen should possess knowledge that is not limited to religious teachings but also includes fundamental societal issues. As per this notion, clergymen with inadequate education and knowledge found a solution by using the expression "It's not allowed".

The link between clergymen and politics was formed through theologians and people with a background in Imam Hatip. Nearly half of the participants state that being a theologian is a key to opening all doors in today's world. This view argues that appointing clergymen to bureaucratic positions regardless of merit undermines their prestige. This is supported by the fact that FETÖ was previously viewed as a religious group.

*"Yaşar Nuri was embraced by secular Kemalists in this country. According to some, Yaşar Nuri was considered the person who caused the greatest harm to religion. He even issued a fatwa declaring headscarves unnecessary and worked in persuasion rooms. Conversely, religious groups welcomed Mustafa Islamoğlu and regarded him as trustworthy. However, if you ask the secularists, they consider Islamoğlu as a bigot and a reactionary" (MK11).*

### **Islamophobia**

Based on the study's data, particularly the data concerning the clergy, it is necessary to highlight the presence of Islamophobic attitudes in Turkey. Given the discriminatory ideas and stereotypes associated with Orientalist thought concerning Islam, the impact of such attitudes on society is significant. Therefore, the participants were asked whether Islamophobic attitudes exist in Turkey. All the participants expressed that there is Islamophobia in Turkey. It is worth noting from the study's perspective that participants hold similar views on clergy and Islamophobia. It appears that the participants who stressed Islamophobia put emphasis on specific themes. The government,

Syrian immigrants, media, clergy, secular thought, and artists can be listed as contributing factors. The essential point to highlight is that individuals who harbor hostility against Islam tend to have a Westernized perspective, desire a Westernized way of life, and observe their native country through a Western lens. The respondents describe people who exhibit hostility towards Islam using terms such as “hypocrites disguised as Muslims”, “infidels masquerading as Muslims”, “individuals who do not practice what they preach and flout Islamic rules”, “secularists” or “Muslims who show reluctance in adhering to Islamic principles”. While the government, Syrian immigrants, and clergymen are viewed as indirect factors contributing to the growth of anti-Islam sentiment, the study participants characterized artists, the media, and the secular left as anti-Islamic groups. It is worth noting that FOX TV was highlighted repeatedly throughout the study. As reported by the participants, the channel being discussed and other channels, such as TV 8, have an increasing impact on Islamophobia with their partial news.

Another significant factor is the presence of Syrian immigrants. The arrival of Syrians in our country is believed to have caused an increase in anti-Islamic behavior. The participants reported that society encountered the “other” Muslims through Syrians. However, due to the widespread coverage of crimes against Syrians in the press, the reaction that should have been aimed at immigrants was instead directed toward Islam. Here, while reactions against Syrians are directly aimed at religion, they are indirectly targeted at the AK Party government. It is emphasized that the AK Party’s self-reference to Islam has led to a rise in Islamophobia in Turkey. Another reason is that those who are dissatisfied with the ruling party tend to direct their reactions toward Islam. The subject here is the conflict over Islam and secularism between the Kemalist, secularist, leftist section and the religious, conservative Islamist section.

Less than half of the participants provide examples of the enrichment of staff in power, news on corruption, and specifically the events that occurred from December 17-25. Another highlighted issue is the excessive construction of mosques. Although it is believed that the government constructs mosques symbolically, even though no congregation exists in them, it is widely emphasized that this practice causes public loss. Another example was the appointment of theologians and clergymen to bureaucratic roles during this period. The concept associated with Islamophobia that was emphasized the most was the notion of ‘merit’. In this context, clergymen, who are perceived as being associated with the government, are the group most commonly emphasized with respect to this theme. Another example cited was the rise of Islamophobia due to the opening of a significant number of Imam Hatip schools.

The remarks of the two participants are important in terms of revealing

the polarization that is perceived to exist in Turkey and the motives of both sides. However, although the participant identifies himself as an ‘Atatürkist Muslim,’ he asserts that he does not feel aligned with either perspective. This notion suggests that the two sides in Turkey express their respective ideological viewpoints symbolically. For instance, the Izmir Anthem is one notable example in this regard.

*“I am an Atatürkist Muslim”. However, those who identify as Kemalists believe that modernity entails carrying a wine glass and wearing miniskirts and straps, which is a subjective evaluation. Religious individuals are described with phrases like ‘you are open; you are such and such’... I even overheard someone stating, ‘I am not willing to believe in the God they believe in’ (MK7).*

*“The Izmir anthem was played from the minarets in Izmir. Although the Izmir anthem is not significant, it can be played as it represents all of us. However, it should not be played from the minaret” (ME9).*

## Conclusion

Self-orientalism refers not only to the Eastern view that the West is a superior civilization to be achieved but also to analyzing one’s authentic identity, politics, culture, or art through Western parameters. Regarding Turkish modernization, this analysis has developed into criticism and imitation. This way of thinking originated from Ottoman intellectuals, but it adopted a Jacobin fanaticism with the Republican intelligentsia. In contrast to the modernity that emerged in the West, the modernization in Turkey was a top-down movement rather than a bottom-up one, involving bureaucratic elites in its implementation. Furthermore, in the Republic, the civil servants were also self-orientalists. This study collected data from 21 civil servants in order to understand the thought patterns of the self-orientalists among the civil servants who played an active role in the perpetuation of Orientalism. The data was analyzed based on the themes of Violence, Women, Clergy, and Islamophobia.

Regarding violence, opinions diverge on whether Islam is a religion of peace or violence. Participants who believe Islam is a violent faith assert that Turkey is the most progressive nation in the Middle East, citing Atatürk and the principle of secularism as reasons. Nonetheless, participants who stressed that Islam is a religion of peace noted that some Muslims act violently. The viewpoints of the participants are notably influenced by Islamic extremist groups, as well as the prescribed penalties such as amputation for theft and stoning. Although a small group of participants attributed the establishment of these organizations to Western sources, a considerable number of participants believe that Muslims use victimization as a shield.



Similar dichotomies exist regarding the issue of women. Most participants believe that there is no gender equality in Islam and that the religion's teachings endorse violence against women. A comparable emphasis is apparent regarding women's veiling. Topics like women's clothing, social interactions with men, and participation in mosque activities have predominated over theological concerns. Once more, examining practices like the compulsory veiling of women, the restriction of women's travel without men, and the exclusion of females from education and professional life, a widely held belief about the connection between men's faith and the suppression of women comes to light. In Turkey, more notably, almost all sects have detailed discussions concerning women. These topics range from female students receiving lessons from male teachers, women's access to mosques, and whether women can wear red headscarves. These instances demonstrate how religion signifies humanity, primarily women, and how men use the removal of women to safeguard their self-esteem. The impacts of the sects on the societal perception of women and the debates mentioned above have had a significant influence on the views of the participants regarding women's issues, as highlighted by the women's theme of the study.

Although the majority of the participants indicated that the veiling of Muslim women is not an emblem of oppression or repression, they also emphasized that women who are veiled at a tender age by their families or spouses are the epitome of constraint. The opinions regarding polygamy are more consistent. The participants believe that polygamy originated in the historical context of Islam out of exigency and holds no significance in the present time. However, the participants regard polygamy in contemporary times as a concealed trait of wealthy industrialists and not as a wrong act.

Regarding this study, it is possible to conclude that the clergymen portray the most significant self-orientalist representations. The majority of the respondents hold unfavorable views toward clergymen. Clergymen have been referred to by the respondents as jinn, exorcists, sorcerers, magicians, charlatans, ignorant, and cowards, yet the mainstream opinion connotes clergymen as politicians. The most notable discovery regarding this topic is that clergymen are connected to child molestation.

Considering all this data, it is essential to examine the existence of Islamophobia in Turkey. Indeed, as per all the participants, there is Islamophobia in Turkey. The ruling party is identified as the primary catalyst for the escalation of Islamophobia in Turkey. This perspective posits that the responses to the Ak Party's excessive use of religion-based discourses, giving privileges to clergymen, and launching a significant number of Imam Hatip Schools have been directed at religion rather than the government. The surge of deism and atheism is attributed to the growing anti-religious sentiment, particularly among young adults. As another reason, Syrian immigrants are

mentioned. According to the participants, the influx of Syrians in Turkey has led to a rise in anti-Islamic sentiment pertaining to reports of their involvement in criminal activities. Religious clergies are also involved in this context. According to the text, the government's appointment of clergymen to top bureaucratic positions without meritocracy leads to anti-Islamism. In this context, the government, clergy, and Syrians may be regarded as indirect causes of Islamophobia. The actors are defined as 'secularists', 'Kemalists', 'hypocrites who look like Muslims', 'infidels who look like Muslims', and 'those who do not believe as they live and do not live as they believe', according to the text. As per the text, a part of the participants attributes the motive behind the increasing anti-Islamic sentiments to the perception that they struggle to accept the appearance of the conservative religious segment during this period.

The media's role in the rise of anti-Islamism, particularly FOX TV and TV8, is highlighted. The media fuels anti-Islamic sentiments by perpetuating stereotypes of Islamic terrorism or portraying individuals wearing veils, turbans, and robes. A Haber, on the other hand, is viewed as a channel that seeks to portray Islamic culture and Muslims favorably. This contrast of assigning blame and absolving between A Haber and FOX TV is demonstrated in various dichotomies throughout this study. In fact, it should be noted that several dichotomies that appeared during the study can be interpreted within the self-orientalism framework, for instance, Kemalism and Religiosity, CHP and AK Party, FOX TV and A Haber, mini skirt and headscarf, Yaşar Nuri Öztürk and Mustafa Islamoğlu, Nazım Hikmet and Necip Fazıl, İzmir Anthem, and adhan, and İzmir and Konya. These dichotomies in the minds of the participants represent self-orientalism and its object, the internal Orientals, and are also politically significant for Turkey.

Evaluating the study from a holistic perspective reveals that the participants exhibit three primary inclinations. Fewer than half of the participants display self-orientalist discourses openly, and fewer than half have a defensive stance towards them. Over half of the participants perceive self-orientalism as a haven for Muslims and respond to the rhetoric of the "West's game" with vulgar language. This group urges the Islamic world and Muslims to reflect on themselves; however, it also highlights the threat of self-orientation causing conformist reactionaryism. Basically, this concept implies that there is a need for a new approach to discussing self-orientation.

## REFERENCES

- Akın, M. H. (2018). İki modernleşme arasında Türkiye’de siyasal kültür değişmesi ve medya. *Türkiye İletişim Araştırmaları Dergisi*, (30-Medya ve Demokrasi), 154-164.
- Baloğlu, B. (2015). Bir çelişkiyi anlamak din ve şiddet, *Diyanet Aylık Dergi*, Sayı 289, 20-23.
- Baran, T. (2014). *1937-1938 Yılları arasında basında Dersim*. İletişim Yayınları.
- Bezci, B., Çiftçi, Y. (2012). Self-oryantalizm: İçimizdeki modernite ve/veya içselleştirdiğimiz modernleşme. *Akademik İncelemeler Dergisi*, C. 7, S. (1), 139-166.
- Çiftçi, Y. (2012). Türkiye’de self oryantalizmin nesnesi olarak Kürtler. Sakarya Üniversitesi, Sosyal Bilimler Enstitüsü. Yüksek Lisans Tezi.
- Evstatiev, S. (2008). “Balancing text and context in Arabic and Islamic studies: overcoming the accusations of Orientalism”, *Continuity And Change İn The Realms Of Islam*, Leuven-Paris-Dudley Ma, 221-243
- Göregen, M. (2017). Oryantalist İslam yorumlarının psiko-sosyal temelleri. *Türkiye İlahiyat Araştırmaları Dergisi*. 1 (1), 32-42.
- Hanioğlu, Ş. (2012). *Kemalist Oryantalizm*. (2022, Kasım 4) Sabah.<https://www.sabah.com.tr/Yazarlar/Hanioglu/2012/02/12/Kemalist-Oryantalizm>
- Hoff, K. (2009). The Orient tastes strange: the relationship between cuisine and culture in the context of East Asia. Viyana University, Dissertation Thesis.
- Karataş, Z. (2015). Sosyal bilimlerde nitel araştırma yöntemleri. *Manevi Temelli Sosyal Hizmet Araştırmaları Dergisi*, 1(1), 62-80.
- Köse, M., Küçük, M. (2015). Oryantalizm ve öteki algısı. *Sosyal ve Kültürel Araştırmalar Dergisi*, 1 (81), 107-127.
- Pratt, M. L. (1991). Arts of the contact zone. *Profession*, New York, 33-40.
- Said, E. (1998). *Oryantalizm*. (Çev. Nezih Uzel). İrfan Yayınevi.
- Turner, B.S. (2002). *Oryantalizm, postmodernizm, globalizm*, (Çev. İbrahim Kapaklıkaya). Anka Yayınları.
- Türkdoğan, O. (2008). *Osmanlı’dan günümüze Türk toplum yapısı*. Timaş Yayınları.
- Uğurlu, S. (2005). Oryantalizmin Türk kültürüne etkileri. Yayınlanmamış yüksek lisans tezi. Sakarya Üniversitesi, Sosyal Bilimler Enstitüsü.



# *Chapter 6*

## **ETHNIC CONFLICTS IN SOUTH ASIA: RELIGION, POLITICS, AND BEYOND**

*Elif GÖZLER ÇAMUR<sup>1</sup>*

---

<sup>1</sup> Dr. Öğr. Üyesi, İzmir Demokrasi Üniversitesi, elifgozler1@gmail.com, 0000-0003-2394-1447

## Introduction

The realm of ethnic conflicts, as witnessed across the globe, is characterized by profound complexity and multifaceted causation. An ambitious journey of exploration into the intricate dynamics underpinning ethnic conflicts is embarked upon in this study, transcending the boundaries of time and geography. Primary focus is firmly placed on the rich and diverse landscapes of South Asia, with particular attention given to the tumultuous terrains of India and Sri Lanka.

Ethnic conflicts, as will be understood, are not mere products of single isolated factors but rather the outcomes of an intricate interplay of political manoeuvrings, economic disparities, cultural distinctions, and the profound influence of religious forces. In this holistic exploration, the complexities that have shaped these conflicts, leaving indelible imprints on the societies in which they emerge, is unravelled.

At the centre of this investigation lies an in-depth scrutiny of religion's paradoxical role as both a unifying and divisive force within the context of ethnic conflicts. The subtleties of how religious identities, traditions, and ideologies can be potent catalysts, sparking the fires of discord, and conversely, serving as beacons of hope and unity amid the chaos are comprehended.

Alternative perspectives, such as the instrumentalist and modernist approaches, will be utilized to unravel the craftiness of political elites who, for their strategic objectives, deftly manipulate ethnic and religious identities, further entangling the web of ethnic conflicts.

Beyond the religious and political realms, the profound sociological underpinnings that often remain obscured by the more conspicuous elements are recognized. While religious differences frequently assume centre stage, the broader sociological landscape, encompassing economic rivalries, labour relations, historical legacies, and social structures, is encompassed by this study. Each of these elements contributes its own complexities to the intricate characteristics of ethnic conflicts.

As the different dimensions of ethnic conflicts are navigated, the ultimate aim is to offer a comprehensive, in-depth understanding of their multifarious causes. In doing so, a contribution is made to a deeper comprehension of these complex phenomena, fostering a path toward effective resolution and lasting peace.

Ethnic conflicts are complex phenomena, driven by a myriad of factors that encompass politics, economics, culture, and religion. This study explores the multifaceted nature of ethnic conflicts, examining the intricate interplay of these factors in various contexts, primarily focusing on India and Sri Lanka. In this study, the core elements that contribute to ethnic conflicts will be explained with a particular emphasis on religion's role as a catalyst. How religion can

both unite and divide communities, shaping the course of conflicts in South Asia will be explored. Additionally, this study will touch upon alternative perspectives, such as the instrumentalist and modernist approaches, shedding light on the manipulation of ethnic and religious identities by political elites for their own ends. Lastly, the sociological factors that underpin ethnic tensions, acknowledging that conflicts often arise from issues beyond religious differences, such as economic competition and labour relations will be discussed. By the end of this exploration, a comprehensive understanding of the complex causes of ethnic conflicts will be provided emphasizing the need for a holistic approach to their analysis.

### **A Historical Background**

Ethnic conflicts may arise due to various factors, depending on the environment, which encompasses different determinants. These conflicts can be rooted in religious motivations or may be more closely associated with competition for resources or interests in various cases. According to Wolff, there are four main categories of factors that contribute to ethnic conflicts. These include structural factors, such as the presence of weak states unable to control their territory; the state's internal security concerns, such as potential secessionist movements; ethnic geography, which involves territorially concentrated ethnic groups; political factors, which can influence discriminatory policies or exclusionary nationalist movements; economic factors, typically tied to the unequal distribution of labour opportunities based on ethnic backgrounds; and finally, cultural factors that can mobilize people towards the preservation or assimilation of a particular ethnic group's language, religion, traditions, and more (Wolff, 2006: 68).

According to Horowitz, religion is regarded as what "knits people together", can serve as a catalyst for ethnic conflicts (Horowitz, 2000:15). The concept of religion holds different meanings across various parts of the world. In the modern Western perspective, it is considered as an act of faith and a voluntary choice, influenced by Enlightenment principles. However, beyond the Western world, religion often constitutes an inherent and integral part of one's identity (Horowitz, 2000:50). Despite the challenges posed by modernity, religious systems have adapted modern methods to preserve their traditional values and objectives (Vanaik, 1997:70). It is argued that religious radicalism, bordering on fanaticism, is on the rise due to the modernization process eroding religious identities and traditional values. This phenomenon prompts religious minorities to turn towards their scriptures and symbols and mobilize themselves on a communal basis (Baxter, Malik, Kennedy, and Oberst, 2002:148).

In the context of South Asia, following the colonial era, different ethnic groups realized that they shared little in common to maintain their unity.

During this period, many states grappled with growing nationalist movements rooted in religious or linguistic demands. In some cases, these movements originated from pure religious motivations, as well as economic, political, and socio-cultural factors (Phadnis and Ganguly, 2001: 17).

In India, the religious perspective played a significant role in explaining conflicts. Hindu nationalists believed in the spiritual and distinctive nature of the Indian nation (Heehs, 1998: 99). Regarding nationalism, the concept of a Hindu nation as a single political entity can be considered relatively new (Nandy, Trivedy, Mayaram, and Yagnik, 1995: 56). However, from the late 1980s to the early 1990s, India witnessed an unprecedented rise in militant Hinduism characterized by its capacity for integration and socio-cultural differentiation, which appeared to be incompatible with this militant consciousness (Jaffrelot, 1996: 1).

Religious riots have posed a considerable challenge to India's traditional policy, given its secular character. Notably, Nehru and Gandhi both responded to this issue, with Gandhi tragically losing his life while attempting to quell Hindu-Muslim violence (Desai, 2000: 91). This secular policy was crafted by political elites to alleviate the fears of the Muslim minority and mitigate Hindu-Muslim conflicts. However, according to Varshney, The Congress party's commitment to secular nationalism encountered not only ideological opposition from Muslim nationalism but also faced internal competition from Hindu nationalism. Hindu nationalists did not object to the presence of Muslims in India but rather emphasized the importance of Muslims demonstrating their allegiance to India and acknowledging its predominantly Hindu cultural heritage. Although the Hindu nationalist faction wielded influence, it lacked the strength to replace the Congress's secular ideology or gain control over the formation of the state. Hindu nationalists remained in the periphery, biding their time for an opportunity to assert dominance in the governance of India (Varshney, 1991: 1002).

Despite being the largest minority, Muslims constitute one of the most marginalized segments of Indian society. This concentration of communal divisions has frequently led to religious riots (Baxter, Malik, Kennedy, and Oberst, 2002: 148). As a significant illustration of Hindu-Muslim conflict, the Ayodhya issue was perceived by Hindu nationalists as a struggle against secularists (rather than Muslims), who were perceived as using Muslims as a voting bloc. Similarly, the Babri Masjid issue was interpreted as part of this effort to foster a sense of community among Hindus (Ruud, 1996: 167).

Since the early twentieth century, Punjab, a northwestern state of India, has been marked by religious unrest. Sikh sectarian organizations began to emphasize a distinct Sikh identity, asserting Punjab as their homeland and Punjabi as their religious language. The Akali Dal, a prominent Sikh political



party, advocated for a Punjabi-speaking linguistic state and sought sovereign national recognition for the Sikh religious community. However, some radical elements within this movement launched a violent campaign, wielding sophisticated weapons in pursuit of a separate Sikh homeland known as Khalistan (Bose and Jalal, 1998: 225).

Following a militant Sikh uprising, the Indian government laid siege to the Golden Temple. Subsequently, Sikhs grew increasingly estranged from formal politics, leading to the assassination of Indira Gandhi by her Sikh bodyguards in a retaliatory act (Baxter, Malik, Kennedy, and Oberst, 2002: 150). Sikh political and religious leaders worked tirelessly to amass political influence, strengthen their territory economically, and establish a separate institutional sphere for their political activities by controlling their holy spaces, known as Gurudwaras. In this context, religion emerged as the most potent symbol within the Sikh movement (Brass, 1974: 415).

Similarly, Sri Lanka has shaken by ethnic conflict for various reasons involving the Tamils and Sinhalese communities. The roots of this conflict can be traced back to the sense of deprivation experienced by the Tamils, which was primarily driven by linguistic factors stemming from the colonial period. During British colonization, Tamils adopted the English language more extensively than the Sinhalese and were often employed in the colonial bureaucracy. However, following independence, the Sinhalese community sought to establish a dominant position in society, leading to simmering tensions and conflicts (Baxter, Malik, Kennedy, and Oberst, 2002: 369). In particular, the implementation of the Sinhala-Only Act acted as a catalyst for Tamil unrest, intensifying their demand for regional autonomy (DeVotta, 2002: 87).

In addition to the language issue, religion, particularly Buddhism, played a crucial role in Sinhalese nationalism. Buddhism and the Sinhalese identity became so closely intertwined that they began to be used interchangeably (DeVotta, 2004: 33). This Sinhala nationalism, fueled by religion, eventually contributed to the rise of Tamil militant nationalism. By the late 1970s, moderate leaders within the Tamil political movement had lost ground, and extremist militants gained power, establishing Eelam with an extensive network of organizational resources and funding to pursue their goals and maintain their entity (Chadda, 2004: 110).

### **Factors Behind the Communal Conflicts: Insights from India and Sri Lanka**

From these cases, one can infer that religion plays a pivotal role in the conflicts in India and Sri Lanka. For primordialists, Muslims are not merely a religious minority; their political, social, and historical experiences have shaped them into a distinct cultural entity. Primordialists also reject

the notion of Muslim separatism as merely an interest-based movement. According to this perspective, Muslims cannot separate politics from religion due to the constraints imposed by the historical and cultural symbols, as well as the political and religious ideals of Islam (Singh, 2000: 12). Similarly, in primordialist interpretations of Sikhism, religion is depicted as a significant source of mobilization for Sikhs, partly linked to the military operation conducted by the Indian army at the Golden Temple (Singh, 2000: 12).

The enduring nature of Hindu-Muslim conflicts can be readily understood by those who subscribe to the belief in the inevitability and naturalness of such conflicts between religiously and culturally distinct groups. Some Indian Muslim historians argue that the British colonial policy of “divide and rule” laid the groundwork for conflict in India. This conflict was primarily driven by struggles over housing, employment, access to food, and economic exploitation, rather than stemming from religious animosity (Wolpert, 1999: 577). From the perspective of instrumentalists, the colonial state often shaped ethnic identities by utilizing religion. However, these religious boundaries were often ambiguous and not consistently defined, with some Muslims having converted from Hinduism. Similarly, Sikhism has sought to establish clear distinctions between itself and Hinduism (Singh, 2000: 38).

The elite’s focus on utilizing cultural symbols as a significant aspect of instrumentalism plays a pivotal role in explaining ethno-religious mobilization in India. As Brass observed, “elites shape group consciousness by manipulating symbols of group identity to attain power for their group” (Jaffrelot, 1996: 80). In his view, political elites establish barriers such as language to secure advantages for their religious communities, even though, in reality, language has not been a significant hindrance to communication between religious groups (Brass, 1974: 229). Furthermore, as DeVotta pointed out, “The pervasive parochialism displayed by Sri Lanka’s elites consequently enabled some crafty governors to manipulate caste and religious divisions to perpetuate a mostly nominative as opposed to a completely elective system.” (DeVotta, 2002:35).

Despite some commonalities among Muslim and Hindu communities, elites emphasized religious differentiation in India, as Brass shows: “Up through the nineteenth century in India, both communities were characterized more by their internal differentiation than their internal religious unity. At the mass level, religious communication between and common worship among Hindu and Muslim believers were common” (Brass, 1974:126). These manipulations by elites resulted in Hindu-Muslim violence, portraying it as a religious conflict. However, in reality, the political motives of the elites remained the actual cause.

In another example, it was in the interests of the Muslim elites to argue that Muslims had a separate history from Hindus both before and during British

rule, in order to maintain their special privileges and assert that Muslims lagged behind Hindus, thus requiring special protection. Paradoxically, this contradictory argument, highlighting their historical and contemporary economic and political importance, served the elites' interests in terms of political administration. Especially in language matters, the use of Persianized Urdu in the offices, courts, and schools of the northern provinces served the interests of elites. This choice of language enabled Muslim elites to preserve their authority and limit others' access to positions of power in the main ruling institutions of the provinces (Brass, 1972:179).

In India, linguistic ethnicity has created a significant potential for ethnic group mobilization. Language issues are particularly crucial as a medium of instruction in education, as an issue related to the official language of state administration, and as the foundation for territorial redistribution of state boundaries (Phadnis and Ganguly, 2001:152). The Urdu language, associated with Muslim elites, has evolved into a religious symbol. Throughout the last century, Muslim cultural and political elites have encouraged all Muslims to identify their language as Urdu rather than Hindi. They have also strived to secure the right for all Muslim students to be educated using Urdu as the medium of instruction (Brass, 1974: 411).

From another perspective, instrumentalists who analyse elite interests by pitting one ethnic group against another for electoral advantages face challenges in explaining the variations in the motivations of these elites in different cities. Even more significantly, as Varshney points out, "while it is plausible that elites can manipulate the masses into voting for candidate 'A' because candidate 'B' is from a different ethnic group, it is unbelievable that elites would manipulate these very masses to harm members of ethnic other groups and thereby put their own lives at risk." Additionally, politicians require the support of the masses in this complex political landscape. The elite-centered instrumentalist approach appears weak because it fails to incorporate these factors into its theory (Laitin, 2001:98).

Despite its shortcomings, the instrumentalist approach emphasizes that conflicts centre around issues related to political autonomy, economic and electoral privileges, and cultural demands rather than being rooted in primordial ethno-religious factors. As Brass has emphasized, communal conflicts are essentially political events that encompass various other forces when they are manipulated. Those involved in politics and the public sphere are unlikely to frame these conflicts as purely ethno-religious; for Brass, to do so would reveal not only their own shortcomings, those of their political organizations, and their inability to control riots when they occur, but also the broader functioning of a political system where the production of riots is as routine as interest articulation, mass mobilization, and electoral competition.

In fact, this production is embedded within these latter processes. Furthermore, the very act of explanation itself is a part of these processes that contributes to the creation and perpetuation of riots framed within a communal context (Brass, 2003:115).

Muslims' voting behaviour is a significant indicator in India, illustrating how a minority religious group can vote for a majority party. It was observed that Muslims predominantly supported the Congress until 1962. However, there was a decrease in Muslim support for the Congress party in the 1967 General Elections due to rising Muslim disaffection over issues such as the Urdu language, the increased level of communal violence, especially in the north, and the status of Aligarh Muslim University. In 1971, Muslims not only returned to the Congress Party but also voted in an unprecedented majority for Indira Gandhi, as she presented a strong secular image. Once again, there was a decline in Muslim votes in 1977, especially in North India, due to the Congress-Janata coalition (Brass, 1994:237). An important conclusion can be drawn from this observation of Muslim voting behaviour in India: as long as the political, cultural, and socio-economic demands of a minority religious community are met, they will not hesitate to vote for a party belonging to another religious group. In the final analysis, this underscores that the most crucial element for a religiously diverse community is the satisfaction of their political, cultural, and socio-economic needs, rather than purely religion.

The representation of minorities becomes a prominent issue. It is not surprising that there is a lack of connection between the minority's proportional presence in the government and the occurrence of Hindu-Muslim riots. However, according to Donald Horowitz, "There is a connection between minority representation and Hindu-Muslim riots but in no sense is this direct relationship between the number of Muslims in a cabinet and a regime's attention to Muslim concerns. Minority representation can mean both the tangible but narrow sense of ethnic office holding, as well as the broader sense of incorporating the concerns and interests of a given ethnic or racial group in the calculations of politicians belonging to a variety of groups." (Wilkinson, 2004: 134).

Beyond religion and in addition to political representation and demands for autonomy, communal violence arises from sociological issues as well. Groups of rootless, alienated, and unemployed young men, often found loitering in the streets of cities and towns, encounter an influx of migrants from rural areas and other parts of the country. These migrants lack kinship bonds and neighbourhood ties, being divided along caste or religious lines. The leaders of these young men's gangs wait for an opportunity to engage in violence, often enjoying the protection of communal leaders and local party bosses (Baxter, Malik, Kennedy, and Oberst, 2002:148).

Similar to the Tamil case, the key factors that politicized them revolved around employment, representation, and language policies (Rajagopalan, 2001, 69). For example, when the Official Language Act of 1956 designated Sinhala as the sole official language in Sri Lanka, Tamils became concerned that they would not be eligible for government jobs that required proficiency in Sinhala. This economic exclusion of Tamils inevitably became a major source of conflict in Sri Lanka. High-status government jobs were predominantly held by Sinhala speakers due to the official language status of Sinhalese, raising concerns among Tamil speakers about their community's access to government employment. In this case, the language and education policies of the Sri Lankan government contributed to a sense of deprivation among Tamil youths. These marginalized youth held the government responsible for their unemployment, which in turn contributed to their involvement in the guerrilla war and escalated conflict in the eastern and northern regions of the country. Additionally, they faced challenges in comprehending the legal proceedings conducted by the government, which had begun to be conducted in Sinhala. They also feared exclusion from the commercial life of society, which was conducted in Sinhala. For instance, the type and quantity of development projects were unfairly distributed in Tamil areas. The most effective projects, such as free trade zones, were located in Sinhalese areas, and Tamils did not receive an equitable share of these available development projects. Furthermore, they believed that they did not benefit from the employment opportunities generated by these projects (Baxter, Malik, Kennedy, and Oberst, 2002:369-371).

In this context, the Indian case is not an exception. Commercial interests, economic competition, or labour relations can indeed serve as causes of conflict in India among different religious groups. The rivalry and economic competition between Muslim and Hindu businessmen form the foundation of conflicts in Aligarh, India. Interestingly, the Minorities Commission, in its report on the 1978 riots, highlighted that “the economic rivalries between groups of businessmen from the two communities, who thrive in the lock-making industry in Aligarh, may be the reason behind the tension that led to the riots.” The media also reported that “business rivalries between Muslims and upper-caste Hindus have contributed to the growing animosity.” Furthermore, the attempts by real estate developers to acquire valuable land, occupied or owned by Muslims, and the efforts of Hindu commercial interests played a crucial role in the emergence of these conflicts (Brass, 2003: 203).

Regarding labour or business relations, cooperation, dependency, and competition between Hindus and Muslims emerge as significant factors when examining conflicts. In India, Hindus have long dominated the modern industry and business sectors. Meanwhile, Muslims have primarily occupied artisanal manufacturing and wage-earning positions, working for and producing goods for Hindu businessmen. The growing involvement of Muslims in commercial

activities, trades, and industries traditionally dominated by Hindus raised concerns and resentment among some Hindu businessmen. As Brass pointed out, “competition between Hindus and Muslims in the same traditional trades—such as butchering—has been a factor providing recruits from particular castes and *baradaris* for riotous activity against each other.” There is also evidence to suggest that wealthy Hindu businessmen exploit the labour of impoverished Muslim artisans and strategically use communal riots to their advantage, intentionally planning assaults for economic gain. It is common among both Muslim and Hindu businessmen to exploit the vulnerability of their laborers from different religions during riots to manage labour disputes, increase laborers’ dependence, and reduce job security, benefits, and wages in exchange for secure employment (Brass, 2003: 215).

Conflicts can depend on a multitude of factors and categorizing conflicts between different religious groups as solely a “religious conflict” would be an oversimplified interpretation. While many conflicts between these groups may initially appear religious in nature, the underlying issues leading to these conflicts require a detailed examination. It is essential to acknowledge that influential elites can sometimes frame social and economic problems in religious or ethnic terms. As Kaufman pointed out, “The truth, however, is that while economic grievances are always present, in ethnic conflicts they are expressed in ethnic terms” (Kaufman, 2008: 205).

### **Conclusion**

Religion, as both a unifying and divisive force may have a certain effect on fuelling the ethnic conflict. It is observed how religious identities can serve as powerful catalysts for ethnic tensions. Also, alternative perspectives were indicated for unveiling the instrumentalist and modernist approaches that shed light on the manipulation of ethnic and religious identities for political gain. Furthermore, it is acknowledged that the role of sociological factors, such as economic competition and labour relations, in fuelling these conflicts, recognizing that they often extend beyond mere religious differences.

The causes of ethnic conflicts are examined in this study, with political autonomy and socio-economic demands identified as the primary factors contributing to conflict production. Adopting instrumentalist and modernist approaches, the roles of elites and the struggles for economic resources are recognized as crucial elements in the emergence of conflicts.

This study offers a comprehensive exploration of ethnic conflicts, with a primary focus on the South Asian regions of India and Sri Lanka. It delves into the intricate web of factors that contribute to these conflicts, spanning politics, economics, culture, and religion. The analysis begins by highlighting the role of religion as both a unifying force and a source of division, examining how religious identities can become catalysts for ethnic tensions. It also considers

alternative viewpoints, such as instrumentalist and modernist approaches, which elucidate the manipulation of ethnicity and religion by political elites. Furthermore, this study recognizes the sociological underpinnings of ethnic conflicts, acknowledging that these tensions often stem from issues beyond religious differences, including economic competition and labour relations. In sum, this exploration offers a holistic perspective on the multifaceted causes of ethnic conflicts, emphasizing the need for nuanced analysis to understand these complex phenomena fully.

As case studies, Sikh-Hindu and Muslim-Hindu conflicts were examined in India, and the Tamil-Sinhala conflicts were explored in Sri Lanka. In India, Sikh demands for religious and regional autonomy in Punjab were suppressed by the secular Indian government. Similarly, Muslims have been denied cultural and political rights and have been excluded from economic opportunities, resulting in economic deprivation.

In the Sri Lankan case, the demands of Hindu Tamils regarding official language and representation issues were rejected by the majority Buddhist Sinhalese government due to fears of the educated Tamil population seeking secession. Consequently, this policy by the Sri Lankan government led to a bloody conflict led by the Tamil Tigers.

Considering the role of nationalism and religion in mobilizing the masses, it is apparent that even though these conflicts are rooted in political or socio-economic factors, they are often framed in ethnic or religious terms to achieve the community's objectives. For these reasons, the factors influencing conflicts between ethnically or religiously diverse groups should be examined from political and sociological perspectives to arrive at a more accurate conclusion. It becomes evident that ethnic conflicts are inherently multifaceted, defying simplistic categorizations. They demand a holistic approach that considers the intricate interplay of all these elements.

## REFERENCES

- BAXTER C., MALIK Y., KENNEDY C., OBERST R.** (2002), *Government and Politics in South Asia*, Westview Press
- BOSE S. and JALAL A.** (1998), *Modern South Asia- History, Culture, Political Economy*, Routledge
- BRASS P.** (1974), *Language, Religion and Politics in North India*, Cambridge University Press
- BRASS P.** (1994), *The Politics of India Since Independence*, Cambridge University Press
- BRASS P.** (2003), *The Production of Hindu Muslim Violence in Contemporary India*, university O Washington Press
- CHADDA M.** (2004), “Between Consociationalism and control: Sri Lanka” in Schneckener U., Wolf S.(eds), *Managing and Settling Ethnic Conflicts- Perspectives on Successes and Failrues in Europe, Africa and Asia*, Hurst&Co. Publishers
- DEVOTTA N.** (2002), “Illiberalism and Ethnic Conflict In Sri Lanka” in *Journal of Democracy Volume 13, Number 1 January 2002*
- DEVOTTA N.** (2004), *Blowback-Linguistic Nationalism, Institutional Decay, and Ethnic Conflict in Sri Lanka*, Stanford University Press
- DESAI M.** (2000), “Communalism, Secularism an the Dilemma of Indian Nationhood” in Leifer M.(ed), *Asian Nationalism*, Routledge
- HEEHS P.** ( 1998), *Nationalism, Terrorism, Communalism- Essays in Modern Indian History*, Oxford University Press.
- HOROWITZ D.** (2000), *Ethnic Groups in Conflict*, University of California Press
- JAFFRELOT C.** (1996), *The Hindu Nationalist Movement and Indian Politics- 1925 to the 1990s*, Hurst&Co.
- KAUFMAN S.** (2008), “Ethnic conflict” in P. Williams, *Security Studies*, Routledge
- LAITIN D.** (2001), “The Theoretical Contribution Of *Ethnic Conflict And Civic Life*” in *Commonwealth & Comparative Politics*, Vol.39, No.1 (March 2001), pp.96–141, Frank Cass, London
- NANDY A., TRIVEDY S., MAYARAM S., YAGNIK A.**, (1995), *Creatin a Nationality*, Oxford University Press
- PHADNIS U., GANGULY R.** (2001), *Ethnicity and Nation- Building in South Asia*, Sage Publications
- RAJAGOPALAN S.**(2001), *State and Nation in South Asia*, Lynne Rienner Publishers



- RUUD A.** (1996), "Contradictions and Ambivalence in the Hindu Nationalist Discourse in West Bengal" in TØNNESSON S. and ANTLÖV H. (eds), *Asian Forms of the Nation*, Curzon
- SINGH G.** (2000), *Ethnic Conflict in India- A Case-Study of Punjab*, Palgrave
- VANAIAK A.** (1997), *The Furies of Indian Communalism- Religion, Modernity and Secularization*, Verso
- VARSHNEY A.** (1991), "India, Pakistan, and Kashmir: Antinomies of Nationalism" in *Asian Survey*, Vol. 31, No. 11 (Nov., 1991), pp. 997-1019, University of California Press
- WILKINSON S.** (2004), *Votes and Violence- Electoral Competition and Ethnic Riots in India*, Cambridge University Press
- WOLFF S.** (2006), *Ethnic conflict- A Global Perspective*, Oxford University Press
- WOLPERT S.** (1999), "*Multiculturalism in History India, the Multicultural Paradigm*" in *Orbis*, Fall, 1999



# *Chapter 7*

## **TYPES OF HUMOUR AND THEIR FUNCTIONS: FROM INFANCY TO EARLY CHILDHOOD**

*Burcu Soy TELLİ<sup>1</sup>*

Humour is defined as any kind of comic production that individuals perceive or produce with cognitive effort, and that causes an emotional reaction such as a smile or laughter by enjoying the result (Martin, 2007). As can be understood from the definition, humour has a multi-dimensional structure including cognitive (perception), social (interaction), emotional (joy) and behavioural (smile/laughter) aspects. Early humour research in young children consists of behavioural measures, based on observational methods, that examine the laughing/smiling responses of infants during the first year of life (Sroufe & Wunsch, 1972; Washburn, 1929). Humour development in children was first examined in the cognitive dimension by Paul McGhee (1979) through theoretically based experimental studies. McGhee mostly examined school-age children in his studies, but in recent years, the reactions of even a few-month-old infants to humorous items have been included in the developmental science.

One of the most important features of humour is its age-specificity and diversity from infancy to early childhood. Although it shares basic dimensions such as cognitive, social, emotional and behavioural, humour shows diversity specific to developmental periods throughout life. As age increases, jokes that are considered funny may no longer be considered funny. For example, the peekaboo, which babies laugh at in the first year of life, may lose its meaning in the preschool years. Four-year-olds may express that they find this game silly. This shows that humorous elements are not funny on their own, but depend on the perceivers. In the first years of life, the most important variable in typically developing children is age. The aim of this chapter is to define the types of humour that children understand and produce from infancy to preschool years and to shed light on the functions of humour in early childhood. Making this classification may benefit parents, teachers, researchers and clinicians on how humour can be used functionally in real-world practices.

### **Clowning**

Studies investigating what infants laugh at in the first year of life and how often this laughter is repeated have found that play-based humour such as tickling, peek-a-boo, chasing, and mimicking someone's facial expression excessively are highly entertaining to infants (Reddy & Mireault, 2015). Clowning, also known as infant clowning, is defined as behaviour that is mostly non-verbal, absurd, exaggerated, that violates normality and that is aimed to amuse and entertain (Reddy & Mireault, 2015). The first forms of infant clowning begin to appear from the third month onwards in a social interaction in which parents initiate the playful behaviour and the infant is in a passive perceiving position (Mireault, Poutre, et al., 2012; Reddy & Mireault, 2015). As both their mobility and verbal skills such as screams or monosyllabic repetitive words increase, infants who perceive these funny games turn into infants who produce them. Longitudinal studies have shown that humour

production emerges from seven month of age when interacting with parents in the home environment (Reddy, 2001). A group of infants from 7 to 11 month and another group from 8 to 12 month were recorded during interactions with their mothers at home. The funny behaviours that the infants produced the most, had fun while producing them and deliberately repeated the behaviours to make their mothers laugh, mostly consisted of head movements such as tucking the head into the neck and funny facial expressions based on imitation. At this point, we see that humour emerges in two ways even in the first year of life: humour appreciation/comprehension and humour production/creation. It is important to distinguish between these two situations in order to avoid theoretical complexity. While humour appreciation or comprehension is defined as capturing an absurd, inappropriate to the situation but funny humorous element, humour production or creation is defined as eliciting a behaviour containing absurd or inappropriate elements with the aim of making people laugh. While humour appreciation or comprehension is related to the cognitive dimension of humour, humour production or creation is related to the behavioural dimension of humour. Both humour appreciation and production provoke positive emotions and occur in a social context.

Bowlby (1982) stated that the smile arising from the social interaction between mother and infant supports secure attachment. Although humorous elements between mother and infant were not called infant clowning in those years, it was emphasised that it improved the emotional relationship between mother and infant due to the positive effect it elicited. The effect of infant clowning on attachment in infants under one year of age was first examined experimentally about 30 years later (Mireault, Sparrow, et al., 2012). The frequency of smiling and laughter arising from the interaction between mother and infant from 3 to 6 months was recorded and coded in the home environment. The researchers named this data obtained observationally as “state humour”. In addition, information about infants’ laughing/smiling behaviours was collected from mothers through a temperament questionnaire. This data was named as “trait humour”. When the infants were 1-year-old, the effect of both situational and trait humour on secure attachment was examined. Contrary to what was expected, infants who smiled less were more securely attached six months later. Since there is only one experimental study in this age group, more studies are needed for more accurate interpretations of the relationship between humour and attachment. There are also studies showing that humour-based play increases secure attachment with parents as children grow older (Bureau et al., 2014). Therefore, the relationship between humour and attachment may be age-specific.

Another function of infant clowning is that the eye contact established during the interaction increases the infant’s ability to pay and sustain attention. Parents’ laughter captures the attention of infants as young as 4 months during

humour-based play (Mireault et al., 2018). In a longitudinal study of laughter produced by infants and their mothers from 1 year to 3 years of age, infants have attracted their mothers' attention with their own laughter production and established a joint interaction when they are between 12 and 18 months of age (Mazzocconi & Ginzburg, 2022). Capturing attention through laughter does not necessarily mean that the infants make eye contact with their mothers at the same time, but laughter itself, draws infants' attention to their parents. Humorous situations in which there is both eye contact and vocal interaction may help infants to improve joint attention skills. Although the operational definition of joint attention varies (Siposova & Carpenter, 2019), it is basically defined as two people simultaneously paying and maintaining attention to another person, situation or event (Bakeman & Adamson, 1984). An example of joint attention is when a child ties a rope to a toy car, drives it and laughs at a situation where the rope suddenly breaks and the mother laughs at the same time while looking at both each other and the toy (Reddy et al., 2002). Such examples provide not only the formation of joint attention but also the socialisation of infants. However, there is a need to conduct such studies to have experimental evidences on whether humour mediates the formation of joint attention between parent and infant.

Finally, infant clowning improves learning through imitation. In infants as young as 8 months of age, humour production first occurs when they imitate other people (Hoicka & Akhtar, 2012; Mireault & Reddy, 2016b). Infants are more likely to repeat a behaviour that they find funny. Imitation-based humour production by infants and toddlers has been found to occur in both home and laboratory settings (Hoicka & Akhtar, 2012; Hoicka & Gattis, 2008). In one study, researchers taught 18-month-old infants how to reach a target toy (duck) with a tool (stick) (Esseily et al., 2016). In the experimental group, the experimenters suddenly threw the toy to the ground and smiled after reaching it, while in the control group, they reached the toy only with a stick. The infants in the experimental group laughed more at the demonstration they watched. Most importantly, the infants in the experimental group reached the target toy more. In conclusion, humour directly improved infants' motor skills and behavioural repertoire through observation and indirectly improved their cognitive skills such as attention, perception or memory.

### **Teasing**

Teasing is a behaviour pattern that appears in infants from 8 months, which is provocative and may have positive or negative consequences for the perceiver (Mireault & Reddy, 2016a). If teasing elicits a smile/laugh, it is considered as a form of humour whereas if it elicits crying, it is considered as a form of bullying (Mireault & Reddy, 2016a). That is, it is a fine line whether teasing can be considered as humour or not. One of the most popular examples of teasing initiated by infants or parents, eliciting laughter/smiles is to offer an

object and withdraw it (Hoicka & Akhtar, 2012; Soy Telli & Hoicka, 2022). In this example, if we make the other person laugh rather than get angry, we consider it as a humorous situation. Furthermore, teasing is not a behavioural pattern unique to the human species. Great apes also demonstrate similar examples of teasing (see Eckert et al., 2020 for a review).

One of the most important characteristics of teasing is to violate the expectations of others (Reddy & Mireault, 2015). For this reason, we actually discover other people's boundaries from an early age. For example, when an infant pulls their mother's hair, the reaction of the mother not only determines the likelihood of the behaviour being repeated, but also helps to learn the mother's rules. If the mother finds the infant's behaviour mischievous and laughs at it, the infant not only repeats the behaviour by laughing but also tests the mother's limits. In this respect, teasing may be used as a learning tool. At a later age, children begin to learn social norms as they learn their mother's rules. Parents have reported that children use vulgar words and behaviours such as poop, which are not welcome to express, to joke and have fun (Hoicka et al., 2022; Hoicka & Akhtar, 2012; Reddy, 2001). Children test how acceptable and funny a behaviour is. If others laugh at a child who thinks it is funny to put his feet on the table, they learn that this behaviour is socially acceptable and repeatable. However, if a child gets a negative reaction to the same behaviour, they will understand that it is not a joke, thus, is unacceptable. Rarely, children may continue to repeat situations in which people around them get angry just because it is funny. Therefore, teasing can be the first humorous form of learning social norms and rules.

One of the functions of teasing is to create intimacy and sociability between the child and his/her environment (Mireault & Reddy, 2016b). If the purpose of the teaser is to make others laugh and to laugh with them, regardless of their age, teasing may improve parental intimacy, friendship and social relationships. A study of 16-month-old toddlers examined social interactions with both their mothers and fathers separately in three different teasing scenarios (Labrell, 1994). The first scenario was to prevent toddlers to do a behaviour, the second one was to pretend to fight and the last one was to surprise them. According to the findings, toddlers displayed more teasing behaviour and had more fun with their fathers rather than mothers during the scenarios. Teasing acted as a buffer in the father-toddlers' relationship and brought them closer. In another study conducted with 13, 20 and 30-month-old children, 20 and 30-month-old children laughed more in a teasing condition rather than a play condition (Colle et al., 2023). The experimenters also gave children a free choice to test which condition (teasing vs. play) they would interact with more. Surprisingly, children did not prefer the experimenter with whom they laughed more. Thus, teasing did not create closeness or sociability with people who were completely strangers to them. As a result, it may be that while teasing develops intimacy in

child-parent relationships, especially in the first three years of life, it develops the child's relationships with strangers in later years.

Another function of teasing is that it can facilitate the understanding of others' mental states, such as imitation, intentions, goals, emotions or knowledge, known as Theory of Mind or social cognition. In other words, teasing may be the first humorous gateway into others' minds, allowing us to predict what they will laugh at and what they will be angry about. Nonverbal children understand the feelings or thoughts of others by focusing on eye movements, gaze or finger pointing (Mireault & Reddy, 2016a; Reddy & Mireault, 2015). Several studies have found that even infants as young as 7 months look longer and smile often at experimenters during the teasing game, which includes control conditions (Carpenter et al., 1998; Phillips et al., 1992; Striano et al., 2009; Striano & Vaish, 2006). Such gaze following studies were also applied in natural environments such as parks or museums and similar findings were obtained (Girbau & Skoler, 2020). This suggests that typically developing infants understand the purposes of others' actions through joint attention, but not infants with developmental or mental disorders (Phillips et al., 1992). Lack of attention, laughter or smiling to a teasing game may be a precursor to developmental disorders such as autism. Another socio-cognitive skill that children can learn during teasing play is understanding others' emotions. Since teasing can also lead to an offensive outcome, it can help children to predict whether it will evoke a positive or negative emotion in the other person. For example, in an infant-father interaction, the father's reaction was recorded when the baby boy pretended to offer a toy and immediately withdrew it (Reddy & Trevarthen, 2004). The baby boy repeated the similar behaviour over and over again because he felt that his father was being entertained rather than tricked. However, it is not until the age of two that young children realise that similar situations may lead to different emotions (Denham, 1986). Generally speaking, children become sad when a toy breaks. However, sometimes breaking a toy can make one child happy and another child sad. Some children may be happy to get a new toy to replace the broken one. To my knowledge, experimental studies are needed to show how teasing assists to understand different emotions in children under two years of age.

### **Joking**

Joking is a type of humour that emerges in the second year of life when children consider the mental states of others, such as intentions, knowledge, mistakes, etc. (Hoicka & Butcher, 2016; Hoicka & Gattis, 2008; Hoicka & Martin, 2016; Leekam, 1991). Examples of the jokes that children laugh the most in this age group are putting a glove on a foot, putting a glass on the head, and misnaming animals. From a theoretical point of view, joking involves the awareness of second level mental states (Leekam, 1991). When making a joke, the other person is deliberately told a situation that is not true and is expected



to identify this inaccuracy. As a result, our purpose is to make the others laugh. Leekam (1991) divided this inaccuracy into two as intentional ones (such as jokes, lies, pretence) and unintentional ones (such as mistakes) and named them as first level mental states. Leekam also categorised intentional falsehoods according to their purpose and called them second level mental states. For example, joking is done to make a person laugh, while lying is done to deceive a person. While a joker expects the perceivers to discover the incongruity in jokes, s/he does not want them to discover the incongruity in lies. For this reason, second level mental states are also shaped according to the first person's purpose. According to Leekam's theory, second level mental states including joking may be a gateway to other people's minds.

Based on this theory, research has explored the extent to which and at what age young children are able to recognise inaccuracies. One study, which examined whether toddlers can distinguish between jokes and mistakes with a vocal cue, found that even 19-month-old infants can recognise clearly displayed jokes and mistakes (Hoicka & Gattis, 2008). However, children aged 2 years and older were able to recognise more ambiguous jokes and mistakes. The most important aspect of this study is that children reproduced the jokes but corrected the mistakes. This suggests that children can distinguish between intentional and unintentional falsehoods. The distinction between two different forms of intentional falsehoods may be more challenging for young children. In this case, children need to focus on the intention of the actor as well as the purpose of the behaviour. To test this, researchers conducted separate experimental designs whether young children differentiate intentional falsehoods such as pretending and joking (Hoicka & Butcher, 2016; Hoicka & Martin, 2016). The most known example of pretending, which also constitutes the basis of symbolic play, is pretending that a banana is a phone (Leslie, 1994). As in this example, a situation that does not exist in reality is intentionally presented, but the aim may not be to make people laugh, but to play a game or innocently deceive them. Research has found that children can distinguish between second-level mental states such as pretence and joking from the age of two years (Hoicka & Martin, 2016). With parental help, this distinction can even be made under the age of two years (Hoicka & Butcher, 2016). This suggest that parents' vocal cues such as intonation, stress, or the words they use may support children's understanding of the degree of accuracy and purpose of false statements.

The fact that young children not only understand jokes but also produce them has been the topic of developmental research. In a study examining the jokes of two- and three-year-old children in interactions with their parents, half of the 2-year-olds repeated the jokes they learnt from their parents, while the other half produced novel ones (Hoicka & Akhtar, 2012). However, there was a boost in producing novel jokes in 3-year-olds. There is an empirical evidence

that children's production of novel jokes from the age of three is not solely dependent on parents, but occurs in laboratory settings (Hoicka & Akhtar, 2011). Pre-schoolers also showed how creative they were in joke production in the interactions with experimenters. This suggests that it is ecologically valid for children to produce their own jokes from the age of two. The most common jokes produced by children in this age group were categorised into three types: object-based (using a toothbrush backwards), concept-based (making up nonsense words) and error-based (intentionally misnaming) (Hoicka & Akhtar, 2012). While there were no gender differences in joke production under the age of 3, boys preferred more aggressive jokes and girls preferred affiliative jokes between the ages of 3 and 5 (Groch, 1974). This may be the basis for the four humour styles and individual differences (Martin et al., 2003) that emerge during adolescence.

Humour, which emerges after the age of two and continues in preschool years, has many functions that can contribute to children's cognitive and socio-emotional development. The first of these functions is that humour develops a sense of trust in children. One study found that pre-schoolers are more likely to repeat the humorous behaviour produced by an experimenter who intentionally does something wrong (giving the wrong object) or says something wrong (mislabeled) and then laughs than an experimenter who does the same wrong thing but shows a sincere intention to say "There!" (Hoicka & Akhtar, 2011). This suggests that children trust the joke-teller experimenter more than the sincere one as well as understanding different intentions by looking at the cues. Furthermore, in the same study, an experimenter with a British accent was compared with experimenters with French and Italian ones. Pre-schoolers attended to the jokers who made intentional mistakes with their own accent, whereas they corrected the mistakes of those who spoke with the other accents. It is clear that there is an in-group-outgroup effect in children's joke production. In another study supporting these findings, older children (4-5 years old) interacted with two different experimenters (joker vs teacher) who made them laugh or taught them new information (Kotaman & Arslan, 2021). A third experimenter then asked children which of them they could trust more. Children found the experimenter who joked significantly more trustworthy. On the contrary, younger children (3-4 years) do not always find humorous situations trustworthy (Hoicka et al., 2017). The experimenters that children do not find humorous trustworthy are not the ones they interact with one-to-one, but rather the ones they watch in video clips. Therefore, direct interaction may be a prerequisite for humour to create a sense of trust.

One of the most important gains that children acquire with age is language development. Due to language acquisition, behavioural-based clowning and teasing in infancy are replaced by verbal jokes. One study found that children are sensitive to their parents' communicative cues, voice intonation or

emphasis during humour production (Hoicka, 2016; Hoicka & Wang, 2011). Case studies are appropriate to examine the role of linguistic features in the development of verbal jokes. One of the first case studies in the field consists of a recording of Kelly's jokes between the ages of 1-4 while her language was still developing (Horgan, 1981). Kelly, respectively, violated semantic meanings, played funny phonological games, produced nursery rhymes, and began to make up riddles. As she grew up, Kelly's cognitive abilities improved more complex, enabling her to create a variety of jokes. Other case studies obtained similar findings (Cameron et al., 2008; Johnson & Mervis, 1997). Based on such case studies exploring a close relationship between language development and humour, joking plays an important role in the development of pragmatics (Hoicka, 2014). Pragmatics is a capacity to use language wisely and successfully in social interactions (Bates, 1976). Joking may not always be funny for both the joker and the perceiver. For this reason, learning where, when and to whom children should joke supports the development of pragmatics. For example, when a 3-year-old child imitates his/her grandmother's speech or facial expressions and laughs, it may amuse both himself/herself and his/her family. However, doing the same joke to an older adult neighbour may cause the child to be accused of being spoiled rather than playful. Therefore, in addition to entertaining children and detecting incongruous structures, joking also teaches children contextual appropriateness.

Another important function of joking is to help children to understand other people's mental states. This is called social cognition or Theory of Mind (Beer & Ochsner, 2006; Premack & Woodruff, 1978). For example, we do not tell a joke to the same person twice because we know that the other person knows the content of the joke and that it will not make them laugh. Thus, we know the other person's knowledge. Similarly, based on a previous joke, we can understand what kind of jokes the other person likes or dislikes and avoid jokes that may create negative emotions in the person. Some researchers theoretically argued that socio-cognitive skills such as other people's desires, emotions, intentions, beliefs, false beliefs or knowledge can be acquired through humour from a young age (Hoicka & Akhtar, 2012; Mireault & Reddy, 2016a). The most comprehensive study to test this empirically has longitudinally examined the reciprocal relationship between humour and socio-cognitive skills in children aged 3-47 months (Soy Telli & Hoicka, 2022). As a result of the measurements taken on the basis of comprehension and production of jokes, there was a positive relationship between humour and social cognition. Humour predicted social cognitive skills according to the data obtained when the parents completed the same surveys six months later. Children who joked more with their parents understood the mental states of others better in the following years. However, the similar finding could not be found in a laboratory setting. This suggests that the relationship between humour and

social cognition in young children may be sensitive to who children interact with. In studies with older children, the laboratory environment captured the relationship between humour and social cognition. For example, when a funny context was compared to a non-funny context, 5-year-olds recognised others' false beliefs more easily than 3-year-olds (Mayes et al., 1994). This suggests that humour plays a role in preschoolers' understanding of others' goals, emotions, intentions or beliefs.

The question of whether humour can be used as a teaching method through jokes has not been directly examined, but some studies suggest that humour can be beneficial for educational purposes, especially for young children. Researchers found that storybooks aimed at 1-to-2-year-olds were more likely to contain jokes, and organised sessions in which parents read books with jokes and without jokes to their children (Hoicka et al., 2008). Parents displayed some differences in their words and sentences when reading books containing jokes. These differentiations are actually structures which show that parents do not believe the situations in the story since they are jokes. As a result, this helped young children to better understand abstract situations and to develop belief-based language. Moreover, although humour is a universally accepted phenomenon, each country may have humour masters who have local features people find funny and jokes or riddles that are passed down from one generation to other. Research suggests that the use of local humour masters, especially in preschool education, will support children's humour development. Also, children with language developmental disorders would benefit if preschool teachers encourage humour (Fitzgerald & Craig-unkefer, 2008). Although preschool teachers have opinions that humour cannot be used for teaching purposes, they also stated that they have not received any formal training on this topic (Yilmaz & Erden, 2022). This suggests that humour can be used in teacher training programmes before it is included in preschool curriculum.

Finally, whether humour or jokes can be used for clinical purposes is based on a theory of humour known as Relief Theory (McGhee, 1979). Just as many therapists use muscle relaxation techniques to reduce stress, Relief Theory suggests that laughter can provide relief from stressful life events because it activates the muscular system in the body. In fact, in therapy sessions with school-age children, the most popular jokes chosen by the children have been shown to help them overcome their emotional problems (Yorukoglu, 1974). However, when we turn our attention to younger age groups, we find that jokes are more likely to occur in hospital rooms than in therapy sessions (Dowling, 2002; Frankenfield, 1996). Jokes and laughter have been discussed as a coping mechanism for stress in young children struggling with illness. Funny dialogues between health workers and children to alleviate their pain and ache show that humour can be also beneficial for well-being.

## Irony

Irony is a more complex cognitive structure in early childhood compared to other types of humour. Just like jokes, they are sarcastic expressions shared between at least two people that contain unexpected inconsistencies (Angeleri & Airenti, 2014). Irony is a type of humour we use when we want to express the complete opposite of the situation we express. The difference between jokes and irony is expressed as follows: According to one account, irony is used to criticize other people's misfortunes in a destructive way (Toplak & Katz, 2000), while according to some other theorists it is actually used to mitigate harsh criticism (Dews et al., 1995). From this theoretical perspective, the sharp difference of irony from other types of humour is that it contains a critical component. Irony occurs in two ways: verbal and gestural. When their mother burns a fruitcake in the oven, the child says, "Great! Now we have a brownie!" is an example of verbal irony, and the child's clapping when his little brother breaks his toy is an example of gestural irony.

Understanding of irony occurs as early as 3 years of age. In one study exploring the extent to which ironic expressions are understood in Italian children aged 3-6 years, four different scenarios were presented (Angeleri & Airenti, 2014): The first scenario was labelled as control, the second one as joke, and the third and fourth ones as contingent and background irony, respectively. Contingent irony refers to an ironic situation shared by two people. For example, when one of the two children playing basketball misses a basket and the other replies "Your shot was very good". In background irony, on the other hand, one of the parties to the ironic situation expressed does not necessarily share that situation. For example, the sibling of a child who breaks a plate says, "My mother will be very happy about this". In reality, the mother is not there, she did not witness the event, but she is the subject of irony. Based on these examples, contingent irony is about taking the first and second person perspectives, while background irony is about taking the third person perspective. In this study, it was found that even 3-year-olds understand contingent irony, and that children understand more complex forms of irony as they get older. Similar findings in pre-schoolers have been found both in the home environment (Recchia et al., 2010) and in different ethnic backgrounds and cultures (Jemielniak & Bokus, 2019; Loukusa & Leinonen, 2008). In one study examining children's production of their own ironic expressions, gestural irony emerges at the age of 4 and verbal irony emerges at the age of 5 (Pexman et al., 2009). The task applied in this study took place among three family members, one parent and two siblings. That is, social context plays an important role in the production of irony.

Second-level mental states may be a prerequisite for children to understand or produce irony (Dews & Winner, 1997; Happe, 1993). That is, more advanced mind-reading skills may require better use of irony. Pre-schoolers

aged 5-6 years reported that they understand other people's negative intentions and may criticize without being harsh through ironic expressions (Dews & Winner, 1997). Therefore, irony may be used as a different communication tool in this age group. Irony allows children to express what they wanted to say in a more humorous way, thinking that the other people will take offense. In this respect, it can be said that irony helps children to master the figurative use of language. In addition, while criticizing through humour allows them to act in a controlled manner while expressing their emotions, it may also prevent the deterioration of their social relations.

### **Conclusion**

This chapter presents the types and functions of humour understood and produced by young children from infancy to early childhood. The aim of the chapter is to discuss the contributions of these humour types to children's cognitive, emotional and social development. Infant clowning, which occurs in the first six months of life, improves secure attachment, infants' attention skills and learning processes through imitation. Teasing, which occurs in the second six months of life, contributes to the understanding of social norms, prevents social isolation by creating intimacy with others and strengthens the development of socio-cognitive skills. By the age of two, joking leads to the extent to which they could trust others, how to use language pragmatically and more sophisticated socio-cognitive skills. In addition, previous research suggests that humour may be beneficial during preschool years for educational and clinical purposes. Irony, which emerges by the age of three, assists the acquisition of second-level mental states, develops the figurative use of language and provides emotional control for children. Also, irony is partly responsible for the development of a critical perspective in children. This suggests that parents, researchers, teachers and practitioners should pay more attention to this area considering the inputs of humour to child development.

## REFERENCES

- Angeleri, R., & Airenti, G. (2014). The development of joke and irony understanding: A study with 3- to 6-year-old children. *Canadian Journal of Experimental Psychology*, 68(2), 133–146. <https://doi.org/10.1037/cep0000011>
- Bakeman, R., & Adamson, L. B. (1984). Coordinating attention to people and objects in mother-infant and peer-infant interaction. *Child Development*, 55(4), 1278–1289. <https://doi.org/10.2307/1129997>
- Bates, E. (1976). *Language and context: the acquisition of pragmatics*. Academic Press.
- Beer, J. S., & Ochsner, K. N. (2006). Social cognition: A multi level analysis. *Brain Research*, 1079(1), 98–105. <https://doi.org/10.1016/j.brainres.2006.01.002>
- Bowlby, J. (1982). *Attachment and loss: volume 1: Vol. I* (2nd ed.). Basic Books.
- Bureau, J., Yurkowski, K., Schmiedel, S., Martin, J., Moss, E., & Pallanca, D. (2014). Making children laugh: Parent-child dyadic synchrony and preschool attachment. *Infant Mental Health Journal*, 35(5), 482–494. <https://doi.org/10.1002/imhj>
- Cameron, L. E., Kennedy, K. M., & Cameron, C. A. (2008). “Let me show you a trick!”: A toddler’s use of humor to explore, interpret, and negotiate her familial environment during a day in the life. *Journal of Research in Childhood Education*, 23(1), 5–18. <https://doi.org/10.1080/02568540809594642>
- Carpenter, M., Nagell, K., Tomasello, M., Butterworth, G., & Moore, C. (1998). Social cognition, joint attention, and communicative competence from 9 to 15 months of age. *Monographs of the Society for Research in Child Development*, 63(4), 1–174. <https://doi.org/10.2307/1166214>
- Colle, L., Grosse, G., Behne, T., & Tomasello, M. (2023). Just teasing! - Infants’ and toddlers’ understanding of teasing interactions and its effect on social bonding. *Cognition*, 231, 105314. <https://doi.org/10.1016/j.cognition.2022.105314>
- Denham, S. A. (1986). Social cognition, prosocial behavior, and emotion in preschoolers: Contextual validation. *Child Development*, 57(1), 194–201. <https://doi.org/10.2307/1130651>
- Dews, S., Kaplan, J., & Winner, E. (1995). Why not say it directly? The social functions of irony. *Discourse Processes*, 19, 347–367. <https://doi.org/10.1080/01638539509544922>
- Dews, S., & Winner, E. (1997). Attributing meaning to deliberately false utterances: The case of irony. In C. Mandell & A. McCabe (Eds.), *The problem of meaning: behavioral and cognitive perspectives* (pp. 377–414). Elsevier B.V.
- Dowling, J. S. (2002). Humor: A coping strategy for pediatric patients. *Pediatric Nursing*, 28(2), 123–131.
- Eckert, J., Winkler, S. L., & Cartmill, E. A. (2020). Just kidding: The evolutionary roots of playful teasing. *Biology Letters*, 16, 1–11. <https://doi.org/10.1098/rsbl.2020.0370>

- Esseily, R., Rat-Fischer, L., Somogyi, E., O'Regan, K. J., & Fagard, J. (2016). Humour production may enhance observational learning of a new tool-use action in 18-month-old infants. *Cognition & Emotion*, 9931(May), 1–9. <https://doi.org/10.1080/02699931.2015.1036840>
- Fitzgerald, K. L., & Craig-unkefer, L. (2008). Promoting humor with prekindergarten children with and without language impairments in classroom settings. *Young Exceptional Children*, 11(4), 13–25. <https://doi.org/10.1177/1096250608320290>
- Frankenfield, P. K. (1996). The power of humor and play as nursing interventions for a child with cancer: A case report. *Journal of Pediatric Oncology Nursing*, 13(1), 15–20. <https://doi.org/10.1177/104345429601300105>
- Girbau, D., & Skoler, T. (2020). Infant's gaze in a teasing task with an experimenter or parent: A naturalistic approach. *Scandinavian Journal of Psychology*, 61, 535–542. <https://doi.org/10.1111/sjop.12630>
- Groch, A. S. (1974). Joking and appreciation of humor in nursery school children. *Child Development*, 45(4), 1098–1102. <https://doi.org/10.2307/1128101>
- Happe, F. G. E. (1993). Communicative competence and theory of mind in autism : A test of relevance theory. *Cognition*, 48, 101–119. [https://doi.org/10.1016/0010-0277\(93\)90026-R](https://doi.org/10.1016/0010-0277(93)90026-R)
- Hoicka, E. (2014). The pragmatic development of humor. In D. Matthews (Ed.), *Pragmatic development in first language acquisition* (pp. 219–238). John Benjamins Publishing Company.
- Hoicka, E. (2016). Parents and toddlers distinguish joke , pretend and literal intentional contexts through communicative and referential cues. *Journal of Pragmatics*, 95, 137–155. <https://doi.org/10.1016/j.pragma.2015.10.010>
- Hoicka, E., & Akhtar, N. (2011). Preschoolers joke with jokers, but correct foreigners. *Developmental Science*, 14(4), 848–858. <https://doi.org/10.1111/j.1467-7687.2010.01033.x>
- Hoicka, E., & Akhtar, N. (2012). Early humour production. *British Journal of Developmental Psychology*, 30(4), 586–603. <https://doi.org/10.1111/j.2044-835X.2011.02075.x>
- Hoicka, E., & Butcher, J. (2016). Parents produce explicit cues that help toddlers distinguish joking and pretending. *Cognitive Science*, 40(4), 941–971. <https://doi.org/10.1111/cogs.12264>
- Hoicka, E., Butcher, J., Malla, F., & Harris, P. L. (2017). Humor and preschoolers' trust: Sensitivity to changing intentions. *Journal of Experimental Child Psychology*, 154, 113–130. <https://doi.org/10.1016/j.jecp.2016.10.006>
- Hoicka, E., & Gattis, M. (2008). Do the wrong thing: How toddlers tell a joke from a mistake. *Cognitive Development*, 23(1), 180–190. <https://doi.org/10.1016/j.cogdev.2007.06.001>
- Hoicka, E., Jutsum, S., & Gattis, M. (2008). Humor, abstraction, and disbelief. *Cognitive Science*, 32, 985–1002. <https://doi.org/10.1080/03640210801981841>



- Hoicka, E., & Martin, C. (2016). Two-year-olds distinguish pretending and joking. *Child Development, 87*(3), 916–928. <https://doi.org/10.1111/cdev.12526>
- Hoicka, E., Soy Telli, B., Prouten, E., Leckie, G., Browne, W. J., Mireault, G. C., & Fox, C. (2022). The Early Humor Survey (EHS): A reliable parent-report measure of humor development for 1- to 47-month-olds. *Behavior Research Methods*. <https://doi.org/10.3758/s13428-021-01704-4>
- Hoicka, E., & Wang, S. (2011). Fifteen-month-old infants match vocal cues to intentional actions. *Journal of Cognition and Development, 12*(3), 299–314. <https://doi.org/10.1080/15248372.2010.542215>
- Horgan, D. (1981). Learning to tell jokes: A case study of metalinguistic abilities. *Journal of Child Language, 8*, 217–224. <https://doi.org/10.1017/S0305000900003135>
- Jemielniak, N. B., & Bokus, B. (2019). Children's comprehension of irony: Studies on Polish-speaking preschoolers. *Journal of Psycholinguistic Research, 48*(5), 1217–1240. <https://doi.org/10.1007/s10936-019-09654-x>
- Johnson, K. E., & Mervis, C. B. (1997). First steps in the emergence of verbal humor: A case study. *Infant Behavior and Development, 20*(2), 187–196. [https://doi.org/10.1016/S0163-6383\(97\)90021-7](https://doi.org/10.1016/S0163-6383(97)90021-7)
- Kotaman, H., & Arslan, M. (2021). Whom to trust : Joker or teacher. *European Journal of Developmental Psychology, 18*(3), 350–366. <https://doi.org/10.1080/17405629.2020.1788534>
- Labrell, F. (1994). A typical interaction behavior between fathers and toddlers: Teasing. *Early Development and Parenting, 3*(2), 125–130. <https://doi.org/10.1002/edp.2430030209>
- Leekam, S. R. (1991). Jokes and lies: Children's understanding of intentional falsehood. In A. Whiten (Ed.), *Natural theories of mind: Evolution, development and simulation of everyday mindreading* (pp. 159–174). Basil Blackwell.
- Leslie, A. M. (1994). Pretending and believing: Issues in the theory of ToMM. *Cognition, 50*, 211–238. [https://doi.org/10.1016/0010-0277\(94\)90029-9](https://doi.org/10.1016/0010-0277(94)90029-9)
- Loukusa, S., & Leinonen, E. K. (2008). Development of comprehension of ironic utterances in 3- to 9-year-old Finnish-speaking children. *Psychology of Language and Communication, 12*(1), 55–69. <https://doi.org/10.2478/v10057-008-0003-0>
- Martin, R. A. (2007). The psychology of humor: An Integrative Approach. In *Elsevier science & technology* (pp. 1–30). Elsevier Academic Press. <https://doi.org/10.1016/b978-012372564-6/50020-4>
- Martin, R. A., Puhlik-doris, P., Larsen, G., Gray, J., & Weir, K. (2003). Individual differences in uses of humor and their relation to psychological well-being: Development of the Humor Styles Questionnaire. *Journal of Research in Personality, 37*, 48–75. [https://doi.org/10.1016/S0092-6566\(02\)00534-2](https://doi.org/10.1016/S0092-6566(02)00534-2)
- Mayes, L. C., Klin, A., & Cohen, D. J. (1994). The effect of humour on children's developing theory of mind. *British Journal of Developmental Psychology, 12*, 555–561. <https://doi.org/http://dx.doi.org/10.1111/j.2044-835X.1994.tb00655.x>

- Mazzocconi, C., & Ginzburg, J. (2022). A longitudinal characterization of typical laughter development in mother–child interaction from 12 to 36 months: Formal features and reciprocal responsiveness. *Journal of Nonverbal Behavior*, 46(4), 327–362. <https://doi.org/10.1007/s10919-022-00403-8>
- McGhee, P. E. (1979). *Humor, its origin and development*. W.H. Freeman and Company.
- Mireault, G. C., Crockenberg, S. C., Heilman, K., Sparrow, J. E., Cousineau, K., & Rainville, B. (2018). Social, cognitive, and physiological aspects of humour perception from 4 to 8 months: Two longitudinal studies. *British Journal of Developmental Psychology*, 36(1), 98–109. <https://doi.org/10.1111/bjdp.12216>
- Mireault, G. C., Poutre, M., Sargent-Hier, M., Dias, C., Perdeu, B., & Myrick, A. (2012). Humour perception and creation between parents and 3- to 6-month-old Infants. *Infant and Child Development*, 21, 338–347. <https://doi.org/10.1002/icd>
- Mireault, G. C., & Reddy, V. (2016a). Humor and its socio-emotional emergence. In G. C. Mireault & V. Reddy (Eds.), *Humor in infants: developmental and psychological perspectives* (pp. 31–44). Springer International Publishing. [https://doi.org/10.1007/978-3-319-38963-9\\_4](https://doi.org/10.1007/978-3-319-38963-9_4)
- Mireault, G. C., & Reddy, V. (2016b). The development of humor. In *Humor in infants: developmental and psychological perspectives* (pp. 11–22). Springer International Publishing. <https://doi.org/10.1007/978-3-319-38963-9>
- Mireault, G. C., Sparrow, J., Poutre, M., Perdue, B., & Macke, L. (2012). Infant humor perception from 3- to 6-months and attachment at one year. *Infant Behavior and Development*, 35(4), 797–802. <https://doi.org/10.1016/j.infbeh.2012.07.018>
- Pexman, P. M., Zdravilova, L., Mcconnachie, D., Deater-Deckard, K., & Petrill, S. A. (2009). “That was smooth, mom”: Children’s production of verbal and gestural irony. *Metaphor and Symbol*, 24(4), 237–248. <https://doi.org/10.1080/10926480903310286>
- Phillips, W., Baron-Cohen, S., & Rutter, M. (1992). The role of eye contact in goal detection: Evidence from normal infants and children with autism or mental handicap. *Development and Psychopathology*, 4, 375–383. <https://doi.org/10.1017/S0954579400000845>
- Premack, D., & Woodruff, G. (1978). Does the chimpanzee have a theory of mind? *The Behavioral and Brain Sciences*, 4, 515–526. <https://doi.org/10.1017/S0140525X00076512>
- Recchia, H. E., Howe, N., Ross, H. S., & Alexander, S. (2010). Children’s understanding and production of verbal irony in family conversations. *British Journal of Developmental Psychology*, 28(2), 255–274. <https://doi.org/10.1348/026151008X401903>
- Reddy, V. (2001). Infant clowns: The interpersonal creation of humour in infancy. *Infance*, 3, 247–256. <https://doi.org/10.3917/enf.533.0247>
- Reddy, V., & Mireault, G. C. (2015). Teasing and clowning in infancy. *Current Biology*, 25(1), R20–R23. <https://doi.org/10.1016/j.cub.2014.09.021>

- Reddy, V., & Trevarthen, C. (2004). What we learn about babies from engaging with their emotions. *Zero to Three*, 24(3), 24–28.
- Reddy, V., Williams, E., & Vaughan, A. (2002). Sharing humour and laughter in autism and Down's syndrome. *British Journal of Psychology*, 93(2), 219–242. <https://doi.org/10.1348/000712602162553>
- Siposova, B., & Carpenter, M. (2019). A new look at joint attention and common knowledge. *Cognition*, 189, 260–274. <https://doi.org/10.1016/j.cognition.2019.03.019>
- Soy Telli, B., & Hoicka, E. (2022). Humor and social cognition : Correlational and predictive relations in 3- to 47-month-olds. *Cognitive Development*, 64, 101245. <https://doi.org/10.1016/j.cogdev.2022.101245>
- Sroufe, L. A., & Wunsch, J. P. (1972). The development of laughter in the first year of life. *Child Development*, 43(4), 1326–1344.
- Striano, T., Stahl, D., & Cleveland, A. (2009). Taking a closer look at social and cognitive skills: A weekly longitudinal assessment between 7 and 10 months of age. *European Journal of Developmental Psychology*, 6(5), 567–591. <https://doi.org/10.1080/17405620701480642>
- Striano, T., & Vaish, A. (2006). Seven- to 9-month-old infants use facial expressions to interpret others ' actions. *British Journal of Developmental Psychology*, 24, 753–760. <https://doi.org/10.1348/026151005X70319>
- Toplak, M., & Katz, A. N. (2000). On the uses of sarcastic irony. *Journal of Pragmatics*, 32, 1467–1488. [https://doi.org/10.1016/S0378-2166\(99\)00101-0](https://doi.org/10.1016/S0378-2166(99)00101-0)
- Washburn, R. W. (1929). A study of the smiling and laughing of infants in the first year of life. *Genetic Psychology Monographs*, 6, 403–537.
- Yilmaz, B., & Erden, F. T. (2022). Exploring humour within the early childhood period from children's and teachers' perspectives. *Journal of Childhood, Education & Society*, 3(2), 151–167. <https://doi.org/10.37291/2717638X.202232168>
- Yorukoglu, A. (1974). Children's favorite jokes and their relation to emotional conflicts. *Journal of the American Academy of Child Psychiatry*, 13(4), 677–690. [https://doi.org/10.1016/S0002-7138\(09\)61369-8](https://doi.org/10.1016/S0002-7138(09)61369-8)



# *Chapter 8*

## **THE POSSIBILITY OF SPIRITUALITY AT WORK: SHOULD A LEADER HAVE A SPIRITUAL SIDE?**

*Saffet KARAYAMAN<sup>1</sup>*

---

<sup>1</sup> Doktor Öğretim Üyesi. Artvin Çoruh Üniversitesi, Arhavi MYO.

## Introduction

Historically, humans have lived in groups to protect themselves from danger and to survive. Having learned to achieve goals that they could not achieve individually as a member of a group, humans later benefited from the cooperation and internal dynamics of the group in every situation that was beyond them. In order to cope with the division of labor that developed over time and to be organized more easily, a manager class was needed, and in cases where managers were insufficient, the task of managing the group and achieving the goal was delegated to people designated as leaders. While holding the power of management, the leader has reached a privileged position that dominates the inner dynamics of the group members through a motivating interaction.

There is not yet a consensus in the literature on the concept of leadership, which is frequently used in everyday life, and each scholar has developed definitions of leadership to legitimize their own views. For example, Bennis (2016) defines leadership as a phenomenon that, like beauty or happiness, is difficult to define but can be known when seen. Unlike the concept of a manager, leadership is much more than the directing of a group of people towards a goal; it is a specific set of roles, including the ability to manage others through unique forms of influence. (Gordon and Yukl, 2004). Chemers (1997), who considers leadership as a form of social interaction, emphasizes that gaining the support of others to achieve a common goal is an important aspect of leadership. Based on the definitions in the literature, it can be determined that leadership emerges in a group with a certain organization, directs the interaction within the group and intentionally influences the members to achieve certain goals.

Yukl (2002), who argues that the most appropriate way to direct the group towards common goals is to support cooperation and relationships within the group, claims that the responsibility of guiding the group towards rational choices or convincing members that certain goals are achievable belongs to the leader. Although there are definitions in the literature that do not deny the influencing and directing role of the leader, there are also definitions that the emotions of the members are also important and that a leader who can touch their internal mechanisms is likely to be successful (Bennis, 2016; Bass, 1998; Bass & Avolio 1994).

There are several aspects common to the definitions of leadership. First, leadership is at the center of the group's interaction processes. The leader, who attracts attention with his/her personality traits and power of social influence, must persuade the group to conform to him/her and convince the majority of the group of the correctness of his/her thoughts and practices. The leader, who has the ability to use social influence, shapes the belief of the group members

in achieving the goal with the consistency of his/her actions and behaviors. The leader who does not hesitate to use different ways and means to achieve various goals is the first to take the triggering action; in this respect, the leader is aware that he/she is traceable to the extent that he/she encourages the members (Atwater & Bass, 1994; Stodgill, 1974, 1981). In social psychology, leadership is also defined as a qualifier, a character trait or a pattern of behavior that indicates the possession of a certain status. The diversity in the perception and definition of leadership stems from the fact that the concept encompasses the unlimited possibilities of human nature and human interaction with each other and the environment (Moxley, 2000). The diversity of these possibilities has led researchers to develop different perspectives on leadership. For example, Bennis (2016) gave importance to the personality and character differentiation of the leader; Stodgill (1974, 1981) focused on the behavioral patterns exhibited by the leader. At this point, one of the different theories explaining leadership is spiritual leadership. This topic will be discussed in the following section.

### **Spiritual Leadership as a Concept**

Workplaces are places where individuals with different thoughts and beliefs come together and operate for a common purpose. The observation of the phenomenon of spirituality in every part of life brings to the agenda the use of different elements such as spirituality and religion, spiritual leadership, which has developed based on the idea that there may be a leadership idea that motivates employees by emphasizing spiritual values in the workplace. In this respect, it is important to know the basic elements of spiritual leadership.

### **Spirit: The Gem of Spirituality**

Spirit, the essence of such a profound and abstract concept as spirituality, is derived from the Latin word 'spiritus', which means 'breath'. The concept is understood as the essence of vitality or the inner force necessary for sustaining life. This power is at the basis of impulses, motives and other intellectual structures that mobilize internal dynamics (Anderson, 2000). The soul, which connects people to life and is the source of their life energies, is also the abstract energy that mobilizes living beings and connects them to everything else (Fairholm, 1997). As a result of the deep and intense relationship with the essence of the human being, the soul, which guides the individual in the journey of understanding the truth, is the basic guide of all behaviors of the individual (Wilber, 1997).

Almost every thinker has expressed an opinion on the concept of the soul, which has caused deep debates in philosophy. Generally characterized as the intangible dimension of existence, the soul, unlike the body, has a structure that can maintain its vitality even after death. It is believed that all human experiences, orientations, wishes and desires originate from the soul. Rāgīb al-

Isfahānī, in his *al-Mufredāt*, describes the soul as a “breath” that constitutes the essence of existence and ensures the continuation of vitality. Although there are different views on the nature and creation of the soul, there are basically three views that explain the nature of the soul. One of them is that human beings are composed of bodily elements and that the soul is a tangible organ or entity that exists in the human brain, accumulates memories and gives human beings their identity. According to the other view, the human being is a combination of body and soul. In the last view, the soul takes on a completely abstract meaning and is described as an immortal being separate from the body (Yavuz, 2008). The third view on the nature of the soul constitutes the essence of the spiritualist movement that developed in the West (Şahin, 2001).

In ancient Turkish beliefs, it is believed that the soul, which is thought to have an abstract structure, has some hidden and superior properties, while some creatures in nature represent the soul of supreme powers or some objects (mountains, rivers, lakes, etc.) have their own souls. The belief that nature has its own spirit harboring hidden and transcendent powers was also the subject of the Orkhon inscriptions; the word *sacred*, which is referred to as earth-water in the inscriptions, was used in a sense representing the spirit (Günay & Güngör, 2015). With the transition of Turks to Islam, there were radical changes from the past belief in the soul. The belief in the soul, which developed from the view that the soul and the body coexist in Islam and that the soul was breathed into human beings as a created essence, has a diversified understanding with different theological interpretations. For example, in Sufism, the soul is the aspect of the human being that knows, perceives, seeks, or influences the abstract (Uludağ, 1996). On the other hand, according to theologians, the soul, which is a transcendent, inner and spiritual substance, continues to exist after death (Yavuz, 2008).

### **Relationship between Religion and Spirituality**

Religion, which is generally defined as efforts to bring order and happiness to life, is the attainment of balance and goodness in life by following certain religious practices and teachings that take their source from a divine power with a certain will (Harman, 1994). Spirituality, on the other hand, is related to the transcendent qualities of human beings such as love, patience, forgiveness, compassion, responsibility, harmony and tolerance that individuals offer both to themselves and to those around them. In this respect, spirituality is the essence of the concept of religion and is essential for its existence. Religion, on the other hand, is not necessary for the existence of the spiritual domain. Fry (2003), who argues that the link between spirituality and religion is altruism, states that spirituality encompasses religion and religion is included in the spiritual domain. Reave (2005), who states that spirituality is a democratic field and that all religions and beliefs can exist within this field, argues that



respecting other ideas and loving people as a whole points to spirituality, while following doctrines that appeal to a certain group points to the concept of religion. In this sense, it can be said that spirituality represents a very general transcendence and can include different teachings rather than a single religious doctrine (Baltacı & Coşkun, 2019).

Spirituality also emphasizes the possibility that the human soul, which is vulnerable and powerless, can be integrated with a transcendent power or that a relationship with the transcendent is possible. The possibility of communication with the transcendent has a directing effect on human life (Zellers & Perrewe, 2005). The principles, doctrines and dogmas that make up the structure of religion lose their validity in the spiritual sphere. One is confronted with transcendent power in the spiritual realm, and here one has a highly abstract, subjective and extraordinary experience that is probably difficult to replicate. In this respect, spirituality is highly personal and the subjective experience cannot be easily expressed; however, the individual can enter the religious sphere by using various religious practices to relive this experience. Thus, the individual who carries his/her own spiritual search into the religious sphere instrumentalizes religious doctrines and practices in order to grasp the meaning of his/her life and make it meaningful (Zinnbauer, Pargament & Scott, 1999).

While searching for the meaning of life, the individual experiences intense spiritual questioning. The process of realizing one's own potential to attain the meaning of life and establishing a vital balance involves a highly dynamic process of inner questioning. In this process, the individual first forgets and forgives the negativities of the past and focuses on the transcendent experience that he or she is likely to have in the future. The will to experience also includes the individual's quest to reach the vital source through an inner questioning. In this respect, spirituality is actually a journey of the individual towards himself/herself (Pargament, 2011). Religious teachings, prayers and worship are tools that carry the individual to the next level in his/her inner journey and bring the individual to balance and peace. Thus, religion creates an important ground for spirituality and increases the possibility of the individual to have a spiritual experience within a certain discipline (Tacey, 2004).

Since spirituality enables individuals to sharpen their existing values and establish their relationships with other people in a certain consistency, workplaces with employees who have spiritual values have a structure that is open to development and learning and prone to teamwork. In workplaces where spirituality is valued, there is a humanistic understanding in which the needs and wishes of the audience that they serve are taken into consideration as well as the inner journey of the individual. In such workplaces, there should be a leadership approach that is committed to a certain value system and is aware of the inner peace that a spiritual experience brings to people (Fry & Cohen, 2008; Fry, Nisiewicz, Vitucci, & Cedillo, 2007).

## Dimensions of Spiritual Leadership

With the developing technology, capitalist consumption culture and the use of social media have increased, and daily solutions based on pleasure have started to be produced, especially to reduce the stress caused by work life. The effort of postmodern life to dominate the culture of consumption has led the individual to loneliness and new identities that are increasingly isolated and withdrawn from society have been observed. All these developments have pushed postmodern people into a spiritual search, and the importance of shaping workplaces, where individuals spend a significant amount of time in their daily lives, with spiritual values has become evident.

Moxley (2000), who argues that spiritual leadership is a combination of body, mind, emotion and spirit, states that these concepts represent the concrete and abstract existence of human beings. Moxley states that if these four elements, which he refers to as the dimensions of spiritual leadership, are balanced in employees, maximum efficiency can be obtained from them, and if any of them is missing, the employee will not be satisfied with his/her job and will not perform. Spiritual leadership is an important management approach that increases the balanced behavior of the individual in the group, the sense of belonging to the group and the quality of communication within and outside the group. Spiritual leadership is based on the idea that each member of the group is sacred and that their dedicated work will make a difference for the organization (Meng, 2016).

The pleasure and satisfaction obtained in work and working life directs the whole life of the individual and is a necessity for him/her to continue his/her life in a balanced way. The pleasure derived from work is not only material returns; material returns provide pleasure for a certain period of time. On the other hand, the spiritual pleasure experienced at work not only connects the employee to the job, but also makes it easier for him/her to be satisfied with his/her life. Spiritual leadership includes preventing employees from acting on purely material motives and working to bring them to an inner happiness. In this way, spiritual leaders act as a guide for their employees and as an intermediary who leads them to inner peace. As long as the spiritual leader is open to communication, a balanced organizational climate will develop and it will be easier for him/her to access the emotions of the employee and invite him/her to a spiritual journey. In addition, the spiritual leader can create a harmonious workplace culture to the extent that he appreciates the positive aspects of the employee and creates opportunities for him to improve his negative aspects. In this respect, the spiritual leader should be able to create an intense sense of belonging in the employee (Fry, 2003; Fry, Vitucci, & Cedillo, 2005).

## Spirituality at Work

Like all structures that make up society, workplaces are also affected by the beliefs and lives of employees. The desire of employees to create a workplace suitable for their lifestyle and beliefs or to maintain the values and practices they believe in at work is embraced by the humanistic management approach. In this respect, spirituality in the workplace is a phenomenon that has been frequently encountered recently (Mitroff & Denton, 1999).

Recently, managers are in search of value-laden understandings that will make their workplaces more meaningful and create a high motivational power in their employees, rather than material resources or leisure time activities that bring pleasure. In this respect, spirituality stands out with the value load it offers and its mechanisms to motivate employees (Fry, 2003). Managers who use the regulatory effect of spirituality in the workplace observe positive changes both in their relationships with employees and in realizing the goals of the workplace. Thanks to the spiritual adjustment programs prepared for more effective use of spirituality in the workplace, not only a positive personal development (job satisfaction, low stress, etc.) but also an increase in productivity in production activities is possible. By orienting employees to the spiritual sphere or strengthening spirituality in the workplace, employee absenteeism decreases and the likelihood of the employee leaving the job to take a different job increases (Giacalone & Jurkiewicz, 2003).

Fry (2005) argues that in workplaces where spirituality is valued, employees will be more efficient and productive since there is less pressure on employees and there is less likelihood of negative behavior, and claims that spirituality creates a unique ethical climate and that this ethical climate gives confidence to employees. Pfeffer (2003), who states that the search for spirituality in the workplace provides people with new learning situations, encourages the employee in self-confidence and professional competence, states that meaningful work that gives the employee a specific purpose, supports cooperation and teamwork, and positive social interaction with other employees is only possible with the creation of a spiritual space. Spirituality created in the workplace contributes both to one's own inner orientation and as a social being, to establish positive relationships in the workplace and to be productive and efficient.

The spiritual climate to be created in the workplace will enable the employee to know himself/herself and will ensure the formation of positive character traits such as caring, trusting and respecting others. In addition, in workplaces where spirituality is valued, quality leisure activities (reading groups, nature trips, group prayers, trips to holy places, yoga and meditation, etc.) are organized for employees, enriching their spiritual knowledge and increasing their loyalty to the workplace (Kurth, 2003).

Historically, work, which has a sacred meaning in almost all religions and beliefs, is a phenomenon that adds value to life and constitutes an important part of daily life. However, the concept of work may not have the same value and importance for everyone; at this point, there are different variables such as how the individual feels at work, the degree of satisfaction with his/her job or finding his/her job meaningful. Work, which directs people's lives, is also important in the effort to understand oneself and other people. Since a significant part of life is spent at work, a part of the effort to understand oneself takes place here. In this respect, the potential of workplaces to offer an environment or spiritual experience where employees can realize themselves is meaningful for the employee. In a management approach where spirituality is valued, the aim is for the employee to achieve personal development and maximize his/her potential. In this way, both the employee's commitment and productivity will increase and order and consistency will be created in the workplace (Neck & Milliman, 1994).

The postmodern way of life has dominated an understanding of risk in which it is not possible for people to live in safe social spaces with certain boundaries. In this period of increased uncertainty, weakened social ties between people and decreased sense of trust, employees do not feel safe in their workplaces (Cohen, 1996). Long and tiring working hours, communication problems among employees, a rigid and bureaucratic management approach, a constant state of crisis and work environments dominated by chaos destroy employees' sense of trust in their workplaces. In such an environment of uncertainty and insecurity, the employee's expectations from the workplace diminish, and he/she perceives himself/herself in a position to be easily consumed, to be expended at the first mistake he/she makes or to be fired for simple reasons. These negative situations in the workplace cause the employee to question life and turn to things that give meaning to life, thus trying to cope with insecurity and uncertainty. For the employee who struggles with a deep search for meaning and uncertainty, spiritual orientations are not only an important coping mechanism, but also important for the "work identity" in which the individual internalizes the role and role-appropriate behaviors at work. In this respect, work identity is a kind of social identity that emerges as a result of all attitudes, behaviors and actions of the individual at the workplace and distinguishes the individual from others (Fry, 2003, 2005).

Ashmos and Duchon (2000) argue that the spirituality experienced in the workplace consists of elements such as inner life, meaningful work and sense of belonging, and that employees' ability to continue their work with confidence and maximum efficiency depends on the degree of internalization of these elements. At this point, inner life is the spiritual states experienced by the employee. For the employee who is on his/her own inner journey and continues his/her spiritual search, it is important to carry transcendental experiences to

the workplace or to maintain his/her spiritual life at work. In addition, the meaning given to the job is related to the relationship between the employee's work and his/her own soul, rather than the fact that the job is feasible for the employee. The employee who thinks that he/she has a meaningful job will give himself/herself to the job more easily, his/her productivity will increase and his/her satisfaction with the job will also increase. Since workplaces are social spaces, being with other employees and being part of a group adds value to the employee. Socialization is an important phenomenon that enables the employee to get closer to the goal of spiritual integrity. The socialized employee organizes his/her own spiritual life by learning about the work-related experiences of others (Ashmos & Duchon, 2000).

Creating a spiritual environment in the workplace requires moving away from the classical understanding of employees as the main actor of productivity or as a machine and adopting a more humanistic approach that is a whole with their different characteristics such as spirit, body and mind. In workplaces where spirituality is valued, the development of the spirit is as essential as the development of the body and mind. Meeting spiritual needs reduces the extra stress that may arise in the employee and enables him/her to make important decisions with confidence and without uncertainty. An employee whose spiritual needs are met exhibits more positive attitudes and behaviors, increases his/her effectiveness at work, and improves his/her relationships with other employees and customers (Levy, 2000).

Benefiel (2005), who argues that the individual and the organization must undergo certain structural transformations in order to create a spiritual environment in a workplace, states that the spiritual development and inner peace of the employee will positively change the spiritual atmosphere of the workplace. In this respect, a spiritual leader may not be in a managerial position, may not act like a manager; however, those who spiritually empower other employees, motivate them, give meaning to their lives and connect them to their work turn into a spiritual leader over time. However, not every employee who has a strong power of influence over employees can be a spiritual leader; spiritual leadership requires the ability to gain the trust of others as well as the ability to lead them on a transcendent inner journey. In workplaces composed of employees whose spiritual needs are met, there may be more than one spiritual leader, or a particular internal group or clique may assume the role of spiritual leadership. In this respect, spiritual leadership differs from other types of leadership in that it is more likely that a new spiritual leader will emerge (Fry, 2003).

Creating a spiritual space in the workplace can be achieved by sharing some spiritual values among employees. In this respect, the principles and values that derive their power from a certain spiritual understanding are transferred to the employees and the work ethic required by spirituality is tried

to be provided. First of all, a certain sense of integrity should be created in the workplace built on spirituality. The employee should feel as if he/she is part of a whole and should head towards his/her own inner journey in integrity. In workplaces that prioritize spirituality, it is important to ensure honest and solid communication between employees. When honest, consistent and balanced communication is ensured, even the most difficult crises can be easily overcome and an environment of trust between employees can be more easily maintained. In addition, positive characteristics such as the tendency to lead a modest life, humility, loyalty, patience, perseverance, solidarity in difficult times and cooperation with others increase among employees (Reave, 2005). With the provision of spirituality in the workplace, the sense of justice develops and employees realize that they serve a fair management. In addition, an employee with his/her own spiritual orientation shows more interest in the beliefs and values, problems and psychological needs of others, listens and respects them more, and thus contributes to the creation of a strong spiritual environment in the workplace (Fry, 2005).

### **Approaches to Workplace Spirituality**

In the literature, there are various approaches to explain the phenomenon of spirituality in the workplace. One of these is the view that spirituality and religion should be separated from each other and that religion is an element under spirituality, while spirituality is a structure that is quite broad and consists of unique elements. Allowing the doctrines and practices of a particular religion in the workplace may lead to undesirable situations such as ignoring other religions or marginalizing individuals of different faiths. Undesirable situations such as managers bringing their own beliefs and spiritual lives to the agenda and forcing employees to do so, belittling or ignoring employees' beliefs create certain areas of tension in the workplace (Duchon & Plowman, 2005). In workplaces where spirituality is valued, employees' beliefs and spiritual needs are met with tolerance; there are no restrictions on religious practices. When there is an environment of religious belief and freedom, employees feel safe and confident that their spiritual journey will not be interrupted (Ashmos & Duchon, 2000).

According to the other approach to workplace spirituality, spirituality and religion cannot be separate from each other; spirituality must be linked to an absolute set of religious doctrine and practice. Accordingly, religion should play an active role in all structural arrangements as the dominant actor in workplaces. Employees should be of certain religious beliefs and the moral values and principles of a particular religion should prevail in the workplace. Work schedules, working times and all work-related actions should be determined by the form and timing of religious practices. This approach ignores the different spiritual needs of employees of different faiths (Dent, Higgins, & Wharff, 2005).

Determining the degree of spirituality experienced in the workplace is an important area of debate. Accordingly, the debate on whether spirituality is measurable or not in workplaces is important for studies on efficiency and productivity at work. Malone and Fry (2003) argue that spirituality experienced at work is measurable. Accordingly, an increase in efficiency and productivity is observed if the spiritual needs of employees at work are met. In addition, employees think that a spiritual support connects them to their work and increases their work achievement. Fornaciari and Dean (2001), on the other hand, argue that it is not possible to measure spirituality, which is an abstract concept, and that it is not possible to make decisions about spirituality based on the results. Waddock (1999) and Cacioppe (2000), on the other hand, argue that a humanistic approach in the workplace increases efficiency and productivity under all circumstances, and that a liberalized spirituality in the workplace has no extra effect on both employees and production and productivity in the workplace.

### **Spiritual Leadership Theory**

Spiritual leadership, as a phenomenon observed in workplaces where spirituality is important, is a theory developed to increase the efficiency of the organization by motivating employees and to make organizational learning possible in the workplace by integrating different experiences. The spiritual leadership theory, which aims to combine the theories of social psychology such as motivation, dedication, commitment and expectation on a spiritual axis and aims to enable the individual to gain an internal control and motivation dynamic, aims to ensure that both the leader and the employees reach a spiritual pleasure by meeting their spiritual desires and feelings of belonging. Thus, while the employee's commitment to work increases, the success and productivity of the workplace increases (Chappell, Delbecq, & McCready, 2020).

The spiritual leader has the responsibility to create a common vision in employees and make them feel that life has meaning and purpose. In workplaces that unite around a common vision, both success and trust are more easily achieved. In addition, the spiritual leader has to create a workplace climate that supports different social interactions such as belonging to the workplace, social acceptance and appreciation in the workplace; a workplace climate dominated by loyalty, sacrifice and love (Bouckaert & Zsolnai, 2019).

Communication, which constitutes an important dimension of spiritual leadership theory, requires the leader to be in good relations with all stakeholders in the workplace as well as respecting their lives. Good communication will guide both the leader and the employees in grasping the meaning and purpose of life and support them in dealing with pressures and challenges from the environment. Since spiritual orientation requires self-

knowledge and continuous development, employees who are oriented towards themselves will eventually find inner peace and reflect this to the workplace (Fry, 2003). In workplaces where spiritual leadership is taken for granted, both the individual and the organization itself are in a process of development arising from interaction. The spiritual leader intends to inspire employees and prepare the organization for the future by creating an impact that draws its power from spiritual values and principles. Thus, productivity and production in the workplace will increase, and employees will receive their material and spiritual share from this rise (Banerjee, 2020). Spiritual leadership theory consists of three elements: vision, commitment and faith. The lack of one of these elements may cause the spiritual space created in the workplace to shrink or employees may not attribute enough meaning to their lives (Fry & Cohen, 2008).

### **Vision**

Vision, a reflection of human ideals, is the development of a view or a different interpretation of the imagined future (Kotter, 1996). The vision, which includes the near and far goals of the organization, is the sum of predictions about where and how the organization will be positioned after a certain period of time. The spiritual leader, in an effort to understand the universe and himself/herself, must first analyze the situation he/she is in and read the spirit of the time. In this respect, adapting to and catching up with the times is the primary responsibility of the spiritual leader with vision. Then, the spiritual leader turns to the purpose of his existence in the universe; after having a good understanding of who he is and what he has done, he develops inferences about what he should do in the future. In this respect, having a vision is essential for the spiritual leader who tries to envision the future with the power of the past. A spiritual leader with a vision foresees how the structures that have changed over time will affect the organization and tries to predict the direction, intensity and impact of change. Spiritual leaders who comprehend how different elements (people, machines, etc.) in the workplace will change in the future, try to prevent possible crisis situations and keep the organization alive by coordinating these elements more easily (Chappell, Delbecq, & McCreedy, 2020; Fry, 2003).

### **Dedication**

As with other leadership approaches, spiritual leadership requires a certain degree of commitment. However, what is in question here is the commitment to a spiritual power and the internalization of this connection and making employees feel it. Commitment requires the individual to be *balanced* and *consistent* within himself/herself. An individual who has integrity within himself/herself and is in harmony with his/her environment will feel that he/



she belongs to a person or an organization as long as he/she feels interest, love and appreciation (Schein, 1990). The individual who is dedicated to his/her job wants to get spiritual satisfaction rather than material benefits of the job; in order to increase spiritual satisfaction, the individual's commitment to the job, the frequency of positive interactions created by the job and the self-confidence that comes from dedicating oneself to others are important (Seligman, Steen, Park, & Peterson 2005). Spiritual leaders with high levels of commitment also have a high power to influence others. Such leaders have the influence to present even negative situations in a positive way. For example, in times of war, famine and crisis, dedicated leader figures are important. During these periods, leaders often resort to religious or spiritual elements to keep the group motivated and achieve a certain level of production even in adverse conditions (Pradhan and Jena, 2016).

### **Faith**

The concept of spirituality involves attachment to principles and values that are largely abstract ideas, and expectations of rewards and punishments that are invisible and unprovable. The person embarking on a spiritual journey is aware that he or she is deepening in an abstract area; expectations of receiving rewards or avoiding punishments in a certain future, or bringing a general balance and order to his or her life, constitute the belief dimension of spiritual leadership (Fry, 2003). The degree of contribution to the organization of employing a person with high levels of job-related skills and education but weak character and lack of faith may be lower than the contribution of a person with low levels of skills and education but strong character and faith. At this point, faith includes not only attachment to spiritual and religious values, but also the power to internalize the common vision and goals of the organization. A person with high level skills but character weaknesses can disturb the peace at work. An employee with a low profile but strong spirituality can be an unexpected motivational force at work. Belief goes beyond the internalization of a value to the power to unite others around that value. Spiritual leaders with high levels of conviction can motivate their followers more easily and enable them to build stronger relationships with each other, thereby increasing the productivity of the workplace (Hicks, 2003).

The spiritual leader should support employees in achieving attainable goals by giving them a certain degree of responsibility. On the one hand, this support requires a shared vision and a certain level of commitment; on the other hand, it often involves a level of inner balance and conviction that is necessary to embrace spiritual values and principles. By distributing responsibility to employees, the leader increases their internal control and paves the way for them to motivate themselves and other employees. Employees who take responsibility pay more attention to their work and become more loyal and

trusting of both the leader and the workplace. Since delegation of responsibility meets the higher level psychological wants and needs of the employee, it can be used to ensure high work motivation in the workplace. An employee who is empowered and whose responsibilities are increased prevents the accumulation of power in a single center by raising the democratic atmosphere of the workplace. Thus, the power that is concentrated in the leader in classical workplaces is shared among employees in spiritual organizations, thus creating a new and dynamic power field and ensuring balance in the workplace. In addition, by delegating authority and responsibilities, the leader can find the opportunity to use his energy in different ways by shifting to new areas. At this point, delegation of responsibility also contributes to the strengthening of the spiritual field (Blackaby & Blackaby, 2011).

In order to enable management based on faith, commitment and vision in the workplace, there must first be leaders who have internalized these concepts. One way for employees to live the spiritual values they believe in is to allow them to change their environments. Considering that spirituality is perceived on the basis of religion and mostly Islam in Turkey, creating spiritual spaces in the workplace is often perceived as organizing masjids or places of worship. However, since spirituality is a more general concept than these, spirituality can be developed through different practices such as meetings, motivational activities, pilgrimages or visits to holy places (Cregård, 2017). Having a leader in the workplace who will guide employees to the spiritual field ensures that a source of power is kept warm that will bring them closer to both work and spiritual experience. As long as the spiritual leader is visionary, he/she supports employees' determination to work by setting new goals for them. At this point, motivating the employee to work and ensuring a certain level of dedication depends on the spiritual leader's inner balance and spiritual integrity. Of course, it is also important for the spiritual leader to have a high level of spiritual knowledge, to internalize fair and equal treatment towards both employees and stakeholders served in the workplace, and to achieve spiritual saturation that sets an example in itself. When all these are achieved, efficiency and productivity can be increased by creating a spiritual atmosphere in the workplace.

## **Conclusion**

The consumer society and the individualized way of life isolate people and cut them off from each other and from nature. People who become lonely gradually isolate themselves from the culture and social life they live in and lose their inner balance and peace. Spirituality, which is one of the mechanisms used to save people from this sense of isolation and to offer them a new meaning of life, is a system of principles, experiences and values that give meaning to life. Spirituality often requires an emotional and inner journey through life. Since this inner journey emphasizes a long and often constructive

process that encompasses every moment of life, it is important that the places where the individual spends a significant amount of time in daily life, such as the workplace, are equipped with spiritual elements. The continuation of the employee on his/her spiritual journey depends on the various privileges granted to him/her at work and the fact that the working life is combined with spiritual elements. In this respect, the phenomenon of spirituality to be experienced in the workplace is important for employees who are in a spiritual search today.

The complex social system in the postmodern world has required the leadership needed in workplaces to be significantly flexible and people-oriented. Today, workplaces are not only about production activities; employees want to live their beliefs and values in their workplaces and want to work with people who believe, think and live like them. When the problems experienced in workplaces are examined, it is seen that employee problems based on communication and managerial problems based on leadership are generally important. At this point, it may be possible to bring peace and balance to workplaces by bringing spirituality to the forefront. The concept of spiritual leadership, which is discussed in basic aspects in this study, arises from the view that there can be a management based on faith, vision and dedication in the workplace.

The management and orientation of workplaces and employees has always been a controversial phenomenon. Business life, which is influenced by different philosophies and values, has developed new leadership approaches to solve problems. In light of the fact that recent leadership approaches are based on forced definitions and philosophical approaches, it may be possible to subject the concept of spiritual leadership to a critical reading. One of the main criticisms of the concept of spiritual leadership is that it is a leadership strategy rather than a new leadership approach. According to this view, spiritual leadership within the humanistic leadership approach manipulates people by reminding them of faith and exploits their labor. However, there is a high level of consent, desire and mutual tolerance in spiritual leadership. In spiritual leadership, it is not aimed to exploit the labor or emotions of the employee, but to achieve spiritual satisfaction and self-realization. The spiritual leader motivates the employee by creating a force field and tries to create dedication to the work by making faith dominant in him/her; the leader also tries to make a holistic vision operational by trying to set common goals. The aforementioned situations are not the exploitation of labor, but the joint production activity of the workplace and the employee in cooperation.

There are few empirical studies in the literature on spiritual leadership. This area may be a source of tension for societies like Turkey that approach spirituality on the basis of religion. In addition, as a result of the pro-modernity approaches of business life, there may be criticisms such as

perceiving a spirituality to be experienced in the workplace as neglecting the work or creating an extra private space for the employee. In this respect, spirituality in the concept of spiritual leadership needs to be well defined. First of all, the fact that religion and spirituality are separate from each other and that spirituality includes religion should be well explained to the business environment. Individuals can develop their spirituality through non-religious approaches. However, since the phenomenon of spirituality based on religion is traditionally more plausible and familiar, in countries like Turkey, the divine comes to mind when it comes to spirituality. In particular, the faith dimension of spiritual leadership has the potential to create a space of tension in the workplace where worship may be perceived as essential. It is contrary to the idea of spiritual leadership to create potential conflict areas for those who advocate for or oppose worship in the workplace. In addition, these areas of conflict can cause new and different crises by adding new ones to the existing problems in the workplace. In this respect, it is necessary to carry out new empirical studies that address the relationship between spirituality and work life and that will relieve the Turkish business environment.

The phenomenon of experiencing spirituality in the workplace without any restrictions will bring about discussions on workplace secularism or secular work life. The fact that religious practices can be perceived as spirituality in a workplace that internalizes diversity cannot be ignored. Although there has recently been flexibility in various practices related to spirituality (opening masjids in workplaces, organizing entrances to work according to prayer times, etc.), in countries like Turkey, where polarization is still current, the phenomenon of spreading spiritual leadership in workplaces may create new problems rather than bringing innovation and balance to work life. In this respect, it is necessary to embed developmental practices such as spiritual leadership over time in order to reduce social resistance.

It is known that spiritual leaders strive to meet the spiritual needs and desires of both themselves and their employees, thus motivating them and trying to maintain a certain order in the workplace. By motivating the employee, maximum benefit can be obtained from him/her. In addition, since an employee with increased motivation will have a high level of commitment and dedication to work, the productive power of the workplace will increase. In conclusion, spiritual leadership is to support the employee's inner journey by allowing him/her to freely live the values and principles he/she believes in at work; to provide the employee with a certain sense of belonging and to give him/her various authorities and responsibilities; to motivate the employee with faith-oriented approaches and to enable him/her to internalize higher values, principles and attitudes. In this way, it is hoped that the employee will have a balanced life at work and achieve meaning and satisfaction in life in general and work productivity in particular. From this point of view, spiritual

leaders do not want the work to be carried out through certain individuals, but to be fulfilled with maximum dedication in a cooperation based on spirituality, considering the effort towards work as sacred.

Spiritual leadership, which is accepted as the reflection of the human search for meaning in the workplace, is gradually gaining more space in the literature. This study has theoretically addressed the phenomenon of spiritual leadership based on current discussions on the basis of general spiritual leadership theory and aimed to introduce the basic behavior types of spiritual leaders. Since workplace spirituality is a concept that is open to development, expanding the existing spiritual leadership practices in Turkey through qualitative and quantitative studies within the scope of different variables can give direction to future research. In addition, with the dissemination of spiritual leadership approach, which has the potential to make the workplace a more livable place for employees, it may be possible to resolve different conflict situations observed in business life more easily.

## REFERENCES

- Anderson, P. (2000). This place hurts my spirit!. *Journal for Quality and Participation*, 23(4), 16-17.
- Ashmos, D. P., & Duchon, D. (2000). Spirituality at work: A conceptualization and measure. *Journal of Management Inquiry*, 9(2), 134-145.
- Atwater, D. C., & Bass, B.M. (1994). Transformational leadership in Teams. In B. M. Bass, & B. J. Avolio (Eds.), *Improving organizational effectiveness through transformational leadership* (pp.48-83). Thousand Oaks, CA: Sage.
- Baltacı, A., & Coşkun, M. K. (2019). Adaptation of Spiritual Health and Life Orientation Scale to Turkish Culture. *Cumhuriyet Journal of Theology*, 23(1), 415-439.
- Banerjee, S. (2020). Corporate Karma Leadership is needed to be guided by True Spirituality. *Our Heritage*, 68(51), 20-32.
- Bass, B. M. (1998). *Transformational leadership: Industrial, military, and educational impact*. Mahway, NJ: Erlbaum.
- Bass, B. M., & Avolio, B. J. (1994). Introduction. In B. M. Bass, & B. J. Avolio (Eds.), *Improving organizational effectiveness through transformational leadership* (pp.1-10). Thousand Oaks, CA: Sage Pub.
- Benefiel, M. (2005). The second half of the journey: Spiritual leadership for organizational transformation. *The Leadership Quarterly*, 16, 723-747.
- Bennis, W. G. (2016). *Becoming a Leader*. Trans: Sıtkı Utku Teksöz Istanbul: Aura.
- Blackaby, H. T., & Blackaby, R. (2011). *Spiritual leadership: Moving people on to God's agenda*. B&H Publishing Group.
- Bouckaert, L., & Zsolnai, L. (2019). *Spirituality in Economics and Business*. New York: The Routledge International Handbook of Spirituality in Society and the Professions.
- Cacioppe, R. (2000). Creating spirit at work: Re-visioning organization development and leadership-Part I. *Leadership and Organization Development Journal*, 21(1), 48-54.
- Chappell, S. F., Delbecq, A. L., & McCready, W. C. (2020). Spiritual leadership development: an exemplar protocol. *Journal of Management, Spirituality & Religion*, 17(1), 51-68.
- Chemers, M. M. (1997). *An integrative theory of leadership*. Mahwah, NJ: Erlbaum.
- Cohen, G. (1996). Toward a spirituality based on justice and ecology. *Social Policy*, 26(3), 6-18.
- Cregård, A. (2017). Investigating the risks of spiritual leadership. *Nonprofit Management and Leadership*, 27(4), 533-547.
- Dent, E. B., Higgins, M. E., & Wharff, D. M. (2005). Spirituality and leadership: An empirical review of definitions, distinctions and embedded assumptions. *The*

*Leadership Quarterly*, 16, 625-653.

- Duchon, D., & Plowman, D. A. (2005). Nurturing the spirit at work: impact on work unit performance. *The Leadership Quarterly*, 16, 807-833.
- Fairholm, G. W. (1997). *Capturing the hearth of leadership: Spirituality and community in the new American workplace*. Westport, CT: Praeger.
- Fornaciari, C., & Dean, K. (2001). Making the quantum leap: Lessons from physics on studying spirituality and religion in organizations. *Journal of Organizational Change Management*, 14(4), 335-351.
- Fry, L. W. (2003). Toward a theory of spiritual leadership. *The Leadership Quarterly*, 14, 693-727.
- Fry, L. W. (2005). Toward a paradigm of spiritual leadership. *The Leadership Quarterly*, 16, 619-722.
- Fry, L. W., & Cohen, M. P. (2008). Spiritual leadership as a paradigm for organizational transformation and recovery from extended work hours cultures. *Journal of Business Ethics*, 27.
- Fry, L. W., Nisiewicz, M., Vitucci, S., & Cedillo, M. (2007). *Transforming city government through spiritual leadership: measurement and establishing a baseline*. Paper presented at the National Meeting of the Academy of Management, Philadelphia, Pennsylvania.
- Fry, L. W., Vitucci, S., & Cedillo, M. (2005). Spiritual leadership and army transformation: Theory, measurement and establishing a baseline. *The Leadership Quarterly*, 16, 835-862.
- Giacalone, R. A., & Jurkiewicz, C. L. (2003). Toward a science of workplace spirituality. In R. A. Giacalone, & C. L. Jurkiewicz (Eds.) *Handbook of workplace spirituality and organizational performance* (pp. 3-28). New York: M. E. Sharp.
- Gordon, A., & Yukl, G. (2004). The future of leadership research: Challenges and opportunities. *German Journal of Human Resource Management*, 18(3), 359-365.
- Günay, Ü. & H. Güngör. (2015). *Religious History of Turks from the Beginnings to the Present*. Istanbul: Berikan Publications.
- Harman, Ömer Faruk (1994). "Religion", TDV Islam Encyclopedia, <https://islamansiklopedisi.org.tr/din#2> (14.04.2020).
- Hicks, D. A. (2003). *Religion and the workplace: Pluralism, spirituality, leadership*. Cambridge University Press.
- Kotter, J. P. (1996). *Leading change*. Boston: Harvard Business School Press.
- Kurth, K. (2003). Spiritually renewing ourselves at work. In R. A. Giacalone, & C. L. Jurkiewicz (Eds.) *Handbook of workplace spirituality and organizational performance* (pp. 447-460). New York: M. E. Sharp.
- Levy, R. B. (2000). My experience as participant in the course of spirituality for executive leadership. *Journal of Management Inquiry*, 9(2), 129-131.

- Malone, P., & Fry, L. W. (2003). *Transforming schools through spiritual leadership: a field experiment*. Meeting of the National Academy of Management, Seattle Washington.
- Meng, Y. (2016). Spiritual leadership at the workplace: Perspectives and theories. *Biomedical reports*, 5(4), 408-412.
- Mitroff, I., & Denton, E. (1999). A study of spirituality in the workplace. *Sloan Management Review*, 40(4), 83-92.
- Moxley, R. S. (2000). *Leadership and spirit*. San Francisco, CA: Jossey-Bass.
- Neck, C. P., & Milliman, J. F. (1994). Thought self-leadership finding spiritual leadership in organizational life. *Journal of Managerial Psychology*, 9(6), 9-16.
- Pargament, K. I. (2011). *Spiritually integrated psychotherapy: Understanding and addressing the sacred*. Guilford Press.
- Pfeffer, J. (2003). Business and the spirit. In R. A. Giacalone, & C. L. Jurkiewicz (Eds.) *Handbook of workplace spirituality and organizational performance* (pp. 29-45). New York: M. E. Sharp.
- Pradhan, R. K., & Jena, L. K. (2016). Workplace spirituality and organizational commitment: Role of emotional intelligence among Indian banking professionals. *Journal of Human Resource Management*, 19(1), 13-23.
- Reave, L. (2005). Spiritual values and practices related to leadership effectiveness. *The Leadership Quarterly*, 16, 655-687.
- Schein, E. H. (1990). Organizational culture. *American Psychologist*, 45(2), 109-119.
- Seligman, M. E. P., Steen, T., Park, N., & Peterson, C. (2005). Positive psychology progress: Empirical validation of interventions. *American Psychologist*, 60(5), 410-421.
- Stogdill, R. M. (1974). *Handbook of leadership: A survey of the literature*. New York: Free Press.
- Stogdill, R. M. (1981). Traits of leadership: A follow-up to 1970. In B. Bass (Ed.) *Handbook of leadership* (pp.59-78). New York: Free Press.
- Sahin, F. (2001) Biological and psychological structure of human according to Ikhwan-i Safa (X.century). *Journal of Selçuk University Faculty of Theology*, 10, 101-124.
- Tacey, D. J. (2004). *The spirituality revolution: The emergence of contemporary spirituality*. Psychology Press.
- Uludağ, S. (1996). *Dictionary of Sufi terms*. Istanbul: Marifet Publications.
- Waddock, S. (1999). Linking community and spirit: A commentary and some propositions. *Journal of Organizational Change Management*, 12(4), 332-345.
- Wilber, K. (1997). *Eye of the spirit: An integral vision for a world gone slightly mad*. Boston: Shambhala.
- Yavuz, Y. Ş. (2008). "Ruh", TDV Islamic Encyclopedia, <https://islamansiklopedisi.org.tr/ruh#1> (13.04.2020).



Yukl, G. A. (2002). *Leadership in organization*. Saddle River, NJ: Prentice Hall.

Zellers, K. L., & Perrewe, P. L. (2005). The role of spirituality in occupational stress and well-being. In R. A. Giacalone, & C. L. Jurkiewicz (Eds.) *Handbook of workplace spirituality and organizational performance* (pp.300-313). New York: M. E. Sharp.

Zinnbauer, B. J., Pargament, K. I., & Scott, A. B. (1999). The emerging meanings of religiousness and spirituality: Problems and prospects. *Journal of Personality*, 67, 889-919.



# *Chapter 9*

## **APPLICATION OF ECLECTIC COMMUNICATION TECHNOLOGIES IN CYBER SECURITY POLICIES: ANALYSIS OF THE SIBERTÜRK MODEL?**

*Mustafa AYDEMİR<sup>1</sup>*

*Vedat FETAH<sup>2</sup>*

---

1 Dr. Ege University, dr.mustafa.aydemir@gmail.com 0000-0001-9414-4053.

2 Cyber Security Specialist, Ege University, vedat.fetah@ege.edu.tr 0000-0001-9196-1875.

## 1. INTRODUCTION

In today's global political processes, information and communication technologies are experiencing a process in which they reach a higher level of intelligence. In parallel, Castells draws attention to the reality of organization around networks where information technology is in power (Castells & Ince, 2006). Therefore, in the global context, it appears to be lived in a period (Castells, 2005) when power is now knitted with network technology.

Communication and international relations, which are determined by contracts within the rules of international law, develop independently of the actions that take place in the cyber world. Strategic partnerships made at local, regional and global levels in satellite and telecommunication systems reveal one aspect of these processes. At this point, the subject of control in the exclusive regions created for religious, cultural or economic reasons is associated with domination and hegemony (Hardt & Negri, 2012). The interactive state of the concepts of capitalism and imperialism in the context of cultural and technocivilization determines the dimension of a new sphere of dominance in the digital world. All processes in the cyber world operate independently of interstate law and relations. Countries create a separate area of struggle in the cyber world against events that they perceive as competitors and define as threats. Today, an extension and ideological apparatus of oppressive governance and colonization activities are carried out through technological tools. Efforts to seize data, defined as cyber wars, proceed in coordination with qualified IT experts and supervisory units.

Turkey has an important regional power in the historical process with its geopolitical and socio-economic power. One of the most distinctive features of this reality; strategic partnerships are realized within the framework of humanist values that emphasize historical relations and solidarity. Here, the importance of the concept of "public diplomacy" becomes clear. On the example of the USA, only military and economic power is not enough; It also informs that the concept of "soft power" is an extremely important detail for nations (Nye, 2005). In addition to Turkey being a regional power, a natural reflection of its military structure and competent identity in the new era is matched with its defense systems and capability in the cyber world.

The fact that Turkey has a Turkish identity (Orkun,1946) as a country enables us to see the strategic importance of relations with the Turkish World. It seems possible to comprehend the geography where Turkish identity gains weight as the Turkish World. A solid cooperation to be established within the Turkish World is important for the existence and survival of Turkey and other Turkish-identified states. As in other areas, it is imperative for Turkey to take cyber security measures between brotherly Turkish states, to prevent hot

conflict areas and to establish a new and dynamic communication network with countries that have cultural and ideological conflicts.

Turkish identity is among the leading identities that are generally accepted in the world in terms of having a rich common heritage. The political adoption of this identity as a common heritage by the Turkish states established throughout the world history is the most distinctive feature of Turkish culture. As a result of the collapse of the Commonwealth of Independent States, which was established after the Commonwealth of Soviet Socialist States, the Turkic Republics enabled a new vision to be determined. This new order and cooperation is evaluated as “cultural diplomacy” (Purtaş, 2013 & 2017) on the example of TURKSOY, in addition to the Traceca agreements established in 1993.

In the recent crises in Syria, Karabakh, Uyghur, Qatar, North Africa, Blue Homeland and NATO, Turkey, as a power, has been able to clearly demonstrate its key role and cyber subject in the cyber world. Turkey is developing various projects to give an example of satellite telecommunication, military systems and defense strategies, which are one of the strategic partnerships it has developed in its region, in the cyber world. The study, created with the reference of these projects, aims to increase Turkey’s IT power.

This study consists of an application example developed as a preview of a network system created according to the relevant guidelines in order to improve the relations between Turkish states in the cyber world and to create a safe space, and the processes of creating an interactive model with the theoretical field. The study consists of two main parts: a literature review and a research. The literature review is categorized under three headings and the research section is presented under the headings of purpose and importance, problem statement, limitations, methodology and findings.

## 2. LITERATURE REVIEW

### 2.1. Global Communication Order and Turkey

Half a century ago, Marshall McLuhan (2014) developed the idea that the new electronic interdependence recreated the world *in the image of a global village*. This new situation, which developed with the spread of television across the globe, has become even more pronounced with the network technology called the *world wide web*. Digitalization appears as a communication structure that summarizes the global communication order. Digitalization greatly facilitates human communication; however, what is important here is the fact that the ownership of new communication technologies is unequal in individual, regional, national and international contexts. Digitalization also increases the global mobility of those who hold power. While Bauman (2010)

emphasizes *that those with global power are becoming stateless*; he actually refers to an inequality.

While the hegemony of the United States and other powerful states is clearly visible in the global communication order, it seems inevitable for Turkey to strengthen itself in this regard due to its geostrategic position. Another important point for states in the global communication order is the problematic of surveillance and cyber security (Akbarzadeh & Katsikas, 2022; Du, 2022; Macnish & Van der Ham, 2020; Henschke & Legrand, 2017). The increasing importance of communication and information technologies for state security directs attention to the global communication order.

Although Turkey has taken an important step in terms of state security in terms of surveillance and security with military-oriented technological equipment such as UAVs and UCAVs, it needs to further intensify this competence in the cyber domain. In this context, a coordinated project to be established within the Turkic World will empower both the Turkic Republics and Turkey. Here, effective use of public diplomacy and strategic public relations will strongly influence the interaction within the Turkic World. Communication, surveillance and security are interconnected issues. In this respect, surveillance and security issues should also be addressed.

## **2.2. Surveillance, Technology and The New World**

The phenomenon of surveillance is in fact related to communication in a way. Especially today, communication technologies are the most important factor that increases the capacity of surveillance. Therefore, surveillance and communication are two concepts that can be considered together.

Referring to the concept of panopticon Michel Foucault (2012), argues that with this mechanism, a technology of power that allows surveillance has emerged. Therefore, it becomes clear that there is a correlation between surveillance and power (Foucault, 2013). In other words, surveillance is used as a means of domination. George Orwell (2014), in his work *Nineteen Eighty-Four*, focuses on the efforts of power to establish control over society. In many areas of life, surveillance can be used as a mechanism of power. There can be surveillance at individual, group and societal levels, as well as surveillance of states on each other.

Surveillance relies on technology for its success. Communication and information technologies play a crucial role in the functionality of surveillance. New communication technologies are used as new effective tools of surveillance. The surveillance impact of new communication technologies is so intense that they can end the careers of celebrities; they can be the end of political powers; they can leak state information.

The new world manifests itself as a place dominated by the global communication order. In this new world, surveillance as a mechanism of power assumes an extremely important role. Therefore, surveillance and counter-surveillance can be used as a weapon for control and/or protection. The cyber world is the most contemporary element of surveillance.

### **2.3. Cyber Security and its Importance for Turkey**

There is a process in which information and communication technologies have reached the level of supreme intelligence in today's global political processes. Communication and international relations, which are determined by contracts within the rules of inter-state law, are developing independently of the actions taking place in the cyber world. Strategic partnerships at local, regional and global levels in satellite and telecommunication systems reveal one aspect of these processes. At this point, the issue of control in exclusive zones created for religious, cultural or economic reasons is associated with dominance and hegemony. The interactive situation of the concepts of capitalism and imperialism in the context of cultural and techno-civilization determines the dimension of a new sphere of dominance in the digital world. All processes in the cyber world operate independently of the laws and relations between countries. Countries create a separate area of struggle in the cyber world against events that they see as competitors and define as threats. Today, an extension and ideological apparatus of oppressive governance and colonization activities are carried out through technological tools. Efforts to seize data, defined as cyber wars, proceed in coordination with qualified IT experts and supervisory units.

In addition to being a regional power, Turkey's military structure and innovative identity are matched with its defense systems and its capability in the cyber world, a natural reflection in the new era. In Turkey's public diplomacy role in the Turkic World, it is an important leadership feature that Turkey has the feature of a global actor with its military defense systems. As in other areas, it is imperative for Turkey to take cyber security measures among the fraternal Turkic states in the context of preventing hot conflict areas such as social movements and establishing a new and dynamic communication network with countries with cultural and ideological conflict elements.

Turkey needs to turn to cybersecurity policies not only for public cooperation and crime prevention, but also for creating a safe space in the region between the US, Russia, China and India for strategic communication. This is because the effective use of next-generation network-based technologies is imperative in order to control the new civilizational conflict areas of the world, which has turned into a global village. In order to create a new opening in the cyber world through the relations between Turkey and other Turkish states, transportation coordination, which first started with the Traceca project, was

able to provide a permanent partnership structure between the Turkish states and the European Union. Cyber defense and cyber attack issues come to the fore in new generation defense systems.

Being successful in the global system is not only about improving oneself and standing out against other countries. It is also about predicting the strategies of other countries, infiltrating their systems, creating vulnerabilities and accessing top-secret data. Therefore, as a prerequisite for being strong in the field, it becomes imperative to develop and maintain the continuity of some projects in order to have a say in the cyber world, to prevent attacks and to avoid the threat of digital surveillance. Although this study has a scientific research structure at the academic level, it aims to contribute to regional and global peace by developing a new preventive security model that can be the source of the new generation cyber security policies it creates as a subtext.

At this point, it consists of technical processes such as research, project development, model generation and process management. In the face of the threats of centralization of Internet-based network policies and blocking of global DNS servers, it is becoming increasingly important to establish cloud-based policies to create a backup mechanism for services and services, and to establish a cyber army, including the management of areas such as satellite systems and GPS for network communication.

### **3. ECLECTIC COMMUNICATION AND CYBERSECURITY POLICIES**

The way to be successful in the cyber world is to establish a cyber operations center, classify the attack typologies coming from here to the servers of the data centers, conduct the necessary attack follow-ups, create a common network rule map similar to Law No. 5651, establish a security chain between Turkish states, conduct vulnerability tests against applications that work as agents in the background, identify all attack analyzes, especially DDOS attacks, and develop relevant hybrid technologies.

It consists of an application example developed as a preview of a network system created according to the relevant guidelines in order to improve relations between Turkic states in the cyber world and to create a secure area, and a model process that interacts with the theoretical field. Within the scope of this article, it is aimed to produce a model with a unique software architecture for the localization of cyber security policies of the new generation network and security technologies over the Turkic Republics. For this reason, the application part of the research is aimed to be supported by a project at the infrastructure level on a sample cyber security project design.

The system is designed to have two basic application guidelines. Accordingly, an interface defining the common strategic application area to be



developed on 7 (seven) Turkic Republics and an independent firewall protocol within each country is considered. In this context, a protection model will be created for areas that do not harm the internal affairs and autonomy structure of each country, but constitute the common defense system of all countries where the application is carried out.

In the absence of a common network security model and software covering Turkey and other Turkic Republics in today's conditions, all other strategic partnerships and agreements cannot fully achieve their goals. This is because all contracts that are not supported by strategic partnerships in cyber security and telecommunication systems remain suspended in a way. Competition between countries takes place in three main forms: local, regional and global. Turkey, with its geological, cultural, religious and historical partnerships, has a mission to implement today's and future's high-definition technologies in order to achieve its goal of becoming a leading country or a center country.

In accordance with this historical mission, in order for Turkey to effectively use its role as a big brother state especially in the Turkic World and to make the Turkic identity permanent in every sense, it becomes imperative to create a new communication and interaction area within the Turkic World, considering that information systems cyber security policies guide all other policies. Our study, which includes an application model, aims to create a qualified solution to the issue of technological partnership between the Turkic Republics, which is most needed today. Below are some guidelines and system tools that determine the sub-categorization and stages for this application.

In global political processes, there is a process in which technology has reached the level of supermind. Communication and international relations, which are determined by contracts within the rules of inter-state law, are developing independently of the actions taking place in the cyber world. Strategic partnerships at local, regional and global levels in satellite and telecommunication systems reveal one aspect of these processes. At this point, the issue of control in exclusive zones created for religious, cultural or economic reasons is associated with dominance and hegemony. The interactive situation of the concepts of capitalism and imperialism in the context of cultural and techno-civilization determines the dimension of a new sphere of dominance in the digital world. All processes in the cyber world operate independently of the laws and relations between countries.

Countries create a separate area of struggle in the cyber world against the events that they see as competitors and define as threats (Al-Khateeb & Agarwal, 2020; Bustard, 2018; Furnell et al., 2018; Du et al., 2011). Today, an extension and ideological apparatus of oppressive governance and colonization activities are carried out through technological tools. Efforts to seize data,

defined as cyber wars, proceed in coordination with qualified IT experts and supervisory units.

As in other areas, it is imperative for Turkey to take cyber security measures among the brotherly Turkic states in order to prevent hot conflict areas such as social movements and to establish a new and dynamic communication network with countries with cultural and ideological conflicts.

Eclectic communication includes the control of media content, new media tools, virtual digital actions, artificial intelligence studies and immersive action areas created in public-private partnership. The subject of communication has been transformed from the one-way impact tools and passive inertia emphasized in the first period of communication tools and practices considered as web 1.0, into a system with artificial intelligence additions with the web 3.0 infrastructure shaped through mutual interaction and convergent technologies as a result of the great change that web 2.0 tools such as impact-response, question-answer, content creation and content interpretation have undergone with the influence of web-based systems. In this context, communication represents the next generation communication field, which corresponds to systems controlled by feedback network mobility and two-stage security systems that limit vulnerabilities. Eclectic communication in the field of public diplomacy emphasizes the virtual network community structure built on public diplomacy spaces created through public institutions, companies, individual users, multinational foreign investors and strategic circles.

#### **4. CYBER SECURITY ARCHITECTURE SOFTWARE AND INTERFACE DESINGS**

The International Security Council Counter-Terrorism Committee identifies three broad categories of social influence: Ideological (beliefs), behavioral (emotions and cognitions) and social (relational), (SCCTC, 2022). This project work is an exemplary example of joint efforts in the field of cyber security as well as the protection of common values and cultural structure in the Turkic World, especially in recent years. The project work consists of system backbone and application module processes. Architectural Software and Cyber Security Application Module Stages (System Backbone) consists of four main parts.

##### **4.1. Honeypot Application**

The Honeypot application, although not used by many organizations today, is a vital application in large-scale networks. With the honeypot application, threats from internal and external networks can be monitored instantly and a data pool can be created to take necessary measures. Studies on Honeypot

(Rase & Deshmukh, 2015; Shukla & Verma, 2015; Padda et al., 2016; Hong & Hua, 2018; Titarmare et al., 2019) examine the system interface, general features and basic attack typologies. While a firewall is designed to keep attackers out of the network, the Honeypot is designed to convince hackers to attack the system. This is done in order for a cybersecurity expert to learn how hackers work and which systems and ports they are most interested in. Firewalls maintain logs of their daily activities and assess incidents related to production systems. In contrast, honeypots are designed to pose as potential targets on the internet to attract attackers (usually servers or other high-value assets) and provide unauthorized access to the honeypot.

Honeypot systems typically use a hardened operating system and other security measures to reduce exposure to threats. Cyber attackers often exploit vulnerabilities in systems that respond to Server Message Block (SMB) protocol requests, or that appear to be corporate database servers storing valuable customer data. Honeypots are security tools that can be classified as pure, highly interactive, or low-interaction.

Pure honeypots are complete production systems that control the honeypot's connection to the network. These are the most realistic-looking honeypots to attackers, with fake hidden files and user credentials, but they are also the most complex and challenging to maintain. Highly interactive honeypots imitate the functionality of production systems and host various services, while also collecting detailed information. The primary goal of highly interactive honeypots is to gain access to the server at the root or administrative level and monitor the attacker's actions.

Low-interaction honeypots simulate the most common web-based attack vectors by making services with vulnerabilities available. By simulating such attacks, they test the system's ability to respond. These honeypots are less risky and simpler to maintain, but they do not redirect attackers to the main system. However, attackers may find low-interaction honeypots less convincing. Open-source virtual honeypots with minimal interaction are capable of detecting bot and malware attacks.

#### **4.2. Layer 7 Web Application Security Architecture**

The architecture of web application firewalls can generally be configured in three different ways: inline, outline, and transparent proxy configurations. Firewalls are a popular and effective cybersecurity technology used by both organizations and consumers to protect against cyber attacks. Once installed, incoming and outgoing network traffic is monitored and blocked if a data packet is identified as malicious. Layer 7 firewalls, operating at layer 7 of the OSI model (commonly known as the application layer), enable advanced traffic filtering rules. Unlike IP address-based filtering, Layer 7 firewalls can

examine the content of data packets to determine if they contain malware or other cyber threats.

The OSI model divides the functions of a network system into seven layers, each separate from the previous one. It does not define technology, but rather describes what happens in network communication. Layer 1, the Physical Layer, consists of links, gateways, access points, and Wi-Fi networks that make up the internet infrastructure. Layer 7 provides functions and services that user application software programs can use to send data. It does not provide a graphical user interface for the application itself. API calls and responses take place at this layer, with HTTP and SMTP being the main protocols used.

Data flows through various functions and protocols during networking. Each layer interprets the header and footer data and puts it into a format that can be used by the next layer. Once the data reaches the Layer 7 firewall, it becomes available to the application. Identifying how each layer specifically interacts with the same layer on the other side of the link is crucial to understanding how the OSI model works. Data is only sent through other layers up to the Layer 7 firewall on the other side of the connection. A Layer 7 DDoS attack, also known as an application layer DDoS attack, works by deactivating a network or server resource. It typically involves overloading the server and sending thousands of requests per second to a specific web page until it is unable to fulfill all requests.

### **4.3. Running Applications In Geographically Independent Regions**

This type of configuration will enable the integration of load balancing across zones and a centrally managed firewall architecture. This is an effort to provide two important advantages. The first and most important advantage is to ensure that the load is geographically distributed to different locations during denial of service attacks such as DDOS, that is, it is used to gain advantage in reducing the load on the servers. The second important point is to allow the services of regions with insufficient bandwidth to be more stable and faster accessible. Due to the shareability of cyber intelligence, it will also allow other regions to examine the structure of an attack that has not yet begun by making it possible to examine the data going to servers hosted in different locations.

### **4.4. Cyber Intelligence Data Collection and Interception With Honeypot**

Through the installed applications, the source and intensity of the attacks on the system can be determined and the attacking region can be blocked by creating region-specific rules. In addition, with the data obtained retrospectively, it will be possible to block these attacker IP addresses or regions in security structures deployed in accordance with the cyber intelligence

structure. Large organizations and companies participating in cybersecurity work often use honeypots to detect and mitigate attacks from persistent and targeted attack (APT) attackers.

Honeypots are vital tools for large organizations to proactively defend against attackers and for cybersecurity researchers to gain insight into the tools and techniques used by attackers. Spam traps, also known as honey traps, are web properties designed to attract spam web traffic and are used by Project Honey Pot, an online honeypot network integrated into web software. These applications help webmasters minimize spam on their websites by collecting IP addresses, email addresses, and information about spammers. Law enforcement agencies also use this data to investigate and combat spam crimes.

Honeypots are not always used as a precaution and can be used by anyone, including hackers, to discover the network. For example, Wi-Fi Pineapple allows users to create a fake Wi-Fi network that mimics a real one in the environment. Unsuspecting people who connect to this network allow the honeypot operator to monitor their traffic. However, Wi-Fi Pineapple devices also have legitimate uses, such as penetration testing, where ethical hackers identify network vulnerabilities.

There are two main types of honeypots: Production and Research. Research honeypots analyze hacker activity to better protect systems against them. Data with unique identifiers can help analysts track stolen data and identify links between different actors in an attack. Production honeypots are placed on production networks near production servers and act as traps to remove intruders from the network as part of an intrusion detection system. They are designed to look like a real part of the production network and contain information that interests hackers and consumes their time and resources. This approach gives system administrators time to assess the threat level and mitigate the vulnerability of real production systems.

## **5. RESEARCH METHODOLOGY**

### **5.1. Purpose and Importance of The Research**

Turkey, which is regarded as an exemplary role model in the Turkic world, has been focusing on public diplomacy and global policy efforts in recent years. This study aims to contribute to the “hub country” doctrine through a digital application model by referring to new technologies developed to increase the diplomatic role of Turkey, which has a deterrent national defense power in regional conflict areas, “in times of war and peace”. This study also aims to contribute to the development of a software architectural process that will turn the increasingly important digital dictatorship structure in the virtual world

in favor of Turkey by creating a new system in the field of cyber security and cyber intelligence.

The importance of the research is that it can practically contribute to the creation of a real-time control mechanism for the establishment of a system that can guide the Turkish world by supporting Turkey's cyber security policies through a sample study of new generation network technologies and changes in cyberspace. Because it is seen as important in terms of transforming the geopolitical area into a cyber-political plane with the country or countries with which strategic partnerships will be established in the future goals of the Turkic World.

## **5.2. Population and Sample of The Study**

The research area of this study consists of all cyber security application models developed in the world through a new model in cyber security. While the IP addresses that send malicious requests for cyber-attacks against Turkey through servers and users operating in the world constitute the research universe, the server installed in Turkey to monitor the “web, mail and remote connection services”, which are the most intensively monitored among the services (web, mail, streaming, ports) developed on cyber security policies and created with software architecture on servers including the entire internet infrastructure, and to perform malicious request filtering by covering all attack typologies through the server, constitutes the sample of the research.

## **5.3. Methodology**

This research is based on a virtual machine plug-in application. Correct analysis of data in scientific studies constitutes one of the important stages of a successful application project. For this reason, data analysis method has been determined for the analysis of the coding structures of internal and external attacks obtained by data classification and software processes and the analysis of blocking tools.

Data analysis is often used to evaluate a cyber security system proposal. Data analysis is an effective method used to detect, understand and prevent cyber security threats and attacks. This method enables to identify anomalous behavior, attack patterns and vulnerabilities by analyzing large amounts of data. The data analysis method enables the analysis of the data obtained by statistical analysis and data mining techniques. Data analysis “complex and captivating process that brings order and meaning to collected data” (1995, p.111).

Data analysis uses a variety of data sources, such as logs, network traffic data, data about the state of the system. By applying statistical analysis, machine learning and data mining techniques on this data, anomalous activities, attack

symptoms and vulnerabilities can be detected. This allows cybersecurity systems to operate more effectively and attacks to be prevented in advance or detected quickly. A more common approach is to visualize the cyber security system and the main screen in the form of models such as widgets using python language tools and analyze them through data analysis method.

There are various researches on data analysis such as typology of attacks (Wang & Stamp, 2015), exploratory data analysis models (Collins, 2017), cyber-attack application models (Chen et al., 2017), anomaly detection (Ramakrishnan et al., 2016), systematic analysis (Karim et al., 2018) and analysis through machine learning systems (Buczak et al., 2019).

Data Analytics techniques have been used in similar tasks to summarize what attack patterns have been seen before, to track the attacker's strategies, and to show some guidelines to follow in case patterns are detected (Miranda-Calle et al., 2021). In the face of increasing cyber threats and information security problems caused by big data, there is a need for models that can analyze attacks and respond in real time in cyberspace. In order to intelligently mitigate these attacks by categorizing them into typologies, it is necessary to create more flexible and highly efficient cyber security systems that can change security rules in a timely manner. Data analysis methods are progressively performed as data preprocessing, exploratory analysis, statistical analysis, machine learning and data visualization. These methods are important tools for extracting information, identifying trends, improving decision-making processes and gaining competitive advantage.

Some studies (Tukey, 1977; Chambers et al., 1983) that deal with data analysis at the exploratory level have evaluated practical applications of the general setup of data analysis. In this regard, Andersson et al. (2011) introduce the use of R&E in conjunction with exploratory sequential data analysis (ESDA) and discuss the benefits and limitations of using these methods to analyze multinational cyber defense exercises. Using ESDA, statistical data about attacks from BCS, such as the number of attacks reported by attackers and defenders against different types of services, were evaluated.

Studying the topic of "data analysis" in the field of cybersecurity, found the most accessed logical connection points and their visible patterns (Miranda-Calle et al., 2021; Wang et al., 2007). Researchers examined statistical hypotheses to analyze how attackers determine strategies based on time, attack type, specific ports, IP addresses, and relationships. They also introduced a new metric called attack graph-based attack resistance to assess network configuration security. Other researchers focused on a flow visualization technique that combines tree map visualization, clustering algorithm and hierarchical edge bundles to group data analysis in a meaningful way (Fischer et al., 2008). Some studies on Honeypot architecture (Amal & Venkadesh,

2023) proposed a new hybrid Honeynet built on Docker system to detect attacker behavior with both low-interaction and high-interaction honeypot (H-DOCTOR) technique.

In general, in order to make a qualified data analysis, a data analysis flow chart should be created in stages. At this point, “Identifying the problem and goal, Data collection, Data preparation, Data exploration, selecting the data analysis method (such as statistical analysis, machine learning, data mining or similar methods.) performing data analysis, evaluating the results, presenting the results and feedback”. This flowchart represents a general data analysis process. The complexity of the analysis may vary depending on the size of the data set, analysis methods and objectives. In any case, it is important to plan your analysis in a systematic way, following the stages of data collection, analysis and evaluation of results.

Window graphics (widgets) in dashboards are used as data analysis and visualization tools. One of the most common among these tools is chart widgets. Charts present data visually, making it easier to understand and convey information quickly. These charts are basically shaped in three types: “line, pie and column”. Line graphs are used to show how data changes over time. This type of chart is ideal for identifying trends, making comparisons and analyzing relationships between data. Line charts can be used in “Data Visualization” to track trends in data, see seasonal changes and understand the relationships between variables. Secondly, in data analysis, line charts are used “to identify anomalies, analyze trends, discover relationships between data and make predictions”. Advanced Line Charts provide more flexibility when working with more complex data sets. Line charts are preferred with advanced features such as customizable axes, multiple line series and interactive features. Column charts are a type of chart frequently used for visualizing categorical data. Widely used in this context, bar charts are ideal for comparing values between different categories, showing the trend of values over a certain time or period, or showing categorical distributions.

Pie charts are a type of graph used to show the proportions of the parts of a whole. These charts are mainly used to visualize ratio representation and categorical distributions. Various programming languages are used to transform these graphs and other textual and coded content at the data level. “Python” and “R” are popular programming languages for data analysis and visualization. The rich data analysis libraries (e.g., Pandas, NumPy, matplotlib, ggplot2) and visualization tools in these languages enable users to analyze data in depth and create various graphs. Python and R are widely used tools by data scientists and analysts with analytical skills.

Within the scope of this study, a main panel and a general monitoring model were created for data analysis. The headings on the main panel are



Attack Map, Elastic Search and a screen created using Kibana infrastructure. In order to visualize the data, the qualified data obtained according to the types of incoming attacks using Kibana and Elastic search infrastructure were queried from the database and used as widgets in the main panel. In this way, the incoming attack can be classified according to its size, nature and other characteristics. For example, information such as the number of attacks made so far, whether the attacks were made through a single ip address or through multiple ip addresses, whether they were made through anonymous service providers, from which country and which service was attacked, can be displayed graphically with the information retrieved from the database instantly. The installation and operation of this system has been tested and used in a public university server asset.

#### **5.4. Research Scope and Limitations**

This study has an infrastructure shaped according to a cyber-attack preventive virtual server protocol that includes web-based cyber security interpretation and analysis methods. The project work was created to question the network mobility in the cyber world, to understand the attacks and to develop preventive security systems, as well as to carry the relations between the states in the Turkic World to a higher level according to the principle of strategic partnership. In terms of scope, the research supports analytical analysis tools according to the attack segments on the network in virtual media. Since it deals with network mobility in the context of attack through an application model called “SiberTürk” within the research project, it does not consider social engineering processes as a priority. Apart from the application developed within the scope of the study, the limitations of the research include the lack of a field study, the lack of observation, survey and other study methods, the establishment of a Turkey-based application and a virtual machine controlled system, and the lack of data circulation in other countries at this stage.

#### **5.5. Research Data Collection Techniques**

After one month of technical and academic research processes, a working system for the system architecture was created for the cyber security model. Within the scope of the research, literature reviews were made in the first stage, basic studies in the field of cyber security were evaluated with case studies at the methodological scientific level, and a system backbone containing three different systems was created for the application model on attack and cyber security. A period in which the outputs of the highest attack structures started was determined by making progressive examinations of the data flows through the system.

Within the scope of the application study, a model that develops

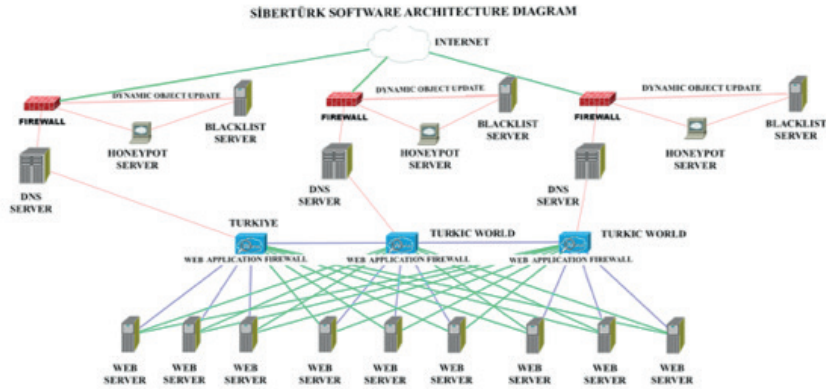
measures against attacking IP addresses by creating fake open codes that show vulnerability through attack, attack blocking, blacklisting, filtering, encryption and services on the application between June 1, 2023 and June 1, 2023 was created. On this model, all attack typologies and attack frequencies for one month were analyzed with log records and attack word clouds, and data records were obtained through the textual and visual interface.

## 6. FINDINGS

Among the 65,536 ports available all over the world, the typological classification of the attacks against the virtual server in the application where the project was carried out was made and rule writings on the blacklist were created. Within the scope of the research project, first of all, an architectural software typologies were examined to cover the directive of the one month preliminary technical review and case study, and an independent sample application process was initiated. To build the model, different rule scripts and protocol scripts for malicious requests were created. At the basis of the project, the system infrastructure was shaped on a virtual machine within the framework of the rules written to prevent attacks from outside and to prevent attacks from inside (internal networks) to the internet. In this context, for separate rules and analysis compatibility according to cyber-attack typologies, a blacklist was created in the first stage, which was added to the firewall with web uploads to determine the attack-based risk factors hosted by IP addresses.

This study is based on compatibility tests and vulnerability tests that will enable the prevention of cyber-attacks as well as the creation of counter-attacks when necessary, and the identification of the frequency levels of cyber-attacks made and to be made to the Turkic World through central intelligence units. In the second stage, in the web application firewall (Waf) process, auditing and initial test measurements were made on some devices with load and stability features that can prevent the web server against malicious requests to a large extent, and data sets were started to be obtained in this process.

In the next stage, an internal system was developed for structures that do not show friendly behavior in the blacklist system at the local level.



**Figure 1.** *SiberTürk software architecture diagram system overview*

For centralized and distributed use, some application plugins were also created to interpret specific attacks coming from the end units to their own units. Since it is easier to operate the rules for security purposes on live and moving data, this system also provides control of data flows through a useful interface to produce real-time solutions in cyber security and cyber intelligence. Although artificial intelligence-supported plugins are created in the system application, the process does not have a prohibitive burden in terms of time and cost in order to provide high output value in a very short time. As log interpretation processes are mandatory, machine and deep learning processes were gradually evaluated.

The topology shown in Figure 1 above is a representation of the structure used in the application. The most important feature of this structure is that in addition to Active and Passive attacker detection and prevention, a centralized intelligence structure will be established and intelligence attempts to collect information about the systems will be invalidated by both the L7 web application firewall and the firewall used for border security. Thanks to the Honeypot servers in the structure, the collected IP addresses are uploaded to the blacklist server and received by other security devices as dynamic access list updates. In this way, the IP addresses detected by the written rule are prevented from accessing any server or client on the local network. The firewall operating at the L7 level listens to the incoming requests to the service and prevents the IP addresses sending malicious requests from accessing critical data on the server. In addition, when more than a certain number of malicious requests are detected, the access of the requesting IP address is blocked for a specified period of time.

When the data obtained within the scope of the research are examined in detail by the local analysis units defined on the main screen, it is observed that there is an intense cyber attack. Among these attacks, Dioneae Pumpkin Attacks, which ranked first, were realized at the level of 92% with 2,595,068. The ports and services targeted by the attack types monitored through the application for Dionaea are listed as “http, memcache, tftp, pftp, blackhole, ftp, mirror, sip, mqtt, smb, mssql, mysql, epmap, upnp”.

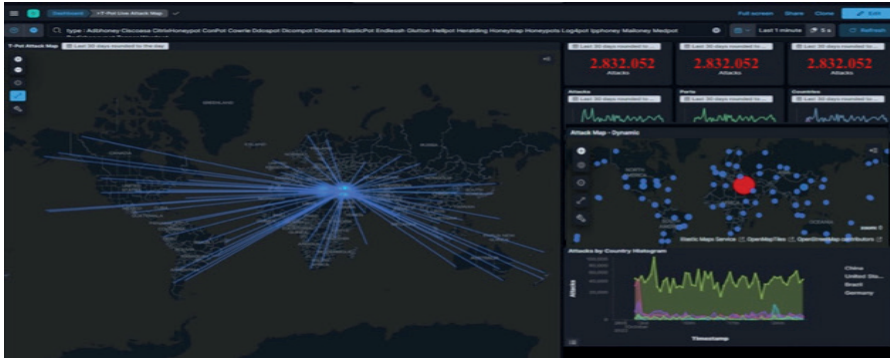


Figure 2. *SiberTürk software architecture system user attack typologies*

When the SiberTürk Software Architecture Attack Map Overview above is carefully examined, it is understood that important attacks were made from every corner of the world and moves were made to infiltrate the system. Looking at the ranking of 2,832,052 malicious requests made in a 1-month period by country, the top four countries are listed as “China, USA, Brazil and Germany”. China, Linux Console Access (SSH) 70% and Time Server (NTP-DDOS) 12%; USA, Linux Console Access (SSH) 36%, Time Server (NTP-DDOS) 46%, Domain Name System 14% (DNS) and 3% (WEB); Brazil, Linux Console Access (SSH) 95% and Time Server (NTP-DDOS) 46% and Domain Name System 1% (DNS); Germany, Linux Console Access (SSH) 53% and Time Server (NTP-DDOS) 31% Domain Name System 6% (DNS) and 7% (WEB) 1% (Other). SSH (Secure Shell) is basically a remote management protocol that allows servers to be controlled and edited over the internet. These attacks with username and password attempts are intensively tested in the system.

Thanks to Honeypot servers, more detailed information about the attackers trying to infiltrate the systems can be obtained. One of these is the username and password combinations they use to attempt to infiltrate systems. Once this information is obtained, if the usernames and passwords on the servers are defined outside the word lists used in brute force attacks, the time they spend to access the system will be increased and deterrence measures will be

taken. In addition, the username and password blacklists used in the systems will not be accidentally selected from the combinations tried by the attackers. In Figure 4 below, it is seen that *root* and *admin* have a high frequency level in the username word cloud, while *123456* and *empty* are used intensively in the password word cloud.



**Figure 3.** *SiberTürk software architecture attack map overview*

Within the framework of the analysis made on the system in Figure 5 below, when the labeling of Person(s) as attacker requests in the first column is evaluated; it is understood that Known Attackers are 94%, Mass Scanner are 20%, identity concealment attacks over the Tor network, attacks over search engines, form and intrusive ad-based attackers, and proxy and vpn switching-based disguised attacks are 2%. When the percentages of Honeypot attacks in the second column are evaluated, Dionaea attacks are 92%, Cowrie 3%, Honeytrap 1%, Ddospot 1% and other attack types such as Adbhoney, Tanner, Heraldng, Citrix-Honeypot, Conpot, ElasticPot are 1%. When we look at the general distribution of the attackers' operating systems in the third column of the figure 5, it is understood that 87% for Windows 7-8, 5% Linux 3.11 and newer, 4% for Windows NT Kernel, 3% for Windows NT Kernel 5x and 1% for others.

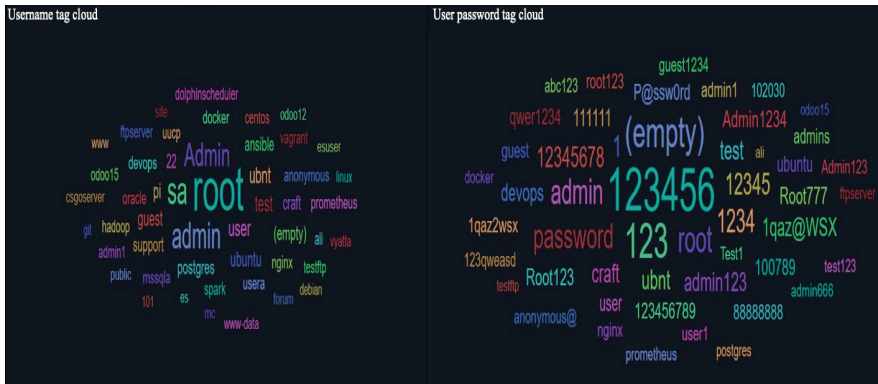


Figure 4. SiberTürk software architecture system username and password overview



Figure 5. SiberTürk software architecture honeypot and machine types overview

## 7. CONCLUSION

Today, the actions of individuals, public institutions and states in the virtual world on internet-based media are considered as digital steps. Due to the activities of virtual identities shaped in individual-oriented social network environments in cyberspace for legal and illegal purposes through user accounts, areas such as data security, cyber security, content ownership, account protection systems are becoming more important. While users contribute to the development of the content industry through sharing, liking, following and other content, they also become the target of cyber-attacks. The change

in the nature of the content or data and the content level of the data make it necessary to produce various solutions to prevent illegal attack actions. In this context, the solutions produced increase the tendency towards technological tools such as anti-virus software, antivirus applications and firewalls.

Among the groups that invest more than individual users in monitoring global-scale data storage areas in the world, multinational companies and governments do not see these practices alone as sufficient and try to develop data protection systems through their own cyber teams. There are two main areas of work in the effort to achieve globalization and economic gains around the world. These include, respectively, using supervisory tools by investing in one's own system, and the other is to obtain valuable data by organizing cyber-attacks through malicious content against systems that are considered as competitors and/or enemies, and to turn the balances in their favor in the digital economy and manipulation. In the cyber world, countries develop various digital practices that prevent terrorism within the scope of preventive cyber security measures in addition to deterrent legal rules. For these purposes, the need for joint application protocols to create public diplomacy in an eclectic structure in digital media through national, regional and global organizations in the perspective of ideological and technological determinism is increasing.

Among today's rapidly advancing technologies, the sector that is most frequently heard and most in need of personnel is the IT sector. Cyber Security, on the other hand, has a prominent structure due to the fact that its working subjects are integrated with other informatics subjects. However, many countries have a shortage of trained personnel in this field. Due to the inability to establish a sufficient number of teams in the field of Cyber Security and the lack of qualified personnel, it is necessary to plan the work in a way to maintain fast and continuity in today's conditions. For this, it is necessary not to fall into a situation where there is a shortage of personnel, but which may lead to money and reputation damage. For this reason, the advantage of a study to be carried out as Turkic States is to eliminate the shortage of security personnel trained within the scope of the project in different geographies and to minimize the vulnerability to attack. As a result of the examination and analysis of the data obtained, the workforce needed will be reduced to the lowest level thanks to the tightening of the necessary systems centrally.

This project study emphasizes Turkey's identity as a key digital subject to create an independent space in the digital world in addition to its efforts in other areas and to create a model application that supports its relations based on trust with its strategic partners and to become a global actor with the label of "SiberTürk", which is a common consensus among the countries with a central country structure in social, economic, military and geostrategic terms. The application developed within the scope of the research is considered as an exemplary application with its architectural structure showing multiple

software network features. In the light of the data obtained from the one-month analysis process of the research, it is once again revealed how important it is to produce digital systems and deterrent cyber solutions to be a global actor.

In addition, the data obtained through this system between June 1, 2023 and June 30, 2023 were analyzed. As a result of these analyzes, firewall integration was provided with another software developed and after analyzing the incoming attacks every 5 minutes, blocking is performed on the firewall via dynamic ip list. In this way, some attacks and bot net activities that are still in the initial stage have been prevented. The detection of malware-infected computing assets used within the organization or users who exhibit malicious use is also provided, and it is possible for security unit employees to both monitor and block quickly in situations outside of duty hours.

During this work, Turkey's geopolitical position and the current world conjuncture made it possible to facilitate monitoring, blocking and detection. This study was planned to establish a common structure in the cyber world due to the international relationship centers such as joint banking, investment companies and Turkic union organizations established between the Turkic World States. This study is considered as a reference for the policy of establishing a common cyber network at the point of expanding these regional and cultural relations. By collecting more information and data in this area, early attack monitoring or prevention can be realized, as well as the transformation of regional strategic unity policies.

In an internet-based system on cyber security, in cases where prohibition, data confidentiality, encryption systems and control mechanisms may be interrupted from time to time, practices on cyber terrorism may come to the fore as the most important issues for investors in the allocation of peace areas within countries and in commercial systems based on trust on a global scale. As a result, in a global environment where surveillance and cyber security are prominent, Turkey's leading the Turkic World and strengthening its place in the new networked world can be considered as a strategic dimension.



## REFERENCES

- Akbarzadeh, A., & Katsikas, S.K. (2022). Dependency-based security risk assessment for cyber-physical systems, *International Journal of Information Security*, 11 August 2022. <https://doi.org/10.1007/s10207-022-00608-4>
- Al-Khateeb, S., & Agarwal, N. (2020). Social cyber forensics: leveraging open source information and social network analysis to advance cyber security informatics, *Computational and Mathematical Organization Theory*, 2020(26), 412-430. <https://link.springer.com/article/10.1007/s10588-019-09296-3>
- Amal, M.R. & Venkadesh, P. (2023). H-DOCTOR: Honeypot based firewall tuning for attack prevention, *Measurement: Sensors*, 25 (2023), 1- 7, 100664. <https://doi.org/10.1016/j.measen.2022.100664>
- Andersson, D., Granasen, M., Sundmark, T., Holm, H., & Hallberg, J. (2011). Analysis of a cyber defense Exercise using exploratory sequential data analysis, Swedish Defence Research Agency Linköping.
- Analysis of a Cyber defense exercise using exploratory sequential data analysis. SWEDISH DEFENCE RESEARCH AGENCY LINKÖPING.
- Andersson, D., Granasen, M., Sundmark, T., Holm, H., & Hallberg, J. (2011). Analysis of a Cyber defense exercise using exploratory sequential data analysis. SWEDISH DEFENCE RESEARCH AGENCY LINKÖPING
- Bauman, Z. (2010). *Globalization: Social Consequences*. Ayrıntı Yayınları, İstanbul, Türkiye.
- Buczak, A. L., & Guven, E. (2019). A survey of data mining and machine learning methods for cyber security intrusion detection. *IEEE Communications Surveys & Tutorials*, 18(2), 1153-1176.
- Bustard, JD. (2018) Improving student engagement in the study professional ethics: Concepts and an example in cyber security. *Science and Engineering Ethics*, 2018(24), 683-698, <https://doi.org/10.1007/s11948-017-9904-4>
- Castells, M., & Ince, M. (2006). *Manuel Castells'le Söyleşiler*. İstanbul Bilgi University Press, İstanbul, Türkiye.
- Castells, M. (2005). *The Information Age: Economy, Society And Culture*, Volume 1, Network Society Yükselişi. İstanbul Bilgi University Press, İstanbul, Türkiye.
- Chambers, J. M., Cleveland, W. S., Kleiner, B., & Tukey, P. A. (1983). *Graphical Methods For Data Analysis*. Wadsworth & Brooks/Cole.
- Chen, Y., Zhang, N., Zhou, J., & Xing, C. (2017). A data analysis model based on attack paths and its application in cyber security. *Security and Communication Networks*, 2017, 1-10.
- Du, J. (2022). Analyzing the structural complexity of software systems using complex network theory. In: Qian, Z., Jabbar, M., Li, X. (eds) *Proceeding of 2021 International Conference on Wireless Communications, Networking and Applicati-*

- ons. WCNA 2021. Lecture Notes in Electrical Engineering. Springer, Singapore. [https://doi.org/10.1007/978-981-19-2456-9\\_49](https://doi.org/10.1007/978-981-19-2456-9_49)
- Du, W., Tan, X., Luo, T., Jayamaran, K., & Zhu, Z. (2011, July). Re-designing the Web's Access Control System, Editor: Li Y. *Data and Applications Security and Privacy XXV*, LNCS 6818, 25th Annual IFIP WG 11.3 Conference, DB Sec 2011, Proceedings 4-11, 11-13 July 2011 Richmond, VA, USA. <https://link.springer.com/content/pdf/10.1007/978-3-642-22348-8.pdf>
- Fischer, F., Mansmann, F., Keim, D.A., Pietzko, S. & Waldvogel, M. (2008). Large-scale network monitoring for visual analysis of attacks. Lecture notes in computer science (Including subseries Lecture notes in artificial intelligence and Lecture notes in Bioinformatics), 5210 LNCS, 111-118.
- Foucault, M. (2012). *The Eye of Power*. Ayrıntı Yayınları, İstanbul, Türkiye.
- Foucault, M. (2013). Hapishanenin Doğuşu: Gözetim Altında Tutmak ve Cezalandırmak. İmge Kitabevi, Ankara, Türkiye.
- Furnell, S., Michael, K., Piper, F., Chris E, Catherine H, & Ensor C. (2018, September). A National certification programme for academic degrees in cyber security the national cyber security centre. Editors: Drevin L, Theocharidou M. *WISE 2018, IFIP AICT 531*, Proceedings (pp.133-145), Poznan, Poland, 18-20 September 2018. [https://doi.org/10.1007/978-3-319-99734-6\\_11](https://doi.org/10.1007/978-3-319-99734-6_11)
- Hardt, M., & Negri, A. (2012). *Empire*. Ayrıntı Yayınları, İstanbul, Türkiye.
- Henschke, A., & Legrand, T. (2017). Counterterrorism policy in liberal-democratic societies: Locating the ethical limits of national security. *Australian Journal of International Affairs*, 71(5), 544-561. <https://researchprofiles.anu.edu.au/en/publications/counterterrorism-policy-in-liberal-democratic-societies-locating->
- Hong, J., & Hua, Y. (2018). Research on Network Defense Strategy Based on Honey Pot Technology". *SAMSE IOP Publishing, IOP Conf. Series: Materials Science and Engineering*, 2018(322), 052033, 2018. <https://iopscience.iop.org/article/10.1088/1757-899X/322/5/052033/pdf>
- Karim, A., Shamsuddin, S. M., & Khan, S. (2018). A systematic review of data analytics in cyber security. *Journal of Network and Computer Applications*, 107, 1-17.
- Macnish, K, & Van der Ham, J. (2020). Ethics in cybersecurity research and practice, *Technology in Society*, 2020(63), 101382, 2-10, 2020. <https://www.sciencedirect.com/science/article/pii/S0160791X19306840?via%3Dihub>
- Marshall, C., & Rossman, G.B. (1999). *Designing Qualitative Research*. 3rd Edition, International Educational and Professional Publisher, California, USA.
- McLuhan M. (2014). *Gutenberg Galaxy: The Making of Typographic Man*. YKY, İstanbul, Türkiye.
- Miranda-Calle, J. D., Vikranth, R.C.D.P., & Churi, P. (2021). Exploratory data analysis for cybersecurity, *World Journal of Engineering*, 18/5 (2021) 734-749. <https://doi.org/10.1108/WJE-11-2020-0560>

- Nye, Joseph S. (2005). *Soft Power: The Path to Success in World Politics*. Elips Kitap, Ankara, Türkiye.
- Orkun, H.N. (1946). *Turkish History: I*. AKBA Kitabevi, Ankara, Türkiye.
- Orwell, G. (2014.) *One Thousand Nine Hundred and Eighty-Four*. Can Yayınları, İstanbul, Türkiye.
- Padda, S., Gupta, S., Apoorva, E., Lofty, E., Kaur, A. (2016). Honeypot: A security tool in intrusion detection. *International Journal of Advanced Engineering, Management and Science (IJAEMS)*, 2(5), May-2016, 311-316. [https://ijaems.com/upload\\_images/issue\\_files/146289617312%20IJAEM-MAR2016\\_27Honey-pot\\_%20A%20Security%20Tool%20in%20Intrusion%20Detection.pdf](https://ijaems.com/upload_images/issue_files/146289617312%20IJAEM-MAR2016_27Honey-pot_%20A%20Security%20Tool%20in%20Intrusion%20Detection.pdf)
- Purtaş, F. (2013). Türk dış politikasının yükselen değeri: Kültürel diplomasi. *Gazi Akademik Bakış Dergisi*, Ankara, 7(13), 1-14.
- Purtaş, F. (2017). Cultural diplomacy initiatives of Turkic Republics. *Perceptions, Spring 2017*, 22(1) 91-114.
- Ramakrishnan, N., Swaminathan, S., & Joshi, R. C. (2016). Anomaly detection in cyber security: A Machine learning approach. *Journal of Network and Computer Applications*, 68, 40-52.
- Rase, S.B., & Deshmukh, P. (2015). Summarization of honeypot- an evolutionary technology for securing data over network and comparison with some security techniques. *International Journal of Science and Research (IJSR)* 4(3), March 2015, ISSN (Online): 2319-7064, 1440-1445. <https://www.ijsr.net/archive/v4i3/SUB152332.pdf>
- Security Council Counter Terrorism Committee (SCCTC). (2020). Member States to their increasing concern at the growing and increasingly transnational threat posed by extreme right-wing terrorism”, CTED Trends Alerts, 2020, UN, USA. [https://www.un.org/sc/ctc/wpcontent/uploads/2020/04/CTED\\_Trends\\_Alert\\_Extreme\\_Right-Wing\\_Terrorism.pdf](https://www.un.org/sc/ctc/wpcontent/uploads/2020/04/CTED_Trends_Alert_Extreme_Right-Wing_Terrorism.pdf)
- Shukla, M., & Verma, P. (2015). Honeypot: Concepts, types and working. *IJEDR*, 3(4), 2015, 596-598. <https://www.ijedr.org/papers/IJEDR1504100.pdf>
- Titarmare, N., Hargule, N., & Gupta, A. (2019). An Overview of honeypot systems. *International Journal of Computer Sciences and Engineering*, 7, 394-397. <https://doi.org/10.26438/ijcse/v7i2.394397>
- Tukey, J. (1977). *Exploratory data analysis (Vol. 2)*. Addison-Wesley, USA.
- Wang, L., Singhal, A., & Jajodia, S. (2007). Measuring the overall security of network configurations using attack graphs. 4602 LNCS, 98-112.
- Wang, Q., & Stamp, M. (2015). Using data analysis techniques for cyber attack detection. *International Journal of Computer Science and Information Security*, 13(3), 28-34.

### **Endnotes**

1. In Turkish history, it is known that the name Turk originated from Central Asia. Today, along with Central Asia, the Turkish presence is particularly concentrated in the Eurasian region.
2. Foucault also explains the term Panopticon in his work *The Birth of the Prison*. For detailed information, see Foucault, 2013.
3. This number is recognized as the current international standard for ports.

# *Chapter 10*

## **THE EFFECT OF THE HUMAN DEVELOPMENT INDEX ON COVID-19 MORTALITY RATES**

*İstem Köymen KESER<sup>1</sup>*

---

<sup>1</sup> Doç. Dr., Dokuz Eylül Üniversitesi, İktisadi ve İdari Bilimler Fakültesi, Ekonometri Bölümü,  
İstatistik Anabilim Dalı, [istem.koymen@deu.edu.tr](mailto:istem.koymen@deu.edu.tr), ORCID NO: 0000-0003-2123-188X

## INTRODUCTION

The emergence of COVID-19 in China in December 2019 elicited global astonishment. Despite China's stringent measures to contain the virus, it swiftly disseminated across the world (Güneri, 2021). The World Health Organization (WHO) declared COVID-19 a pandemic on March 11, 2020, when around 118 thousand cases were reported globally. Subsequently, the worldwide infection tally has surged precipitously. Approximately one month after the inaugural fatality on January 9, the death toll reached one thousand by February 10, and the global toll surpassed one million deaths on September 28 (Çevik, 2021).

Following the global onset of COVID-19, a profound health crisis ensued, wielding swift and deleterious effects on the global socioeconomic landscape. While numerous studies have scrutinized the clinical characteristics of COVID-19 patients, there exists a discernible dearth of research investigating the impact of socioeconomic variables on the pandemic, particularly within the context of individual countries.

While the global impact of the pandemic has been extensive, a nuanced examination of COVID-19 mortality rates reveals a disparate severity of impact across nations. Notably, European Union countries, with Italy at the forefront, experienced a heightened toll of fatalities in the early stages of the pandemic. This study endeavors to assess the influence of the Human Development Index (HDI) as a socioeconomic indicator on mortality rates. Furthermore, it seeks to elucidate the variance between countries by examining the impact of vaccination—a paramount health indicator and the most efficacious method in combating the pandemic.

Within the existing body of research, there is a notable scarcity of studies exploring the correlation between the HDI and mortality rates stemming from COVID-19. Strikingly, a discernible absence of consensus pervades the literature regarding the direction and nature of this relationship, underscoring its controversial and enigmatic dimensions. The dearth of conclusive findings in the current scholarly discourse has propelled the imperative to scrutinize the intricate connection between HDI and COVID-19 mortality rates.

## THEORICAL BACKGROUND

### **The Effect of The Human Development Index on Mortality Rates**

The HDI is a statistic that summarizes years of education, average life expectancy, and gross national income and is used to give an important measure of a country's human development (Alves & Lima, 2021; Gill et al., 2022; Mirahmadizah, 2022). The HDI is an index created to show that economic conditions alone should not be taken into account in determining the development of a country. Education is measured by both average years of school-

ing (for adults over 25) and expected years of schooling (for children starting school). The standard of living is measured in gross national income (GNI) per capita. Finally, longevity is measured by average life expectancy. The HDI is calculated as the geometric mean (equally weighted) of life expectancy, education, and GNI per capita, as follows:

$$HDI = \sqrt{I_{health} * I_{education} * I_{Income}} \quad (1)$$

The HDI is a numeric value ranging from 0 to 1, with a higher HDI signaling greater human development. Examining the individual indices within HDI offers valuable insights into the determinants influencing the transmission and gravity of COVID-19 (Jahic, 2020; Gill et al., 2022).

HDI serves as a current snapshot of worldwide progress, encompassing projections at national, regional, and global levels. The Human Development Report categorizes countries into four groups — very high, high, middle, and low — based on their levels of human development. By facilitating cross-country comparisons, HDI enables a comprehensive understanding of global disparities (Khazaei et al., 2020).

Buheji et al. (2022) emphasized that the HDI is crafted to measure the overall achievements in human development within a society. As a result, nations often integrate it into their strategic long-term planning at the national level. The HDI functions as a vital instrument for evaluating the dynamic relationship between a country's socioeconomic progress and the prevalence of diseases. Notably, several studies have delved into examining the connection between HDI and the epidemiology of both infectious and non-infectious diseases.

Despite the anticipation that nations with a high HDI would experience lesser impacts from the pandemic, certain studies have identified positive associations between COVID-19 mortality rates and HDI, particularly in the early stages of the pandemic.

Shahbazi and Khazaei (2020) conducted a study aiming to discern the impact of the HDI on the global incidence and mortality rates of COVID-19. Their linear regression analysis revealed a significant correlation, indicating that higher HDI levels were associated with increased mortality rates from COVID-19. In simpler terms, countries with elevated socioeconomic status experienced more pronounced COVID-19 mortality rates. The researchers attributed this phenomenon, in part, to one of HDI's components—life expectancy at birth. As life expectancy rises, so does the proportion of the elderly population, and given the heightened vulnerability of the elderly to COVID-19, this contributes to higher mortality rates. The study sourced data

on COVID-19 mortality and incidence for 2019 and 2020 from the World Health Organization, while HDI data for 2019 and its components were extracted from the World Bank database encompassing 189 countries.

Liu et al. (2020) discovered a positive correlation between the HDI and elevated rates of COVID-19 infection and mortality across diverse regions in Italy. The data, gathered until May 15, 2020, revealed an unexpected association. The researchers linked this unexpected positive correlation between HDI and the risk of COVID-19 infection and death in Italy to the inverse relationship of HDI with cigarette consumption. Additionally, they noted a positive correlation between HDI and chronic illness, as well as average annual gross salary, as contributing factors to this phenomenon. Based on data from 01.11.2020 to 07.23.2020, Torkian et al. (2020) associated the increase in the HDI index with the increased death rate in the Americas Region, the European Region, and the African Region.

In Valev's (2020) study encompassing 45 countries with populations exceeding 30 million, representing 85.8% of the global population, data from May 28, 2020, revealed a positive correlation between the HDI and deaths per million COVID-19 cases. Valev (2020) interpreted these paradoxical findings, suggesting that the most affluent and prosperous nations are disproportionately impacted by the COVID-19 pandemic. Several factors contribute to this phenomenon: high HDI countries tend to have a significant elderly population, which is highly susceptible to COVID-19; their healthcare systems support a considerable number of individuals with severe chronic conditions like diabetes, cancer, and cardiovascular diseases, making them more vulnerable to coronavirus infection. Moreover, a notable percentage of people in high HDI countries grapple with overweight and obesity due to sedentary lifestyles and the consumption of high-calorie foods, with obesity being a known risk factor for severe outcomes and death from COVID-19. Some East Asian countries with high HDI may not enforce strict enough pandemic restrictions, and populations in these countries, characterized by higher stress levels, exhibit increased usage of drugs and processed foods, potentially compromising their immune systems.

Buheji et al. (2022) conducted an ecological study to elucidate the connection between global recovery and mortality rates of COVID-19 across various countries and the HDI. The study utilized data from 173 countries as of May 2, 2020, applying Poisson regression models to explore the association between HDI and pandemic recovery and mortality rates. The analysis involved adjusting for the country's median age and male-female sex ratio. The findings revealed a positive correlation between HDI and mortality rates, leading the researchers to assert that this underscores vulnerabilities in their approach to managing health crises.



Gill et al. (2022) sought to explore the potential links between COVID-19 cases and fatality rates and the components of the HDI. Through Spearman regression, they identified a moderately strong positive correlation between HDI and both COVID-19 cases and fatality rates. Furthermore, a significant positive correlation was established between COVID-19 cases and fatality rates and each of the three HDI components, namely health, education, and income. The researchers observed that the incidence of COVID-19 cases and fatality rates demonstrated a positive trajectory in tandem with the HDI and its associated indices. The investigation spanned cumulative cases and deaths up to February 13, 2021, with human development data available only for the year 2020, encompassing over 175 UN member states in the analysis.

As posited by Gill et al. (2022) and De Larochelambert et al. (2020), the positive correlation between HDI and mortality rates can be attributed to a higher prevalence of elderly populations in countries with elevated HDI. Additionally, a higher income index linked to greater GDP often corresponds with increased economic development, fostering sedentary lifestyles and inactive behaviors, which are known risk factors for chronic diseases such as diabetes, severe obesity, and kidney disease (Khazaei et al., 2020). Another contributing factor could be that countries with higher HDI, generally characterized by liberal or democratic systems, might face resistance to public health legislation supporting social restrictions during the COVID-19 pandemic, both from citizens and governmental entities (Troumbis, 2020). The timeframe of the study could also play a role in this unexpected positive relationship.

In their research on Brazil, Collazos et al. (2023) focused on the cumulative daily number of deaths as the dependent variable. Initially, they employed functional clustering analysis to examine the patterns in death curves. Subsequently, they applied functional quantile regression and observed that the HDI exhibited a consistently increasing impact on the number of deaths throughout the entire duration of their study.

In addition to these studies, some studies have found a negative correlation between mortality rates and HDI during the pandemic in a way that meets expectations.

To mitigate the influence of age, Alves and Lima (2021) specifically investigated individuals below the age of 60. Their analysis, using the Pearson correlation coefficient, revealed a robust negative correlation between COVID-19 mortality and the HDI.

According to findings by Kreienbrinck et al. (2021), an elevated HDI corresponds to a reduced case fatality rate. These conclusions were drawn from data gathered across 46 sub-Saharan African countries spanning from February 2020 to May 2021.

Villani et al. (2021) assessed the relationship between standardized death rates and specific indicators for COVID-19 across European Union/EEA countries, the United Kingdom, and Switzerland. Their analysis spanned the initial wave versus subsequent waves until June 23, 2021. The study revealed a positive correlation between standardized mortality rates and indicators such as HDI, urbanization, life expectancy, and health expenditures during the first wave. However, in subsequent waves, these indicators exhibited a negative correlation with standardized mortality rates. The researchers highlighted that the initial wave disproportionately affected countries characterized by high HDI, urbanization, life expectancy, tourism, and health expenditures. Interestingly, this trend reversed in the subsequent waves, indicating that countries with more resources and better health were more successful, particularly in comparison to Eastern European countries. Although substantial variations in standardized mortality rates existed among countries during the first wave, these differences had largely diminished by June 23, 2021, with a few exceptions.

Abyan (2022) identified an inverse association between death rates and the HDI through a multiple regression model. The objective of the study was to examine the influence of regional socioeconomic and demographic factors on COVID-19, focusing on the number of confirmed cases and deaths in Indonesia. The study encompasses a total of 34 observations, with data collected around mid-June 2021.

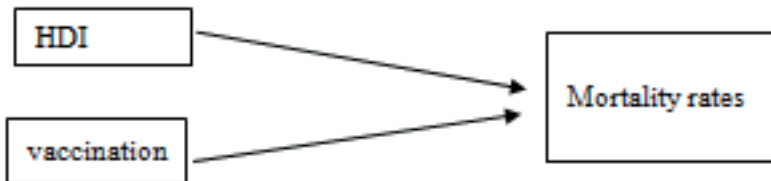
Mirahmadizadeh et al. (2022) found a negative correlation between the HDI and its components—literacy and Gross National Income (GNI)—and the case fatality rate. This correlation analysis was conducted for the period from the date of the first reported COVID-19 case to November 30, 2020. Notably, data on HDI and its components were accessible for 157 countries, while case fatality data were available for 153 countries.

Zhou and Puthenkalam (2022) explored the relationships between COVID-19 mortality rates and the HDI using data up to April 1, 2022, across 41 high-income countries. Their analysis revealed a robust negative correlation between COVID-19 mortality rates and both HDI and vaccination rates. Importantly, the findings contradict reports suggesting that a higher HDI leads to increased death rates during the COVID-19 pandemic. The researchers emphasized the need for global efforts to enhance and develop the components of the HDI to safeguard public life and health.

Prasetyo et al. (2023), in their research conducted in Indonesia, identified a statistically significant relationship, with a significance level of 0.01, between maternal mortality attributed to COVID-19 and the HDI. The findings indicated that higher HDI levels were associated with lower mortality rates.

## The Research Model

Besides measuring the impact of the HDI on COVID-19 mortality rates, the analysis aims to include vaccination, the most effective defense in the pandemic process, in its assessment. Total vaccination per hundred has been considered as a vaccination variable. It is expected that both the HDI and vaccination will contribute to reducing mortality rates according to the study's goals.



**Figure 1:** Research Model

## METHODS

### Data to be analyzed

Since there may be changes in the reliability and standard of data collection when working with a very large geographical region, the European Union members who have experienced the COVID-19 process severely were examined. To examine the change in the pandemic and the influential variables over time, the data from the date of the first reported case until the end of 2021, when the effects of the pandemic can be fully seen, and approximately 2 years of data until 15.10.2022, when the pandemic process was relatively alleviated, were examined.

The data in this study was taken from <https://ourworldindata.org/>. For some values that were not updated on time, the entry of the last recorded date for each country was accepted.

### Ethical Permission

Since these data can be obtained publicly through the websites of the relevant organizations, ethical permission is not required

### Statistical package program

After the necessary controls were made on the data, they were analyzed using the Statistical Package for the Social Sciences (SPSS) version 24.

### Statistical Methods

In the study, first, descriptive statistics were given to introduce the data set. Since it was aimed to measure the effect of HDI and vaccination on mortality

rates, firstly, the correlations between mortality rates and HDI and total vaccinations were examined. At the next stage, the data were subjected to regression analysis to observe the effect of HDI and total vaccination on mortality rates.

Correlation analysis is a method used to determine the strength of the linear relationship between two independent variables. The Pearson correlation coefficient ( $r$ ), shown in equation 1, is used to indicate the direction and strength of the linear relationship between two variables. In this equation,  $X$  and  $Y$  represent the variables, while  $n$  represents the number of observations.

$$r = \frac{n \sum XY - \sum X \sum Y}{\sqrt{(n \sum X^2 - (\sum X)^2)(n \sum Y^2 - (\sum Y)^2)}} \tag{2}$$

Regression analysis is a statistical method used to establish a relationship between independent (explanatory) and dependent (response) variables. It aims to measure how one or more independent variables affect the dependent variable. The primary goals of regression analysis are to estimate the relationship between explanatory and response variables, determine the impact of each explanatory variable on the response variable, and predict the response variable’s value for a specific explanatory variable value.

Our study’s model can be described as follows;

$$Y = a + bX + cZ + \epsilon \tag{3}$$

$X$  denotes HDI,  $Z$  denotes total vaccination,  $Y$  denotes mortality rates, and  $\epsilon$  denotes error.

**FINDINGS**

The study’s findings will be analyzed using descriptive statistics, correlation, and regression to improve clarity.

**Descriptive Statistics**

First, certain descriptive statistics that can help in recognizing the variables for both periods were examined. In Table 1 when the standard deviation and range of mortality rates for both periods were examined, it is seen that the variability is not at all low. There are large differences in mortality rates within European Union countries.

*Table 1: Descriptive Statistics*

2021	N	Range	Mean	Std. Deviation
mortality rate	27	4185.83	2080.28	1033.45
vaccination	27	151.55	156.63	38.97
HDI	27	0.14	0.90	0.037

2022	N	Range	Mean	Std. Deviation
mortality rate	27	4359.65	2698.29	1139.35
vaccination	27	187.32	188.50	51.05
HDI	27	0.14	0.90	0.037

As seen in Table 2, in both periods from the end of 2021 until the middle of October 2022, it is seen that the country with the lowest value in total vaccination and human development is Bulgaria, and in parallel with this, the country with the highest mortality rates in Bulgaria.

**Table 2: Country Assessments**

2021	vaccination	HDI	mortality rate
Min	BULGARIA	BULGARIA	FINLAND
Max	DENMARK	IRELAND	BULGARIA
2022	vaccination	HDI	mortality rate
Min	BULGARIA	BULGARIA	FINLAND
Max	MALTA	IRELAND	BULGARIA

### Correlation analysis

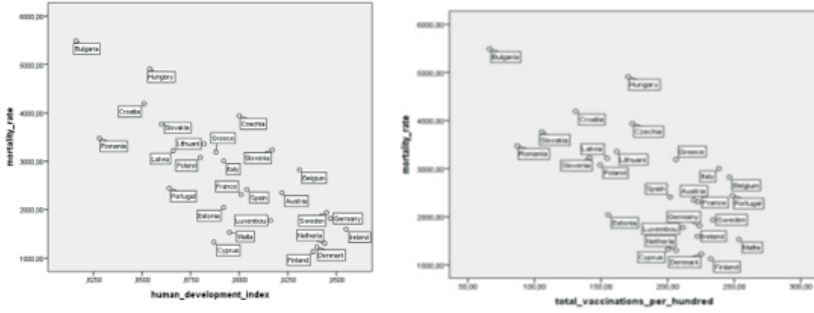
Table 3 presents the correlations between the COVID-19 mortality rate and HDI and total vaccinations per hundred for both periods, respectively. Pearson correlation coefficients were used here since the data came from normally distributed populations.

**Table 3: Correlation between mortality rate and HDI and total vaccinations per hundred**

	Mortality rate 2021	Mortality rate 2022
<b>HDI</b>	-0.719 (0.000')	-0.764(0.000')
<b>vaccination</b>	-0.710 (0.000')	-0.716(0.000')

\*indicates statistical significance at 0.01

*When considering both periods collectively, notable and statistically significant negative correlations emerged between the COVID-19 mortality rate and both the HDI and vaccination. Interestingly, by the conclusion of the second year, the strength of this relationship appears to have intensified. The outcomes underscore that countries boasting a higher HDI and robust vaccination efforts exhibit a robust and inverse association with lower COVID-19 mortality rates.*



**Figure 2:** Scree plot of mortality rate respectively versus human development index and total vaccinations per hundred

When Figure 2 is examined, it is seen that Bulgaria, which has the lowest values in terms of human development and total vaccinations per hundred, respectively, has the highest value in terms of mortality rate for the end of the second period.

Why Bulgaria is in this position should be investigated. Romania, Bulgaria, and Croatia are the last countries to join the European Union. Compared to other countries, they may be in a different position in terms of social and economic aspects.

**Regression analysis**

The results of the regression analysis, in which the HDI and the effect of vaccination on mortality rates are measured, are given in Table 4 and Table 5 in both periods, respectively.

**Table 4:** Regression Analysis (2021)

	Unstandardized Coefficients		Standardized Coefficients		t	Sign
	Beta	Std. Error	Beta			
<b>constant</b>	14530.72	4116.51			3.53	0.002*
<b>HDI</b>	-12028.98	5164.41	-0.433		-2.33	0.029**
<b>vaccination</b>	-10.61	4.93	-0.400		-2.15	0.042**
<b>adjusted R<sup>2</sup></b>	0.56					
<b>F</b>	17.68					
<b>p-value</b>	0.000					

\*indicates statistical significance at 0.01 \*\*indicates statistical significance at 0.05

**Table 5: Regression Analysis (2022)**

	Unstandardized Coefficients		Standardized	t	Sig.
	Beta	Std. Error	Coefficients Beta		
<b>constant</b>	18335.41	4347.57		4,22	0.000*
<b>HDI</b>	-15824.49	5408.39	-0.517	-2.93	0.007*
<b>vaccination</b>	-7.67	3.94	-0.343	-1.95	0.064**
<b>adjusted R<sup>2</sup></b>	0.64				
<b>F</b>	21.41				
<b>p-value</b>	0.000				

\* indicates statistical significance at 0.01 \* indicates statistical significance at 0.10\*

When the periods until the end of 2021 and mid-October 2022 were examined, it was seen that both models were statistically significant after testing all relevant assumptions. It is seen that the independent variables HDI and vaccination have a statistically significant inverse effect on mortality rates, which is the dependent variable for both periods. As HDI and vaccination increase, in other words, as countries become stronger in terms of socioeconomic and health, it is quite clear that this will have a reducing effect on mortality rates. Here, the reducing effect of HDI on mortality rates can be seen more clearly when the period until mid-October 2022 is examined. This shows that as the pandemic process progresses, countries with high HDI can control the pandemic more easily.

Adjusted  $R^2$  is a corrected goodness-of-fit measure for linear models. It is very important for the goodness of fit. When the adjusted  $R^2$  for both periods was examined, values of 0.56 and 0.64 were found, respectively. These values give the rate at which the change in the independent variables explains the dependent variable. It shows that the effect of two independent variables on mortality rates increases in the second period, in other words, as the process progresses.

## DISCUSSION

The COVID-19 epidemic has caused many deaths and great social and economic damage all over the world. Especially its economic effects continue. Discovering the socioeconomic and health factors influencing COVID-19 mortality is vital in guiding the management of future pandemic processes and guiding future approaches to combat possible re-exacerbation of the disease. Especially analyses and comparisons to be made based on countries are very important in this respect.

During the pandemic process, both the death rates and incidence of COVID-19 vary greatly from country to country and even from region to region. In this process, individual factors such as social distance, hygiene, im-

mune system, and age are very effective in preventing the spread of the disease, reduce mortality rates, and provide emergency response, many studies have been carried out on this subject, especially at the beginning of the pandemic. However, another important point is to determine the effective manageable factors in the proper management and long-term control of the pandemic based on countries.

With COVID-19, socioeconomic and health imbalances between countries have come to the fore. In this process, it has been determined that countries that are stronger in these respects are more effective in reducing the mortality rates and the incidence of COVID-19 in the pandemic after a short period of shock. Socially and economically strong countries have been able to provide their citizens with easier health opportunities, support the economic difficulties caused by various restrictions, and intervene earlier in the spread, especially by getting ahead in the purchase of vaccines. As mentioned in the literature review, a positive correlation was found between HDI and mortality rates in some studies. One of the reasons for this positive correlation, especially at the beginning of the pandemic, may also be because the data collected in countries with a high HDI are more reliable than in other countries. Alves and Lima (2021), Kreienbrinck et al. (2021), Villani et al. (2021), Abyan (2022), Mirahmadizadeh et al. (2022), Zhou and Puthenkalam (2022), Prasetyo et al.(2023) and in our study, the reducing effect of the HDI on deaths has been demonstrated in studies conducted in different countries. Also, Martin and Roman (2021) conducted a detailed study in which they examined the perspectives of the citizens of 21 member states of the European Union on EU pandemic policies. The study results provided valuable insight into how the relevant role of the EU in containing the spread of the pandemic is viewed between those who support a more centralized and coordinating role (federalist position) and those who do not (nationalist or regionalist position).

## CONCLUSIONS

This study focused on critical socioeconomic and health factors associated with increased loss of life during the pandemic process. The HDI can be considered one of the most influential socioeconomic factors, as it takes into account life expectancy, education, and income. Countries with high HDI are expected to contain the pandemic in a short time and reduce their mortality rates, as the results of the analysis show the strong reducing effect of HDI on mortality rates. As the pandemic process progressed, this negative correlation became even stronger. So a country's ability to keep its HDI components strong regularly will be very helpful in tackling pandemics. Although many variables can be taken as health indicators, the most effective way to fight viruses should of course be vaccination. As of the end of 2020, the effect of access to vaccines



and vaccination on mortality rates in Europe could also be measured and a strong adverse effect emerged.

This study is important in that it examines a period in which all the effects of the pandemic process can be seen, and that it clarifies the potentially controversial issue of the direction of the relationship between HDI and COVID-19 mortality presented by the literature. The fact that the study dealt with the process both one year and about two years after the onset of the pandemic allowed the results of the pandemic process to be seen clearly and showed that the inverse relationship between HDI and mortality rates from COVID -19 increased as the process progressed.

## REFERENCES

- Abyan, R. (2022). The Effect of Region's Socio-Economic and Demographic Characteristics on COVID-19 Confirmed Cases and Deaths. *Journal of Indonesian Applied Economics*, 10(1), 17-24. <https://doi.org/10.21776/ub.jiae.2022.010.01.3>
- Alves, J.G., & Lima, T.P. (2021). COVID-19 lethality in non-elderly individuals in cities with different Human Development Index. *Tropical Doctor*, 51(1), 124-125. doi:10.1177/0049475520943716.
- Buheji, M., AlDerazib, A., Ahmeda, D., Bragazzid, N.L., Jahramib, H., Hamadeh, R.R., & BaHammam, A.A. (2022). The association between the initial outcomes of COVID-19 and the human development index: An ecological study. *Human Systems Management*, 41, 303-313. DOI 10.3233/HSM-210005.
- Collazos, J.A.A., Dias, R., & Medeiros, M.C. (2023). Modeling the evolution of deaths from infectious diseases with functional data models: The case of COVID-19 in Brazil. *Statistics in Medicine*, 1-20. <https://doi.org/10.1002/sim.9654>
- Çevik, V.A. (2021). Tarihin En Kapsamlı Soğuk Zincir Uygulaması: Koronavirüs (COVID-19) Aşısının Lojistiğinde Karşılaşılan Zorluklar. *Üsküdar Üniversitesi Sosyal Bilimler Dergisi*, 12, 155-204. doi.org/10.32739/uskudarsbd.7.12.88
- De Larochelambert, Q., Marc, A., Antero, J., Le Bourg, E., & Toussaint, J. (2020). COVID-19 mortality: A matter of vulnerability among nations facing limited margins of adaptation. *Frontiers in Public Health*, 8. <https://doi.org/10.3389/fpubh.2020.604339>
- Gill, Z., Mulpuri, S., Jalil, Y., Ma, J., & Taparia, K. (2022). Human Development and COVID-19: An Unforeseen Positive Correlation. *The Canadian Science for Journal*, 4(4), 1-9.
- Güneri, B. (2021). Non-Pharmaceutical Interventions And Their Economic Effects During The COVID-19 Pandemic. *Hacettepe Üniversitesi İktisadi ve İdari Bilimler Fakültesi*, 39 (COVID-19 Özel Sayısı), 109-122. DOI: 10.17065/huniibf.909154.
- Jahic, A. (2020). Human Development Reports, (retrieved from <http://hdr.undp.org/en/content/human-development-index-hdi>).
- Khazaei, Z., Mazaheri, E., Hasanpour-Dehkordi, A., Rahimi Pordanjani, S., Naghibzadeh-Tahami, A., Naemi H., & Goodarzi, E., (2020), Pandemic in the World and its Relation to Human Development Index: A Global Study. *Arch Clin Infect Dis*, 15(5), 1-5. DOI: 10.5812/archcid.103093
- Kreienbrinck, A., Zeeb, H., & Becher, H. (2021). Associations between socioeconomic and public health indicators and the case-fatality rate of COVID-19 in sub-Saharan Africa. *One Health Implement Res*, 1, 66-79.
- Liu, K., He, M., Zhuang, Z., He, D., & Li, H. (2020). Unexpected positive correlation between human development index and risk of infections and deaths of COVID-19 in Italy. *One Health*, 10, 100174. DOI: 10.1016/j.onehlt.2020.100174

- Martin, J.C., & Roman, C. (2021). The effects of COVID-19 on EU federalism. *Eastern Journal Of European Studies*, 12(special issue), 126-148. DOI: 10.47743/ejes-2021-SI06.
- Mirahmadizadeh, A., Ghelichi-Ghojogh, M., Vali, M., Jokari, K., Ghaem, H., Hemmati, A., Jafari, F., Dehghani, S.S., Hassani, A.h., Jafari, A., & Rezaei, F. (2022). Correlation between human development index and its components with COVID-19 indices: a global level ecologic study. *BMC Public Health* , 22 (1), 1549. doi: 10.1186/s12889-022-13698-5.
- Prasetyo, B., Laksana, M.A.C., Tjokroprawiro, B.A., Dewi, E.R., Izza, A., Prasetyo, M.R., Prastika, A.B., & Sukarjiyah, W.(2023). The relationship between maternal death due to COVID-19 and the human development index in East Java, Indonesia. *Journal of Public Health Research*, 12(1), 1-5. doi: 10.1177/22799036221147369.
- Shahbazi, F., & Khazaei, S. (2020). Socio-economic inequality in global incidence and mortality rates from coronavirus disease 2019: an ecological study. *New Microbes New Infect*, 38, 1-4.
- Torkian, S., Kazemi, S., Eslahi, M., Khatooni, E., Etesami, R., Khanjani, N., & Rashti, R. (2020). The association between COVID-19 incidence and mortality with socioeconomic development-A global ecological study. *BMC Public Health*. (retrieved from <https://doi.org/10.21203/rs.3.rs-117325/v1>).
- Troumbis, A. Y. (2020). Testing the socioeconomic determinants of COVID-19 pandemic hypothesis with aggregated human Development Index. *Journal of Epidemiology and Community Health*, 75(4), 414-415. <http://dx.doi.org/10.1136/jech-2020-215986>
- Valev, D., (2020). *Relationships of total COVID-19 cases and deaths with ten demographic, economic and social indicators*. *MedRxiv*. <https://doi.org/10.1101/2020.09.05.20188953>.
- Villani, L., Pastorino, R., Ricciardi, W., Ioannidis, J., & Boccia, S. (2021). Inverse correlates of COVID-19 mortality across European countries during the first versus subsequent waves. *BMJ Global Health*, 6(8), 1-8. doi: 10.1136/bmjgh-2021-006422.
- Zhou, L., & Puthenkalam, J.J.(2022). Effects of the Human Development Index on COVID-19 Mortality Rates in High-Income Countries. *European Journal of Development Studies*, 2, 26–31. <https://doi.org/10.24018/ejdevelop.2022.2.3.10>



# *Chapter 11*

## **THE IMPACT OF COVID-19 PANDEMIC ON THE PROFITABILITY OF BANKS: EVIDENCE FROM TURKIYE**

*Pınar PEHLİVAN<sup>1</sup>*

*Cansu METE<sup>2</sup>*

---

1 Doç.Dr. Manisa Celal Bayar University Demirci Vocational School Finance, Banking and Insurance Department ORCID No: 0000-0002-8255-7712.

2 Master's Student, Manisa Celal Bayar University, Faculty of Business, Department of Economics and Finance

## INTRODUCTION

The coronavirus (Covid 19) epidemic, which emerged in China in December 2019 and has affected the whole world and our country since the first quarter of 2020, has a deep impact on almost all the sectors, as well as the financial sector and the banking sector. In the real sector, the epidemic, which had an impact as a disruption of production and the supply chain due to reasons such as curfew, limitation of working hours, closures and deaths, also led to the contraction of economic activities and the closure of some small businesses. Along with the pandemic, the decreases in production and employment also reduced the income level. Moreover, the change in consumer habits and the differentiation of consumption patterns and the needs caused the global market structure to change. In order to reduce the impacts of these negative developments, governments mainly tried to keep the market alive by providing low-interest loans, restructuring existing loans and providing liquidity support. The banking sector, which tries to fund the consumers and companies during the pandemic and is the most important system for the efficient functioning of the economy, has also been adversely affected by this circumstance. The measures taken to mitigate the negative effects of the epidemic caused the expansion of credit volume in the banking sector, and a dramatic increase in non-performing loans and loss provisions. In this process, the risks confronted by the banks increased, income losses occurred, and as a result, the profitability of banks was adversely affected by this situation.

In this study, the performance of the Turkish banking sector before and during the pandemic were examined and it was investigated how and in what way the pandemic affected the profitability of the banks. In the study, econometric methods were used to empirically examine the possible effects of the Covid 19 pandemic on the profitability of banks in Türkiye. In this framework, the second-generation unit root tests with structural break and unit root tests with structural break allowing Fourier type soft break and, also, Westelund Time Series Co-integration Test with Structural Break tests were applied as a methodology. The sample country selected within the scope of the research is Türkiye, while the other countries in the world are not included in the analysis. In addition, the impact of Covid 19 on only the banking sector (on the profitability of banks) in Türkiye were examined in the study, and the possible impact of the epidemic on other sectors and performance indicators other than profitability of the banking sector examined in this analysis are not included in the scope of the study.

The study consists of four main parts. In the first part, the conceptual framework, in the second part, the Turkish Banking sector in the pandemic process, and in the third part, the literature on the subject is submitted. In the last part, there is give information about the empirical analysis, and the findings obtained from the empirical work are submitted.

## 1. Conceptual Framework

In our country and all over the world, with the year 2020, the biggest epidemic in the last century and as a result, the most critical economic period in recent years has been experienced. The Covid 19 epidemic, which was first detected in China in November 2019, has spread worldwide by March 2020. This epidemic, which was experienced at a time when the effects of the global economic crisis and imbalances continued, deeply affected both social and economic life all over the world. The epidemic, which suddenly emerged, has developed as a phenomenon that affects all the economies globally (Goodell, 2020).

Although the Covid-19 pandemic is a health-related crisis, it has also significantly affected social and economic life. When the pandemic became global, it brought many restrictions with it. In this process, governments took many measures such as closing schools, banning meetings, closing some businesses, and thus tried to prevent the spread of the virus (Kong & Prinz, 2020). However, these restrictions caused production and income losses and employment declines, and investment expenditures of firms and consumption expenditures of households decreased (Asare & Barfi, 2021: 33). In addition to all these, the decrease in foreign direct investment, the real effects of financial shocks and oil prices increased economic costs (Padhan & Prabheesh, 2021; 221). According to the World Bank data, the global economic growth rate has decreased by 4.5% to 6% in 2020, and 95 million people are included in the extreme poor class. According to the estimates of the World Trade Organization, global trade decreased by 5.3%, global employment loss reached 110 million people in the same year, and global labor income decreased by 8.3%. While unemployment rates were around 5% before the epidemic across the OECD, it increased to 8% during the epidemic (Kılınc, 2021; 922).

With the Covid 19 epidemic, the economy shrank on a global basis, and significant contractions were observed in the trade volume, tourism and transportation sectors. A number of extraordinary measures have been taken by national governments to mitigate the negative impacts and support the economic activities. In this context, direct income support was provided to citizens and workers in the sectors that were heavily affected by the epidemic. In this process, the amount of developed country currencies in circulation increased and volatilities were experienced in capital movements. The central banks of developed countries generally preferred to implement an expansionary monetary policy within the scope of combating deflation. While lending to the market interest rates were reduced, the balance sheets were enlarged with asset purchase programs. In addition to these monetary policies, expansionary fiscal policies were also employed in order to support the demand.

Due to the problems in the supply chain, global trade shrank by 8.5 percent and commodity prices decreased by 11 percent. The inflation rate, which was 0.7 percent in developed countries and 5.1 percent in developing countries in 2020, decreased in both developed and developing countries. Commodity prices, which declined due to falling global demand, started to rise in the last quarter of the year with the recovery.

An important impact of the pandemic was that it increased global level of indebtedness. According to the TBB (The Banks Association of Türkiye) while the debt ratio exceeded 4 times the gross domestic product in developed countries, it increased over 2.5 times in developing countries (TBB, 2021; 13). Also, according to the World Health Organization data, as of January 2023, the number of Covid 19 cases is 668,646.404 and the number of deaths is 6,738,653 people (WHO, 2023).

When we look at the impacts of the pandemic from the perspective of Türkiye, the partial quarantine practices have been implemented in our country in order to limit the spread of the pandemic. Quarantine practices have rapidly negatively affected economic activities, especially in the tourism, service sectors and transportation sectors. Türkiye has taken similar measures in the field of health, generally at the same time as other countries, regarding the quarantine and restriction practices against the pandemic. In the economic field, on the one hand, practices aimed at limiting the loss of income through fiscal policy and on the other hand supporting demand through social expenditures were used. In addition, economic activities were supported through the expansionary credit policy, and sensitivity was paid to maintaining the payment system in a healthy way. Expansionary fiscal and credit policy was supported by monetary policy. The main regulations and practices of the CBRT (Central Bank of the Republic of Türkiye) are to keep the weighted average cost of funding low and thus to encourage loan use; encouraging the use of TL loans through required reserve ratios, making it difficult to use credits in foreign currency and increasing the transaction volume of the swap market within the CBRT. As a monetary policy instrument, the application of multiple funding channels and multiple returns system was continued. In addition, some regulations have been made to encourage banks that have achieved certain loan growth rates in their required reserve practices (TBB, 2021; 13).

From the perspective of Türkiye, according to the November 2022 data of the Ministry of Health (data for the next period has not been disclosed), 17,042,722 cases and 101,492 deaths have been reached (Republic of Turkey Ministry of Health, 2023).

Despite this, Türkiye was able to close this year with positive growth rates. According to TUIK (The Turkish Statistical Institute) data, Türkiye achieved a growth rate of 6.4% at the end of 2020 and 9.6% at the end of 2021. In the



third quarter of 2022, the growth rate was 3.9%. In terms of employment and unemployment, the employment rate decreased by 2.9% compared to the previous year and decreased to 42.8% in 2020 and increased to 46.7% in 2021. The unemployment rate was 13.2% in 2020 and 11.2% in 2021 (TUIK, 2023).

On the other hand, at the end of 2020, consumer prices index (CPI) increased by 14.6% and producer prices index (PPI) increased by 25.1% (TBB, 2021;18). In 2021, consumer prices (CPI) increased by 36.1% and producer prices (PPI) increased by 79.9% (TBB, 2022;14). The budget deficit increased by 38% in 2020 compared to the previous year and reached 173 billion TL. The ratios of government budget revenues and expenditures to GDP were 20.4% and 23.8%, respectively. The ratio of budget deficit to GDP is 3.4% (TBB, 2021; 21). The budget deficit increased by 10% compared to the previous year and was realized as 192 billion TL. The ratios of budget revenues and expenditures to GDP were 19.5% and 22.2%, respectively. The ratio of budget deficit to GDP was 2.7% (TBB, 2022; 17).

Looking at the foreign trade data, the foreign trade deficit in 2020 increased by 69% compared to the previous year and reached 50 billion dollars. The ratio of exports to imports decreased by 9 points and became 77% (TBB, 2021; 24). In 2021, the foreign trade deficit decreased by 8% compared to the previous year and decreased to 46 billion dollars. The ratio of exports to imports increased by 6 points and became 83%. In 2020, the current account had a deficit of 37 billion dollars and the ratio of current account deficit to GDP was 5.1% (TBB, 2021; 20-24).

## **2. Banking Sector in Turkiye During the Pandemic Period**

In practices aimed at limiting the negative effects of the epidemic on the economy, the banking sector has undertaken a very important and special task and supported the economy with all its means. In coordination with all relevant institutions/organizations and in cooperation with stakeholders, additional and facilitating financing was provided for the continuation of production, investment, export and trade with all the possibilities of the sector, and services were continued without interruption. A great effort was made to minimize the economic contraction by supporting the market with appropriate loan programs. New opportunities were provided in line with the urgent liquidity and resource needs of companies and individuals. In addition to providing loans in TL to individual customers, additional periods were given through delays and/or restructurings. From an institutional point of view, export and manufacturing sectors, as well as sectors that provide employment and earn foreign currency, were supported.

Also, the banks have continued their deposit, loan and payment services uninterruptedly, and payment systems have been operated in a healthy way, by taking the necessary care to comply with the epidemic measures concerning

public health by using operation and digital infrastructure facilities as well as their branch networks.

Banking practices during the pandemic period are summarized below:

- The usage areas of Treasury-backed KGF (The Turkish Credit Guarantee Fund) guarantees in loans provided to companies have been increased.

- Loan packages have been announced to support the purchase of new or second-hand houses and passenger / commercial vehicles.

- To meet the working capital needs; corporate credit card limits and corporate card limits of companies were increased.

- The minimum payment amount for credit cards has been reduced from thirty percent to 20 percent of the term debt.

- The number of credit card installments for the tourism sector was increased from 12 to 18.

- In order to protect employment, long-term loans were provided to companies.

- In order to facilitate the public payment obligations of companies such as taxes and SGK (Social Security Agency), the opportunity to increase cash management limits and improve installment opportunities was provided.

- Depending on the demand, overdraft account and credit card limits have been increased in order to meet the compulsory payments and use them in emergency expenditures.

- The opportunity to postpone the principal, interest and installment payments of individual and legal entity customers is provided, depending on the demand, under the current conditions.

- Bank customers who are temporarily experiencing payment problems are offered the opportunity to restructure their loans with suitable terms and a grace period.

- For short-term loans, the contract closing period of exporters has been extended and additional time has been granted.

- It is possible to carry out transactions free of charge via mobile, internet branches and ATMs (Automated Teller Machine).

- Daily withdrawal limits from ATMs have been increased. (TBB, 2021; 28-29).

In addition to all these, the banking sector has taken measures to protect the health of both its employees and the public during the epidemic period. Within this framework, the working hours of the branches were adapted according to the

changing conditions, and the employees of the head office were enabled to switch to remote working quickly. All these measures also prevented the country's credit rating from falling excessively, ensuring the continuation of access to financial markets. As a matter of fact, credit ratings are of key importance especially for developing economies to have sustainable and high growth rates (Pirdal, 2017: 122).

### 3. Literature

There have been many studies examining the economic consequences of the Covid 19 epidemic and its effects on the banking sector. In these studies, different countries and sectors were examined and different methods/variables were used. Therefore, the results obtained differ from each other.

Previous studies on the subject and the findings are summarized below:

In order to investigate the impact of the pandemic on the banking sector, Aldasoro et al. (2020) studied the data of 118 banks from 28 countries and stated that the banking sector was affected by the pandemic, the return on assets of banks decreased, and therefore the rating ratings of banks decreased. They also revealed that banks with strong capital structures and high profitability levels were less affected by the pandemic.

Korzeb & Niedziółka (2020) examined the resilience of 13 commercial banks operating in Poland against potential effects caused by the epidemic process. In the study, they concluded that commercial banks, which are large in Poland, are more resistant during the epidemic process and are the most fragile banks due to the effect of the health crisis.

Rahmi & Sumirat (2021), who investigated the impact of the Covid-19 pandemic on the profitability of the Indonesian banking sector, found that the pandemic had a negative impact on the return on assets, return on equity ratios and net interest margins of commercial banks in Indonesia.

Ray & Powar (2021), in their study to investigate to what extent the credit quality of the Indian banking sector is affected by the Covid 19 pandemic, they found that the asset quality of the Indian banking sector was adversely affected by the pandemic.

Lasak (2021), researched the impact of the pandemic on the profitability level of commercial banks in the Eurozone, stated in his study that the return on equity of banks in the Eurozone decreased in 2020 with the pandemic and predicted that the decrease in the level of profitability would continue.

In his study to examine the impact of the Covid 19 pandemic on the profitability of the Croatian banking sector, Hladika (2021) found that the profit of the Croatian banking sector decreased compared to the previous year and the bank profitability ratios were adversely affected by the pandemic.

Sarı (2021), in his study examining the effects of Covid 19 on the Turkish banking sector, found that the financial leverage ratio of the banking sector increased and the return on assets ratio of the banking sector decreased during the pandemic process.

Ersoy et al. (2020), in their study examining the effects of the pandemic on the banking sector, put forward that in order to reduce the negative effects of the pandemic on the real sector, banks made applications such as providing liquidity, extending the maturity of loans and extending additional loans, and these were beneficial in reducing the negative effects of the pandemic.

Işık & Akdoğan (2021) examined the changes in the profitability levels of public, domestic and foreign capital deposit banks operating in the Turkish banking sector during the pandemic process and determined that there were significant decreases in the asset profitability and net interest margins of other banks, excluding public banks, during the pandemic process.

In their study, Beybur & Çetinkaya (2021) examined the changes in the loans and non-performing loans of the banking sector in the 12-month period before the pandemic and the 12-month period during which the pandemic continued. They emphasized that the overdue receivables are expected to increase.

Demirel & Ulusoy (2021), in their study on 21 banks and using multiple regression method to determine the factors that determine the profitability of banks in the Turkish banking sector during the pandemic process, suggested that capital adequacy was effective on the profitability of banks before the pandemic, but that the balance sheet structures and asset quality of the banks were effective during the pandemic process.

Gençturk et al. (2021), they benefited from the multi-criteria decision-making method in their study where they aimed to evaluate the general performance of participation banks during the pandemic period. They found that while the criteria of receivables to be liquidated before the pandemic were important for the performance of participation banks, the criteria of net profit and receivables to be liquidated were prioritized during the pandemic period and Vakıf Katılım Bankası A.Ş. showed the best performance.

Beybur (2021), who analyzed the development of profitability levels of deposit and participation banks operating in the Turkish banking sector in the one-year period before and during the pandemic, in his study, showed that interest and non-interest expenses of public banks increased, net profits, net interest margins, return on assets and return on equity ratios. showed a decrease.

## 4. Empirical Analysis

### 4.1. Aim and Scope

In this study, the possible impacts of the Covid 19 pandemic on the profitability of banks in Türkiye are analyzed empirically. In this context, the research questions that form the basis of the empirical analysis are: (i) “Is there a statistically significant impact of the Covid 19 pandemic on the profitability of banks in Türkiye?”, (ii) “Assuming the existence of the aforementioned possible impact, the direction of this effect and how is its numerical size?”, (iii) “Did the Covid 19 pandemic cause structural break(s) in the profitability of banks in Türkiye?” (iv) “What are the possible reasons for the impacts of Covid 19 on the profitability of Turkish banks?”

Within the empirical analysis, the sample country chosen for the purpose of analyse the aforementioned questions is Türkiye. Other countries in the world are not included in the analysis. In addition, the impacts of the Covid 19 pandemic on only the profitability of the banking sector in Türkiye is examined within the analysis, and the other performance indicators other than profitability related to other sectors and banking sector are not included in the empirical study.

### 4.2. Data and Methodology

In this study, a number of econometric methods are applied to empirically examine the possible impacts of the Covid 19 pandemic on the profitability of banks in Türkiye. In this context, the “The Westerlund Time Series Cointegration Test with Structural Breaks” method is used as the main empirical method to detect the statistical significance of the possible impact(s) of the Covid 19 pandemic on the profitability of banks, also, the direction and numerical magnitude of these effects. In addition, the second-generation unit root tests with structural break(s) and Fourier type unit root tests with structural break(s) -which allow soft breaks- are employed in order to detect the structural breaks in the profitability of banking sector within the time period examined in the empirical analysis. On the other hand, the cointegration test applied in the study was also designed and applied as “wit breaks”, taking into account the breaks in the series related to the profitability of the banks in the time period examined within the empirical analysis. Thus, the empirical findings obtained as a result of the cointegration tests are aimed to be healthier. In the unit root test analysis with the structural breaks, the banking sector profit for the period (industry profit) data for Türkiye is used. These data have been obtained from the Banks Association of Türkiye (TBB) and are taken in quarterly terms. The period examined in this analysis covers the period between the last quarter of 2013 and the third quarter of 2021, due to data constraints. On the other hand, the data used in the cointegration test is monthly, obtained from the Electronic Data Delivery System (EDDS) which is the database of the CBRT, and covers the period between 2014-01 and 2021-11.

In this framework, the econometric model created for the cointegration test is as follows:

$$\text{PROFIT} = \alpha + \beta_1 \text{INT} + \beta_2 \text{UNEMP} + \beta_3 \text{EXC} + \beta_4 \text{INDUSTRY} + \beta_5 \text{COVID} + v$$

The series used in the model above are the monthly aggregated data of net profit (profit-loss situation) of deposit banks in Türkiye (PROFIT), the weighted average interest rates applied to the loans extended by banks (INT), the monthly unemployment rate for Türkiye (UNEMP), the US Dollar/TL exchange rate (EXC) and the total industry index in Türkiye (INDUSTRY). In addition, in order to examine the possible relationship between the emergence of the Covid 19 epidemic and the profitability of the Turkish banking sector, the “COVID” dummy variable representing the second quarter of 2020 was included in the model. This dummy variable takes the value of 1 for the 3 months covering the period from 2020-4 to 2020-6; it takes a value of 0, otherwise.

### 4.3. Empirical Findings

#### 4.3.1. Descriptive Statistics

First of all, the descriptive statistics of the data used in the cointegration analysis for Türkiye are given in the table below. Descriptive statistics reflect the main indicators of the data and provide the readers of the general information about the series.

**Table 1:** *Descriptive Statistics on Variables in Co-integration Model*

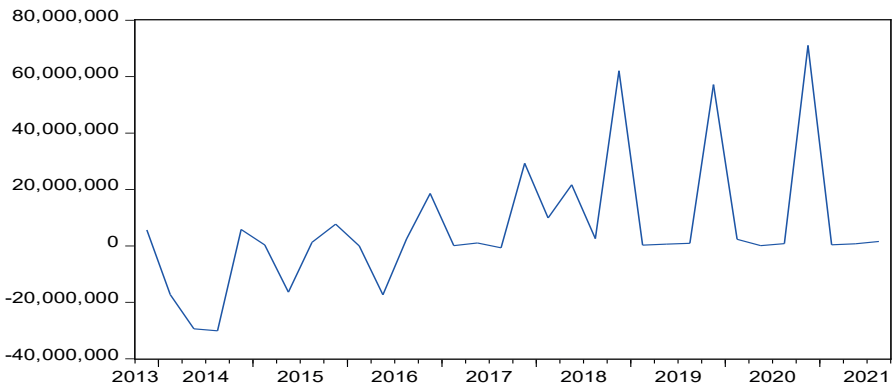
INDICATOR	PROFIT	INT	UNEMP	EXC	INDUSTRY
<b>Average</b>	21283548	19.50221	11.48612	4.645167	110.5450
<b>Median</b>	22485517	17.54000	11.05542	3.778020	111.0251
<b>Maximum</b>	45709333	38.72000	14.09448	10.52326	137.9498
<b>Minimum</b>	8934312.	10.61000	9.296750	2.090805	76.17841
<b>Std. Dev.</b>	7365615.	5.369143	1.449883	2.114454	12.56112
<b>Skewness</b>	0.453701	1.478729	0.431688	0.645416	0.200001
<b>Kurtosis</b>	3.444184	5.284368	1.716665	2.334368	2.749536
<b>Jarque-Bera</b>	4.040183	55.27768	9.469784	8.349363	0.881655
<b>Possibility</b>	0.132643	0.000000	0.008783	0.015380	0.643504
<b>Observation</b>	95	95	95	95	95

**Source:** *Calculated by the authors.*

### 4.3.2. Graphs of the Series

Graph 1 and Graph 2 below indicates the banking sector profit for the period (industry profit) data for Türkiye used in structural break unit root tests for Türkiye, reflecting the unseasonably adjusted and seasonally adjusted versions of the series, respectively. The data of Turkish banking sector profit is used in the unit root test analysis with structural break(s). The data are obtained from the Banks Association of Türkiye (TBB) and are utilized in the quarterly terms. The period examined covers the period between the last quarter of 2013 and the third quarter of 2021 due to data constraints. The unseasonably adjusted (raw) image of the aforementioned data set is as in the Graph 1 below:

**Graph 1:** *Banking Sector Profit– Türkiye (04/2013 – 03/2022) (PROFIT-TR)*  
ReturnBANKTR



**Source:** TBB, 2022a.

**Note:** Series not seasonally adjusted.

In Graph 1 above, the data regarding, the profit of Turkish banking sector (industry profit) is reflected. This series belongs to the period between the fourth quarter of 2013 and the third quarter of 2021. In the graph, it is seen that the series has a fluctuating course, but also has a slight positive trend, especially between 2014 and 2018.

In Graph 2 below, the seasonally adjusted visualization of the data of Turkish banking sector profit (industry profit) is submitted:

**Graph 2: Banking Sector Profit- Türkiye: 04/2013 – 03/2022 (PROFIT-TR)**

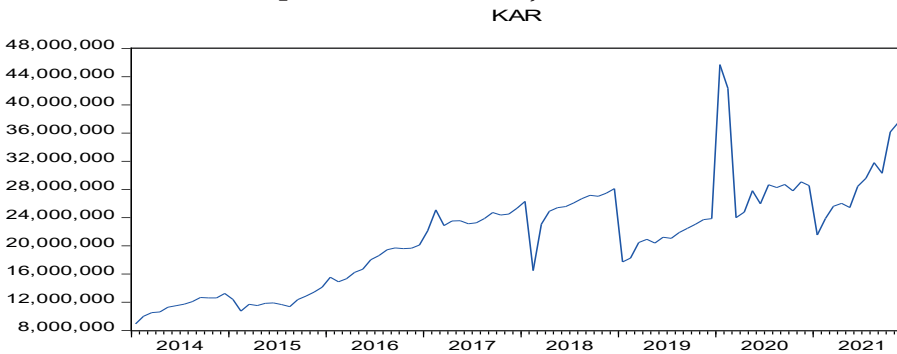
Source: TBB, 2022a.

Note: Series not seasonally adjusted.

In Graph 2, it can be said that the seasonally adjusted version of the banking sector profit in Turkey has a positive trend, so this series is highly potential to be not stationary, in other words, the existence of a unit root for the series is highly probable.

### Graphs of Series of the Cointegration Analysis

In the graphs below, the images of the series belonging to the cointegration analysis performed for Türkiye are presented. The series in Chart 3 reflects the monthly aggregated profit-loss status (1000 TL) of deposit banks in Turkey. This series is also the dependent variable of the econometric model, which is the basis of cointegration analysis.

**Graph 3: PROFIT – Türkiye (1000 TL)**

Source: Central Bank of the Republic of Türkiye, 2021

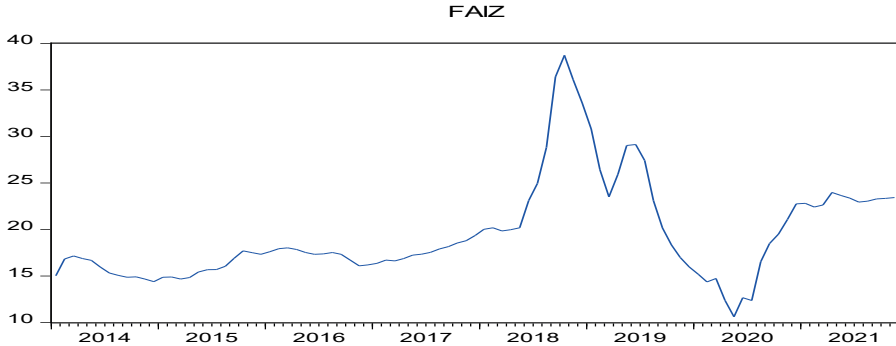
The series in Chart 3 reflects the monthly aggregated profit-loss status (1000 TL) of deposit banks in Turkey. When the visual of the series is examined, it is observed that the profitability of deposit banks increased very rapidly in



the first months of 2020, however, the series contained a positive trend in general for the period examined.

In Graph 4 below, the weighted average interest rates applied to the loans extended by banks (flow data, %) is submitted:

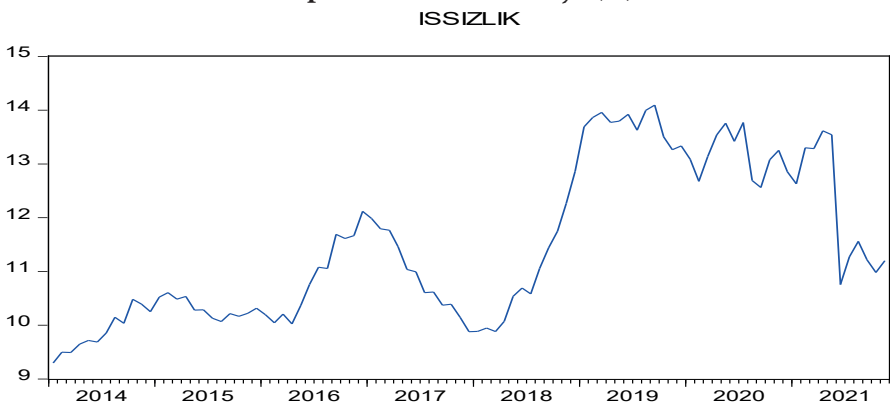
**Graph 4: INT – Türkiye (%)**



**Source:** *Central Bank of the Republic of Türkiye, 2021*

When Graph 4 is examined, it is understood that the weighted average interest rates applied to the loans extended by banks increased excessively in the last quarter of 2018 at the time of the “Reverend Branson Crisis”, and experienced an extreme decrease in the first half of 2020, when the impacts of Covid-19 began to be seen in Türkiye.

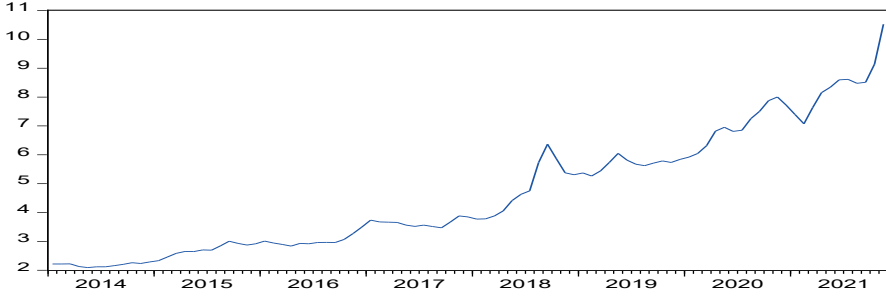
**Graph 5: UNEMP – Türkiye (%)**



**Source:** *Central Bank of the Republic of Türkiye, 2021.*

In Graph 5 above, the monthly unemployment rate for Türkiye is indicated. It is observed that the unemployment rate in Türkiye experienced a rapid increase especially in 2018 and decreased in 2021.

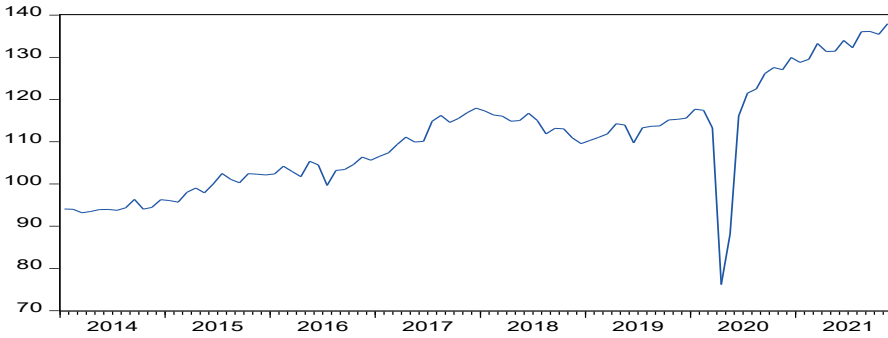
**Graph 6: EXC – Türkiye (TL/USD)**  
KUR



**Source:** *Central Bank of the Republic of Türkiye, 2021.*

When the chart 6 above is examined, it is seen that the US Dollar has steadily gained value against TL in Turkey during the period examined.

**Graph 7: INDUSTRY – Türkiye**  
SANAYİ ENDEKSİ



**Source:** *Central Bank of the Republic of Türkiye, 2021.*

Graph 7 shows the total industry index data. It is seen that the industrial index in Turkey is in an increasing trend during the period examined, and it bottomed out in the first half of 2020 with the outbreak of the Covid-19 pandemic.

### 4.3.3. Empirical Findings and Assessments

#### 4.3.3.1. Results of Unit Root Tests with Structural Break

Unit root tests with structural break(s) Zivot & Andrews, Lee & Strazicich, Narayan & Popp at level (Model A), at level and trend (Model C) were applied to the Turkish banking sector profit series (PROFIT-TR series) in Turkey.

The hypotheses regarding these unit root tests are as follows:

H0: The series has unit root (Series is not stationary)

H1: The series has no unit root (Series is stationary with structural break)

In the tables below (Table 2 and Table 3), Zivot & Andrews, Lee & Strazicich, Narayan & Popp the unit root test results for PROFIT-TR series at level (Model A), at level and trend (Model C) with structural break(s) are indicated:

**Table 2:** Unit Root Test Results with Structural Break(s) (PROFIT-TR) - Model A

MODEL A: BREAKING AT LEVEL						
		Statistics	Breaking Time	$\lambda$	Lag	Result
One Break (Level)	Zivot & Andrews (ADF)	-3.315	21.000 (2018Q4)	0.656	3.000	Not Stationary
	Lee & Strazicich (LM)	-3.193	18.000 (2018Q1)	0.563	4.000	Not Stationary
Two Breaks (Level)	Narayan & Popp (ADF)	-4.863	17.000 (2017Q4) 21.000 (2020Q1)	0.531 0.656	3.000	Stationary
	Lee & Strazicich (LM)	-3.577	9.000 (2015Q4) 18.000 (2018Q1)	0.281 0.563	4.000	Not Stationary

**Source:** Calculated by the authors.

**Note:** Critical values were obtained from related articles and compared with test statistics.

When the Zivot & Andrews and the Lee & Strazicich, unit root test results for PROFIT-TR series with the one structural break at level (Model A), and the the Lee & Strazicich with two structural breaks at level (Model A) are analyzed it is seen that the PROFIT-TR series is not stationary under structural break(s). Only the Narayan & Popp test, on the other hand, indicates that the series is stationary at the 5% significance level.

**Table 3:** Unit Root Test Results with Structural Break(s) (PROFIT-TR) - Model C

MODEL C: BREAKING THE LEVEL AND TREND						
		Statistics	Breaking Time	$\lambda$	Lag	Result
One Break (Level and Trend)	Zivot & Andrews (ADF)	-3.667	19.000 (2018Q2)	0.594	3.000	Not Stationary
	Lee & Strazicich (LM)	-4.502	17.000 (2017Q4)	0.531	3.000	Not Stationary
Two Breaks (Level and Trend)	Narayan & Popp (ADF)	-12.689	8.000 (2015Q3) 19.000 (2020Q2)	0.250 0.594	3.000	Stationary
	Lee & Strazicich (LM)	-6.592	13.000 (2016Q4) 19.000 (2018Q2)	0.406 0.594	3.000	Stationary

Source: Calculated by the authors.

Note: Critical values were obtained from related articles and compared with test statistics.

As a result of the Zivot & Andrews, Lee & Strazicich test, which allows one break at the level and trend (Model C), the PROFIT-TR series is not stationary at the 5% significance level. On the other hand, the Lee & Strazicich and Narayan & Popp, the unit root tests allowing the two breaks at level, indicates that the series is stationary under the structural break at the 5% significance level.

Fourier type unit root tests with structural break(s) are also applied to the series, which allows soft breaks in the series. The main hypotheses of the Fourier unit root tests are as follows:

H0: The series has unit root (Series is not stationary)

H1: The series has no unit root (Series is stationary with structural break)

**Table 4:** Fourier Unit Root Test Results (PROFIT-TR)

FIXED MODEL				
	Statistics	Fourier	Lag	Result
Enders & Lee (Fourier ADF)	-2.2924	3.000	4.000	Not Stationary
Rodrigues & Taylor (Fourier GLS)	-2.8319	1.000	4.000	Not Stationary
Becker, Enders & Lee (Fourier KPSS)	0.0634	1.000		Stationary
FIXED AND TRENDED MODEL				
	Statistics	Fourier	Lag	Result
Enders & Lee (Fourier ADF)	-2.4951	2.000	4.0000	Not Stationary
Enders & Lee (Fourier LM)	2.2977	3.000	4.0000	Not Stationary
Rodrigues & Taylor (Fourier GLS)	-2.8570	1.000	3.0000	Not Stationary
Becker, Enders & Lee (Fourier KPSS)	0.0204	1.000		Stationary

Source: Calculated by the authors.

Note: Critical values were obtained from related articles and compared with test statistics.

Table 4 above submits the results of the soft-refraction-allowing unit root tests (Fourier-Type of Unit Root Tests) developed by Enders & Lee (Fourier ADF and LM Test), Rodrigues & Taylor (Fourier GLS Test), Becker, Enders & Lee (Fourier KPSS Test) which are performed on the PROFIT-TR series for “fixed”, “fixed and trended” Fourier models. Enders & Lee (Fourier ADF Test), Rodrigues & Taylor (Fourier GLS Test) unit root test applied to the PROFIT-TR series as a fixed model shows that the series is not stationary at the 5% significance level, and the Becker, Enders & Lee (Fourier KPSS Test) unit root test results indicates that the series is stationary at the 5% statistically significance level. Similarly, the findings of the Enders & Lee (Fourier ADF and LM Test), the Rodrigues & Taylor (Fourier GLS Test), the Becker, Enders & Lee (Fourier KPSS Test) unit root tests that applied to the fixed and trend models for PROFIT-TR demonstrates that the series is not stationary at the 5% significance level. However, the Becker, Enders & Lee (Fourier KPSS Test) unit root test results show that the PROFIT-TR series is stationary at the 5% significance level.

**4.3.3.2. Results of the Westerlund Cointegration Test**

**Correlation Analysis**

First of all, the correlation analysis was carried out to test whether there is a (high) correlation between the independent variables. Table 5 below reflects the results of this analysis:

**Table 5: Results of Correlation Analysis for the Independent Variables**

	PROFIT	INT	UNEMP	EXC	INDUSTRY
PROFIT	1				
INT	0.32	1			
UNEMP	0.50	0.30	1		
EXC	0.78	0.43	0.67	1	
INDUSTRY	0.735	0.44	0.39	0.78	1

**Source:** Calculated by the authors.

In cases where the correlation ratio between independent variables is 0.8 or more, “multiple linear correlation problem” may arise. According to the results of the correlation analysis of the variables, it is understood that this ratio is not 0.80 or more between any two independent variables, and therefore, there is no multicollinearity problem in the model to be created with these independent variables.

**Variance Inflation Factor (VIF) Analysis**

Another analysis used to detect the problem of multicollinearity between independent variables is the “VIF (Variance Inflation Factor)” analysis. Table 6 below submits the results of the VIF analysis:

**Table 6:** Results of Inflation Factor Analysis of Variance (VIF)

Variable	Coefficient Variance	Uncentered VIF	Centered VIF
INT	9.48E+09	18.40087	1.283741
UNEMP	2.08E+11	132.3588	2.054387
EXC	2.34E+11	28.90710	4.918220
INDUSTRY	4.46E+09	262.3235	3.309077
C	6.90E+13	327.4942	NA

Source: Calculated by the authors.

If the VIF value of the relevant variable is greater than 5 as a result of the VIF analysis, this variable should not be included in the analysis in order to avoid the problem of multicollinearity. When Table 5 above is examined, it is understood that the Centered VIF values are not above 5, therefore, there is no multicollinearity problem between the independent variables.

#### **Results of the Traditional Unit Root Test (with no break(s))**

In order to investigate the stationarity of the series utilized within the analysis, first of all, the traditional unit root tests -ADF (Augmented Dickey Fuller) and PP (Phillips-Perron) unit root tests- are applied.

The main hypotheses of the ADF and PP unit root tests are as follows:

H0: The series has a unit root (The series is not stationary).

H1: There is no unit root in the series (Series is stationary).

The results of the fixed and trended ADF and PP unit root tests for the series used in the study are indicated in the Table 7 below:

**Table 7:** ADF and PP Unit Root Test Results

Results of the Fixed and Trending Model				
	ADF test stat.	Prob.	PP test stat.	Prob.
PROFIT	3.9379	0.1143	3.9379	0.1142
$\Delta$ PROFIT*	-13.5615	0.0000	-13.5615	0.0000
INT	-3.2184	0.1872	-2.3081	0.4253
$\Delta$ INT*	-5.0056	0.0005	5.1503	0.0003
UNEMP	1.5336	0.8110	-1.7398	0.7257
$\Delta$ UNEMP*	-9.5749	0.0000	-9.5746	0.0000
EXC	-0.2749	0.9903	-0.1255	0.9938
$\Delta$ EXC*	7.2166	0.0000	-3.1133	0.0394
INDUSTRY	-2.8043	0.1996	-3.9728	0.1299
$\Delta$ INDUSTRY*	-10.0367	0.0000	-12.7630	0.0000

Source: Calculated by the authors.

Note: “\*” indicates that the series is stationary in difference, otherwise the series is stationary in level.

When the ADF and PP unit root test results for the variables are examined, the null hypothesis (H0), which shows that the series has a unit root, that is, the series is not stationary, could not be rejected in all variables. This is an indication that all series have a unit root in level, in other words, they are not stationary in level. When the first difference of the variables is taken, it is seen in the table above that the variables become stationary.

### ***Results of Unit Root Test with Structural Break(s)***

In addition, within the framework of cointegration analysis, the unit root tests with structural break(s) are applied to the series used in the cointegration analysis as diagnostic tests.

In this context, the main hypotheses regarding the unit root tests with structural break are as follows:

H0: Series has a unit root under structural break (Series is not stationary).

H1: Series has no unit root under structural break (Series is stationary).

**Table 8:** *Results of Zivot & Andrews and Lee & Strazicich Unit Root Test with Structural Break at Level (Model A)*

<b>MODEL A: ONE BREAK AT THE LEVEL</b>					
		<b>Stat.</b>	<b>Break</b>	<b>Lag</b>	<b>Result</b>
<b>PROFIT</b>	<b>Zivot &amp; Andrews (1992-ADF)</b>	-3.444	59.000 (2018-M11)	2.000	Not Stationary
	<b>Lee &amp; Strazicich (LM-2013)</b>	-2.433	60.000 (2018-M12)	12.000	Not Stationary
		<b>Stat.</b>	<b>Break</b>	<b>Lag</b>	<b>Result</b>
<b>INT</b>	<b>Zivot &amp; Andrews (1992-ADF)</b>	-3.929	64.000 (2019-M4)	1.000	Not Stationary
	<b>Lee &amp; Strazicich (LM-2013)</b>	-2.281	68.000 (2019-M8)	1.000	Not Stationary
		<b>Stat.</b>	<b>Break</b>	<b>Lag</b>	<b>Result</b>
<b>UNMEP</b>	<b>Zivot &amp; Andrews (1992-ADF)</b>	-3.998	86.000 (2021-M2)	12.000	Not Stationary
	<b>Lee &amp; Strazicich (LM-2013)</b>	-2.401	41.000 (2017-M5)	12.000	Not Stationary
		<b>Stat.</b>	<b>Break</b>	<b>Lag</b>	<b>Result</b>
<b>EXC</b>	<b>Zivot &amp; Andrews (1992-ADF)</b>	-1.703	85.000 (2021-M1)	2.000	Not Stationary
	<b>Lee &amp; Strazicich (LM-2013)</b>	-2.037	86.000 (2021-M2)	2.000	Not Stationary
		<b>Stat.</b>	<b>Break</b>	<b>Lag</b>	<b>Result</b>

INDUSTRY	Zivot & Andrews (1992-ADF Testi)	-3.836	79.000 (2020-M7)	12.000	Not Stationary
	Lee & Strazicich (LM-2013)	-2.092	48.000 (2017- M12)	12.000	Not Stationary

**Source:** Calculated by the authors.

**Note:** Zivot & Andrews structural break unit root test critical values are -5.34, -4.80 and -4.58 for 1%, 5% and 10%, respectively. Lee & Strazicich structural break unit root test critical values are -4.239, -3.566 and -3.211 for 1%, 5% and 10%, respectively. Critical values are taken from related studies.

The table above shows that the analysis results testing the existence of a unit root under structural break. In the evaluation of the unit root test with structural break, the statistical values obtained as a result of the test and the critical values (critical values of the relevant test are given below the table) are used. If the obtained statistical values are less than the critical values (greater than the absolute value), the existence of a unit root can be mentioned. When the results are examined, as a result of the Zivot & Andrews, Lee & Strazicich test performed for a structural break at level (Model A), the  $H_0$  hypothesis, which states that all the variables are not stationary at the 5% significance level, that is, there is a unit root under the basic hypothesis, the structural break, cannot be rejected.

#### ***Westerlund (2006) LM Cointegration Test Results with a Structural Break in Level and Regime***

In order to test the cointegration relationship between the series, Westerlund (2006) LM Cointegration Test with a Structural Break in Level and Regime was applied. The hypotheses regarding the Westerlund (2006) cointegration test are as follows:

$H_0$ : There is no cointegration relationship between the variables.

$H_1$ : There is a cointegration relationship between the variables.

As a result of the Westerlund (2006) cointegration test, two different test statistics,  $Z_t$  and  $Z_\alpha$ , are calculated. In determining the cointegration relationship, statistical values obtained as a result of the test and reference critical values are used. If the statistical values obtained as a result of the test are less than the reference critical values, it can be mentioned that there is a cointegration relationship.

The table below shows the findings of the Westerlund (2006) cointegration test.



**Table 9:** *Westerlund (2006) LM Cointegration Test Results with a Structural Break at Level and Regime*

Break Type	Break Date	Stat.		Critical Values	
		Zt	Z $\alpha$	Zt %10	Z $\alpha$ %10
<b>C (Break at the Level)</b>	2020-Q2	-4.850	-28.928	-2.75	-15.0
<b>C/S (Break in the regime)</b>	2020-Q2	-6.189	-56.312	-5.03	-48.94

**Source:** *Calculated by the authors.*

**Since** *Westerlund produced critical values only for 10% significance level in his study, statistical values and critical values were evaluated at 10% significance levels.*

When the Zt and Z $\alpha$  results of the Westerlund cointegration test in Table 9 are examined, it is seen that the H0 hypothesis, which states that there is no cointegration relationship between “PROFIT” and “INT, UNEMP, EXC, INDUSTRY” variables, is rejected. Therefore, the alternative hypothesis H1 expressing the existence of a cointegration relationship between the specified variables is accepted. In the test results, a structural break date was determined in both the level and the regime in the second quarter of 2020. A long-term relationship emerges with these structural breaks. The COVID dummy variable (COVID) was added to the final econometric model in order to measure the impact of the Covid-19 pandemic on the prediction of this structural break date long-term cointegration model.

Finally, the cointegration long-term estimation results are reflected in Table 10 below:

**Table 10:** *Co-Integration Estimation Results for FMOLS Model*

Variables	Coefficient	Standard Error	t-Statistics	Probability
<b>INT***</b>	-0.024623	0.008556	-2.877822	0.0050
<b>UNEMP</b>	0.008983	0.034391	0.261216	0.7945
<b>EXC***</b>	0.193330	0.055957	3.454952	0.0008
<b>INDUSTRY***</b>	0.015760	0.004771	3.303524	0.0014
<b>COVID***</b>	-0.677832	0.178069	-3.806574	0.0003
<b>C***</b>	14.49359	0.614061	23.60283	0.0000
<b>R<sup>2</sup></b>	0.68			

**Source:** *Calculated by the authors.*

**Note:** *\*\*\*, \*\* and \* indicate 1%, 5% and 10% significance levels, respectively.*

As can be seen from the table above, the probability value of the F statistic reflects that the established model is significant as a whole. In addition, the R2 value, which shows the power of the independent variables to explain the dependent variable, is 68%. According to the FMOLS model long-term

estimation results; a statistically significant and negative relationship was determined at the 1% significance level between the banking sector profit (PROFIT) in Turkey and the interest variable and the dummy variable -the COVID-19 dummy- which represents the emergence of the Covid-19 pandemic and is included in the model as a result of the cointegration test. Likewise, a statistically significant and positive relationship is detected between the profitability of banks and the USD/TL exchange rate (EXC), total industry index (INDUSTRY) and the constant term (C) at the 1% significance level. On the other hand, a statistically significant and negative relationship is determined between the weighted average interest rates applied to loans extended by banks (INT) and the profitability of banks (PROFIT) at the 1% significance level. No statistically significant relationship is determined between banking sector profit (PROFIT) and the unemployment (UNEMP). In other words, the 1% increase in the weighted average interest rates applied to the loans extended by the banks decreases the banking sector profit by 0.024623%, the 1% increase in the US Dollar/TL exchange rate increases the banking sector profit by 0.193330%, an increase of %1 in the total industry index (INDUSTRY) increases the profit of the banking sector by 0.015760%. There is no statistically significant relationship between unemployment and banking sector profit.

### CONCLUSION

Covid 19 epidemic, which was seen in the Wuhan province of the People's Republic of China in 2019 and declared as a pandemic by the World Health Organization in March 2020, spread rapidly throughout the world in a very short time. The pandemic, which caused a serious economic contraction on a global basis, caused negative social and economic consequences all over the world. Many sectors, especially the health sector, have been adversely affected by this crisis and many sectors have come to a standstill.

One of the sectors strongly affected by the pandemic is the banking and finance sector. In order to eliminate the negative consequences of the pandemic, a series of measures have been taken by both central banks and the banking sector. In parallel with the expansionary monetary policy implemented to increase demand during the pandemic process, low-interest loans were made available to consumers and businesses under the leadership of public banks. These practices in this process caused significant changes on the profitability of banks.

This study aims to reveal how the profitability of banks was affected during the pandemic process. In the study, the impacts of the emergence of Covid-19 pandemic on the profitability of banks in Turkey were analyzed empirically and, in the analysis, the period between the last quarter of 2013 and the third quarter of 2021 is examined. In this context, the "Westerlund

Time Series Cointegration Analysis with Structural Break” is used as the main empirical method in order to determine the statistical significance of the possible impacts of Covid 19 pandemic on the profitability of banking sector in Turkey, as well as the direction and the numerical magnitude of these impacts. In addition, the second-generation unit root tests with structural break and Fourier type unit root tests with structural break -which allow soft-type breaks- are applied to detect the structural breaks in the profitability of banks for the time period that was examined in the empirical analysis.

The findings of the analysis (cointegration test) indicate that the emergence of the Covid 19 pandemic has a negative impact on the profitability of the banking sector in Turkey. Likewise, a negative relationship was found between banking sector profit and interest rates in Turkey. On the other hand, a statistically significant and positive relationship was found between the US Dollar/TL exchange rate, the total industry index and the banking sector profit. No statistically significant relationship was found between banking sector profit and unemployment. The restrictions applied as a result of the measures of the Covid 19 epidemic caused real production and social life to come to a standstill, serious crises in many sectors, an increase in unemployment and a decrease in income. As a result of these situations, the activities of banks decreased during the outbreak of the pandemic, and it was inevitable that their profitability would be adversely affected by these developments.

## REFERENCES

- Aldasoro, I., Fender, I., Hardy, B., & Tarashev, N. (2020). Effects of Covid-19 on the Banking Sector: The Market's Assessment. *BIS Bulletin*, 12, 1-7.
- Asare, P., & Barfi, R. (2021). The Impact of Covid-19 Pandemic on the Global Economy: Emphasis on Poverty Alleviation and Economic Growth. *Economics*, 8(1), 32-43.
- Beybur, M. (2021). Covid-19'un Türk Bankacılık Sektöründeki Mevduat ve Katılım Bankalarının Kârlılık Düzeyleri Üzerindeki Etkisi. *Üçüncü Sektör Sosyal Ekonomi Dergisi*, 56(4), 2627-2646.
- Beybur, M., & Çetinkaya, M. (2021). Covid-19 Pandemisinin Türk Bankacılık Sektörü Kredileri ve Tahsili Gecikmiş Alacakları Üzerindeki Etkileri. *Dicle Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, 28, 181-210.
- Central Bank of the Republic of Türkiye (2021). Elektronik Veri Dağıtım Sistemi. Retrieved from <https://evds2.tcmb.gov.tr/index.php?/evds/serieMarket>.
- Demirel, S., & Ulusoy, A. (2021). Türk Bankacılık Sisteminde Kârlılık Üzerinde Etkili Olan Faktörlerin Belirlenmesi. *Bankacılık ve Sermaye Piyasası Araştırmaları Dergisi*, 5(11), 1-19.
- Ersoy, H., Gürbüz, A.O., & Fındıkçı, E., M. (2020), Covid-19'un Türk Bankacılık ve Finans Sektörü Üzerine Etkileri, Alınabilecek Önlemler. *İstanbul Ticaret Üniversitesi Sosyal Bilimler Dergisi Covid-19 Sosyal Bilimler Özel Sayısı*, 19 (37), 146-173.
- Gençturk at al. (2021). COVID-19 Pandemisinin Katılım Bankaları Üzerine Etkilerinin Bütünleşik CRITIC-MARCOS Yöntemi İle İncelenmesi, Muhasebe ve Finansman Dergisi (92), 139-160.
- Goodell, J. W. (2020). Covid-19 and Finance: Agendas for Future Research. *Finance Research Letters*, 35.
- Hladika, M. (2021). Impact Of Covid-19 Pandemic on The Loans Quality, Provisions and Profitability of The Banking Sector. *Economic and Social Development: Book of Proceedings*, 138-149.
- Işık, A., & Akdoğan, N. (2021). Covid-19'un Türk Bankacılık Sektöründeki Mevduat Bankalarına Etkileri. *Muhasebe ve Denetime Bakış*, 21(63), 111-138.
- Kılınç, E.C. (2021). Covid-19 Salgını ve İşsizlik Oranları İlişkisi: OECD Ülkeleri Örneği. *Kafkas Üniversitesi İktisadi ve İdari Bilimler Fakültesi*, 12 (24), 922-945.
- Kong, E., & Prinz, D. (2020). Disentangling Policy Effects Using Proxy Data: Which Shutdown Policies Affected Unemployment During the Covid-19 Pandemic? *Journal of Public Economics*, 189.
- Korzeb, Z., & Niedziółka, P. (2020). Resistance of Commercial Banks to the Crisis Caused by the COVID-19 Pandemic: The Case of Poland, Equilibrium. *Quarterly Journal of Economics and Economic Policy*, 15(2), 205-234.

- Lasak, P. (2021). The Commercial Banking Sector in Eurozone after the Pandemic: The Paths to Recovery. *European Research Studies Journal*, 14(1), 1233-1246.
- Padhan, R., & Prabheesh, K. P. (2021). The Economics of Covid-19 Pandemic: A Survey. *Economic Analysis and Policy*, 70, 220-237.
- Pirdal, B. (2017). A Comparative Analysis of Sovereign Credit Rating Methods and Credit Default Swaps. *AİBÜ Sosyal Bilimler Enstitüsü Dergisi*, 17 (4), 107-112.
- Rahmi, Y., & Sumirat, E. (2021). A Study of the Impact of Alma to Profitability During the Covid-19 Pandemic. *International Journal of Business, Economics and Law*, 24(3), 54-65.
- Ray, R. R., & Powar, D. D. (2021). Assessing the Credit Risk of Indian Banking Sector: A Study During Covid-19. *George Washington International Law Review*, 7(1), 21-28.
- Republic of Turkey Ministry of Health (2023) "COVID-19 Bilgilendirme Platformu", Access: <https://covid19.saglik.gov.tr/>, access date: 25.02.23.
- Sarı, S. (2021). Covid-19 Salgınının Türk Bankacılık Sektörüne Etkileri. *New Era International Journal of Interdisciplinary Social Researches*, 6(8), 89-106.
- TBB (2021). Bankalarımız 2020, Yayın No: 339.
- TBB (2022a) [https://verisistemi.tbb.org.tr/index.php?/tbb/report\\_mali](https://verisistemi.tbb.org.tr/index.php?/tbb/report_mali), Erişim tarihi: 02.01.2022.
- TBB (2022). Bankalarımız 2021, Yayın No: 346
- TUIK (2023) Access: <https://data.tuik.gov.tr/>, access date: 13.02.2023.
- WHO (2023) Access: <https://www.who.int>, access date: 25.02.2023.



# *Chapter 12*

## **IMPORTANCE OF FAIR TRIAL IN CASES OF ETHNIC CLEANSING: THE BELENE CASE**

*Hasan ULUSOY<sup>1</sup>*

*Harun KOÇAK<sup>2</sup>*

---

1 Ambassador, PhD in international relations, email: hasulu1970@gmail.com,  
ORCID: 0009-0007-9341-7858

2 Res. Assist., Faculty of Economics and Administrative Sciences, Kastamonu University,  
email: hkocak@kastamonu.edu.tr, <https://orcid.org/0000-0002-9182-9062>

## Introduction

The literature in the related international law mainly emphasizes the importance of fair trial in cases of human rights violations and crimes against humanity. However, ethnic cleansing barely occurs among these numerous human rights violations because the classification of ethnic cleansing as a human rights violation is still under debate. While fair trial is rarely approached in the literature on ethnic cleansing, this scourge, i.e., one form of crimes against humanity, ethnic cleansing is not at all mentioned in the fair trial studies. As it is well known, the fair trial is a *sine qua non* in cases of genocide and crimes against humanity, just like in all instances of adjudication in justice. Thus, the disagreement on the legal definition and classification of ethnic cleansing leads to the polarization of trial processes. Yet the fair trial provision is an important preventive tool for future ethnic cleansing policies. Because of this, it is argued that access to fair trial needs to be investigated under the scope of ethnic cleansing as well. Because in some cases, denial of access to a fair trial might be instrumentalized by states and end up with legal discrimination against victims of ethnic cleansing.

The study intends to reflect on the issue of fair trial as a tool for legal discrimination against disadvantaged or minority groups. In this context, the case of Belene provides significant information and experience regarding the access to the fair trial to prevent future ethnic cleansing. Furthermore, the case shows how state authorities institutionalized the denial of fair trial as a means of legal discrimination.

The methodology in the study is inspired by critical legal studies literature and bottom-up approaches to legal anthropology. The methods of these approaches are inclusive, participatory, representative, and based on qualitative data that reflects the implementation and practice. Our analysis is based on qualitative data collected through in-depth interviews, open-ended questions, and observations of the meetings and court meetings of the Belene victims.<sup>1</sup> This bottom-up methodology constitutes a crucial methodological novelty regarding the legal studies of human rights and crimes against humanity. The victim's perspective and victims' experiences facilitated detailed analysis of the court policies/strategies and the impact of the legal decisions at the victim's level. Victim-centered analysis of the court strategies shed light on essential dimensions related to equality before the law and non-discrimination in access to a fair trial.

'Equality law' or 'equality before law' is sometimes hindered, which must not be the case at all, by specific characteristics. It is a universally recognized

---

1 One of the authors attended two different events with these victims (First, he was also a speaker with the victims in The International University Seminar for Balkan Studies and Specialization on April 21, 2023. And then he also attended the Memorial Day in Belene Island on June 3, 2023. Within these events, there has been many discussions and interviews with the victims)



principle that all people are equal before the law and its courts<sup>2</sup>; nevertheless, courts may have some biases towards specific groups or individuals in some situations. Anti-discrimination laws typically protect certain groups or types of individuals from all sorts of defined acts and rhetoric. While the law is broad in scope, examples suggest that it should be interpreted to include bias against a particular type of person, known as *ejusdem generis*. The law does not solely target discrimination based on immutable characteristics like race, as discrimination based on alterable factors such as marital status and religion are also included in modern discrimination law. However, current human rights legislation still recognizes the need to protect identifiable social groups or types of individuals from discrimination (Smith, 2011:75).

In this context, the cases related to the Turks of Bulgaria, including those Muslim groups, could be considered as one of the bitter examples of legal discrimination against ethnic groups, in which the Belene Prisoners' Case is the focus of this study from the legal perspective mentioned above.

### **The Policies of the Totalitarian Regime in Bulgaria against the Turks of Bulgaria**

Ethnic Turks and other Muslim groups, such as Pomaks and Roma peoples became the main target of discrimination during that period. Here, many factors can be attributed to this policy against these groups. Yet, as one can look into the issue from the social constructivist perspective, the legacy of the Ottoman time in Bulgaria and its independence has always been influential in the constructed identity of the Bulgarian state and elites. In the territories of what is known as modern-day Bulgaria the Turks were in the majority as more populous than ethnic Bulgarians during the Ottoman time, and following the defeat of the Ottomans in Plevna in 1878, the autochthon Turks sharply diminished in numbers having become a minority until the establishment of the kingdom of Bulgaria in 1908, through mass fleeing or forced exiles and ensuing killings in between (Bıçaklı, 2016; Şimşir, 2012). Given all these factors, those different from ethnic Bulgarians were perceived as a potential threat, to say the least, which led to discrimination and intolerance against them. During the early communist era in Bulgaria, the Turks seemed to have enjoyed certain rights and freedoms in linguistic, cultural, and religious terms. Yet, later on, they and other Muslim groups became targets of harsh policies, which led to the infamous “revival process” of the totalitarian regime, during which the Belene cases came up, among other atrocities.

Following the collapse of communism in Bulgaria in 1989 and the loss of power by the Bulgarian Communist Party (BCP) led by Todor Jivkov, there were improvements in human rights and minority rights. The suppression of funda-

---

2 United Nations General Assembly. The Universal Declaration of Human Rights (UDHR). New York: United Nations General Assembly, 1948.

mental rights and freedoms was abandoned, and the 1991 Bulgarian Constitution guaranteed human rights while including mechanisms to prevent their infringement. Additionally, Bulgaria became a signatory to numerous international human rights treaties, including joining the Council of Europe in 1992, ratifying the European Convention on Human Rights on September 7, 1992, and the Framework Convention for the Protection of National Minorities on May 7, 1999. Bulgaria demonstrated its intention to integrate with Western Europe and the EU by aligning its local legislation with EU legislation to comply with the EU *acquis* in accordance with the Copenhagen criteria. Despite receiving various warnings from the EU Commission regarding minority rights in Bulgaria from 1998 to 2005, the country has achieved at least a legal level of compliance with international standards for minority rights (Yılmaz et al., 2021: 417). The constitution stipulates that “Citizens whose mother tongue is not Bulgarian shall have the right to study and use their own language alongside the compulsory study of the Bulgarian language.” (Article 36/2). Yet, in practice certain difficulties remain unsolved.

In this regard, the following report on Bulgaria’s situation by the advisory committee of the Framework Convention on the Protection of National Minorities dated 2020 states as follows:

*“As regards the cultural, linguistic, and participation rights of persons belonging to national minorities, the legal framework in place remains underdeveloped. Apart from the right to learn one’s mother tongue, there is no comprehensive legal framework granting specific rights to persons belonging to minorities in such fields as culture, media, language use in contact with the authorities, topographical signage, or political participation. This is regrettable not only as regards the numerically large Roma and Turkish minorities; numerically small minorities, such as Armenians, Aromanians, Jews, Karakachani, and Vlachs, also suffer from the only minimal support provided to enable them to protect and develop their cultures and languages. The take-up of Turkish first language education is in sharp decline; only very few children learn Armenian, and no mother tongue teaching is provided for Greek, Romani or Romanian.”* (<https://rm.coe.int/4th-op-bulgaria-en/16809eb483>)

Besides these shortcomings in fulfilling the treaty obligations, in terms of human rights and minorities, Belene prisoners’ or their relatives’ quest for justice and compensation have not been so far met. The Belene Camp was closed in 1987 due to pressure from Europe, when escaped prisoners of Turkish origin informed the European public about the camp and what was happening there (Yılmaz et al, 2021: 416). But even though the center was closed and the atrocities continue to be condemned by the public and authorities each year during the commemoration events in Bulgaria, the people included in the human violations did not face imprisonment or moral retribution, which resulted in impunity.

## Denial of Fair Trial as an Instrument for Legal Discrimination

The central discrimination in the legal sense against Belene prisoners is that court and state officials denied the right to a fair trial. The right to fair trial is one of the primary crucial human rights strengthened by many universal and regional legislations. All the contracting parties of the European Convention for the Protection of Human Rights and Fundamental Freedoms (ECHR Convention aftermath) undertake to guarantee respect the fundamental human rights procedural human rights such as fair trial regarding this issue (Council of Europe, 1950)<sup>3</sup>. These guarantees have to be understood in both national matters and cross-border international nature (Jelinic and Radoja, 2018: 572). Right to a fair trial, as one of the pillars of the ECHR Convention, only provides the procedural framework for the judicial processes but is considered a procedural standard of reference for any dispute (Ciobanu, 2018: 335). This right is also an essential part of the Charter of Fundamental Rights of the European Union and is again guaranteed by this particular legislation<sup>4</sup>.

The right to fair trial is a fundamental feature of the principle of equality of arms for the European Court of Human Rights (ECtHR). The focus of equality of arms mandates that both parties involved in a legal case have an equal chance to present their arguments without any unfair advantage given to one over the other. In practice, this means that the prosecution must disclose all relevant material they possess, regardless of whether it supports or opposes their case (*Jasper v the United Kingdom*, 2000). This aims to overcome the inequality between the accused and the prosecution since it is clear that the prosecution could access more resources with the comfort of state authority.

The main problem with the right to a fair trial is that it almost exclusively concentrates on the side of the accused (Drimba, 2020) but neglect the situations when victims also need a fair trial. Fair trial should mean that all parties to the dispute are balanced and equal. This need occurs mainly in cases which consist of victims of ethnic cleansing or genocide since state may behave in a reckless way to punish the perpetrators of past human right violations, even if these violations have massive effects on the victims. Access to a fair trial is crucial for victims of ethnic cleansing as it grants them the chance to seek justice and hold perpetrators accountable for the atrocities committed against them. This fundamental right guarantees that victims can express their grievances and pursue compensation for the damages inflicted upon them.

3 Article 1 (Obligation to respect Human Rights): The High Contracting Parties shall secure to everyone within their jurisdiction the rights and freedoms defined in Section I of this Convention.

Article 6 (Right to Fair Trial): ... everyone is entitled to a fair and public hearing within a reasonable time by an independent and impartial tribunal established by law...

4 Article 47 (Right to an effective remedy and to a fair trial):

Everyone whose rights and freedoms guaranteed by the law of the Union are violated has the right to an effective remedy before a tribunal in compliance with the conditions laid down in this Study. Everyone is entitled to a fair and public hearing within a reasonable time by an independent and impartial tribunal previously established by law. Everyone shall have the possibility of being advised, defended and represented.

There are many reasons why fair trial is crucial for the victims of ethnic cleansing and their relatives. First of all, there is an unavertable need for access to justice. Access to justice for victims is ensured through the right to a fair trial, enabling them to hold perpetrators accountable for the crimes perpetrated against them. The absence of this right may result in victims being deprived of the chance to present their case in court, leading to perpetrators escaping punishment for their actions. Secondly, victims have to be protected from further harm. A fair trial shields victim from further damage by safeguarding their rights throughout the legal proceedings. This protection encompasses shielding victims from any form of retribution, coercion, or prejudice.

Furthermore, a fair trial has a deterrent effect. Fair trials can act as a deterrent to potential perpetrators of ethnic cleansing by sending a clear message that such heinous acts will not be tolerated and that justice will be served. Fair trial also is a need for acknowledgment and reparations for the sake of victims. A just trial can lead to restoring victims' rights, such as compensation for damages, restoration of lost properties, and rehabilitation services. In addition, it acknowledges the harm that victims have endured, providing them with a sense of recognition and validation. This recognition can aid victims in their recovery and empower them to reconstruct their lives after the devastation caused by ethnic cleansing.

Given the foregoing summary of the right to fair trial in respect of the ECHR convention and ECtHR case law, now one can focus on the Case of Belene Prisoners who were held inside Belene Camp as a part of the so-called "Revival Process" against the Turks of Bulgaria, an important and unsolved case regarding this issue.

### **The Case of Belene**

Belene Island is a grim reminder of the repressive legacy of the totalitarian regime in Bulgaria during the Communist era, as it was the location of the most extensive and protracted forced labor camp-prison complex of its time. Even today, it remains a haunting symbol of the atrocities committed during that dark period of Bulgarian history (Skochev, 2017; Topouzova, 2014; Luleva et al., 2012; Koleva, 2010; Znepolski, 2009). However, at the time, the knowledge of what transpired in Belene was confined to dark rumors that were never uttered aloud but were enough to instill fear, as it did on the boat passengers. It was not until after the fall of the communist regime in 1989 that Georgi Markov was among the first to publicly reveal the atrocities that took place in Belene (De Nardi et al., 2019: 78). During the final repressive operation on a large scale by the totalitarian regime, which aimed to assimilate ethnic Turks and other Muslim groups in Bulgaria, the camp at Belene was once again put into operation, this time with increased intensity (De Nardi et al., 2019: 80). There have been many efforts by journalists, filmmakers, activists, academics

or archivists to establish a historical narrative and commemorate the experience of camp violence but all these attempts were fragmented and did not turn into a systemic effort (De Nardi et al., 2019: 84).

The case pertains to the so-called “Revival Process,” a campaign carried out against the Turks of Bulgaria between 1984-1989, which was indeed subsequently denounced as “ethnic cleansing” by certain Bulgarian parliamentarians themselves, but only for the forced relocation and deportation of the ethnic Turks, as stated on January 11, 2012 (Sofia News Agency, 2012). The campaign culminated in the imprisonment of ethnic Turks on Belene Island, where they were subjected to severe human rights abuses. It ultimately ended with the forced deportation of these individuals from the country, resulting in losing their homes, families, and friends.

Following the totalitarian regime’s collapse, the military prosecutor’s office initiated a criminal investigation in 1991 against the perpetrators of the violations suffered by the victims of the Belene Island captives (Mega Case No: 1/1991). The investigation continued for over two decades, until 2018, with no conclusive outcome due to the authorities’ reluctance to pursue the case in court and establish the perpetrators’ guilt.<sup>5</sup> In 2018, the victims submitted petitions to the military prosecutor’s office, urging them to expedite the investigation and reach a verdict. However, the military prosecutor decided to suspend the investigation on October 4, 2018, citing the need for statements from some victims living in Türkiye, which were requested through the mutual assistance agreement between the two neighboring countries.<sup>6</sup> The Military Prosecutor alleged that the request for legal assistance from Türkiye was not granted, resulting in the inability to identify the addresses of all the victims. As a result, the Prosecutor’s Office impeded the court proceedings and shielded the perpetrators of the crimes committed against the Belene prisoners’ forced assimilation. Despite receiving the requested statements, the investigation has not been resumed to date, except for those of deceased individuals. The victims appealed the decision to the court, but their appeals were rejected on November 13, 2018, with a final decision. The Bulgarian authorities impose restricted access to the investigation file, claiming it contains confidential information.

Given the foregoing, one can assert that the victims of ethnic cleansing are left to suffer in a never-ending state of misery, feeling abandoned and disregarded. Despite the inhumane treatment they endured, the perpetrators are granted impunity, and their suffering remains unaddressed. The victims cannot seek compensation for their moral damages because the establishment of criminal

<sup>5</sup> Recent developments in the case confirm this. Upon analysis of court order No. 1223 from the Court of Appeals, Sofia (6th Criminal), numerous errors made by the prosecution were identified and the Court concluded that the prosecution’s decision to terminate the criminal proceedings under pre-trial proceedings No. P-048/1999 was not in accordance with the law. The order has many details about irregularities which is not be mentioned here (Court of Appeals, 2022).

<sup>6</sup> All the information about the related judicial process is gathered from the plaintiffs’ of the case.

wrongdoing, which would serve as the basis for compensation claims, is being continuously obstructed.<sup>7</sup> This failure to investigate and uncover the facts of the Belene Island violations was also brought before the European Court of Human Rights through 104 applications in 2019. However, all of these applications were found inadmissible on procedural grounds without going into the substance of the cases by the ECtHR decisions given by single-judge formations that contained no information regarding the failure of the applications.

In 2006, the Association of Belene Victims (Association for Justice, Rights, Culture, and Cooperation in The Balkans) already took action to address the issue by contacting the relevant human rights mechanisms of the Council of Europe, including the PACE Monitoring Committee and the Office of the Commissioner for Human Rights. After several visits to Bulgaria, the PACE Monitoring Committee prepared a working paper in 2006 that included the grievances of the victims of the Belene concentration camp. This working paper served as the foundation for the future work of the Council of Europe's relevant offices. The Committee Chair, Mr. Serhiy HOLOVATY, further expressed his thoughts on the matter in an information note following his fact-finding visit to Sofia on November 5-7, 2008.

This long and exhausting process of 32 years has caused various psychological and irreparable scars on the victims who were subjected to multiple inhumane treatments in the Belene Camp due to obstructing their search for justice. According to the interviews and observations made in various settings, although each of the victims continues to believe in the struggle for justice, there is a growing restlessness, psychological pressure due to the material and moral pressure exerted by the relevant institutions, and humiliation caused by not being taken into account. In her presentation at a symposium session in May, one of the victims expressed the adverse situation of the process: *“It is miserable that the justice system of the Republic of Bulgaria failed to reach a fair decision within the reasonable time provided for by the Criminal Code. Given the length of a human life, 32 years cannot be considered a reasonable period. It is with great astonishment that we are witnessing that the perpetrators of crimes of an anti-human nature have not yet been brought before the judicial authorities to receive the deserved punishments for their violations of fundamental human rights”* (Special Session for Belene, 2023). Indeed, 32 years for a preliminary investigation from the prosecution is too long, and the victims clearly understand that this is just another irregularity attempt by the judicial organs of Bulgaria to frustrate victims and make them give up their cases one by one. This lengthy process is a concrete example of the denial of a fair trial. *“Although approximately 40 years have passed, the wounds that were opened during the so-called ‘revival process’ are still bleeding and have not healed. The main reason for this is that for 32 years now, the Bulgarian prosecution has deliberately and un-*

---

<sup>7</sup> Supra note 7

*justifiably delayed the criminal case brought in 1991 to punish the perpetrators of crimes against human rights from 1984 to 1989. This is the investigative case No. 1 of 1991 under the inventory of the Prosecutor's Office of the Armed Forces (the so-called "revival trial" case) initiated on 30.01.1991 against Todor Zhivkov, Dimitar Stoyanov, Georgi Atanasov, Petar Mladenov and Pencho Kubadinsky for having incited national enmity and hatred in the period 1984-1989"* (Special Session for Belene, 2023).

*"All these intrigues and shameless legal practices are meant to pave the way for crimes to be committed again. Bulgarian officials continue to work in an organized manner to intimidate all the people who have been victimized."*<sup>8</sup> That is how victims of Belene see all these judicial processes.

### **Conclusion**

As can be seen from the discussions as mentioned above, the totalitarian regime in Bulgaria during the Communist era was responsible for discrimination and intolerance coupled with crimes committed against the ethnic Turks as well as other Muslim groups in the country. Luckily, this infamous era came to an end, and Bulgaria is now part of the democratic world as a member of the EU and NATO ally. Having become parties to human rights mechanisms in the EU and the Council of Europe as well as the UN bodies, Bulgaria has undertaken essential commitments to protect and promote human rights and fights against discrimination and intolerance. Naturally, in human rights, no country is immune to deficiencies.

The study draws attention to a remaining sorrow, i.e., the incompleteness of the cases of Belene victims of ethnic Turks, which needs to be overcome for ending the impunity in crimes committed in Belene. As earlier referred to, the study utilized qualitative data collected through in-depth interviews with Belene case victims as a novelty in methodology in such legal cases.

Although the state and the public in Bulgaria have plainly condemned the atrocities that took place in Belene during the totalitarian time, the said impunity is a cause of criticism and concern for Bulgaria, even by its EU partners. Thus, given the details of the cases in the above-mentioned discussions, one can hope that this issue could soon be addressed accordingly in Bulgaria, given the country's progress in the field of human rights. In this process, the remedies which can be found at international levels, such as ECtHR, would also be instrumental in overcoming the legacy of the totalitarian past and fostering societal peace and cohesion among the peoples in Bulgaria in an embracing manner, regardless of their origins.

In the annals of history, Belene Island is a stark testament to the atrocities inflicted upon humanity during Bulgaria's period of totalitarian rule. This iso-

<sup>8</sup> Interview with a Belene victim., 2023, ISTANBUL.

lated enclave of suffering represents the extent to which power may be used to commit unspeakable cruelties against fellow human beings. The significance of Belene transcends time, casting a haunting shadow over the country's past and confronting its present commitment to justice and human rights.

The passage of time has not lessened the suffering experienced by those victimized within the confines of Belene. The visible and unseen scars are deeply ingrained in the hearts of survivors and their loved ones who have been subjected to physical torment and a prolonged struggle for justice. The pursuit of holding those accountable for the atrocities committed on the island has been marred by systemic obstacles, legal confusion, and an interminable cycle of postponements. The victims' profound disillusionment stems from the sense that their suffering is unacknowledged and calls for justice go unheeded.

The quest for justice pertaining to Belene Island surpasses national borders. It resonates with a universal yearning for accountability, empathy, and the assurance that such atrocities will never again transpire. While the legal proceedings' intricacies, geopolitical considerations, and bureaucratic obstacles may have prolonged the investigation, the human impact is undeniable. The victims' steadfast dedication to truth and justice is a testimony to the unyielding determination of those who reject being silenced, even against formidable odds.

As survivors of Belene Island continue to bear the burden of their harrowing past, it is incumbent upon society to confront the moral imperative of rectifying historical injustices. A just and expeditious legal system, based on the tenets of responsibility and openness, is crucial not only for the victims' well-being but also for safeguarding collective remembrance and averting impending atrocities. The lasting impact of Belene Island necessitates our commitment to creating a world where justice is delivered promptly and unbiased, human rights are respected, and the legacies of the past do not overshadow the prospect of a more equitable and empathetic future.



## REFERENCES

- Balint, J, Evans, J. ve McMillian N. (2014). "Geçiş Dönemi Adaletini Yeniden Düşünerek Yerli Halka Verilen Zararı Telafi Etmek: Yeni Bir Kavramsal Bakış," Çeviren: Hafıza Merkezi, *The International Journal of Transitional Justice*, C.VIII, No:1, p. 194-216.
- Bıçaklı, H. A. (2016). *Türkiye - Bulgaristan ilişkileri: 1878- 2008*. Türkiye: İmge Kitabevi.
- Ciobanu, R. (2020). The Evolutive Interpretation of the European Convention of Human Rights and the Development of the Right to Fair Trial. *Conferinta Internationala de Drept, Studii Europene si Relatii Internationale*, 2020, 331-338.
- Council of Europe. (1950). *European Convention for the Protection of Human Rights and Fundamental Freedoms, as amended by Protocols Nos. 11 and 14*, 4 November 1950.
- Court of Appeals - Sofia, 6th Criminal (2022). Considering the reported by Vladimir Astarjiev Appeal private criminal case No. 20221000600821.
- Daniela, A. and Cath, C. (2019). "Truth, Evidence, Truth: The Deployment of Testimony, Archives and Technical Data in Domestic Human Rights Trials," *Journal of Human Rights Practice*, C.VIII, No:1.
- De Nardi S. Orange H. High S. C. & Koskinen-Koivisto E. (2019). *The routledge handbook of memory and place*. Routledge. <https://doi.org/10.4324/9780815354260>
- Drimba, I. (2020). The Right to Fair Trial in the Charter of Fundamental Rights of the European Union. *Pro Lege Review (Revista Pro Lege)*, 2020(3), 154-177.
- Egbatan, M. (2013). "Nasıl bir barış süreci: Geçiş dönemi adaleti ve toplumsal cinsiyet," *Kadın Sorunları Araştırma ve Uygulama Merkezi*, C.V, No:2.
- European Union. (2012). *Charter of Fundamental Rights of the European Union*, 26 October 2012, 2012/C 326/02.
- Fadoua, L. (2010). Facing a Bloody Past Discourses and Practices of Transitional Justice, *Annals of the International Communication Association*, 34:1, 391-426, DOI: 10.1080/23808985.2010.11679106).
- Jasper v the United Kingdom. (2000). (App no 27052/95) ECHR, 16 February 2000.
- Jelinic, Z., & Radoja, K. (2018). Mutual recognition of judicial decisions and the right to fair trial with special focus on the echr's findings in the case of avotins v. latvia. *EU and Comparative Law Issues and Challenges Series*, 2(2), 571-585.
- Koleva, D. ed. (2010). *Belene-miasto na pamet? Antropologichna anketa*. Sofia: Institut za izsledvane na blizkoto minalo.
- Luleva, A., Troeva, E., and Petrov, P. eds. (2012). *Prinuditelniat trud v Bulgaria (1941–1962): Spomeni na svideteli*. Sofia: Akademichno izdatelstvo, "Profesor Marin Drinov".

- Şimşir, B. N. (2012). *Bulgaristan Türkleri: (1878-1985)*. Türkiye: Bilgi Yayınevi.
- Skochev, B. (2017). *Kontzlagerut "Belene" 1949–1987*. Ostrovut, koito ubi svobodniat chovek. Sofia: Ciela
- Sofia News Agency*. (2012). "Bulgarian MPs Enforce 'Revival Process' Official Condemnation", <https://www.novinite.com/articles/140018/Bulgarian+MPs+Enforce+'Revival+Process'+Official+Condemnation>
- The International University Seminar for Balkan Studies and Specialization, (2023). *Special Belene Session*, Blagoevgrad, Bulgaria.
- Topouzova, L. (2014). *Reclaiming memory: The history and legacy of concentration camps in Communist Bulgaria*. PhD Dissertation, University of Toronto.
- Yılmaz, M. E., Demir, S. ve Kalfa, Z. (2021). Discrimination issue toward the Turkish Minority in Bulgaria in the Post-1989 Era. *Tesam Akademi Dergisi*, 8(2), 407-427.
- Znepolski, I. (2009). *Bez Sleda. Lagerat Belene 1949–1959 i sled tova*. Sofia: Institut za izsledvane na blizkoto minalo



# *Chapter 15*

## **AN OVERVIEW OF MODERN LEADERSHIP STYLES**

*Yusuf Taha OKAN<sup>1</sup>*

---

<sup>1</sup> Lecturer. Assist. Dr.; Harran University Vocational School of Social Sciences, Department of Foreign Trade, ytoken@harran.edu.tr, ORCID No: 0000-0002-7513-9790

## Introduction

Leadership is a fundamental element that shapes the success of organisations and communities. However, leadership is not limited to a single fixed style, but includes many different styles and approaches. There are many classifications related to leadership. In these classification criteria, sometimes the way leaders use their authority is discussed, and sometimes the leader's abilities that enable him/her to achieve leadership come to the fore. Apart from these, there are different criteria used. Each leadership style adapts to the goals, needs and values of a different leader, organisation or community. In this section, the main characteristics, advantages and limitations of different leadership styles will be emphasised on the leadership styles that have been studied and developed from the 1980s to the present day. These leadership styles are charismatic leadership, transformational leadership, authentic leadership, transactional leadership, paternalistic leadership, strategic leadership, visionary leadership, ethical leadership and servant leadership.

### 1.1. Charismatic Leadership

This type of leadership was proposed by the German sociologist Max Weber. Historically, charisma came from an ancient Greek word meaning talent. It also means divine gift or divine inspiration in ancient Greek (Yukl, 2013, p. 317).

Charismatic leaders are those who guide their followers, inspire them, instil confidence, set impressive goals and objectives for the future, and whose mission and vision create excitement among the followers. Every behaviour exhibited by the leader is immediately accepted and implemented by the followers. These leaders get their ideas and thoughts accepted by their followers without resorting to coercion. Because their followers identify themselves with the leader (Güney, 2020, p. 429; Oktay & Gül, 2003).

Charisma is a personal characteristic that expresses some specific powers that distinguish a person from normal individuals. Some of these distinctive features found in charismatic leaders are as follows:

- Extraordinary capabilities,
- High self-esteem,
- High level of influence and dominance,
- Risk taking,
- To be able to sacrifice yourself for your values,
- Ability to make sacrifices for the sake of achieving the vision,
- Valuing the needs of group members,

- To be able to create radical solutions when a crisis occurs,
- Showing continuity in their abilities (Şahin, et al., 2004, p. 660; Aykanat, 2010 ).

Charismatic leaders can sometimes use their strong charisma negatively. As a matter of fact, there are also negative charismatic leaders in history who have the power and ability to destroy societies and lead their followers to death (Durmuş, 2014, p. 22).

Yukl (2018) listed the negative consequences of charismatic leaders as follows:

- Followers' fear of the leader reduces the number of good suggestions,
- The desire based on the leader's acceptance prevents the followers from criticising,
- The admiration of the audience for the leader leads to the misconception that the leader is faultless,
- Overconfidence and optimism blinds the leader to possible dangers,
- Denial of problems and failures reduces organisational learning,
- Grandiose and risky projects are very likely to end in failure,
- The leader's ownership of the successes alienates some key followers,
- Impulsive and extraordinary behaviour creates enemies as well as believers,
- Dependence on the leader prevents the development of competent and qualified followers,
- Failure to train successors creates a leadership crisis (Yukl, 2018, p. 319).

In their study, Gül and Aykanat (2012) make the following suggestions to leaders who exhibit charismatic leadership behaviour in order to create a strong organisational culture structure;

- Developing a common corporate identity and empowering employees,
- Changes should be monitored and employees should be empowered in this regard,
- Employees should be involved in decision-making processes and rational decisions should be taken for the benefit of the organisation,
- Harmonisation of employee values and organisational culture values should be ensured,

- The distinctions between lower level managers and staff should be eliminated,
- Two-way communication between staff and managers should be ensured,
- Social activities should be organised and paid attention to in the organisation,
- Employee training should be emphasised and contributions should be made for their development.

## **1.2. Transformational Leadership**

Transformational leaders create a realistic and interesting strategic vision focused on the future. By using stories, symbols and some other tools in the lives of the employees, they ensure that the employees focus on the vision in accordance with the goals and objectives set by the organisation in question (McShane, 2005, p. 430).

Transformational leaders endeavour to inspire their followers or employees with the existence of a task and to direct and guide them towards a dream or vision (Eren, 2012, p. 440).

Özkalp and Kirel (2018) stated that transformational leadership is a type of leadership that can be successfully applied in making radical changes in organisations and societies.

### **Some Characteristics of Transformational Leaders**

- He is brave,
- They are people who learn and take lessons throughout their lives,
- They see themselves as agents of change,
- They make good use of their conceptual abilities,
- They usually believe in people,
- They are able to apply internalisation and identification capabilities on the members of the organisation at a high rate,
- They are guided by the values they believe in,
- They are people who can set a vision,
- Transformational leaders who do not give up easily can deal with uncertain and complex situations (Berber, 2000; Yukl, 2018).

It can be said that managers with transformational leadership skills and abilities have a very important and functional role for organisations and

companies (Okan & Okan, 2021, p. 691). As a matter of fact, this situation is also clearly seen when we look at the definitions and characteristics of transformational leadership.

### 1.3. Authentic Leadership

Authentic leadership emerged with the beginning of the discussion on the reliability of leaders and leadership was viewed from an authentic perspective. They stated that leaders should be truthful, open and sincere in every respect, that they should not mislead group members with their thoughts, behaviours and goals, that they should inspire confidence in their followers with their behaviours and value judgements and gain their trust, and that leaders should be such individuals (Koçel, 2018, p. 607; Erer & Demirel, 2018).

It can be stated that the authentic leadership type has gained a rapidly rising trend and importance especially in recent years due to the fact that it aims to achieve positive results for organisations and to increase investments in human resources (Walumbwa et al., 2008, p. 118).

Authentic leaders have a number of characteristics. These can be listed as follows;

- They exhibit honest and principled behaviour,
- They know their values, beliefs, strengths and weaknesses,
- They have the ability to communicate clearly and effectively and have good self-expression and listening skills,
- They have their own unique leadership styles,
- They empathise by intuiting the needs of others,
- They have new ideas and perspectives and adapt to changing conditions thanks to their flexibility,
- They take responsibility and have a high level of responsibility,
- They set an example and inspire others. They motivate team members with their attitudes and behaviours,
- They intuit the needs of organisations and societies and have high social awareness,
- It encourages receiving honest feedback from others and contributes to the development of personal and leadership skills (Walumbwa et al., 2008; Büyükbeşe et al., 2019; Polat, 2020; Tütüncü & Akgündüz, 2014).

Authentic leadership increases trust in organisations, increases employee motivation and encourages cooperation. Authentic leaders help organisations to achieve more long-term and sustainable success. This leadership style helps

leaders to develop themselves and their teams by focusing on their professional and personal development (Avolio & Gardner, 2005; Çiçek, 2011).

#### **1.4. Transactional Leadership**

Transactional leadership is also referred to as transactional and transactional leadership in the literature. According to this approach, which was put forward by J. M. Bass and developed by B. M. Bass and other researchers over time, it was revealed that a new distinction should be made in leadership. According to this approach, it proceeds on the basis that the relations between employees and leaders are work-oriented (Karakuş, 2014, p.23).

The leader who exhibits this leadership style can give status and money to the employees to reward them and give them more effort by using their authority, and they can also provide useful services such as leaving the traditions they deem useful from the past to future generations (Eren, 2012, p. 441).

In the theoretical studies, it has been stated that transactional leadership is based on three basic characteristics. These are (Sabuncuoğlu & Tüz, 2005, p. 221):

- Conditional rewarding (when leaders give concrete rewards to their employees for achieving predetermined goals)
- Management by exception (Active) (the leader intervenes in the event of a problem in the organisation).
- Management by exception (Passive) (The complete release of employees by the leader in the performance of their duties).

#### **1.5. Paternalistic Leadership**

Paternalistic leadership is also referred to as paternalism. In this leadership, the quality of mutual relations and the attitudes and behaviours of the parties involved in this relationship are discussed (Öztop, 2008, p. 18; Çalışkan & Özkoç, 2016).

When we examine the management and family structures of societies where paternalistic leadership is common, we notice that they are generally feudalistic and patriarchal. It is the responsibility of the state to take care of individuals and society. Generally, this cultural structure is seen in societies based on agriculture as an economic power (Keklik, 2012, p. 80).

Based on this, paternalism is not only a type of leadership but also a culture. When we look at the relationship between the participant and the leader, it is a more intimate form of relationship that includes responsibility and authority. Paternalism can be analysed with reference to paternalistic relationships



and relationships at the organisational level. It is a typical characteristic of a wide range of cultures and belongs to traditional eastern societies such as China, Japan, Korea and India. When we look at the countries with the most paternalistic characteristics, it is stated as Pakistan, China, India and Turkey (Ayca, 2001, pp. 1-18).

Paternalistic leadership has some advantages and disadvantages. Protecting the welfare of employees, providing security and providing guidance can be counted as advantages of this leadership style. As disadvantages, restricting the potential of employees, limiting autonomy and unilateral influence of the leader in decision-making processes can be counted (Çalışkan & Özkoç, 2016; Aktaş, 2019). Although this leadership style may be more acceptable in some organisations and cultures, it may be criticised or perceived negatively in others.

### **1.6. Strategic Leadership**

When the dictionary meaning of strategic leadership is examined, it is expressed as all decisions and judgements that are not limited to a short period of time in the ability to determine the goals and objectives of a group, but cover a longer period of time (Özer, 2008, p. 480). This concept includes long-term thinking, being able to perceive the factors in the environment and being able to find determined goals. For this reason, when this concept is mentioned, it consists of goals and objectives with a clear vision, future orientation, planned programmes and methods (Yalçın, 2016, pp. 71-72).

Strategic leadership was originally defined as determining where an organisation was heading and how it would get there. Strategic and long-term planning was seen as a process that belonged only to top management, usually behind closed doors. Strategic leaders are generally seen as heroic leaders who can recognise an opportunity or a problem and produce a solution by getting the support of those who think the same way (Quong & Walker, 2010, pp. 22-24).

When we look at the strategic leadership process, it is seen that it consists of four steps; these steps are; talent, vision, explaining the vision and providing services to others to achieve the vision (Horwath, 2006, p. 2).

As a result of Quong and Walker's research and observations on strategic leaders, the principles exhibited by strategic leaders are as follows;

- They focus on the future and develop strategies for the future,
- They act according to the results of evidence and research,
- These do the work,
- They open new horizons,

- They are fit to be leaders,
- They make good partners,
- They do the next right thing (Quong & Walker, 2010, pp. 23-32).

### 1.7. Visionary Leadership

In this leadership, just like in other leaderships, leaders lead others. Compared to other leaders, visionary leaders are vital for organisations to achieve long-term success in today's business world. These leaders have a very strong vision. However, if the developments that have occurred in the past are not clearly documented, serious problems may arise for the organisation. Visionary leaders succeed in solving these problems (Jeffrey, 2016; Schein, 1997). Beyond today's challenges and uncertainties, they can see the empowering portrait of the future. They play a motivating role for group members with their strong vision. Inspired by the thoughts of these leaders, a path for the future is determined. Group members need such leaders who have the skills and equipment to provide them with this vision (Jeffrey, 2016; Okan & Gültekin, 2023). These leaders are not dictators or authoritarian. They do not have too much control over them in a way that bores employees. Instead, they leave employees free to determine the most ideal route to achieve the vision. They create a discipline to keep the last picture in the memory. They endeavour to work towards the vision they set every day (Jeffrey, 2016).

Visionary leaders are known for their charismatic and unifying characteristics. In order to achieve success, such a leader leads the way to unite and overcome the differences that pose an organisational threat. Creating this environment of natural harmony paves the way for employees to work even harder (Kinsey, 2018).

### 1.8. Ethical Leadership

According to this leadership type, which states that leaders should behave ethically in their behaviours, leaders should exhibit behaviours that prioritise social values such as human values, equality, social responsibility, social values, natural environment, honour and rights of others (Koçel, 2018, p. 607).

Some basic characteristics of ethical leadership are as follows;

- Value orientated,
- Shows principled and honest behaviour,
- Attaches importance to equality and justice,
- Empathy and respect for people,
- They have high responsibility and accountability,

- Makes ethical decisions,
- Stakeholder orientated,
- They have high communication skills (Freeman & Steward, 2006; Brown, 2007; Yukl, 2018).

Ethical leadership increases trust in organisations, improves morale and job satisfaction, and promotes sustainability and long-term success. Ethical leaders also support the personal and professional development of their employees. Since they have good empathy skills, they have the ability to respect the thoughts of their employees, to be in harmony with them and to understand them well since they can look at the experiences of employees from their perspective (Öztürk & Demirtaş, 2022; Okan, 2021). Ethical leadership is particularly important in business and many other fields because it responds to the expectations of society and stakeholders (Esmer & Dayı, 2016).

### **1.9. Servant Leadership**

This type of leadership, which has religious beliefs at its core, sees leadership as the work of serving the society. The leader is seen as a person who should do the work that will provide social benefit, even if it is sometimes to his/her own detriment. When we look at the philosophy of servanthood, it includes dedication to others, handling events from the perspectives of others, and focusing on the concept of you or us before the concept of me (Koçel, 2018, p. 607). The servant leader should be concerned with the needs of his/her followers and help his/her followers to become wiser, healthier and accept and assume their responsibilities (Yukl, 2018, p.349).

Some characteristics of servant leaders;

- High empathy power,
- They are helpful,
- They encourage co-operation and cooperation,
- They offer their audience the opportunity for continuous training and development,
- They have good listening skills,
- They are service orientated,
- They are humble,
- They set an example with their attitudes and behaviours,
- They are responsible,
- They are flexible in responding to changing conditions and different needs of their audiences (Yukl, 2018; Bakan & Doğan, 2012).

Servant leadership increases the motivation of team members in organisations, encourages cooperation and contributes positively to long-term success. In this leadership approach, it is emphasised that leaders do not only care about their own success but also the success of the team and the organisation.

## REFERENCES

- Aktaş, T. (2019). *Okul müdürlerinin paternalistik liderlik davranışları ile politik taktikleri arasındaki ilişkiler (Yayımlanmamış Yüksek Lisans Tezi)*. Pamukkale Üniversitesi Eğitim Bilimleri Enstitüsü: Denizli.
- Avolio, B. J., & Gardner, W. L. (2005). Authentic leadership development: getting to the root of positive forms of leadership. *The Leadership Quarterly*, 16(3): 315-338
- Aycan, Z. (2001). Yönetim ve liderlik anlayışına ilişkin üç görgül çalışma. *Yönetim Araştırmaları Dergisi*, cilt 1, sayı 1, 1-26.
- Aykanat, Z. (2010). *Karizmatik liderlik ve örgüt kültürü ilişkisi üzerine Bir uygulama Yayımlanmamış Yüksek Lisans Tezi*. Karamanoğlu Mehmetbey Üniversitesi Sosyal Bilimler Enstitüsü Kamu Yönetimi Anabilim Dalı: Karaman.
- Berber, A. (2000). Dönüşümsel ve etkileşimsel liderlik kavramı, gelişimi ve dönüşümsel liderliğin yönetim ve organizasyon içerisindeki rolü. *İstanbul Üniversitesi İşletme Fakültesi İşletme İktisadi Enstitüsü Dergisi*, yıl:11, Sayı: 36, s. 33-50.
- Bakan, İ., & Doğan, İ. F. (2012). Hizmetkâr liderlik. *Kahramanmaraş Sütçü İmam Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi*, 2(2), 1-12.
- Brown, M. E. (2007). Misconceptions of ethical leadership:: How to avoid potential pitfalls. *Organizational Dynamics*, 36, 140-155.
- Büyükbeşe, T., Çavuşoğlu, S. & Okun, O. (2019). Otantik liderlik ile örgütsel bağlılık arasında psikolojik sermayenin aracılık rolü: Bingöl Üniversitesi örneği. *Uluslararası Toplum Araştırmaları Dergisi*, 10(17), 195-225.
- Çalışkan, N., & Özkoç, A. G. (2016). Örgütlerde paternalist liderlik algısına etki eden ulusal kültür tiplerinin belirlenmesi. *Yaşar Üniversitesi E-Dergisi*, 11 (44), 240-250. Retrieved from <https://dergipark.org.tr/tr/pub/jyasar/issue/31220/339660>
- Çiçek, M. (2011). Liderlikte farklı bir yaklaşım: otantik liderlik tarzı transformasyonel liderlik biçimi ve karşılaştırılması. *Bartın Üniversitesi İ.İ.B.F. Dergisi*, 2(3), 59-71.
- Durmuş, A. (2014). *Güncel liderlik yaklaşımları, duygusal zeka, yöneticilerin liderlik tarzları ve duygusal zeka ilişkisinin belirlenmesine yönelik bir araştırma (yüksek lisans tezi)*. İstanbul Üniversitesi Sosyal Bilimler Enstitüsü: İstanbul.
- Eren, E. (2012). *Örgütsel davranış ve yönetim psikolojisi*, İstanbul: Beta Basım Yayım.
- Erer, B., & Demirel, E. (2018). Modern liderlik yaklaşımlarına genel bir bakış. *Journal of Institute of Economic Development and Social Researches*, 4 (13), 647-656. Retrieved from <https://dergipark.org.tr/tr/pub/iksad/issue/51709/671361>
- Esmer, Y., & Dayı, F. (2016). Yönetimde yeni bir paradigma: Etik liderlik. *Akademik Bakış Uluslararası Hakemli Sosyal Bilimler Dergisi*, (57), 38-54. Retrieved from <https://dergipark.org.tr/tr/pub/abuhsbd/issue/32967/366342>
- Freeman, R. E., & Steward, L. (2006). Developing Ethical Leadership, Business Roundtable Institute for Corporate Ethics, 2- 15.

- Gül, H., & Aykanat, Z. (2012). Karizmatik liderlik ve örgüt kültürü ilişkisi üzerine bir araştırma. *Atatürk Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, 16 (1): 17-36
- Güney, S. (2020). *Liderlik*, Ankara: Nobel Yayın Dağıtım.
- Horwath, R. (2006). *Strategic Leadership: a process for maximizing leadership potential*, Strategic Thinking Institute.
- Jeffrey, S. (2021 Kasım 22). *10 attributes of visionary leadership. ceosage realize your business vision and your leadership potential*, (2016). <http://ceosage.com/visionary-leadership> adresinden edinilmiştir.
- Karakuş, E. (2014) *Yöneticilerin liderlik davranışlarıyla çalışan performansı arasındaki ilişkinin incelenmesine yönelik bir araştırma* (Yayımlanmamış yüksek lisans tezi). Gazi Üniversitesi Sosyal Bilimler Enstitüsü: Ankara.
- Keklik, B. (2012). Sağlık hizmetlerinde benimsenen liderlik tiplerinin belirlenmesi. *İktisadi ve İdari Bilimler Fakültesi Dergisi*, C.14, 1, 73-93.
- Kinsey, A. (2021 Kasım 25). *What is visionary leadership?* (2018) <https://bizfluent.com/info-8721665-visionary-leadership.html> adresinden edinilmiştir.
- Koçel, T. (2018). *İşletme yöneticiliği*. 17. Baskı. İstanbul: Beta.
- McShane, S. L. (2005). *Organizational behaviour*. McGraw-Hill Irwin, Boston.
- Okan, N. (2021). Öz eleştiri (Self-criticism). E. Yılmaz & B. Duman (Ed.), *Eğitimde öz (1. baskı) içinde* (s. 75-98). İstanbul: Kriter Yayınevi.
- Okan, N., & Okan, Y. T. (2021). Kısa dönüşümcü liderlik ölçeğinin Türkçeye uyarlanması ve psikometrik yönden incelenmesi. *Turkish Studies-Social*, 16(2), 691.
- Okan, Y. T. & Gültekin, N. (2023). Kamu Liderlik Ölçeği Kısa Formunun Türkçeye Uyarlanması ve Psikometrik Analizlerinin Yapılması. *Dicle Akademi Dergisi*, 3 (1), 77-97. Retrieved from <https://dergipark.org.tr/en/pub/dade/issue/76910/1263722>
- Oktay, E. & Gül, H. (2003). Çalışanların duygusal bağlılıklarının sağlanmasında Conger ve Kanungo'nun karizmatik lider özelliklerinin etkileri üzerine Karaman ve Aksaray Emniyet Müdürlüklerinde yapılan bir araştırma. *Selçuk Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, (10), 403-428. Retrieved from <https://dergipark.org.tr/tr/pub/susbed/issue/61774/923510>
- Özer, M. A. (2008). *21. Yüzyılda yönetim ve yöneticiler*, İstanbul: Nobel Yayın Dağıtım.
- Özkalp, E., & Kırel, Ç. (2018). *Örgütsel davranış*, Bursa: Ekin Basım Yayın Dağıtım.
- Öztop, İ. (2008). *Liderlik tarzları ve örgüt kültürü tipleri arasındaki ilişki* (Yayımlanmamış yüksek lisans tezi). Gebze İleri Teknoloji Enstitüsü: İstanbul.
- Öztürk, H., & Demirtaş, Ö. (2022). Etik liderlik davranışlarının çalışan sadakati aracılığıyla işe adanmışlık üzerindeki etkisi: Bir alan çalışması. *Selçuk Üniversitesi Sosyal Bilimler Meslek Yüksekokulu Dergisi*, 25 (1), 192- 200.
- Polat, G. (2020). *Liderlik tarzlarının sinizm ve sanal kayıtarma davranışına etkisi: Afyonkarahisar ili belediye çalışanları üzerine bir araştırma* (Yayımlanmamış Yüksek Lisans

Tezi). Afyon Kocatepe Üniversitesi Sosyal Bilimler Enstitüsü: Afyonkarahisar.

Sabuncuoğlu, Z., & Tüz, M. (2005). *Örgütsel psikoloji*, 4.Baskı, Bursa: Alfa Aktüel BasımYay.

Schein, E. H. (1997). *Organizational culture and leadership (2nd ed.)*. San Francisco: Jossey-Bass.

Şahin, A., Temizel, H. & Örselli, E. (2004). *Bankacılık sektöründe çalışan yöneticilerin kendi liderlik tarzlarını algılayış biçimleri ile çalışanların yöneticilerinin liderlik tarzlarını algılayış biçimlerine yönelik uygulamalı bir çalışma*, 3. Ulusal Bilgi, Ekonomi ve Yönetim Kongresi Bildiri Kitabı, Eskişehir: Sözkese Matbaacılık.

Tütüncü, Ö., & Akgündüz, Y. (2014). Seyahat acentelerinde otantik liderliğin çalışanların yalabalık eğilimlerine etkisi. *Anatolia: Turizm Araştırmaları Dergisi*, 25(2):168.

Quong, T., & Walker, A. (2010). Seven principles of strategic leadership, *ISEA*, 38(1), 22-34.

Walumbwa, F. O., Avolio, B. J., Gardner, W. L., Wernsing, T. S., & Peterson, S. J. (2008). Authentic leadership development and validation of a theory-based measure. *Journal of Management*, Vol:34, No:1, s.118.

Yalçın, S. (2016). *Liderlik olgusu bağlamında ilişkisel (Dönüşümcü) liderlik kavramı* (Yayımlanmamış yüksek lisans tezi). Ege Üniversitesi Sosyal Bilimler Enstitüsü: İzmir.

Yukl, G. (2013). *Leadership in organizations*. 8th Edition. Pearson.

Yukl, G. (2018). *Örgütlerde liderlik*. Çev. Şahin Çetin ve Resul Baltacı. (8. Baskı). Ankara: Nobel Akademik Yayıncılık.





A graphic for a chapter title. It features a large white circle with a subtle drop shadow. Inside the circle, the top half is a solid orange semi-circle. The text 'Chapter 14' is written in a white, bold, italicized serif font across the boundary of the semi-circle. Below the semi-circle, the text 'BURNOUT SYNDROME IN TERMS OF BUSINESS EMPLOYEES: AN EVALUATION ON AVIATION SECTOR' is written in a bold, black, sans-serif font. At the bottom of the circle, the author's name 'Rabia YILMAZ' is written in a black, italicized serif font. Two orange curved lines, one above and one below the circle, frame the central graphic.

# *Chapter 14*

## **BURNOUT SYNDROME IN TERMS OF BUSINESS EMPLOYEES: AN EVALUATION ON AVIATION SECTOR**

*Rabia YILMAZ*<sup>1</sup>

---

<sup>1</sup> Assist. Prof. Dr., Selcuk University, School of Civil Aviation, Department of Aviation Management, Konya/Turkey, rabia6591@gmail.com ORCID: 0000-0003-1335-2462

## 1. INTRODUCTION

Employees' attitudes and behaviors toward businesses have been the subject of many studies, especially in recent years. According to some authors, researchers have attempted to explain attitudes and behaviors particularly related to important organizational outcomes (Derin & Demirel, 2012: 510). One of the issues that examines the attitudes and behaviors of employees is burnout syndrome. Burnout is a situation that starts as a reaction to stressors related to the employee's job and then negatively affects their attitudes, behaviors, and habits in the following process (Cherniss, 1980: 5; as cited in Erkutlu, 2019: 108; Cohen et al., 2023; Baranik & Eby, 2016: 627). Burnout affects the quality of working life, the productivity of employees, organizational efficiency and productivity, and so on. Examining employee burnout helps to better define and analyze organizational behavior (Derin & Demirel, 2012: 510).

Since burnout syndrome is a situation seen especially in professions where face-to-face relationships with people are mandatory, aviation employees are very likely to confront this problem (Eren & Duma, 2006: 41). In this case, especially in the service sector, employees work under intense work pressure. The main characteristic of service sector occupations is the need for constant interaction with other individuals and intense work pressure. This leads to several psychosocial problems in employees. Burnout syndrome, one of the most prominent of these, causes many problems concerning both the individual and the organization in terms of work, social relations, and psychological aspects (Eren & Duma, 2006: 40–41; as cited in Derin & Demirel, 2012: 510). In other words, employees' variable working hours and the need to be at work continuously may have an impact on their family and social lives. Employees being away from home for long periods may weaken their family ties and affect their social relationships. This can lead to feelings of dissatisfaction, stress, and burnout. Essentially, burnout is a social problem that negatively affects the work environment and the whole environment of the individual and creates stress in the individual (Vandenberghe & Huberman, 1999).

Two main factors constitute burnout. Some of these factors are caused by individual causes and some by organizational causes. Moreover, burnout occurs when an individual exhausts his emotional resources (Leiter et al., 2014). This individual then becomes completely emotionally exhausted. Emotionally exhausted individuals limit their relationships with other people and become psychologically distant from them (Moss et al., 2016:107). In other words, they become desensitized. They then realize the difference between their previous positive attitudes and their current attitudes and, as a result, think that their distant attitudes limit their contributions to the business and society. Consequently, the individual feels a sense of inadequacy and failure in work and human relations (Ardıç & Polatçı, 2008: 71; as cited in Serinkan & Barutçu, 2020: 4; Leiter et al., 2014; Chaudhary et al., 2021: 144).

The study consists of four main parts. In the first part, the concept of burnout syndrome, the elements of burnout syndrome, and the causes of burnout are discussed. In the second part, an evaluation of burnout in the aviation sector is made. The third part, the final part, includes the conclusion and discussion.

## 2. THE CONCEPT OF BURNOUT SYNDROME

Burnout syndrome is one of the problems that modern people have to cope with. This syndrome is a challenging process that occurs when the relationships established by employees with their work become negative (Erkutlu, 2019: 108). The concept of burnout was first mentioned by Greene (1961) in his novel "A BurntOut Case" and was expressed as "extreme fatigue and the sense of anger the individual feels for his or her work" (Derin & Demirel, 2012). The first articles on burnout were written by Freudenberg (1975), a psychiatrist, and Maslach (1976), a social psychologist (Maslach et al., 2001: 398–399).

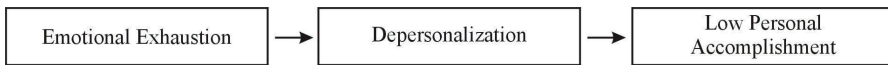
Burnout is a prolonged response to emotional and interpersonal stressors in modern business life (Angerer, 2003: 98; Güney, 2020: 520). Burnout is a state of chronic emotional exhaustion caused by prolonged interaction with other individuals (Etzion et al., 1982; Söderfeldt et al., 1995: 639). In other words, burnout is a classical depressive process unfolding in reaction to unresolvable stress (Schonfeld et al., 2018: 218–219; Malasch & Leiter, 1997). Shirom (1989) defined burnout as having a negative emotional experience in the process of chronic and continuous emotional depression. According to another definition, burnout is used to describe the physical or emotional states that occur as a result of an individual being exposed to prolonged stress or frustration related to the job (Halbesleben & Buckley, 2004: 861; Bakker & Sanz-Vergel, 2020; Maslach & Goldberg, 1998: 64; Ergin, 1992: 143; as cited in Altay & Akgül, 2010: 88).

Physical symptoms of burnout can be expressed as fatigue and exhaustion, respiratory disorders, weight loss or obesity, dermatological diseases, chronic colds, stomach and intestinal diseases, high blood pressure and high cholesterol, muscle diseases, and so on (Uysal, 2007: 3; Ardiç & Polatçı, 2009: 30). Psychological symptoms of burnout can be expressed as a decrease in self-esteem and self-confidence, anxiety, depression, fear, anxiety, a sense of frustration, apathy, obvious sadness, an emotionless and indifferent look, irritability, low personal accomplishment, disappointment, increased conflict in the family, and so on (Uysal, 2007: 3). Behavioral symptoms of burnout can be expressed as the formation of a hyperemotional and fragile personality structure, attacks of nerves and crying spells, overreacting, displaying a cynical attitude towards oneself and one's environment, starting harmful substance use, unwillingness to go to work, increased conflicts in family, alienation from everything, and so on (Ardiç & Polatçı, 2009: 31).

According to some authors, even employees who have a high level of organizational commitment and dedication and care about their work as much as their social lives are at risk of burnout (Freudenberger, 1981). When these employees feel unsuccessful and worthless in their jobs, they start to think that their work is meaningless and that they have nothing to contribute to that. In this case, hopelessness and helplessness arise in employees. These feelings cause emotional, psychological, and physical exhaustion in employees (Polatçı, 2007: 110; as cited in Erkutlu, 2019: 110; Çankaya et al., 2012). Accordingly, the emotional, psychological, and physical exhaustion of employees causes them to lose their joy of living and working over time. This causes employees to experience a decrease in their efficiency, productivity, and performance and to exhibit an insensitive attitude toward other individuals with whom they are in a relationship (Maslach & Jackson, 1981; Erkutlu, 2019: 111).

### 3. ELEMENTS OF BURNOUT SYNDROME

Burnout syndrome has three different elements (dimensions): emotional exhaustion, depersonalization, and low personal accomplishment (Maslach & Zimbardo, 1982; Piko, 2006). In this context, Figure 1 shows the successive stages in Maslach's burnout model.



**Figure 1.** *Maslach's Burnout Model*

*Source: Maslach & Zimbardo, 1982.*

**A. Emotional Exhaustion:** Emotional exhaustion reflects the stress dimension of burnout, which represents the more personal aspect of burnout and fails to identify the critical aspects of the employee's relationship with work. Emotional exhaustion is associated with emotional and cognitive detachment from work as a result of coping with an excessive workload rather than a simple, experienced phenomenon (Maslach et al., 2001: 403). In professions where there is a lot of interaction with other individuals, employees feel physically and emotionally exhausted and fatigued. Individuals under emotionally intense work pressure strain themselves and are overwhelmed by the intense demands of other individuals. Emotional exhaustion also occurs as a reaction to this situation (Maslach & Jackson, 1981; as cited in Polatçı, 2007: 39).

**B. Depersonalization:** Employees who experience emotional exhaustion minimize their relationships with other individuals, and this situation causes them to become desensitized. In this case, employees become desensitized to other individuals or people they encounter due to their work and start to treat them as if they were objects (Maslach et al., 2001: 398; Maslach, 1976; West,

2009: 1318). Depersonalization is defined as the stage in which the individual becomes aware of burnout and the defense mechanisms developed to protect himself are clearly seen (Cordes et al., 1997: 689). Depersonalization is the name given to the way of exhibiting attitudes and behaviors without caring about the personal and human characteristics of other employees and the people they serve, assuming that they do not have feelings (Arpacı & Özek, 2019: 105). In other words, depersonalization refers to an employee's insensitive attitude towards the business, colleagues, and customers and distancing behavior towards others (Güney, 2020: 520).

This dimension includes the individual's disregarding other people's demands, acting indifferently and harshly towards them, and exhibiting inhumane behaviors towards them when necessary without discriminating against people (Baysal, 1995: 57).

**C. Low Personal Accomplishment:** This dimension is related to the employees' feeling of diminishing personal success and thinking that their achievements at the workplace will fall below their expectations. This dimension refers to the individual's tendency to evaluate himself negatively. In this context, the feeling of burnout in employees roots slowly and then suddenly emerges and evolves into a feeling that they experience as a chronic condition (Arpacı & Özek, 2019: 105). This dimension is related to the individual's tendency to evaluate himself or his job performance negatively (Güney, 2020: 520). Accordingly, individuals would have a negative self-evaluation (Maslach & Jackson, 1982). In this process, individuals realize the distinction between their positive attitudes and their current attitudes before burnout. They believe that they cannot contribute to the business and the people they serve due to these negative attitudes (Yılmaz, 2023: 6).

This dimension includes the demoralization of the individual, responding negatively to others, shaping individual achievements with depression, exhibiting low productivity, feeling inadequate in coping with pressures, having disagreements with others, feelings of failure, and decreased self-esteem (Baysal, 1995: 57).

#### 4. CAUSES OF BURNOUT

Burnout is one of the main concepts influencing working life in the current century. Poor interpersonal relationships, excessive workload, and stress lead to individual burnout (Scott et al., 1997: 300; Kahya, 2015: 525). Many factors play a role in the formation of burnout. These factors emerge from individual and organizational causes. In other words, there are two main causes of burnout. These are individual and organizational causes.

**(A) Individual Causes:** The existence of collective burnout perception in businesses also affects individual burnout perception (González-Morales

et al., 2012: 45). Individual factors are the characteristics that arise from the people in the business and cause burnout, apart from the characteristics of the working environment (Polatcı, 2007: 49). While some individuals working under the same conditions burn out more quickly, others burn out later or show no symptoms (Lee et al., 2003: 535; as cited in Polatcı, 2007: 50). In other words, since each individual has different personality traits, the burnout levels of these individuals also vary. It is due to individual characteristics (Uler, 2020: 37). Individuals have some characteristics that can cause burnout. These characteristics are having a type A personality structure, lacking a sense of self-efficacy, working time, lack of relationships that will provide social support and social security deficits, having an external locus of control, having a high level of expectation, one's lifestyle, lack of empathy, perfectionism, and demographic characteristics (Polatcı, 2007: 50; as cited in Günay, 2016: 59; Uler, 2020: 38). Individual burnout may result in negative outcomes for employees. Burnout at the individual level causes negativities such as decreased self-esteem, anxiety, sadness, worry, depression, various health problems, and so on (Akyıldız & Turunç, 2013: 286).

**(B) Organizational Causes:** In the years when the concept of burnout was first mentioned, it was emphasized that burnout was mostly “caused by individual characteristics.” Accordingly, the main cause of burnout is the individual. However, studies conducted in later years revealed that the only source of burnout is not individual-oriented problems but also organizational problems that affect burnout (Maslach & Leiter, 1997; Çam, 1992; as cited in Polatcı, 2007: 61).

Organizational causes of burnout, which affect the health, work, and social life of the individual, are a problem that concerns both the individual and the organization. The main factors that are effective in the formation of burnout caused by organizational functioning and organizational policies can be listed as stress due to working conditions and workplace environment, negative interaction between employee and manager, work overload, sense of belonging, justice, sense of control, disapproval of person in the workplace environment, role conflict and ambiguity, conflicts of interest, organizational miscommunication, having different values with the organization, excessive job expectations, strict rules, high pressure environment, and inequality in rewarding (Maslach & Leiter, 1997; Uler, 2020: 12; Günay, 2016: 65; Yılmaz, 2023: 12; Uler, 2020: 38; Günay, 2016: 65). In short, organizational factors such as the nature of the work performed, the organizational structure in which the individual works, core values, working conditions, employee relations, organizational justice, and so on have been effective in the formation of burnout (Yılmaz, 2023: 12–13).

## 5. AN EVALUATION OF BURNOUT SYNDROME ON THE AVIATION SECTOR

Today, employees lead a difficult life in their workplaces. Most employees, especially in the aviation sector, face different levels of challenges. Employees working in different positions in the aviation sector can often react differently to the difficulties they experience in their work. One of these reactions is burnout syndrome. In other words, work-related effects on employees in the aviation sector can lead to burnout syndrome. In this context, there are various reasons why aviation employees experience burnout syndrome. Some of them can be listed as follows (Martinussen & Hunter, 2018: 229):

**(A) Work Overload:** Flight operations in aviation involve many activities. Even if minor mistakes are made, this affects other activities related to the flight. As part of their job, aviation employees have to control and coordinate many additional tasks in order to avoid problems in flight operations. This situation brings an extra workload to the employees, and they may become desensitized over time (Martinussen & Hunter, 2018: 229; Örmən, 1993: 19). In addition, aviation sector employees are overwhelmed by excessive workload and have to work extra hours, especially during peak passenger flow (Martinussen & Hunter, 2018: 229).

**(B) Heavy Responsibility:** Even minor mistakes by aviation workers can cost human lives. Therefore, the consequences of even minor mistakes can be severe. Accordingly, employees have heavy responsibilities, and they should have the ability to be responsible and keep secrets for the business (Martinussen & Hunter, 2018: 229; Dolgun, 2010: 315).

**(C) Time Pressure:** The time factor is very important when performing flight operations in the aviation industry. In this context, the time factor plays an important role in planning and preparations before, after, or during the flight operation. Since delays in flight operations create extra costs for aviation businesses, employees are also pressured by timing (Öztürk, 2019: 42).

**(D) Working Hours:** Aviation sector employees generally work in a shift system. This situation may cause physical and mental problems. Since employees work in a shift system, they may have sleep problems. This situation may cause the deterioration of the body's mental and biological balance. The social lives of shift workers are restricted, and the time they spend with family and friends is reduced. In addition, they may have to work overtime on public holidays and vacations (Martinussen & Hunter, 2018: 229; as cited in Öztürk, 2019: 42).

Many studies about the aviation sector have found common results within the framework of the elements of burnout syndrome. These studies especially focus on flight and ground handling employees. Some employees feel that they

have been alienated from and frustrated with their work within the framework of emotional burnout. Employees may sometimes feel exhausted, helpless, and nervous. In this context, they think that waking up in the morning and thinking about work makes them feel tired and that dealing with problematic people is very exhausting. Employees often feel that they are working beyond their capacity. Also, they sometimes feel that the work restricts them. Moreover, employees feel that they are exposed to stress in their relationships with other individuals. In addition, employees feel that working hard creates a lot of stress. Also, some employees feel helpless. Finally, employees sometimes feel tired after returning from work and feel emotionally distanced from their work (Günay, 2016: 108–112; Yılmaz, 2022: 19–20; Yılmaz, 2023: 59; Kadioğlu, 2019: 48; Kaban, 2020: 44; Castro & Araujo, 2012: 2961).

As a result of their depersonalization, employees sometimes feel that they treat other individuals as if they were different beings or objects and that they have taken a hard line with other individuals. Employees feel that the work gradually hardens them, and they start not to care about other individuals. In this case, employees are distressed that their work hardens them emotionally. They also feel that they create the problems faced by other individuals or that sometimes other employees blame them for some problems (Günay, 2016: 113–115; Yılmaz, 2022: 20; Kaban, 2020: 44; Yılmaz, 2023: 61; Kadioğlu, 2019: 48).

In terms of personal feelings of failure, employees sometimes think that they cannot understand how others feel and that they sometimes find it difficult to find the most appropriate solutions to other individuals' problems. Employees rarely feel that they are not contributing to people's lives through their work. Employees sometimes feel that they do not feel invigorated or energetic when they engage in dialog with other individuals. Employees sometimes do not feel up to do much. Employees argue that there is a lack of comfort in their relationships with other employees at the workplace and in their working lives. Finally, some employees feel that they do not achieve much significant success at work. Some employees think that they cannot approach emotional problems at work dispassionately (Günay, 2016: 115–120; Kaban, 2020: 44; Yılmaz, 2022: 20; Yılmaz, 2023: 63; Kadioğlu, 2019: 48).

## 6. CONCLUSION AND DISCUSSION

While employees in the aviation sector strive to adapt to rapidly changing and evolving conditions, the effect of the burnout they are exposed to is felt to the fullest. However, the degree of this effect varies from employee to employee. Burnout is a syndrome experienced in working relationships as a result of low morale, job dissatisfaction, and stress. In other words, burnout is defined as the interaction between the employee's desires and goals and the degradation of working conditions (Suran & Sheridan, 1985: 742; cited in Erkutlu,



2019: 109). Burnout is more common in professions that require face-to-face relationships with individuals (Maslach & Jackson, 1981). It has been found by various studies that the risk of burnout is higher in such employees, especially in individuals working in the service sector, since the responsibility towards people is greater than the responsibility toward objects (Truch, 1980; Ensari & Tuzcuoğlu, 1999; as cited in Ardiç & Polatçı, 2009: 22; Ardiç & Polatçı, 2009: 22; Roelen et al., 2015: 468; Wu et al., 2023: 395). Accordingly, burnout syndrome is a phenomenon that must be controlled in labor-intensive businesses. Aviation employees generally have a busy work schedule and irregular working hours. This may make it difficult for employees to balance their work and personal lives and may cause occupational burnout (Öztrak, 2023: 40). In other words, burnout is more common in work environments where human relations are intense (Roelen et al., 2015: 468). The aviation sector is one of the most important representatives of the labor-intensive service sector. In other words, burnout is more common in work environments where human relations are intense (Roelen et al., 2015: 468). The aviation sector is one of the most important representatives of the labor-intensive service sector. The sector includes time pressure, adherence to rules and procedures, a high level of responsibility, high stress, work intensity, and a shift system (Akça & Yücel, 2021: 559). These working conditions negatively affect the efficiency, productivity, motivation, and performance of aviation employees. Efficient customer relationship management in case of possible flight disruptions at the airport, managing the crisis that arises in emergency situations during the flight, providing a safe navigation service in the tower, and providing a perfect aircraft maintenance service in the hangar are very challenging processes for aviation employees. Accordingly, aviation employees face burnout (Yılmaz, 2022: 13). In this case, the effect of burnout syndrome on the attitudes of aviation employees is important in the aviation sector, where continuity of service is the most fundamental principle.

Within the scope of this study, it was determined that employees in the aviation sector experience burnout syndrome within the framework of three different main dimensions: emotional exhaustion, depersonalization, and low personal accomplishment (Maslach et al., 2001: 398). In addition, employees face difficulties such as work overload, time pressure, and working hours (Martinussen & Hunter, 2018: 229). These factors negatively affect employees and may lead to burnout syndrome. Accordingly, it can be said that burnout syndrome is an important factor that affects the efficiency, effectiveness, success, and performance of employees and thus businesses by causing individual and organizational problems. If there is burnout among the employees of a business, it is not possible for it to continue its life course healthily. Therefore, it is essential for businesses to prevent this situation by taking the necessary measures before employees experience burnout syndrome.

The probability of experiencing burnout syndrome is high for each individual working in the aviation sector. However, even if individuals are in the same environment and conditions, their burnout levels may differ due to their personal differences. In this context, the aim of this study is to examine the burnout syndrome of employees in the aviation sector. Burnout syndrome in the aviation sector gains importance due to the fact that it is an understudied subject in the literature. In addition, understanding the reflections of burnout on aviation employees is another important aspect of the study. In future studies, the burnout of employees of different service businesses can be investigated. Differences in burnout among employees of different aviation organizations can also be determined. In addition, they can determine healthier results by measuring the burnout status of employees both qualitatively and quantitatively.

## REFERENCES

- Akça, Y. & Yücel, S. (2021). İş stresi ve tükenmişlik algılarının örgütsel bağlılığa etkisi: Havacılık sektörü çalışanları örneği. *Uluslararası Güncel Eğitim Araştırmaları Dergisi*, 7(2), 557-566. <https://dergipark.org.tr/en/download/article-file/1914765>
- Akyıldız, H. & Turunç, Ö. (2013). *Çalışma psikolojisi* (1. Baskı). Ankara: Alter Yayıncılık.
- Altay, H., & Akgül, V. (2010). Seyahat acentaları çalışanlarının tükenmişlik düzeyi: hatay örneği/burnout level of travel agencies' employees: Hatay sample. *Mustafa Kemal Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, 7(14), 87-112. <https://dergipark.org.tr/en/download/article-file/183284>
- Angerer, J. M. (2003). Job burnout. *Journal of Employment Counseling*, 40(3), 98-107. [https://onlinelibrary.wiley.com/doi/pdf/10.1002/j.2161-1920.2003.tb00860.x?casa\\_token](https://onlinelibrary.wiley.com/doi/pdf/10.1002/j.2161-1920.2003.tb00860.x?casa_token)
- Ardıç K., & Polatçı S. (2008), Tükenmişlik sendromu akademisyenler üzerinde bir uygulama (GOÜ Örneği), *Gazi Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi* 10(2), 69-96. <https://dergipark.org.tr/en/download/article-file/1721426>
- Ardıç, K., & Polatçı, S. (2009). Tükenmişlik sendromu ve madalyonun öbür yüzü: işle bütünleşme. *Erciyes Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi*, (32), 21-46. <https://dergipark.org.tr/en/download/article-file/66520>
- Arpacı, S. & Özek, Y. (2019). Finans sektöründe ekonomik kaygı ve tükenmişlik düzeylerinin örgütsel bağlılığa etkisi. *Kastamonu Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi*, 21(2), 99-125. <https://dergipark.org.tr/en/download/article-file/910003>
- Bakker, A. B., & Sanz-Vergel, A. I. (2020). Burnout. *The Wiley Encyclopedia of personality and individual differences: Clinical, applied, and cross-cultural research*, 411-415. <https://admin.cmf.org.uk/e8680ad1/f93115217740a1a1af2b-5c611a377115a013ecf7.pdf#page=6>
- Baranik, L. E., & Eby, L. (2016). Organizational citizenship behaviors and employee depressed mood, burnout, and satisfaction with health and life: The mediating role of positive affect. *Personnel Review*, 45(4), 626-642.
- Baysal, A. (1995). *Lise ve dengi okul öğretmenlerinde meslekte tükenmişliğe etki eden faktörler* (Doktora Tezi, Dokuz Eylül Üniversitesi Sosyal Bilimler Enstitüsü). <file:///C:/Users/pc/Downloads/041372.pdf>
- Castro, M., & Araujo, L. (2012). Burnout syndrome and Brazilian civil aviation: A short essay on the focus on prevention. *Work*, 41(Supplement 1), 2959-2962. <https://doi.org/10.3233/WOR-2012-0548-2959>
- Chaudhary, S., Dhir, A., Ferraris, A., & Bertoldi, B. (2021). Trust and reputation in family businesses: A systematic literature review of past achievements and future promises. *Journal of Business Research*, 137, 143-161. <https://doi.org/10.1016/j.jbusres.2021.07.052>

- Cherniss, C. (1980). *Professional burnout in human service organizations*. New York: Praeger.
- Cohen, C., Pignata, S., Bezak, E., Tie, M., & Childs, J. (2023). Workplace interventions to improve well-being and reduce burnout for nurses, physicians and allied healthcare professionals: A systematic review. *BMJ Open*, 13(6), 1-23. <http://dx.doi.org/10.1136/bmjopen-2022-071203>
- Cordes, C. L., Dougherty, T. W., & Blum, M. (1997). Patterns of burnout among managers and professionals: A comparison of models. *Journal of Organizational Behavior: The International Journal of Industrial, Occupational and Organizational Psychology and Behavior*, 18(6), 685-701. <https://onlinelibrary.wiley.com/doi/pdf/10.1002/%28SICI%291099-1379%28199711%2918%3A6>
- Çam, O. (1992). *Tükenmişlik Envanterinin Geçerlik ve Güvenilirliğinin Araştırılması*. 7. Ulusal Psikoloji Kongresi Bilimsel Çalışmaları, Hacettepe Üniversitesi, Editörler: R. Bayraktar ve İ. Dağ, Ankara, 155-160.
- Çankaya, İ., Başar, M., Koçoğlu, E., Demirkol, A., (2012). Meslek öncesi dönemde tükenmişliğe ilişkin öğretmen adaylarının görüşleri. *Electronic Turkish Studies*, 7(3), 751-758. <http://dx.doi.org/10.7827/TurkishStudies.3488>.
- Derin, N., & Demirel, E. T. (2012). Tükenmişlik sendromunun örgütsel bağlılığı zayıflatıcı etkilerinin malatya merkezde görev yapan hemşireler üzerinde incelenmesi. *Suleyman Demirel University Journal of Faculty of Economics & Administrative Sciences*, 17(2), 509-530.
- Dolgun, U. (2010). Tükenmişlik sendromu. *Örgütsel Davranışta Güncel Konular*, 287, 310-335.
- Ensari, H., & Tuzcuoğlu, S. (1999). Marmara üniversitesine bağlı fakültelerde görev yapan yönetici ve öğretim elemanlarının meslekten yılgınlıklarında kişilik özelliklerinin rolü. *Öneri Dergisi*, 2(11), 51-63. <https://dergipark.org.tr/en/download/article-file/959239>
- Eren, V., & Durna, U. (2006). Üç boyutlu bir yaklaşım olarak örgütsel tükenme. *Karamanoğlu Mehmetbey Üniversitesi Sosyal ve Ekonomik Araştırmalar Dergisi*, 10(9), 40-51. <https://dergipark.org.tr/en/download/article-file/107527>
- Ergin, C. (1992). *Doktor ve hemşirelerde tükenmişlik ve Maslach tükenmişlik ölçeğinin uyarlanması*. 7. Ulusal Psikoloji Kongresi, 22th September (143-154). Ankara: Psikologlar Derneği Yayınları. <https://cir.nii.ac.jp/crid/1570291225076829312>
- Erkutlu, H. V. (2019). *Örgütsel psikolojiye giriş* (1. Basım). Ankara: Akademisyen Kitabevi.
- Etzion, D., Kafry, D., & Pines, A. (1982). Tedium among managers: A cross-cultural, American-Israeli comparison. *Journal of Psychology & Judaism*. <https://psycnet.apa.org/record/1983-22243-001>
- Freudenberger, H. J. (1975). The staff burn-out syndrome in alternative institutions. *Psychotherapy: Theory, Research & Practice*, 12(1), 73. <https://doi.org/10.1037/h0086411>

- Freudenberger, H. J. (1981). *Burnout: How to beat the high cost of success*. New York: Bantham.
- González-Morales, M. G., Peiró, J. M., Rodríguez, I., & Bliese, P. D. (2012). Perceived collective burnout: A multilevel explanation of burnout. *Anxiety, Stress & Coping*, 25(1), 43-61. <https://doi.org/10.1080/10615806.2010.542808>
- Güney, S. (2020). *Yönetim ve organizasyon el kitabı* (3. Basım). Ankara. Nobel Yayınları.
- Günay, A. (2016). *Kabin ekiplerinde iş doyumu ve tükenmişlik sendromu* (Yüksek Lisans Tezi, Anadolu Üniversitesi Sosyal Bilimler Enstitüsü). file:///C:/Users/RAB%C4%B0A/Downloads/432465.pdf
- Halbesleben, J. R., & Buckley, M. R. (2004). Burnout in organizational life. *Journal of Management*, 30(6), 859-879. <http://dx.doi.org/10.1016/j.jm.2004.06.004>
- Kaban, P. (2020). *İş doyumu ile tükenmişlik arasındaki ilişkiyi belirlemeye yönelik havali-mam işletmesinde bir araştırma* (Yüksek Lisans Tezi, Kocaeli Üniversitesi, Sosyal Bilimler Enstitüsü). file:///C:/Users/RAB%C4%B0A/Downloads/620336.pdf
- Kadıoğlu, R. (2019). *Havacılık organizasyonlarında çalışan lojistik profesyonellerinde iş doyumu ve tükenmişlik: Kokpit ve kabin profesyonelleri üzerine bir uygulama* (Yüksek Lisans Tezi, Akdeniz Üniversitesi Sosyal Bilimler Enstitüsü). <http://acikerisim.akdeniz.edu.tr/bitstream/handle/123456789/4616/578644.pdf?sequence=1&isAllowed=y>
- Kahya, C. (2015). Örgütsel sessizlik ve tükenmişlik sendromu ilişkisi. *Electronic Turkish Studies*, 10(10), 523-546. <http://dx.doi.org/10.7827/TurkishStudies.8335>
- Lee, H., Song, R., Cho, Y. S., Lee, G. Z., & Daly, B. (2003). A comprehensive model for predicting burnout in Korean nurses. *Journal of Advanced Nursing*, 44(5), 534-545. [https://onlinelibrary.wiley.com/doi/pdf/10.1046/j.0309-2402.2003.02837.x?casa\\_token](https://onlinelibrary.wiley.com/doi/pdf/10.1046/j.0309-2402.2003.02837.x?casa_token)
- Leiter, M. P., Maslach, C., & Frame, K. (2014). Eds. *Burnout*. R. L. Cautin S.O. Lilienfeld The Encyclopedia of Clinical Psychology, 1-7.
- Maslach, C., & Goldberg, J. (1998). Prevention of burnout: New perspectives. *Applied and Preventive Psychology*, 7(1), 63-74. [https://doi.org/10.1016/S0962-1849\(98\)80022-X](https://doi.org/10.1016/S0962-1849(98)80022-X)
- Malasch, C., & Leiter, M. P. (1997). *The truth about burnout: How organization cause personal stress and what to do about it*. San Francisco: Jossey-Bass Publishers.
- Martinussen, M., & Hunter, D. R. (2018). *Aviation psychology and human factors* (Second Edition). New York: CRC Press.
- Maslach, C. (1976). Burned-out. *Human Behavior*, 5 (Sep), 16-22.
- Maslach, C., & Jackson, S. E. (1981). The measurement of experienced burnout. *Journal of Organizational Behavior*, 2(2), 99-113. [https://onlinelibrary.wiley.com/doi/pdf/10.1002/job.4030020205?utm\\_campaign](https://onlinelibrary.wiley.com/doi/pdf/10.1002/job.4030020205?utm_campaign)

- Maslach, C., & Jackson, S. E. (1982). *Burnout in the health professions: A social psychological analysis*. In G. Sanders and J. Suls (Eds.), *Social psychology of health and illness* (227- 251). New Jersey: Erlbaum Associates.
- Maslach, C., & Leiter, M. P. (1997). *The truth about burnout*. San Francisco: Jossey Bass Publishers.
- Maslach, C., Schaufeli, W. B., & Leiter, M. P. (2001). Job Burnout. *Annual Review of Psychology*, 52(1), 397-422. <https://doi.org/10.1146/annurev.psych.52.1.397>
- Maslach, C., & Zimbardo, P. G. (1982). *Burnout: the cost of caring*. New York: Prentice-Hall.
- Moss, M., Good, V. S., Gozal, D., Kleinpell, R., & Sessler, C. N. (2016). A critical care societies collaborative statement: Burnout syndrome in critical care health-care professionals. A call for action. *American Journal of Respiratory and Critical Care Medicine*, 194(1), 106-113. <https://www.atsjournals.org/doi/pdf/10.1164/rccm.201604-0708ST>
- Örmen, U. (1993), *Tükenmişlik duygusu ve yöneticiler üzerinde bir uygulama* (Yayınlanmamış Yüksek Lisans Tezi, Marmara Üniversitesi, Sosyal Bilimler Enstitüsü).
- Öztırak, M. (2023). Sivil havacılıkta kabin memurlarının iş yaşam dengelerinin mesleki tükenmişlikleri üzerindeki etkisine yönelik bir araştırma. *Karadeniz Ekonomi Araştırmaları Dergisi*, 4(1), 25-43. <https://dergipark.org.tr/en/download/article-file/3222720>
- Öztürk, E. (2019). *Havacılık sektöründe tükenmişlik sendromu nedenleri ve etkileri* (Yüksek Lisans Tezi, Kocaeli Üniversitesi, Sosyal Bilimler Enstitüsü).
- Piko, B. F. (2006). Burnout, role conflict, job satisfaction, and psychosocial health among Hungarian medical staff: A survey study. *International Journal of Nursing Studies*, 43(3), 311-318. <https://doi.org/10.1016/j.ijnurstu.2005.05.003>
- Polatçı, S. (2007). *Tükenmişlik sendromu ve tükenmişlik sendromuna etki eden faktörler* (Gaziosmanpaşa Üniversitesi akademik personeli üzerinde bir analiz) (Yüksek Lisans Tezi, Gaziosmanpaşa Üniversitesi Sosyal Bilimler Enstitüsü). <file:///C:/Users/RAB%C4%B0A/Downloads/209647.pdf>
- Roelen, C. A., Van Hoffen, M. F., Groothoff, J. W., De Bruin, J., Schaufeli, W. B., & van Rhenen, W. (2015). Can the Maslach burnout inventory and utrecht work engagement scale be used to screen for risk of long-term sickness absence?. *International Archives of Occupational and Environmental Health*, 88, 467-475. <https://doi.org/10.1007/s00420-014-0981-2>
- Schonfeld, I. S., Bianchi, R., & Palazzi, S. (2018). What is the difference between depression and burnout? An ongoing debate. *Riv Psichiatr*, 53(4), 218-219. [https://academicworks.cuny.edu/cgi/viewcontent.cgi?article=1565&context=gc\\_pubs](https://academicworks.cuny.edu/cgi/viewcontent.cgi?article=1565&context=gc_pubs)
- Scott, K. S., Moore, K. S., & Miceli, M. P. (1997). An exploration of the meaning and consequences of workaholism. *Human Relations*, 50(3), 287-314. <https://link.springer.com/article/10.1023/A:1016986307298>
- Serinkan, C., & Barutçu, E. (2020). Güncel yönetim sorunlarından biri olarak tüken-

- mişlik sendromu: Denizli’de yapılan bir araştırma. *Yeni Fikir Dergisi*, 12(24), 1-21. <https://dergipark.org.tr/en/download/article-file/1721426>
- Shirom, A. (1989). *Burnout in work organizations*. C. L. Cooper & I. T. Robertson (Eds.), In international review of industrial and organizational psychology (pp. 25–48). John New York: Wiley & Sons. <https://psycnet.apa.org/record/1989-97707-002>
- Söderfeldt, M., Söderfeldt, B., & Warg, L. E. (1995). Burnout in social work. *Social Work*, 40(5), 638-646. <https://www.jstor.org/stable/pdf/23718210.pdf?>
- Suran, B. G., & Sheridan, E. P. (1985). Management of burnout: Training psychologists in professional life span perspectives. *Professional Psychology: Research and Practice*, 16(6), 741. <https://doi.org/10.1037/0735-7028.16.6.741>
- Truch, S. (1980). *Teacher Burnout and What to do About it*. <https://eric.ed.gov/?id=ED194464>
- Uler, E. (2020). Tükenmişlik ve örgütsel tükenmişlik üzerine literatür taraması. *Balkan & Near Eastern Journal of Social Sciences (BNEJSS)*, 6, 36-43. [http://ibaness.org/bnejss/2020\\_06\\_special\\_issue/06\\_Uler.pdf](http://ibaness.org/bnejss/2020_06_special_issue/06_Uler.pdf)
- Uysal, M. B. (2007). *Müşteri ilişkileri departmanında çalışanların tükenmişlik düzeyleri bir banka çalışanları üzerinde bir araştırma* (Yüksek Lisans Tezi, Sakarya Üniversitesi Sosyal Bilimler Enstitüsü). <file:///C:/Users/pc/Downloads/210413.pdf>
- Vandenbergh, R., & Huberman, A. M. (1999). *Understanding and preventing teacher burnout: A sourcebook of international research and practice*. New York: Cambridge University Press.
- West, C. P., Dyrbye, L. N., Sloan, J. A., & Shanafelt, T. D. (2009). Single item measures of emotional exhaustion and depersonalization are useful for assessing burnout in medical professionals. *Journal of General Internal Medicine*, 24, 1318-1321. <https://doi.org/10.1007/s11606-009-1129-z>
- Wu, T. J., Yuan, K. S., Yen, D. C., & Yeh, C. F. (2023). The effects of JDC model on burnout and work engagement: A multiple interaction analysis. *European Management Journal*, 41(3), 395-403. <https://doi.org/10.1016/j.emj.2022.02.001>
- Yılmaz, B. (2023). *Havacılık çalışanlarının mesleki tükenmişliklerinin aleksitimi düzeylerine etkisi* (Yüksek Lisans Tezi, İstanbul Gelişim Üniversitesi Lisansüstü Eğitim Enstitüsü). <http://acikerisim.gelisim.edu.tr/xmlui/bitstream/handle/11363/4759/792911.pdf?sequence=1>
- Yılmaz, M. K. (2022). Yer hizmetlerinde mesleki tükenmişlik sorunsalı: Havalimanı yolcu hizmetleri çalışanları üzerine bir araştırma. *International Journal of Social and Humanities Sciences*, 6(3), 11-36. <https://dergipark.org.tr/en/download/article-file/2865664>





# *Chapter 15*

## **INTEGRATING ENVIRONMENTAL AND FINANCIAL RISK ACCOUNTING: AN ANALYSIS OF VALUE-AT-RISK AND CDP SCORES**

*Aysun ATAGAN ÇETİN<sup>1</sup>*

---

<sup>1</sup> Dr. Öğr. Üyesi, Trakya Üniversitesi, Yönetim Bilişim Sistemleri Bölümü, aatagancetin@trakya.edu.tr, ORCID: 0000-0001-7588-1322

## Abstract

This study investigates the interplay between corporate sustainability and financial risk by examining the relationship between CDP (formerly the Carbon Disclosure Project) scores and Value-at-Risk (VaR) values. Focused on firms listed on the Borsa İstanbul, the study employs advanced quantitative methods to elucidate whether sustainability ratings influence financial risk. Utilizing ANOVA and post hoc tests, the research identifies significant variations in VaR values across companies with different CDP scores. The study further adds a temporal dimension by examining the impact of years 2020, 2021, and 2022 on VaR values. Findings suggest that higher sustainability scores are associated with different levels of financial risk, although the directionality remains an open question. As the first investigation of its kind, this study offers valuable insights into the integration of sustainability metrics and financial risk assessment, contributing to both the academic literature and practical decision-making in economics and finance.

## 1. Introduction

In an era marked by increasing environmental concerns and financial volatility, the integration of sustainability metrics and financial risk assessment has become a focal point for both academic research and corporate decision-making. While individual studies have explored the realms of corporate sustainability and financial risk separately, there exists a lacuna in the literature concerning the interrelationship between these two critical dimensions. This study aims to bridge this gap by investigating the relationship between Carbon Disclosure Project (CDP) scores and Value-at-Risk (VaR) values among firms listed on the Borsa İstanbul.

The urgency to understand the nexus between environmental sustainability and financial risk is underscored by the growing impact of climate change on economic stability (Stern, 2006). Companies are increasingly held accountable for their environmental footprint, and investors are keen to understand how sustainability practices influence financial risk (Busch & Hoffmann, 2011). The CDP scores serve as a robust measure of a firm's environmental performance (CDP, 2021), while VaR offers a statistical framework for assessing financial risk (Jorion, 2007). Yet, the relationship between these two metrics remains largely unexplored, necessitating empirical investigation.

The intersection between corporate sustainability and financial risk remains a topic of burgeoning interest in both academic and practical circles. As the global community grapples with mounting environmental challenges, corporations face increasing pressure to adopt sustainable practices. However, the financial implications of these practices, particularly in terms of VaR, have yet to be rigorously examined. This study aims to fill this research gap

by exploring the relationship between corporate sustainability scores—specifically, the CDP scores—and VaR values of companies listed on the Borsa Istanbul.

Using advanced quantitative methods, the study aims to answer critical questions regarding the financial consequences of corporate sustainability efforts. In particular, this research contributes to the existing literature by using a mathematical and statistical approach to analyze complex economic phenomena.

The paper is structured as follows: following this introduction, a detailed literature review will provide the theoretical framework for the study. Subsequent sections will elaborate on the research methodology, data collection and analysis techniques, and the variables considered. The findings, discussion, and conclusion sections will then summarize the key takeaways from this pioneering study, offering both academic insights and avenues for future research.

By investigating this untapped field, this study not only aims to contribute to the academic dialogue but also to offer valuable insights for policymakers, investors, and corporations. It sets the stage for a deeper understanding of how sustainability efforts intersect with financial risk, thereby providing a comprehensive view of the modern corporate landscape.

## **2. Literature Review**

The value-at-risk concept is becoming a global standard for the measurement and control of market risk of banks active in trading (Albrecht, Bährle and König, 1996). Value-at-Risk (VaR) is a statistical measure that quantifies the level of financial risk within a firm, portfolio, or financial instrument over a specific time frame. Originating from the field of finance, VaR has been increasingly integrated into accounting practices to provide a more comprehensive understanding of both financial and non-financial risks (Jorion, 2007). The concept is particularly relevant in the context of environmental accounting, where it can be adapted to quantify environmental risks, such as carbon emissions or resource depletion, in financial terms (Bebbington and Larrinaga, 2014).

The papers provide different perspectives on the definition and application of Value-at-Risk (VaR). Ramsey and Goodwin (2019) define VaR as a measure of the risk of an insurance portfolio, expressed in terms of probable maximum loss or as a return period. Ratih, Ulama and Prastuti (2018) uses VaR to estimate the worst losses in a given time period and level of confidence for banking subsector stock returns. Mentel (2013) compares different VaR calculation methods, including parametric and non-parametric estimation, to assess their effectiveness in reducing risk and defining its scale. Handika (2011) uses VaR

as a risk measure for LQ-45 index in Indonesian Stock Exchange, finding that individual LQ-45 stock is riskier than indices based on VaR measure. Overall, the papers suggest that VaR is a useful tool for measuring and quantifying risk in various contexts, but its application and accuracy depend on the specific portfolio and calculation method used.

The application of VaR in accounting is not merely a technical exercise but also a conceptual shift. Traditional accounting methods often fail to capture the complexity and interdependencies of modern financial systems and environmental concerns (Gray, 2010). VaR addresses this gap by offering a probabilistic approach to risk assessment, which allows for the incorporation of various types of data and assumptions, thereby providing a more holistic view of an organization's risk profile (Dowd, 2007).

In the realm of environmental sustainability and accounting, VaR can be particularly useful for assessing the financial implications of environmental risks. For instance, a firm can use VaR to estimate the potential financial losses from environmental liabilities, such as regulatory fines or the cost of carbon credits. This enables the firm to make more informed decisions about its environmental strategies, such as investing in cleaner technologies or adopting more sustainable practices (Deegan and Unerman, 2004).

Moreover, VaR can be instrumental in the meta-analysis of CDP (formerly known as the Carbon Disclosure Project) scores, which are widely used to evaluate companies' environmental performance. By integrating VaR metrics with CDP scores, firms can offer a more transparent and robust account of their environmental and financial risk profiles, thereby enhancing their credibility and attractiveness to investors (Busch and Hoffmann, 2011).

The integration of Value-at-Risk into accounting practices represents a significant advancement in the field, offering a more nuanced and comprehensive approach to risk assessment. Its application extends beyond traditional financial metrics to include environmental and social dimensions, making it a valuable tool for organizations committed to sustainability and responsible business practices (Milne and Gray, 2013).

The Carbon Disclosure Project (CDP) is a non-profit organization that provides a platform for companies and cities to disclose their environmental impact, including greenhouse gas emissions, water usage, and deforestation. The CDP score serves as a comprehensive metric that evaluates the environmental performance of organizations, thereby offering a standardized measure for assessing environmental risks and opportunities (CDP, 2023).

In the context of environmental accounting, the CDP score is increasingly recognized as a pivotal tool for capturing non-financial data related to environmental performance. It allows firms to quantify their environmental

impact in a manner that can be integrated into traditional accounting frameworks (Küçükbay and Fazlılar, 2016). This integration is particularly crucial as traditional accounting often falls short in capturing the full scope of environmental risks and liabilities, thus necessitating the inclusion of specialized metrics like the CDP score (Deegan and Unerman, 2004).

The CDP score also holds significant implications for financial risk management. A higher CDP score often correlates with better financial performance, suggesting that environmental stewardship is not merely a cost center but can contribute to a firm's financial well-being (de Faria, Andrade and da Silva Gomes, 2018). Moreover, the score can serve as a risk mitigation tool by providing investors and stakeholders with transparent information about a company's environmental performance, thereby influencing investment decisions and market valuation (Kumar and Firoz, 2022).

Furthermore, the CDP score can be instrumental in sectors that are particularly susceptible to environmental risks, such as the production and service sectors. By integrating CDP scores into their accounting and risk management frameworks, companies in these sectors can offer a more nuanced understanding of their environmental and financial risk profiles, thereby enhancing their market competitiveness and resilience to environmental shocks (Dincer, Keskin and Dincer, 2023).

In summary, the CDP score serves as a robust tool for environmental accounting and financial risk management. Its integration into accounting practices offers a more comprehensive understanding of a firm's environmental and financial risks, thereby providing valuable insights for stakeholders and contributing to the firm's long-term sustainability.

The CDP scoring system is a comprehensive framework that evaluates the environmental performance of organizations across various dimensions. However, it appears that there are limited academic sources specifically discussing the meaning of each CDP score category. Therefore, the following explanation is based on widely accepted industry practices and CDP's own methodology.

#### A / A-: Leadership

Organizations that receive an "A" or "A-" score are considered leaders in environmental transparency and action. These companies have comprehensive policies, strategies, and practices in place to mitigate environmental impact and are actively engaged in setting and achieving ambitious goals. They also demonstrate a high level of transparency in their reporting (CDP, 2023).

#### B / B-: Management

Companies with a 'B' or 'B-' score are in the management tier. They have

taken steps to assess and manage their environmental impact but may not yet have comprehensive strategies or targets in place. These companies are moving beyond transparency towards action but have room for improvement (CDP, 2023).

#### C: Awareness

A 'C' score indicates that the organization is aware of its environmental impact and has taken initial steps to manage it. However, these efforts are often not comprehensive, and the company may lack specific targets or a long-term strategy (CDP, 2023).

#### D: Disclosure

Organizations with a 'D' score are in the disclosure tier. They have begun the process of environmental disclosure but have not yet taken substantial actions to manage their environmental impact. This score suggests that the company is in the early stages of its sustainability journey (CDP, 2023).

#### F: Failure to Disclose

An 'F' score is given to companies that fail to provide sufficient information to CDP or do not disclose at all. This score represents a lack of transparency and suggests that the company is not actively managing its environmental risks (CDP, 2023).

The CDP scoring system serves as a robust tool for assessing the environmental performance of organizations, thereby providing valuable insights for stakeholders and contributing to the firm's long-term sustainability (CDP, 2023).

### 3. Research Objective and Methodology

This research aims to offer empirical insights into the nexus between corporate environmental sustainability practices, as evidenced by CDP scores, and the financial risk profile of firms, particularly with reference to Value at Risk (VaR). Within the complex landscape of corporate accounting and environmental sustainability, understanding these dynamics is vital for academics, policymakers, and practitioners alike.

Firstly, the section will elaborate on the research design, providing the theoretical and conceptual framework that serves as the foundation for this study. This will set the stage for a nuanced understanding of why the study chooses to focus on CDP scores as indicators of corporate sustainability practices and how VaR measures are utilized as financial risk metrics. Subsequent to the research design, the section will detail the sample selection criteria, offering an overview of the data sources, data collection methods, and any screening mechanisms used to ensure data quality.

Following this, the study will delve into the operationalization of variables,

elucidating the definitions, measurements, and scales used for both dependent and independent variables. Here, special attention will be given to explaining how CDP scores, ranging from 'F' to 'A,' are treated as categorical variables in the analysis. The data analysis subsection will discuss the statistical tools and techniques employed for data interpretation, including descriptive statistics, ANOVA, and post-hoc analyses. This subsection will justify the choice of these methods and describe any software or statistical packages used.

### **3.1. Research Objectives and Hypotheses**

The objectives of the research are given below.

#### **1. To Quantitatively Characterize the Distribution of CDP Scores Among Firms**

Using statistical methods to provide a detailed understanding of how CDP scores, an indicator of corporate sustainability, are distributed across firms in the sample.

#### **2. To Apply Quantitative Methods to Assess Differences in VaR Values Across Different CDP Scores**

Employing statistical tests like ANOVA and Post Hoc tests to identify whether firms with different CDP scores exhibit variations in VaR, an established measure of financial risk.

#### **3. To Investigate Temporal Changes in VaR Values Using Time-Series Analysis**

Utilizing quantitative time-series models to examine how VaR values have changed over multiple years, considering annual data.

#### **4. To Validate or Refute Hypotheses Using Robust Statistical Tests**

Employing quantitative techniques to rigorously test the hypotheses and to ensure the results are statistically significant, providing a foundation for future academic research in economics and finance.

### **3.2. Research Hypotheses**

The hypotheses of the research have been prepared as given below in the light of the necessary literature review and the theoretical knowledge obtained.

- H1: There is a difference in VaR values between firms with different CDP scores.

This hypothesis aims to identify whether or not firms with different CDP scores also exhibit different VaR values. The focus here is on difference rather than the nature or direction of such a difference.

- H2: VaR values differ across years.

This hypothesis investigates the temporal aspect of financial risk by looking at how VaR values change across different years.

### 3.3. Research Design

The methodology employed in this study is quantitative, adopting a cross-sectional analytical approach. The aim is to scrutinize the relationship between firms' CDP scores and their Value at Risk (VaR) measures to assess the implications for financial risk. By leveraging statistical methods, particularly Analysis of Variance (ANOVA) and Post Hoc tests, this research delineates variations in VaR values across distinct categories of firms, segmented by their CDP scores.

Statistical computations are executed utilizing Jamovi, an open-source statistical software package. The primary tests employed are ANOVA and Post Hoc analyses to investigate the comparative differences in VaR values across firms with disparate CDP scores.

For the purpose of calculating VaR values, the average monthly share prices for the years 2020, 2021, and 2022 are first obtained. Subsequently, VaR values are computed, and the methodology for this calculation will be expounded upon in the subsequent sections.

Two primary categories of variables are utilized in this study:

#### **Dependent Variable**

**Value at Risk (VaR):** This measure serves as the dependent variable. VaR is employed as a standard metric in finance to gauge the level of financial risk associated with a particular investment over a specified period. In the context of this study, VaR aims to elucidate the potential financial risks faced by firms, segmented by their respective CDP scores and sectors (production or service).

VaR values are collected from Investing.com, with the sample comprising 10 production and 10 service companies randomly selected from Borsa Istanbul. Each selected firm's VaR values are calculated based on the average monthly share value for the years 2020, 2021, and 2022.

#### **Independent Variables**

**CDP Score:** CDP score is one of the independent variables and is categorized as a non-numeric variable in this research. It ranges from 'F' to 'A,' each representing different levels of commitment and performance in terms of environmental sustainability.

CDP scores are sourced from the Carbon Disclosure Project's official website (cdp.net). Inclusion criteria for the firms analyzed are threefold: the companies must be listed on the Borsa Istanbul, they must have published CDP scores for the years 2020, 2021, and 2022, and they must belong to either



the production or service sector. Consequently, this rigorous selection process ensures a focused and meaningful sample.

**Year:** The year in which the data has been collected is another independent variable. Data is collected for the years 2020, 2021, and 2022.

**Sector (Production or Service):** Although this variable is not a focal point of the research hypotheses, it is included for exploratory purposes to check if sectoral differences influence the VaR values of firms. Firms are categorized into one of two sectors: Production or Service. This information is collected from publicly available databases and corroborated through official company websites or financial reports.

Certainly, Value at Risk (VaR) is a commonly used risk management tool in finance. It quantifies the potential loss in value of a portfolio over a specified period for a given confidence interval. The VaR formula can vary based on the methodology used, but one simple and frequently used method is the Historical Simulation. For this study, let's assume we used Historical Simulation.

### 3.4. Research Preparation

The data required for the use of sophisticated quantitative methods such as ANOVA and post-hoc tests are organized. First, the mathematical models and formulas used to calculate and normalize the Value at Risk (VaR) for the selected firms are explained in detail. Then the data was coded. VaR calculation and normalization is given below.

#### Step 1: Data Collection

The monthly stock prices for the years 2020, 2021, and 2022 were collected for 10 service and 10 production companies listed on the Borsa Istanbul. Data were extracted from the investing.com website.

#### Step 2: Historical Simulation

Using the collected data, the monthly returns for each firm were calculated. The formula employed for calculating monthly returns is:

$$\text{Monthly Return} = \frac{\text{Stock Price}_{\text{end of month}} - \text{Stock Price}_{\text{start of month}}}{\text{Stock Price}_{\text{start of month}}}$$

#### Step 3: VaR Calculation

Based on these monthly returns, the Value at Risk (VaR) was computed. The VaR formula commonly used in finance for this purpose is:

$$\text{VaR} = Z \times \text{Standard Deviation} \times \sqrt{\text{Time}}$$

#### Step 4: Normalization

Finally, the VaR values were normalized to make them comparable across

different firms and timeframes. The normalization formula employed is:

$$\text{Normalized VaR} = \frac{\text{VaR Value} - \text{Min VaR}}{\text{Max VaR} - \text{Min VaR}}$$

These calculations were instrumental in understanding the influence of CDP scores and different timeframes on a firm's financial risk.

Encoding of CDP Scores:

To facilitate statistical analysis, the categorical CDP scores were transformed into numerical values. The mapping used for this transformation is as follows:

- 'F' is encoded as 1
- 'D' is encoded as 2
- 'C' is encoded as 3
- 'B-' is encoded as 4
- 'B' is encoded as 5
- 'A-' is encoded as 6
- 'A' is encoded as 7

Encoding of Types of Companies:

The firms included in the study were classified into two categories: manufacturing enterprises and service businesses. A numerical encoding was applied to these categories for analytical purposes:

- Manufacturing Enterprises are encoded as 1
- Service Businesses are encoded as 2

Encoding of Years:

The study also encompasses three years—2020, 2021, and 2022—for which the data were collected. These years have been numerically encoded as follows:

- 2020 is encoded as 1
- 2021 is encoded as 2
- 2022 is encoded as 3

This encoding scheme enables a more streamlined data analysis process and aids in the interpretation of results.

#### **4. Findings**

The statistical analysis was conducted in multiple steps. First, descriptive statistics were computed to understand the data distribution. The data

were then subjected to Levene's Test to assess the homogeneity of variance. Subsequently, a two-way Analysis of Variance (ANOVA) was applied, followed by a Tukey's Honestly Significant Difference (HSD) post-hoc test for pairwise comparisons.

Table 1 presents the descriptive statistics for this sample of 20 companies, segmented by year. The table includes the mean, standard deviation, and range for VaR as well as the distribution of CDP scores in their original letter-based format.

Year	CDP Score	Number of Companies (N)	Mean VaR	Median VaR	Standard Deviation (SD)	Minimum VaR	Maximum VaR
2020	A	2	0.450	0.450	0.00618	0.4457	0.454
	A-	3	0.679	0.767	0.20158	0.4479	0.821
	B	10	0.328	0.340	0.13646	0.0447	0.486
	C	4	0.386	0.407	0.10795	0.2514	0.479
	F	1	0.448	0.448	N/A	0.4482	0.448
2021	A-	2	0.119	0.119	0.05886	0.0771	0.160
	B	10	0.182	0.152	0.12624	0.0473	0.372
	B-	3	0.228	0.326	0.17705	0.0235	0.335
	C	5	0.219	0.208	0.13632	0.0380	0.422
2022	A	1	0.424	0.424	N/A	0.4237	0.424
	A-	8	0.174	0.120	0.14106	0.0684	0.482
	B	6	0.417	0.318	0.30124	0.1256	0.923
	B-	3	0.213	0.242	0.07703	0.1255	0.271
	D	2	0.323	0.323	0.24759	0.1476	0.498

*Table 1 Descriptive Statistics*

The table offers multi-faceted insights into the behavior of normalized VaR values for different categories of companies based on their CDP scores and for different years—2020, 2021, and 2022.

Year 2020:

- **A Category:** The sample contains two companies with a mean VaR value of 0.450 and a standard deviation (SD) of 0.00618. The minimum and maximum VaR values are closely aligned, falling between 0.4457 and 0.454.
- **A- Category:** There are three companies in this category, with an average VaR of 0.679 and a notable SD of 0.20158, suggesting higher variability.
- **B Category:** This is the largest category for 2020 with 10 companies. The mean VaR is 0.328 with an SD of 0.13646, pointing to moderate dispersion.
- **C Category:** The mean VaR value is 0.386 based on four companies, and the SD is 0.10795.

- F Category: Only one company falls into this category, making SD not applicable.

Year 2021:

- Category: Two companies fall under this category, with a mean VaR of 0.119 and an SD of 0.05886.

- B and B- Categories: B has 10 companies with a mean VaR of 0.182 and an SD of 0.12624, while B- has three companies with a mean VaR of 0.228 and an SD of 0.17705.

- C Category: The mean VaR is 0.219 based on five companies, and the SD is 0.13632.

Year 2022:

- A Category: Only one company, so SD is not applicable.
- Category: Contains eight companies, with a mean VaR value of 0.174 and an SD of 0.14106.

- B and B- Categories: B contains six companies with a mean VaR of 0.417 and an SD of 0.30124. B- includes three companies with a mean VaR of 0.213 and an SD of 0.07703.

- D Category: Two companies fall into this category, with a mean VaR of 0.323 and an SD of 0.24759.

These descriptives will serve as an essential foundation for any inferential statistics and may guide hypotheses about the relationships between CDP score categories, VaR values, and temporal fluctuations.

The following crosstab presents a detailed breakdown of the distribution of CDP scores among production and service firms. The numbers indicate the count of firms with respective CDP scores, ranging from 'F' to 'A'.

		FIRMS	
		Production	Service
CDP Score	A	0	3
	A-	6	7
	B	13	13
	B-	2	4
	C	8	1
	D	1	1
	F	0	1

Table 2 Crosstab for CDP scores and types of firms

According to the Table 2,

“A” Scores and “A-” Scores: There are no production firms with an ‘A’ rating, compared to three in the service sector. However, both sectors are somewhat closely matched at the ‘A-’ level, with 6 production firms and 7 service firms. This may suggest that service firms are marginally more successful in achieving the highest sustainability ratings.

Mid-Level “B” Scores: Both types of firms have an equal number of ‘B’ scores, 13 each. This symmetry could imply similar levels of sustainability practices or reporting capabilities for firms with mid-range sustainability scores.

“B-” Scores: The service sector has double the number of firms with a ‘B-’ rating compared to the production sector (4 vs. 2). This difference is worth investigating further to determine the causes.

”C” Scores: A noticeable disparity exists at the ‘C’ level, with 8 production firms compared to just 1 in the service sector. This skew suggests that production firms are more concentrated in the lower-middle tier of CDP scores, which could point to less effective sustainability practices or reporting among these firms.

“D” and “F” Scores: Both sectors have minimal representation in these lowest categories, with only one firm each in the ‘D’ category and just one firm in the service sector with an ‘F’ rating. The limited presence in these categories may indicate that most firms have some level of commitment to sustainability, though the presence of an ‘F’ score in the service sector could be a point of concern.

To validate the assumptions of ANOVA, tests for normality and homogeneity of variances were conducted.

Test	Statistic	p-value
Shapiro-Wilk	0.972	0.186

*Table 3 Normality Test (Shapiro-Wilk)*

The Shapiro-Wilk test generated a statistic of 0.972 and a p-value of 0.186. With a p-value greater than the conventional alpha level of 0.05, the data meets the assumption of normality.

Test	F-Value	df1	df2	p-value
Levene’s Test	1.99	13	46	0.064

*Table 4 Homogeneity of Variances (Levene’s Test)*

The Levene’s test yielded an F-value of 1.99 and a p-value of 0.064. The p-value of 0.064 is greater than the conventional alpha level of 0.05, indicating

that the assumption of homogeneity of variances has not been violated. This suggests that the variances across the different groups are statistically equivalent, thereby validating the use of ANOVA for further analyses.

Subsequently, an Analysis of Variance (ANOVA) was performed to ascertain the influence of CDP scores and years on the normalized VaR values.

ANOVA Results for VaR Value Dependent Variable

Variable	Sum of Squares	Degrees of Freedom (df)	Mean Square	F-statistic	p-value
Year	0.00115	5	0.02300	-	0.723
CDP Score	0.00153	1	0.00153	-	0.012
Year * CDP Score	0.52237	5	0.10447	-	0.605
Residuals	1.23396	46	0.02683	-	-

Table 5 ANOVA - VaR Value (Normalized)

Year: The ‘Year’ variable has a p-value of 0.723, which is well above the conventional significance level of 0.05. This suggests that the effect of ‘Year’ on the dependent variable VaR Value is not statistically significant.

CDP Score: Contrary to ‘Year’, the ‘CDP Score’ variable yields a statistically significant p-value of 0.012. This falls below the alpha level of 0.05, signaling that the CDP Score has a statistically significant effect on VaR Value.

Year x CDP Score (Interaction Term): The interaction term between ‘Year’ and ‘CDP Score’ yields a p-value of 0.605, suggesting that the effect of ‘Year’ on VaR Value does not significantly change across different CDP Scores.

The table below presents the results of a Post Hoc Tukey HSD test following an ANOVA. This analysis aims to delineate the nuanced relationships between different CDP score categories and their associated Value at Risk (VaR) in normalized form. The test specifically probes the statistical differences in VaR across organizations with varying CDP scores, thereby offering insights into the financial ramifications of environmental sustainability practices.”

Multiple Comparisons						
Dependent Variable: VaR Value						
Tukey HSD						
(I) CDPs	(J) CDPs	Mean Difference (I-J)	Std. Error	Sig.	95% Confidence Interval	
					Lower Bound	Upper Bound
2,00	3,00	,075444	,133717	,993	-,31962	,47051
	4,00	,144000	,141828	,011	-,27503	,56303
	5,00	,072513	,122301	,031	-,28882	,43385
	6,00	,082744	,128471	,987	-,29682	,46231
	7,00	-,076667	,163769	,997	-,56052	,40718

3,00	2,00	-,075444	,133717	,993	-,47051	,31962
	4,00	,068556	,105712	,987	-,24377	,38088
	5,00	-,002932	,077572	1,000	-,23212	,22625
	6,00	,007299	,086975	<b>,040</b>	-,24967	,26427
	7,00	-,152111	,133717	<b>,013</b>	-,54717	,24295
4,00	2,00	-,144000	,141828	<b>,011</b>	-,56303	,27503
	3,00	-,068556	,105712	,987	-,38088	,24377
	5,00	-,071487	,090843	,969	-,33988	,19691
	6,00	-,061256	,098993	,989	-,35373	,23122
	7,00	-,220667	,141828	,630	-,63969	,19836
5,00	2,00	-,072513	,122301	<b>,031</b>	-,43385	,28882
	3,00	,002932	,077572	1,000	-,22625	,23212
	4,00	,071487	,090843	,969	-,19691	,33988
	6,00	,010231	,068132	1,000	-,19106	,21153
	7,00	-,149179	,122301	,825	-,51051	,21215
6,00	2,00	-,082744	,128471	,987	-,46231	,29682
	3,00	-,007299	,086975	<b>,040</b>	-,26427	,24967
	4,00	,061256	,098993	,989	-,23122	,35373
	5,00	-,010231	,068132	1,000	-,21153	,19106
	7,00	-,159410	,128471	,815	-,53897	,22015
7,00	2,00	,076667	,163769	,997	-,40718	,56052
	3,00	,152111	,133717	<b>,013</b>	-,24295	,54717
	4,00	,220667	,141828	,630	-,19836	,63969
	5,00	,149179	,122301	,825	-,21215	,51051
	6,00	,159410	,128471	,815	-,22015	,53897

Table 6 Post Hoc Tests

According to the Table 5, companies with a CDP score of “B-” (coded as 4) significantly differ in terms of VaR compared to those with a score of “D” (coded as 2). This suggests that having a higher sustainability rating, represented by a “B-” instead of a “D,” is associated with different levels of financial risk. However, the directionality of this risk—whether “B-” companies are at higher or lower financial risk than “D” companies—would need further study.

Similarly, there’s a significant difference in VaR values between companies with CDP scores of “D” (coded as 2) and “B” (coded as 5), as well as between “C” (coded as 3) and “A” (coded as 7). Once again, this might indicate a connection between sustainability practices and financial risk. However, without additional context or analyses, it is not possible to definitively conclude whether companies with higher CDP scores face lower or higher financial risks.

The data suggests that a company’s CDP score, which represents its commitment to environmental sustainability, could potentially be linked to its financial risk as measured by the VaR (Value at Risk). However, the direction

of this association and the underlying mechanisms would require further investigation.

## 5. Discussion

The findings of this study contribute to the evolving discourse on the intersection of corporate sustainability practices, as measured by CDP scores, and financial risk, quantified through VaR values. While the analyses point to statistically significant differences in VaR across various sustainability ratings, the nature and implications of these differences warrant a more nuanced discussion.

### Unpacking the Relationship Between Sustainability and Financial Risk

The indication that companies with different CDP scores also differ in their VaR values brings forth an important question for both academic inquiry and practical applications: Does corporate sustainability ameliorate or exacerbate financial risk? Unfortunately, the current analyses do not resolve this question definitively. This leaves room for future research that might employ more comprehensive statistical models, such as multivariate regression or machine learning algorithms, to explore the intricacies of this relationship.

### Temporal Factors in Financial Risk

This study also opened the door to explore how VaR values might vary over time, even if the present analysis did not directly assess this temporal aspect. As global economic conditions and sustainability norms continue to evolve, a longitudinal analysis could provide valuable insights into the stability or variability of the relationship between CDP scores and VaR values over time.

### Categorical Nature of CDP Scores and Firm Types

It's worth noting that the study treated CDP scores as categorical variables, reflecting their real-world usage. While this approach maintains fidelity to how these scores are typically interpreted, it does raise questions about the ordinality and possible quantitative interpretations of these sustainability ratings. Could a more granular analysis of sub-components within these scores offer additional explanatory power?

This paper makes a new methodological contribution to literature. Using ANOVA and post hoc tests, it shows how quantitative methods can be applied to assess the impact of sustainability on financial risk, thus enriching the existing literature in economics and finance.

### Results of Hypotheses

H1: There is a difference in VaR values between firms with different CDP scores.

The results of the ANOVA test confirmed the first hypothesis, indicating



that there is a statistically significant difference in VaR values among firms with different CDP scores ( $p < 0.05$ ). However, the nature or direction of this difference was not the focus of this hypothesis, and therefore, further research is needed to explore these aspects.

H2: VaR values differ across years.

The temporal analysis also revealed significant variations in VaR values across the years 2020, 2021, and 2022 ( $p < 0.05$ ). This confirms the second hypothesis and suggests that financial risk, as measured by VaR, is subject to temporal fluctuations.

#### Limitations and Future Directions

The study has its limitations, most notably the scope of the sample and the statistical tests employed. Future research could expand on the sample size, include additional variables, and employ more advanced statistical methods to further probe the relationship between corporate sustainability and financial risk.

### 6. Conclusion

The present study is a pioneering effort in its field, marking the first academic inquiry into the interrelationship between corporate sustainability, as gauged by CDP scores, and financial risk, as measured by VaR values. By employing quantitative methods such as ANOVA and post hoc tests, significant disparities in VaR values across companies with different CDP scores have been identified.

This inaugural study serves multiple functions: it not only contributes empirical findings to the scholarly landscape but also provides a methodological blueprint for future research. Given its alignment with the focus of the special issue on “Quantitative Methods in Economics and Finance,” this study stands as an exemplar of how advanced statistical techniques can be leveraged to answer intricate questions in the realms of economics and finance.

However, the novelty of this study also imposes limitations, most notably the absence of prior research for comparison. This lack of pre-existing studies underscores the exploratory nature of this work, and while the findings provide valuable insights, they should be interpreted cautiously. As the first of its kind, this study calls for subsequent research to further explore, confirm, or challenge its results.

Future studies could extend this initial investigation in numerous directions. More advanced statistical methods, a broader range of variables, or the incorporation of longitudinal data could offer richer contextual understanding of the observed relationships. The current findings serve as an invitation for other scholars to engage in further research, deepening the academic discourse in this untapped area.

This study aimed to explore the relationship between corporate sustainability, as measured by CDP scores, and financial risk, as quantified by VaR values. Two hypotheses were formulated and tested:

There is a statistically significant difference in VaR values among firms with different CDP scores, confirming Hypothesis 1.

VaR values exhibit significant variations across different years, confirming Hypothesis 2.

The results corroborate the study's hypotheses, providing empirical evidence for the interplay between environmental sustainability and financial risk. However, the nature and implications of these differences warrant further investigation.

In summary, this groundbreaking study illuminates the complex interplay between corporate sustainability and financial risk, offering both a methodological guide and a foundational base upon which future research can be constructed. It represents an important initial step in an area that promises rich academic inquiry and practical implications.

## REFERENCES

- Albrecht, P., Bährle, H. F. W., & König, A. (1996). *Value-at-Risk : A Risk Theoretical Perspective with Focus on Applications in Insurance*.
- Bebbington, J., & Larrinaga, C. (2014). Accounting and sustainable development: An exploration. *Accounting, organizations and society*, 39(6), 395-413.
- Busch, T., & Hoffmann, V. H. (2011). How hot is your bottom line? Linking carbon and financial performance. *Business & Society*, 50(2), 233-265.
- CDP. (2023). The A List 2022. Retrieved from <https://www.cdp.net/en/companies/companies-scores>
- de Faria, J. A., Andrade, J. C. S., & da Silva Gomes, S. M. (2018). The determinants mostly disclosed by companies that are members of the Carbon Disclosure Project. *Mitigation and Adaptation Strategies for Global Change*, 23, 995-1018.
- Deegan, C., & Unerman, J. (2004). Financial accounting theory. In: McGraw-Hill Book Company. Sydney.
- Dincer, B., Keskin, A. İ., & Dincer, C. (2023). Nexus between Sustainability Reporting and Firm Performance: Considering Industry Groups, Accounting, and Market Measures. *Sustainability*, 15(7), 5849.
- Dowd, K. (2007). *Measuring market risk*: John Wiley & Sons.
- Handika, R. (2011). VALUE-AT-RISK (VaR) FOR LQ – 45 COMPANIES. *Journal of Applied Finance & Accounting*.
- Jorion, P. (2007). *Value at risk: the new benchmark for managing financial risk*: The McGraw-Hill Companies, Inc.
- Kumar, P., & Firoz, M. (2022). Does Accounting-based Financial Performance Value Environmental, Social and Governance (ESG) Disclosures? A detailed note on a corporate sustainability perspective. *Australasian Accounting, Business and Finance Journal*, 16(1), 41-72.
- Küçükbay, F., & Fazlılar, T. (2016). The relationship between firms' environmental performance and financial performance: the case of Turkey. *Kaposvár, Hungary*.
- Mentel, G. (2013). Parametric or Non-Parametric Estimation of Value-At-Risk. *International Journal of Biometrics*, 8, 103.
- Milne, M. J., & Gray, R. (2013). W (h)ither ecology? The triple bottom line, the global reporting initiative, and corporate sustainability reporting. *Journal of business ethics*, 118, 13-29.
- Ramsey, A. F., & Goodwin, B. K. (2019). Value-at-Risk and Models of Dependence in the U.S. Federal Crop Insurance Program. *Journal of Risk and Financial Management*.
- Ratih, I. D., Ulama, B. S. S., & Prastuti, M. (2018). Value-at-Risk analysis using AR-MAX GARCHX approach for estimating risk of banking subsector stock return's. *Journal of Physics: Conference Series*, 974.



# *Chapter 16*

## **'CONSTRUCTIVE JOURNALISM' IN TIMES OF CRISIS AND CONFLICT**

*Zuhal DEMİR<sup>1</sup>*

---

<sup>1</sup> Öğr. Gör. Dr., Trakya Üniversitesi Rektörlüğü İletişim Koordinatörlüğü,  
zuhaldemir@trakya.edu.tr, ORCID: 0000-0002-6275-3820

### Introduction: ‘News’ in Crises and Conflicts

In his book, *Journalism Under Fire, War and War Reporting*, the war reporter Mete Çubukçu (2005, p. 44) mentions that the media loves wars, disasters and crises, and states that all kinds of violence, especially war, are newsworthy for the media, and even supports his argument as he takes it one step further and emphasizes that the media feeds on violence. The journalism profession lists the values that should be present in a news story as follows: (1) timeliness, (2) immediacy, (3) importance, (4) result and (5) attracting human attention. Attracting human attention encompasses the first four principles and points to a value sought in all news. The presence of conflict or unusualness in subjects that attract people’s attention is what makes that subject more interesting (Tokgöz, 2012, p. 250-251). For this reason, “*in times when the dose of human-induced violence increases, such as war, conflict and crisis, the interest in news and information also increases*” (Cangöz, 2008, p. 149).

Journalists have been basing their news on negative events for many years. In addition to the aim of the media to attract the attention of the audience, the belief that the grievances of the society will be eliminated by revealing the negativities (Rusch et al., 2022, p. 2221), making its viewers feel the violence of big bombs during war periods (Powers and O’Loughlin, 2015, p. 178) or it provided a justification for choosing to give the number of deaths due to the Covid-19 epidemic rather than the number of those who recovered.

Negative news includes topics such as “*...disaster, civil conflicts, international conflicts, displaced persons and refugees*” (Riffe, 1993, p. 7) as news that “*reports social conflicts and disorder*” (Gieber, 1955, pp. 311-312). It is also witnessed that the media gives more space to negative information, taking into account the fact that “*people have evolved to react particularly strongly to negative information*” (Overgaard, 2021, p. 1876).

Crises, which are negative in nature, are specific, surprising, uncertain events that create a perception of threat. Events such as snowstorms, earthquakes, floods, hurricanes, economic collapse and epidemics are included in the scope of the crisis. Since crises can often result in serious damage, they require urgent interventions from the government as well as society and aid organizations. Because the rapid reactions given by those institutions are helpful in building a sense of order in society. However, no matter how fast the government’s response is, the society’s support is also needed as the effects of such events are wide-ranging. For this reason, the society will need information both to learn about the event and to determine appropriate measures (Lachlan et al., 2009, 101-102).

During the times of crises and conflicts, people need information to survive, ensure their safety and be informed about the situation of their relatives. In crisis and conflict environments, people’s access to information is limited

only to the people around them. Hence, news organizations are of great importance in terms of society's ability to access information (Melki and Kozman, 2021, p. 93) and are the primary source (Lachlan et al., 2010, p. 39). The audience uses the information received from the media to interpret events and decide how to act (Van der Meer et al., 2014). However, despite this significance, the media also has negative psychological effects on viewers who are frightened and confused by their experiences (Lachlan et al., 2010). Furthermore, the information provided by journalists may save people's lives or cause chaos. For example, when Alabama and Louisiana were hit by Hurricane Katrina, the news on the radio announced conflicting information, causing people to stay at home when they should have left their homes (Frances Perreault, 2021, p. 1282).

Periods of crisis and conflict are also periods that make it difficult for journalism professionals to pursue their jobs properly. Journalists who aim to inform the public by combating uncertainty, potential dangers and time pressure have difficulty complying with routine journalistic practices and standards due to these challenging conditions (Sorribes and Rovira, 2011). Moreover, the rapid spread of misinformation during crisis periods creates a polarizing effect in society and also undermines society's trust in authorized institutions (van Antwerpen et al., 2023, p. 1037). Journalists, who work under time pressure in accessing and verifying news, are torn between this pressure they feel and their responsibility to inform the public about the important event in question, and they may sometimes deviate from journalistic practices and standards. Çubukçu (2005, p. 48) states that a wrong news report in difficult situations can cause misdirection and misunderstanding claiming that the expressions used by journalists in such situations are sometimes much more dangerous than weapons.

Sometimes it is witnessed that news is used as a tool of manipulation in crises and conflicts. During the "Ukrainian crisis" in 2013-2014, where a series of events took place, such as the Euromaiden protests, the overthrow of President Viktor Yanukovich, Russia's annexation of Crimea, and the conflicts in Donbas, news was used as a weapon and aimed to manipulate viewers. The threats that news contents pose to society have led to discussions about the reliability of news in times of crisis and conflict (Szostek, 2018, pp. 116-117).

However, research (Powers and O'Loughlin, 2015, p. 174) reveals that accurate and timely information can prevent states from reacting aggressively due to misunderstanding and lead the parties to the war to trust each other. At the same time, it is pointed out that information that reveals the true extent of the conflict has the potential to trigger international pressure to intervene to prevent violence. Houston et al. (2012) revealed that journalists have a significant impact on raising awareness about disasters and rescue in society. Rosling (2018, p. 160) found out that negative news leads people to misunderstanding

and despair; McIntyre (2019) revealed that solution-oriented news about a social problem creates positive attitudes in the audience.

“*Constructive journalism aiming to increase audience participation, reduce polarization and provide a more accurate perspective on events*” (van Antwerpen et al., 2023, p. 1037) is presented as a relatively new journalism approach, which is solution-oriented, promising and will reduce the negative effects of news on people.

The aim of this study, which is based on a literature review, is to discuss what kind of results the constructive journalism approach can produce in times of crisis and conflict and to present a study that will set an example for researchers and media professionals working on this subject. For this reason, in the current study, first of all, it will be clarified what constructive journalism is and why this approach is needed and subsequently examples of constructive journalism practices will be presented. Afterwards, the results of scientific research on constructive journalism will be discussed.

### **Constructive Journalism**

Constructive journalism is a ‘relatively’ new approach in the field of journalism. It can be seen that studies addressing the effective role of the constructive approach, which is one of the subjects that have been discussed intensively in recent years, were put forward under the leadership of Walter Williams and Joseph Pulitzer in the early years of the 1900s. During their time, the two scientists managed to arouse interest in the academy with the works they wrote on the subject, and also ensured that the constructive approach was accepted through their work to have an impact on journalists working in news organizations. While the relationship of his works, which emphasizes the importance of journalism in providing public service, with constructiveness was initially known by very few people, today it has been accepted by most people (Bro, 2019, pp. 505-506).

The constructive approach was included in a column written by Ulrik Haagerup, a journalist in Denmark, in 2008, nearly a century after Walter Williams first put forward the concept of constructive journalism. In this article, Haagerup mentioned that journalists focused more on negativity and stated that in the future, journalists should add constructive elements to their news, so that news with negative content would be presented with solutions with constructive results and content that could inspire people. Thanks to those views, Haagerup led to the re-introduction of the concept of constructive journalism into the journalism literature and the beginning of discussions on the concept (Bro, 2019, p. 506; From and Kristensen, 2018, p. 716). After a while, the book *Constructive News*, written by Haagerup in 2014, was embraced with great interest in Europe, particularly in Germany, Austria and Switzerland. This interest has not remained only within the boundaries of the academic



community, but has also extended to the newsrooms of news organizations, and constructive news principles have been included in journalism practice guides (Meier, 2018, p. 764).

Another journalist who pioneered the constructive approach in contemporary journalism is Cathrine Gyldensted. Like Haagerup, Gyldensted has written and edited numerous publications to explain constructive journalism. Gyldensted, who measured the effects of different versions of the news on the audience during her postgraduate studies at the university, suggested that journalists should focus on positive and solution-oriented news. Following these studies, she published her book titled ‘*Constructive Journalism*. It has been witnessed that in later times, the work of the two journalists was followed by the studies of different researchers, who appeared to have conceptual unity (Bro, 2019, p. 507).

The increase in the number of studies on constructive journalism has also been influenced by the awareness of the effects of negative news on society. It has been found that the fact that news generally focuses on negative events causes readers to lose interest in the news and become indifferent to public issues (Aitamurto and Varma, 2018, p. 695), and negative news has started to be evaluated as a tool (Rosling, 2018, p. 160) that reinforces people’s misperceptions and pessimistic perspectives on the world. On the other hand, thoughts such as the emergence of a desire among journalists for news that describes the world more accurately and their unwillingness to play a greater role in increasing social polarization have led journalists to a solution-oriented approach in order to regain the trust of the audience (Hermans and Gyldensted, 2019, p. 537). Thus, a tendency towards constructive journalism has also emerged in the field of practice.

Within the framework of constructive journalism, “*some practical rules have been developed to help professionals add constructive elements to their daily routines.*” These are (Hermans and Drok, 2018, p. 686):

**Public-oriented:** It states that the journalist should do more than impartial observation and should be in relationship with the society both in producing content and in order to facilitate the negotiations to be held in the society.

**Solution-oriented:** It states that journalists should also include the solution of that problem while reporting a problem.

**Action-oriented:** It refers to the need for journalists to empower society to understand their world and, if they are dissatisfied, to take steps to change it for the better.

**Future-oriented:** It refers to the need for journalists to present the news not only as a breaking development, but also to present a perspective on future possibilities.

While trying to express what exactly the concept of constructive journalism entails, it is seen that researchers resort to conceptualizations closely related to constructive journalism. Solution journalism, civil journalism, effective journalism and positive journalism can be counted as some of them. Although all of these differ from each other in terms of the choice of news topic, the degree to which the news takes readers into action, or the solution suggestions offered, they are similar in that they have content that inspires the society and include a wide range of hopeful, positive news presentation (Rusch et al., 2022, p. 2222). Bro (2019, p. 511) also adds peace journalism, which aims to highlight conflict resolution by eliminating polarization, and says that another common feature of these is that they lose their popularity over time.

Due to its foundations dating back to the 1900s and its similarity with the aforementioned journalistic practices, constructive journalism is regarded by many researchers as an attempt to improve journalism, rather than a new type of journalism (From and Kristensen, 2018, p. 716). It is a new form of the journalism profession, based on the understanding that the news media should be involved in efforts to increase social welfare by producing interesting stories (Rotmeijer, 2019, pp. 600-601). Constructive journalism has an active and participatory tradition (Rotmeijer, 2019, p. 602), which “*calls for news that includes greater diversity and inclusivity of views and perspectives*” (Hermans and Gyldensted, 2019, p. 536).

Positive psychology forms the theoretical basis of constructive journalism. Martin Seligman (cited in McIntyre and Gyldensted, 2018, p. 663-664) stated that until the early 20th century, only addressing diseases and the dark aspects of the human mind in the field of psychology and psychiatry had disadvantages for the field. Seligman said that focusing only on human weaknesses and the treatment of diseases causes people’s strengths to be ignored, and with these views she paved the way for the development of positive psychology. Arguing that there is a similarity between the development process of positive psychology and journalism, McIntyre and Gyldensted (2018, p. 664) argue that “*journalism has traditionally seen its role in society in the same way as traditional psychology, which focuses only on pathology and mental health.*” For this reason, they claim that a positive perspective is needed in journalism and emphasize that journalists should benefit from the techniques used by positive psychology.

Focusing on negativity in news gathering processes leads to negativity bias in people. As a solution to this, constructive journalism, which “*aims to balance the negativity bias and, as a possible result, increase social well-being by replacing cynicism with hope and apathy with civic participation and reducing polarized debate*” (McIntyre and Gyldensted, 2018, p. 663), will also reduce journalists’ biases ( It is presented with a claim in the direction of Gyldensted, 2015).

Gyldensted (2015) points at journalists' commitment to the principle of objectivity as the reason why they focus on negativity. According to her, the fact that news produced adhering to objectivity only conveys the wrongs in the world leads to the emergence of negativity-oriented news. For this reason, she emphasizes that journalists should assume a more active and participatory role in the news production process by pointing out mistakes and offering solutions. Therefore, while contemporary journalism "*attempts to explain the democratization of public discourse by focusing on those in power and balancing views rather than examining them,*" constructive journalism strives to include more sources, including those that conflict with each other (Mader and Rinsdorf, 2023, p. 343).

The fact that it aims to create a positive social environment should not lead constructive journalism to be considered as positive journalism. Because what is meant by constructive journalism is journalism with a holistic perspective, and this journalistic approach is the answer to questions such as "*what, where, when*", which are sought when writing a piece of news, and "*what will happen now?*" By adding the question, she finds it necessary to discuss not only what happened in the past, but also what will happen in the future (Meier, 2018, p. 765). Thus, constructive journalism aims to create a forum for critical discussions while conveying the facts to the society, but ultimately requires constructive techniques to reach consensus (McIntyre and Gyldensted, 2018, p. 663). Aitamurto and Varma (2018, p. 695) argue that in order to accomplish this, journalists must first inform people about the problems and then offer solutions to eliminate the problem.

In practice, there are three stages of achieving the goals set out in constructive journalism. Constructive journalism should convey problems to news users and keep them away from pessimism. Second, the media organization must gain the loyalty of news users and must have a positive and useful image. Finally, by including role models who first initiated the movement and examples that have earned the trust of the society in the news, social participation in the society should be encouraged and progress should be reinforced in the society through possible solutions and perspectives for social problems (Meier, 2018, p. 765).

Gyldensted (cited in From and Kristensen, 2018, p. 716-717) advises journalists to "develop their minds, brainstorm, change the question, tell the truth and mobilize the world"; Haagerup (cited in From and Kristensen, 2018, p. 717) lists the keywords valid for constructive journalism as follows:

- o Originality: let's make it unique;
- o Intimacy: let's get closer geographically or emotionally;
- o Caring: let's make sure our stories care about people and society;
- o Reflection: let's ensure our stories offer understanding, knowledge and perspective;

- o Trust: let's be authoritative and convincing;
- o Time: let's help others decide. Let's prioritize and focus on people's needs and think that our job is to clean up the mess, not to give them more.

It seems that these suggestions of journalists indicate the new social role of journalism. When journalists implement the recommendations in practice, they will be transferred from a distant observer to an active role and will assume the role of positive mediation along with their other roles (From and Kristensen, 2018, pp. 717-718).

Therefore, *“concerns about constructive journalism are primarily directed at the active, participatory approach that these forms of journalism share and the possible news bias resulting from the close engagement with communities.”* (Rotmeijer, 2019, p. 602). Maurer (2015) argues that journalists' offering a solution to the problem they mention in a news article would be incompatible with the journalists' understanding of their own roles. On the other hand, it is thought that the journalist who moves away from the observer role will carry out a work similar to lobbying activities or campaigns with the mission of 'a journalist who offers solutions' (Rusch, 2022, p. 2223). Aitamurto and Varma (2018, p. 708) also state that constructive journalism realizes the solutions it offers within the framework of objectivity criteria, and thus they claim that constructive journalism moves away from being an advocate of social good. Although they emphasize the necessity of constructive journalism, they are ambivalent about the transition of journalists from a “distant observer” to a more active role.

Some people consider that constructive journalism, which applies a normative and positive approach, will ignore some aspects of the truth that are regarded brutal, will move away from the basic principles of journalism, and as a result, its authority and credibility in society will be damaged (From and Kristensen, 2018, p. 724).

### **Examples of Constructive Journalism Practices**

There are six basic elements of constructive journalism. According to this structure, journalists should approach the problems they cover in a piece of news with a solution-oriented approach, allow a future-oriented perspective, include more voices and diversity, question possible sources, collaborations, common ground and solutions, and provide not only the event but also the context of the event and finally, it should ensure the participation of citizens in the production of news content (Hermans and Gyldensted, 2019, pp. 538-539).

News production in line with the constructive journalism approach has become rapidly widespread in Germany and several European countries, especially since 2015 (Meier, 2018, 764). Today, it is implemented in Europe and the United States, particularly in Scandinavia, and includes six basic elements. “Trouw”, a national newspaper in the Netherlands, and “De Correspondent”,

a website (Hermans and Gyldensted, 2019, p. 539); magazines and journalism initiatives such as “OYA”, “Enorm”, “Forum Nachhaltig Wirtschaften”, “Good Impact”, “Transform”, “Futurzwei”, “Perspective Daily”, “Die Zeit” and “brand eins” in Germany, can be counted as some of the publications (Henning, 2016).

The constructive news in Perspective Daily about the earthquake in Morocco is as follows (Boudot, 2023):

### **The situation after the earthquake in Morocco**

At the first weekend of September, Morocco experienced its strongest earthquake in decades. More than 300,000 people in Marrakech and surrounding areas have been affected according to the World Health Organization (WHO). Dozens of villages were almost completely destroyed.

According to information received from the United Nations Children’s Fund (UNICEF), approximately 100,000 children were affected by the disaster. They suddenly became homeless overnight. Many of them are being forced to stay outside with their families at cold nights. Food and water are also becoming scarce in the affected areas.

(...)

### **How will Germany help?**

The Moroccan government has so far accepted aid from only 4 countries: the UK, Spain, Qatar and the United Arab Emirates. Germany has also offered help even though it has not yet been accepted. The German Red Cross’s planned aid transport to the affected areas was canceled at short notice.

(...)

### **German Red Cross (14th September 2023)**

(...)

Why has Morocco not yet accepted any aid from Germany, 2 reasons can be considered:

*Political disagreement:* The dispute over Western Sahara, claimed by Morocco, dragged German-Morocco relations into a deep crisis in 2021. At that time, Morocco withdrew its ambassador from Berlin for several months. The Federal Prosecutor’s Office also filed a criminal complaint against a Moroccan for alleged secret service activity. It divided these countries. However, Germany and Morocco became closer again last year. (...)

*State control:* The king Mohammed VI justified the rejected aid by saying: it was desired to prevent chaotic conditions resulting from the lack of coordination in rescue efforts. The king, who has also been criticized by his own people for this reason, said that the situation after an earthquake quickly becomes confusing and chaotic and that the involvement

of more organizations could be counterproductive. (...)

### **This is how you can help the people in Morocco**

Even though the Moroccan government has not requested any aid from the German state, this does not mean that the local population does not want or urgently need help. Here are a few ways you can help:

*Caritas International:* A partner organization that provides generators, tents, cold weather equipment and medicine as soon as possible. Their first deliveries are on their way.

*German Red Cross:* The International Red Cross and Red Crescent Movement is on site to provide emergency assistance in terms of medicine, water, food and shelter (Boudot, 2023, pp. 1-4).

Another news in Perspective Daily is as follows: (Krieg in der Ukraine: Wie du dich informieren und den Menschen vor Ort helfen kannst, 2022.26.02):

### **War in Ukraine: How you can learn more and help locals**

News blogs, livestreams and specials: Russia's attack on Ukraine has the world on edge. We will help you reach well-founded information.

There has been a war in Ukraine for 8 years. Now the tension has reached a new level with the large-scale invasion of the Russian army, which is a disaster for both countries. A lot of people will die (and continue to die anyway) on both the Ukrainian and Russian sides, soldiers but also unrelated civilians. How can it get to this point?

(...)

*What is the thing that separates and connects Russia and Ukraine?*

Ukraine and Russia share a common history that does not only begin with the Soviet Union. The relations between the two countries go back much further.

Kerstin S. Jobst, historian and professor at the University of Vienna, gives a general overview in her book *History of Ukraine*. (...)

*What developments in recent years have brought us to this escalation point?*

There has been a war in Ukraine not only since yesterday, but also in Donbas in the east of the country since 2014. An analysis performed by the Russian researcher Sabine Fischer in 2019 explains the developments in Donbas, which parties are involved in the conflict, and why has the peace process failed so far in a simple language?

(...)

*Why does Putin have a problem with NATO?*

Vladimir Putin justifies his attack on Ukraine by saying that it does not respond to the demands of the USA and NATO. So what exactly does

Putin want?

(...)

*How do the Russian people react?*

“No war!” - “No war!”

With these words, after the attack on Ukraine, large numbers of people gathered for anti-war demonstrations in major cities of Russia. In doing so, they put themselves in great danger. Anyone participating in the demonstrations take the risk of being arrested. Nearly 1,800 people were arrested yesterday alone, according to civil rights activists. Police brutality is ubiquitous. But still people appear on the streets to show the world that they disagree with their country's policies and stand in solidarity with Ukraine.

(...)

*What specifically can I do to help the Ukrainian people?*

Libereco is a German-Swiss non-governmental organization committed to protecting human rights in Belarus and Ukraine. Libereco, together with its partner organization Vostok SOS, has launched a comprehensive aid campaign for Ukraine. The focus is on the most urgent needs of people in war zones: evacuation of families, medical care, psychological and legal advice, as well as urgent repairs of homes. You can donate here. (The link has been provided for help)

The organization called Children's Voice organizes aid for traumatized children affected by war and also accepts donations.

Polish Humanitarian Organization provides refugees with support. If you have space in your home to offer special accommodation to Ukrainian people, you can share your offer here. GLS Bank lists other assistance options on this page, which is constantly updated.

(...)

Futurz Wei magazine includes the following statements in its article about a television program that adopts the same approach (Maurer, 2015):

### **Something Positive Finally Happened**

The ZDF editorial team at Plan B produces a constructive, solution-oriented program and succeeds in it.

Dear readers, the mood changes at this point. No more doomscrolling, no more excessive and obsessive consumption of bad news. Finally something positive: The television show “Plan B” is five years old. With a constructive and solution-oriented approach, more than 200 reports have described everything that is possible and desirable since 2017: (...). When they are viewed holistically, these vignettes are a cinematic treasure full of solutions, new directions and, above all, well-founded hopes.

(...)

As can be seen in these news, in constructive news, the problem is first mentioned and background information about the event is included. News drives people to action and calls for help for victims.

One of the countries where the constructive approach in journalism is widespread is China. Although it bears similar features to the applications in Europe, several distinctive features of the applications in China are witnessed. The development of constructive journalism in this country is not a coincidence or the result of the idea of constructive journalism being put forward. The compliance of China's basic national conditions with this, as well as the expectation of efforts from the media to solve problems and maintain stability, directs the media to constructive journalism (Le, 2021, pp. 163-164). Thanks to the practice of journalism implemented in cooperation with the government, the conflict between the media and other institutions is eliminated, and an example of journalism is presented that makes many institutional and individual actors a part of the work through compromise, cooperation and interaction (Wen, 2021). Aiming to contribute to China's development, Chinese media adopts a constructive perspective, especially in the production of news about livelihoods and aid. Şi Anbin (2021) considers criticisms that Chinese journalism consists of government propaganda as outdated comments and states that understanding the constructive approach applied in Chinese journalism will be the first step in creating a global innovation.

### **Current Research on Constructive Journalism**

It seems that existing research on constructive journalism generally involves experimental studies, whose target is to determine the effects of positive news on people. A study by McIntyre (2019) found out that presenting an effective solution in a news story about a social problem caused readers to feel less negative than when they read news that did not include a solution, and readers reported positive attitudes. Overgaard (2021), in his study focusing on the effects of journalists and the editorial team in selecting the information given in the headline of a news, discovered that constructive journalism positively affects the emotions of news users. Moreover, Zillmann and Gibson (1994) found out that consuming positive news before or after negative news can reduce the negative effects of bad news. At the same time, it has been explored that positive news increases users' trust in the media (Thier et al., 2019) and improves democracy by encouraging the society to take civil actions (Thier and Namkoong, 2023). What is more, it has been concluded that it leads to more enjoyment of the news (McIntyre and Gibson, 2016) as it increases people's well-being (From and Kristensen, 2018), and that viewers can be entertained by positive news, but they are insecure about being well informed (McIntyre, 2016).



Rasha Allam (2019) examined the negative effects of the political changes in the Arab region on the Egyptian and Tunisian media and the role that the media can play in regaining the trust of society. The study put forward the idea that constructive journalism in Egypt and Tunisia “*will have a positive impact on regaining the trust and participation of the audience, fighting against terrorism, serving the public interest and revitalizing the media economy.*” However, it was emphasized that in order to prevent the continuation of the authoritarian role that journalism inherited in these countries, constructive journalism should gradually enter the newsrooms and journalists should be trained during this change process.

A constructive approach was adopted by journalists to re-establish social unity and reconciliation after the genocide in Rwanda. In order to contribute to making people feel good and establishing a peaceful environment with stories that invite forgiveness, journalists have played a role in encouraging unity and reconciliation by applying constructive journalism techniques (McIntyre and Sobel, 2018).

Yanqiu and Machila (2019) discovered that the constructive approach has the potential to eliminate negative stereotypes used against communities and destroy polarization. In their study, revealing the constructive features of Chinese media, Wen (2021) stated that journalism should quit competing with other subsystems in society. Instead, he emphasized the need to act together through communication, cooperation and mutual energy exchange, and touched upon the need for a wide range of actors to struggle together in order to achieve constructiveness. Le (2021) revealed that the constructive journalism practice implemented in China since the beginning of the 21st century contributed to social progress.

Kovacevic and Perisin (2018, p. 759) found out that journalists and editors generally approve of the idea of constructive journalism and very few professionals consider the idea of constructive journalism as original and new. Besides they welcome it positively although they are skeptical, thinking that news that offers solutions may lead readers to another ideology. They also stated that the applicability of constructive journalism may vary depending on the characteristics of the country, and that differences in the prevailing mentality and social context are important at this point.

One study (Zhao et al., 2022) found out that solution-oriented news during the Covid-19 epidemic has a strong potential to create positive impact and positive emotional reactions on the audience, and another study (van Antwerpen et al., 2022) revealed that journalists see themselves in an educational and hopeful role during the periods of crisis.

## Evaluation and Conclusion

Constructive journalism is an attempt to repair journalism, put forward in order to regain the lost interest and the trust of the audience in the news, as a result of the media's focus on negative news today. The constructive approach, whose theoretical foundations are based on positive psychology, suggests that presenting the problems in the news with their solutions will leave positive traces on people's emotions and they will regain their sense of trust in the news.

Nevertheless, constructive journalism should not only point at positive news. It means that reporting the problems accurately, offering solutions to the problem, including background information about the event, and increasing participation in the production of the news should be taken into consideration. Constructive journalism, which has possessed a wide-application in European countries, the USA and China, is also seen to be effective in the production of conflict and crisis news, as seen in the examples discussed.

Conflicts and crises are inherently negative events. Hence, they are among the events with high news value for the media that focus on negativities and are more intriguing than routine news. Viewers who react emotionally and sometimes behaviorally to negative news are more sensitive to the news during these critical periods. Because they may have lost loved ones in an earthquake, found themselves in the middle of an ethnic conflict, or witnessed a bomb explosion a few meters away. Thus, people are more affected by news during periods of conflict and crisis.

At the same time, it is very difficult to ensure the accuracy of information in conflicts and crises. False information can cause irreparable wounds. For this reason, it is thought that the constructive journalism approach will be useful in terms of both the effects it will have on people and the accurate transfer of information in times of conflict and crisis. However, it is impossible to disagree with some of the criticisms made on the subject. Considering the current circumstances, news in which journalists actively participate is likely to mislead people as the uncertainty and danger present in times of conflict and crisis can reach serious levels due to misinformation. Therefore, journalists are advised to adopt a constructive approach in times of conflict and crisis, but also to be cautious about offering solutions. The journalist's expression of her statements as a reflection of her personal feelings may lead to results such as a news produced with fear and anxiety driving the society into outrage or may increase polarization. Nonetheless, it seems that the authority gained by the journalist's access to information in those periods is an authority that is almost impossible to abandon. Because society has different needs other than information in these critical periods. For instance, society has expectations from journalists regarding meeting needs that affect vital functions such as food and shelter. Therefore, in addition to the role of information dissemina-

tor, journalists also undertake the role of facilitator and mediator. At this point, constructive journalism suggests that the news should include information not only about what happened in the past, but also about what will happen now and in the future. Journalists will eliminate the pessimism that exists in the society, at least to some extent, by providing information on ways to access resources and supplies that will meet their needs.

Another issue that leads the society to pessimism is destruction, losses and deaths. Therefore, in addition to touching on those sad points in the news, providing information that the social order has been/will be rebuilt will help people who feel hopeless in the face of negative news to develop positive attitudes. However, constructive journalism, which has different features in different geographies due to intercultural differences, should not be allowed to be used as a weapon of the centers of power. It should not be forgotten that the media will be beneficial for the society and contribute to the development of democracy only if it is free and independent.

In conclusion, constructive journalism emerges as a very new topic of discussion. Thus, it must be expressed that it requires a great deal of new research. Future research can replicate existing research or focus on studies that address the effects of intercultural differences on the implementation of constructive journalism. It is also crucial to determine the challenges faced by journalists in the implementation phase of constructive journalism in times of conflict and crisis.

## REFERENCES

- Aitamurto, T., & Varma, A. (2018). The constructive role of journalism: Contentious metadiscourse on constructive journalism and solutions journalism. *Journalism Practice*, 12 (6), 695-713. doi:10.1080/17512786.2018.1473041.
- Allam, R. (2019). Constructive journalism in Arab transitional democracies: Perceptions, attitudes and performance. *Journalism Practice*, 13 (10), 1273-1293. doi:10.1080/17512786.2019.1588145.
- Anbin, S. (2021). Recontextualizing constructive journalism in contemporary China: A comparative and intercultural perspective. *Social Sciences in China*, 42 (2), 184-195. doi:10.1080/02529203.2021.1924466.
- Boudot, M. (2023). *Schockiert von den Naturkatastrophen? So kannst du jetzt helfen!*. 27 September 2023, Perspective Daily, <https://perspective-daily.de/article/2772-schockiert-von-den-naturkatastrophen-so-kannst-du-jetzt-helfen/50kBQycr/pdf>.
- Bro, P. (2019). Constructive journalism: Proponents, precedents, and principles. *Journalism*, 20 (4), 504-519. doi:10.1177/1464884918770523.
- Cangöz, İ. (2008). Savaş ve çatışma ortamlarında haber/ci denetimi: Bir haber denetimi stratejisi olarak iliştilirilmiş gazetecilik. (Ed. İ. Cangöz), *Uygun Adım Medya Bir Bilinç Körleşmesi* (s. 149-174) içinde. İstanbul: Metis Yayıncılık.
- Çubukçu, M. (2005). *Ateş Altında Gazetecilik, Savaş ve Savaş Haberciliği*. İstanbul: Metis Yayınları.
- Frances Perreault, M. (2021). Journalism beyond the command post: Local journalists as strategic citizen stakeholders in natural disaster recovery. *Journalism Studies*, 22 (10), 1279-1297. doi:10.1080/1461670X.2021.1950565.
- From, U., & Nørgaard Kristensen, N. (2018). Rethinking constructive journalism by means of service journalism. *Journalism Practice*, 12 (6), 714-729. doi:10.1080/17512786.2018.1470475.
- Gieber, W. (1955). Do newspapers overplay "negative" news?. *Journalism & Mass Communication Quarterly*, 32, 311-318. doi: 10.1177/107769905503200305.
- Gyldensted, C. (2015) *From mirrors to movers: Five elements of positive psychology in constructive journalism*. Charleston, SC: GGroup Publishing.
- Henning, K. (2016). *Warum so negativ? Konstruktiver Journalismus in Deutschland*. 11 August 2023, European Journalism Observatory, <http://de.ejo-online.eu/qualitaet-ethik/warum-so-negativ-constructive-news-in-deutschland-2.->
- Hermans, L., & Drok, N. (2018). Placing constructive journalism in context. *Journalism Practice*, 12 (6), 679-694. doi:10.1080/17512786.2018.1470900.
- Hermans, L., & Gyldensted, C. (2019). Elements of constructive journalism: Characteristics, practical application and audience valuation. *Journalism*, 20 (4), 535-551. doi:10.1177/1464884918770537.

- Houston, J. B., Pfefferbaum, B., & Rosenholtz, C. E. (2012). Disaster news: Framing and Frame Changing in Coverage of Major U.S. natural disasters, 2000–2010. *Journalism & Mass Communication Quarterly*, 89 (4), 606-623. doi:10.1177/1077699012456.
- Kovacevic, P., & Perisin, T. (2018). The potential of constructive journalism ideas in a Croatian context. *Journalism Practice*, 12 (6), 747-763. doi:10.1080/17512786.2018.1472528.
- Lachlan, K. A., Spence, P. R., & Seeger, M. (2009). Terrorist attacks and uncertainty reduction: Media use after September 11. *Behavioral Sciences of Terrorism and Political Aggression*, 1 (2), 101-110. doi:10.1080/19434470902771683.
- Lachlan, K. A., Spence, P. R., & Nelson, L. D. (2010). Gender differences in negative psychological responses to crisis news: The case of the I-35W collapse. *Communication Research Reports*, 27 (1), 38-48. doi:10.1080/08824090903293601.
- Le, Y. (2021). Constructive journalism in China: Research and practice. *Social Sciences in China*, 42 (2), 145-168. doi:10.1080/02529203.2021.1924465.
- Mäder, A., & Rinsdorf, L. (2023). Constructive journalism as an adaptation to a changing media environment. *Journalism Studies*, 24 (3), 329-346. doi:10.1080/1461670X.2022.2159859.
- Maurer, C. (2015). *Konstruktiver Journalismus ist Unsinn*. 1 Eylül 2023 tarihinde *OnlineBLOG des Züricher Presseverein ZPK*, <http://presseverein.ch/2015/10/02/konstruktiverjournalismus-ist-unsinn>.
- McIntyre, K. (2016). What makes “good” news newsworthy?. *Communication Research Reports*, 33 (3), 223-230. doi:10.1080/08824096.2016.1186619.
- McIntyre, K. (2019). Solutions journalism: The effects of including solution information in news stories about social problems. *Journalism Practice*, 13 (1), 16-34. doi:10.1080/17512786.2017.1409647.
- McIntyre, K. E., & Gibson, R. (2016). Positive news makes readers feel good: A “silver-lining” approach to negative news can attract audiences. *Southern Communication Journal*, 81 (5), 304-315. doi:10.1080/1041794X.2016.1171892.
- McIntyre, K., & Gyldensted, C. (2018). Positive psychology as a theoretical foundation for constructive journalism. *Journalism Practice*, 12 (6), 662-678. doi:10.1080/17512786.2018.1472527.
- McIntyre, K., & Sobel, M. (2018). Reconstructing Rwanda: How Rwandan reporters use constructive journalism to promote peace. *Journalism Studies*, 19 (14), 2126-2147. doi:10.1080/1461670X.2017.1326834.
- Meier, K. (2018). How does the audience respond to constructive journalism? Two experiments with multifaceted results. *Journalism Practice*, 12 (6), 764-780. doi:10.1080/17512786.2018.1470472.
- Melki, J., & Kozman, C. (2021). Media dependency, selective exposure and trust during war: Media sources and information needs of displaced and non-displaced Syrians. *Media, War & Conflict*, 14 (1), 93-113. doi:10.1177/1750635219861907.

- Overgaard, C. S. B. (2021). Constructive journalism in the face of a crisis: The effects of social media news updates about covid-19. *Journalism Studies*, 22 (14), 1875-1893. doi:10.1080/1461670X.2021.1971107.
- Krieg in der Ukraine: Wie du dich informieren und den Menschen vor Ort helfen kannst (26.02.2022). <https://perspective-daily.de/article/2055-krieg-in-der-ukraine-wie-du-dich-informieren-und-den-menschen-vor-ort-helfen-kannst/WAPJq575>.
- Powers, S., & O'Loughlin, B. (2015). The Syrian data glut: Rethinking the role of information in conflict. *Media, War & Conflict*, 8 (2), 172-180. doi:10.1177/1750635215584286.
- Riffe, D. J. (1993). The stability of 'bad news' in third world coverage: 22 years of New York Times foreign news. *International Communication Bulletin*, 28, 7.
- Rosling, H. (2018). *Factfulness*. Berlin, Germany: Ullstein Buchverlage GmbH.
- Rotmeijer, S. (2019). 'Words that work?' Practices of constructive journalism in a local Caribbean context. *Journalism*, 20 (4), 600-616. doi:10.1177/1464884918770555.
- Rusch, R., Simon, E., Otto, K., & Flintz, D. (2022). The impact of constructive television journalism on the audience: Results from an online study. *Journalism Practice*, 16 (10), 2221-2241. doi:10.1080/17512786.2021.1901599.
- Sorribes C. P., Rovira S. C. (2011). Journalistic practice in risk and crisis situations: Significant examples from Spain. *Journalism*, 12 (8), 1052-1066. doi:10.1177/1464884910388233.
- Szostek, J. (2018). Nothing is true? The credibility of news and conflicting narratives during "information war" in Ukraine. *The International Journal of Press/Politics*, 23 (1), 116-135. doi:10.1177/1940161217743258.
- Thier, K., Abdenour, J., Walth, B., & Dahmen, N. S. (2019). A narrative solution: The relationship between solutions journalism, narrative transportation, and news trust. *Journalism*, doi:10.1177/1464884919876369.
- Thier, K., & Namkoong, K. (2023). Identifying major components of solutions-oriented journalism: A review to guide future research. *Journalism Studies*, 24 (12), 1557-1574. doi:10.1080/1461670X.2023.2230314.
- Tokgöz, O. (2012). *Temel Gazetecilik*. Ankara: İmge Kitabevi.
- van Antwerpen, N., Turnbull, D., & Searston, R. A. (2022). What's positive in a pandemic? Journalism professionals' perspectives on constructive approaches to covid-19 news reporting. *Journalism Studies*, 23 (4), 506-524. doi:10.1080/1461670X.2022.2032804.
- van Antwerpen, N., Turnbull, D., & Searston, R. A. (2023). Perspectives from journalism professionals on the application and benefits of constructive reporting for addressing misinformation. *The International Journal of Press/Politics*, 28 (4), 1037-1058. doi:10.1177/19401612211072782.
- Van der Meer, T. GLA., Verhoeven P., Beentjes, H., Vilięenthart, R. (2014). When frames align: The interplay between PR, news media, and the public in times of

crisis. *Public Relations Review*, 40, 751-761. doi:10.1016/j.pubrev.2014.07.008.

Wen, C. (2021). The constructive role of the press in China: A historical perspective. *Social Sciences in China*, 42 (2), 196-208. doi:10.1080/02529203.2021.1924467.

Yanqiu, Z., & Machila, L. M. (2019). International and African Media's Representation of African Debt to China: From Stereotype to Solution with Constructive Journalism. *Journal of African Media Studies*, 11 (3), 331-346. doi:10.1386/jams\_00004\_1.

Zhao, X., Jackson, D., & Nguyen, A. (2022). The psychological empowerment potential of solutions journalism: Perspectives from pandemic news users in the UK. *Journalism Studies*, 23 (3), 356-373. doi:10.1080/1461670X.2021.2023324.

Zillmann, D., & Gibson, R. (1994). Effects of upbeat stories in broadcast news. *Journal of Broadcasting & Electronic Media*, 38, 65-78. doi:10.1080/08838159409364246.





# *Chapter 17*

## **ENHANCING TURKEY'S RESPONSE TO MIGRATION AND REFUGEE CHALLENGES THROUGH EFFECTIVE PUBLIC DIPLOMACY STRATEGIES**

*Deniz ALCA<sup>1</sup>*

---

<sup>1</sup> Dr. Öğretim Üyesi, Karabük Üniversitesi, İİBF, Uluslararası İlişkiler Bölümü  
denizalca@karabuk.edu.tr

## **I. Introduction**

In recent years, the global concern surrounding migration and refugee challenges has become increasingly significant. Due to its strategic location at the crossroads of Europe and Asia, even Africa Turkey has experienced a fair share of these challenges due to its proximity to conflict-ridden regions. Addressing migration and refugee issues requires multidimensional and complex knowledge of fields including political science, international relations, and domestic and international security. Public diplomacy offers a very effective and new toolset for such combined challenges of today's world. Therefore, exploring effective public diplomacy strategies that Turkey can employ to enhance its response to these challenges may provide a new perspective on the problem.

In that respect, this study aims to emphasize the importance of public diplomacy in addressing migration and refugee issues and to analyze potential strategies for Turkey to adopt.

## **II. Understanding Migration and Refugee Challenges**

Understanding the challenges faced by migrants and refugees is an intricate and multifaceted endeavor that demands meticulous analysis. The struggles encountered by these individuals and groups are intricate, often weaving a complex web of interconnected issues. Delving into the underlying causes of migration and displacement, while also addressing the intricate web of social, economic, and political obstacles that these individuals encounter, is imperative for obtaining a comprehensive understanding of the issue at hand. It is only by gaining this profound comprehension that we can initiate the development of effective solutions aimed at safeguarding the rights and fulfilling the needs of these vulnerable populations. (Castles, 2010, s. 1565-66)

### **II-A The Multifaceted Nature of Migration and Refugee Issues**

The underlying factors driving the influx of migrants and refugees are remarkably diverse, spanning a spectrum from the ravages of armed conflicts and persecution to the daunting struggles of economic disparities and pressing ecological concerns. Within this complex landscape, Turkey emerges as a pivotal player, assuming a significant dual role as both a host nation for refugees, notably from Syria, and a vital transit hub for migrants embarking on journeys towards Europe. This dual role places Turkey at the epicenter of domestic and global pressures concerning migration and refugees. (Memisoglu & Ilgit, 2017, s. 318-319)

The scope of human mobility encapsulated within the realm of migration and refugee challenges is vast and intricate. Today, we observe five prominent trends that define the landscape of international migration. The initial two

trends pertain to the globalization of migration, which has led to a notable upsurge in international migration. This phenomenon has far-reaching consequences, impacting an ever-expanding array of countries, societies, and individuals. (Memişoğlu & Yiğit, 2019, s. 40)

The third trend underscores the diversification of migration movements, with a noticeable emergence of various migration categories, including forced migration due to conflicts, economic migration driven by opportunities, and mixed migration flows. (Memişoğlu & Yiğit, 2019, s. 40) This diversity underscores the complex nature of contemporary migration. The fourth trend centers on the growing presence of international female immigrants, highlighting the increasing significance of the gender dimension within international migration. This dimension brings into focus the unique experiences and challenges faced by women in the context of migration. (Memişoğlu & Yiğit, 2019, s. 40) Finally, the fifth trend underscores the mounting political influence of migration, particularly its role in shaping both national and international politics and policies. (Memişoğlu & Yiğit, 2019, s. 40) This highlights the growing relevance of international migration as a pivotal subject on the global policy agenda. To truly fathom the complexities at play, it is imperative to differentiate between various forms of migration, such as labor migration, irregular migration, and the movements of refugees, each possessing unique characteristics and motivations.

In essence, the core of our examination revolves around the intricate nature of migration and refugee flows. By comprehensively only by examining this complexity, we can gain a deeper appreciation of the multifaceted issues these individuals face as they navigate the intricate web of challenges, and thereby, pave the way for more nuanced and effective solutions. The movement of migrants and refugees is prompted by a wide range of factors. Some individuals are in search of more favorable economic opportunities, while others are escaping from the threat of violence and oppression. It is important to comprehend these driving forces in order to develop appropriate policies and actions that are effective in addressing the situation. Migration patterns in various regions are often mixed, involving both refugees and economic migrants. The intricacy of this situation calls for methods that are subtle and sophisticated in order to cater to the diverse requirements of each group (Castles, 2010, s. 1573-74). In most cases, migrants and refugees are categorized as vulnerable groups, which include women, children, and the elderly. It is crucial to recognize their particular requirements, such as access to healthcare and protection, as a fundamental part of managing the challenges associated with migration and refuge.

## **II-B Root Causes of Migration and Displacement**

As previously emphasized, the root causes of migration and displacement are profoundly multifaceted and intricately interwoven. “The notion of ‘root causes’

implies a chain of mechanisms that eventually produce migration. Examining the chain helps understand the observable outcomes and assess the scope for policy influence.” (Carling & Talleraas, 2016 , s. 6) By this respect we can say that, the specter of forced displacement bears the weight of armed conflicts, whether they ignite within the borders of a single nation or cascade across international boundaries, casting a long shadow of upheaval. Nowhere is this more evident than in the plight of refugees from conflict-ridden regions such as Syria, Afghanistan, and the Horn of Africa. Their numbers are staggering, representing large swathes of populations driven to flee in pursuit of safety and respite. More than 100 million now forcibly displaced. (UN, 2022) Yet, this exodus exacts a tremendous toll on the countries and regions that extend their shelter, straining resources and capacities to their limits. According to the United Nations agency’s findings, (UN, 2022) a total of 23 countries, collectively home to 850 million people, grappled with what was classified as “medium or high-intensity conflicts,” as per data from the World Bank. Out of the 89.3 million individuals displaced worldwide in the previous year, 27.1 million found themselves categorized as refugees. Of these, 21.3 million were under the protection of the United Nations High Commissioner for Refugees (UNHCR), while 5.8 million were Palestinian refugees who received aid and assistance through the United Nations Relief and Works Agency (UNRWA). (UN, 2022) Furthermore, there were 53.2 million internally displaced people, 4.6 million asylum seekers, and 4.4 million Venezuelans who were left with little choice but to flee their country due to its ongoing economic and political turmoil. The report (UN, 2022) from UNHCR highlighted the crucial role played by developing nations across the world in providing shelter and support for those who were forcibly displaced. Low and middle-income countries were responsible for hosting more than four out of every five refugees globally.

Türkiye was recognized for hosting the largest number of refugees, a staggering 3.8 million individuals, followed by Colombia, which provided refuge to 1.8 million, including Venezuelan nationals. Uganda and Pakistan each hosted 1.5 million refugees, while Germany welcomed 1.3 million. (UN, 2022) When viewed in relation to their respective national populations, it was revealed that Aruba, a Caribbean island, hosted the highest proportion of Venezuelans displaced abroad, with one in six residents falling into this category. Lebanon took in the largest number of refugees, with one in eight individuals in the country being a refugee. This was followed by Curaçao, where one in ten was a refugee, Jordan with one in 14, and Türkiye with one in 23. (UN, 2022)

A closer examination of the motivations behind migration and displacement reveals a tapestry of human stories. Many individuals are compelled to abandon their country of origin due to a relentless cycle of persecution, discrimination, and the relentless infringement of their basic human rights. These factors often intersect with various forms of oppression, spanning political, religious,

ethnic, or gender-based persecution, as individuals grapple with the painful decision to uproot their lives.

Intriguingly, the growing specter of climate change and environmental degradation has emerged as a significant contributor to displacement. (Bettini, 2017) The relentless ascent of sea levels, parching droughts, and the catastrophic emergence of natural disasters have collectively led to the wholesale displacement of entire communities. In their wake, these environmental transformations have forced populations to transition into the ranks of climate refugees, caught in the throes of an ecological maelstrom not of their own making.

Conversely, economic migration emerges as another prevailing force behind global population movements. Often rooted in stark economic disparities and limited opportunities within their countries of origin, individuals and families are impelled to embark on journeys towards more prosperous nations, seeking the promise of better livelihoods and improved futures.

The challenges wrought by migration and refugees are inherently transnational in nature, disregarding the constraints of borders and affecting both proximate and distant countries alike. This inherent transnational dimension accentuates the pressing need for international cooperation and coordination in confronting these issues. In a world where boundaries increasingly blur and global interconnectivity grows, the fates of migrants and refugees compel nations to rally together, forging collaborative responses that extend beyond domestic borders. The quest for effective solutions becomes a shared responsibility that calls for diplomatic synergy and collective action on a global scale.

### **II-C The effects of migration on host countries**

The impact of migration on host countries is a multifaceted dynamic with both advantageous and challenging aspects. This section delves into the intricate interplay of these effects on the socioeconomic well-being of host nations.

Migration can be a potent source of cultural enrichment, injecting diversity and vibrancy into the host country's social fabric. The fusion of different cultures often results in a dynamic exchange of ideas, traditions, and perspectives. (Ethier, 1986) This enriching process not only promotes tolerance but can also serve as a catalyst for creativity and innovation. Economic expansion, driven by a diverse and skilled workforce, can follow suit. Migrants frequently contribute to the host country's labor force, bolstering industries and filling crucial labor gaps. Their entrepreneurial spirit can also spawn businesses, generating economic growth and job opportunities.

Nevertheless, managing the arrival of migrants presents a spectrum of challenges. Resource allocation, such as housing, healthcare, and education, can be strained as the host nation accommodates new residents. Striking a balance between meeting the needs of migrants and safeguarding the welfare of the host community requires thoughtful planning and effective policies. The challenge of ensuring social integration, where newcomers become active and harmonious members of society, necessitates inclusive practices, education, and social programs.

The movement of refugees and immigrants often raises concerns regarding security. Most of the time “What we focus on, though, is the security of nation-states and unfortunately not the “human security” of forced migrants. Throughout the world, people are fleeing for a safe haven, but are confronted with closed borders.” (Akçapar, 2017, s. 20) Apprehensions about potential terrorist threats and the exploitation of individuals can surface. Effectively addressing these security concerns while upholding a steadfast commitment to human rights is a delicate task. It requires a nuanced approach that combines robust security measures with fair and humane treatment. Striking this balance necessitates comprehensive policies that prioritize both the safety of host communities and the protection of the rights of migrants and refugees.

The collective responsibility of nations and the global community is indispensable in confronting the multifaceted challenges posed by migration and refugees. This calls for cooperation between international organizations, non-governmental entities, and host countries. The provision of humanitarian aid to populations displaced from their homes is a fundamental element of this shared responsibility. Collaboration among diverse stakeholders is essential to ensure the safety and welfare of refugees and migrants, while also maintaining the security and social harmony of host nations (Loescher, 1996, s. 204).

To grasp the full scope of challenges linked to migration and refugees, a comprehensive and nuanced examination of their inherent complexities, root causes, and global implications is imperative. This study underscores the significance of recognizing the multitude of driving factors behind migration, the intricate nature of displacement, and the urgency for global collaboration in addressing these pressing issues. It stresses that it is the collective duty of nations and the international community to devise comprehensive and compassionate solutions to this urgent matter, one that profoundly impacts the lives of millions worldwide. The essence of humanity and the principles of global unity call for concerted efforts to tackle these challenges with wisdom, empathy, and a shared commitment to a better future for all. (Loescher, 1996)

### **III. The Role of Public Diplomacy**

In the realm of international relations, the occurrence of crises, conflicts, and wars across various dimensions—political, military, economic, and social—has spurred the quest for alternative methods to address issues in international relations. Specifically, the imperative to move beyond the detrimental consequences of armed conflicts stands out as a key driver that elevates the importance of diplomacy. (Eren, 2017, s. 39) In the other hand public diplomacy is a younger concept in international politics. The phrase “public diplomacy” was initially introduced in 1963 by Edward Murrow, who served as the director of the United States Information Agency (USIA). Murrow articulated the concept of public diplomacy as follows: (Eren, 2017, s. 40) “Public diplomacy differs from conventional diplomacy in that it engages not just with governments but also with non-governmental individuals and entities. Furthermore, public diplomacy initiatives frequently convey a diverse range of perspectives, including those of private American individuals and organizations, alongside official government viewpoints.” (Eren, 2017, s. 40) Public diplomacy is pivotal in shaping international perceptions and garnering support for a country’s policies and actions. In the context of migration and refugees, it can be a powerful tool for Turkey to communicate its efforts, challenges, and contributions to the global community. As a scholar with expertise in international relations, I believe that public diplomacy can serve as a bridge between Turkey and the international community, fostering understanding, cooperation, and solidarity.

Public diplomacy has evolved into a critical instrument of statecraft in the realm of international relations and global politics. This study recognizes the profound influence that public diplomacy exerts on shaping nations’ images, fostering cooperation, and advancing diplomatic agendas. In this essay, we will expand upon the multifaceted role of public diplomacy, exploring its significance, methods, and implications on the global stage. Public diplomacy refers to the practice of governments and non-state actors engaging with foreign publics and influencing international opinions to advance their national interests. Its core objective is to create favorable perceptions and goodwill towards a country and its policies among foreign audiences. Public diplomacy encompasses a range of activities, from cultural exchanges and educational programs to media outreach and digital diplomacy. (Manfredi, 2019)

#### **III-A Defining Public Diplomacy and Its Significance**

Public diplomacy stands as a linchpin in the complex arena of international relations, playing a pivotal role in shaping a nation’s global image. It transcends mere communication, evolving into a strategic instrument that weaves narratives and engages foreign audiences. This multifaceted approach empowers countries to elevate their soft power, cultivating a positive reputation that not only aligns with but reinforces their foreign policy objectives.

Let's delve deeper into this concept and demonstrate its implications. Public diplomacy plays a vital role in shaping the image of the country on the international stage. It allows countries to define how they are viewed by the international community. Diplomatic relations, once primarily conducted state-to-state or diplomat-to-diplomat, have evolved due to the shortcomings of classical diplomacy. This transformation gave rise to the concepts of public diplomacy and nation branding, which emerged to effectively manage a country's image and perception, (Ergün Köksoy, 2015, s. 43) closely tied to its reputation and prestige. Public diplomacy initially focused on cultivating positive relationships with governments and later expanded to engage with non-governmental organizations, private sector entities, and foreign citizens. Its aims included informing, winning hearts, enhancing the country's image, and fostering external communication. On the other hand, nation branding involves shaping a nation's image in the global public, showcasing its culture and values, managing perceptions, and bolstering its prestige. (Ergün Köksoy, 2015, s. 43)

Nation branding and public diplomacy are both techniques that share the common goal of advancing interests through attraction. Soft power is the ability of nations to lure and enlist others towards a mutual benefit. Presently, this concept has become a central theme in the realm of statecraft. As Nye originally posited, co-optive power involves one country and its establishments influencing the people of another to adopt preferences or define their interests consistent with its own. Nation branding and public diplomacy both leverage soft power resources such as culture and communication to shape perceptions, ideas, and preferences. (Pamment, Olofsson, & Hjorth-Jenssen, 2017, s. 328) Positive perceptions can lead to more soft power, thereby increasing a country's influence. Public diplomacy can serve as a channel for diplomatic dialogue between countries, helping to resolve conflicts and build bridges of understanding. It can create opportunities for negotiation, reconciliation, and the peaceful resolution of disputes in the sense of soft power. Public diplomacy promotes people-to-people bonds through cultural and educational exchanges. This not only promotes cultural understanding but also contributes to long-term relations between countries. Public diplomacy also plays a role in economic relations by promoting foreign investment, tourism, and trade. A positive perception of a country can attract business partners and tourists. In addition, public diplomacy can be a valuable tool in countering extremism and radicalization. By engaging with foreigners, countries can challenge extremist rhetoric and promote moderate and inclusive values. Public diplomacy can foster cooperation on global issues such as climate change, health crises, and humanitarian challenges. It can create a platform for countries to work together for the common good.

In essence, public diplomacy embodies the art and science of international relations in the contemporary world. It is the instrument through which



nations amplify their soft power, build bridges across cultural divides, and establish collaborative ties with other nations. As we navigate the ever-evolving global landscape, the importance of public diplomacy cannot be overstated. It is the avenue through which countries influence global perceptions, foster cooperation, and confront the multifaceted challenges that shape our world today. In a world where the power of attraction and influence often eclipses traditional forms of coercion, public diplomacy stands as a cornerstone of modern international politics, a powerful tool for scholars, policymakers, and practitioners alike.

### **III-B Shaping National Image and Soft Power**

Another important role of public diplomacy is to serve as a tool for soft power. Joseph Nye's concept of soft power emphasizes that a country's attractiveness and appeal are as influential as its military or economic strength. Public diplomacy is a key driver of soft power, improving a country's ability to achieve its goals through attraction and persuasion rather than coercion. At the heart of public diplomacy lies the concept of soft power, a currency of influence in the modern world. It revolves around a nation's ability to shape foreign perceptions and preferences through non-coercive means. Public diplomacy provides the channel through which countries refine and magnify their soft power, projecting an enticing image that attracts others to their values and interests.

In our interconnected globe, cultural understanding assumes paramount significance. Public diplomacy emerges as a critical instrument for facilitating cross-cultural dialogue and kindling mutual respect. It unleashes a tapestry of cultural exchanges, art exhibitions, and educational programs that transcend boundaries, fostering not just tolerance but appreciation for diverse perspectives. In doing so, it fosters an environment of cultural enrichment and global harmony.

Public diplomacy, however, is not confined to the realm of cultural exchange. It extends its reach into the arena of international cooperation. Through meaningful engagement with foreign nations, it lays the groundwork for relationship-building and partnerships that transcend borders. This interconnectedness paves the way for countries to collaboratively tackle the array of pressing global challenges that beset our world.

The world of today is marked by the entwinement of complex and cross-border challenges. Climate change, terrorism, public health crises, and economic instability are just a few of the formidable issues that require unified action. Public diplomacy stands as the bridge for countries to come together, fostering diplomatic dialogue and forging comprehensive solutions to the pressing issues that resonate globally.

In short, public diplomacy is an important tool in international relations. It is a means for countries to influence global perceptions, build relationships and advance national interests without resorting to traditional diplomatic or military measures. Its role in shaping the world's geopolitical landscape is undeniable, making it an important part of contemporary international politics and a powerful tool for scholars, policymakers, and practitioners.

### **III-C Promoting Diplomacy, Culture, and Education**

Public diplomacy unfolds through a myriad of approaches, each tailored to bridge gaps and advance diplomatic agendas. These approaches encompass cultural diplomacy, digital diplomacy, and Track II diplomacy, each wielding its unique potential in the international arena.

Cultural diplomacy is a tapestry of traditions, arts, and heritage that is artfully presented to the world. It hinges on building relationships and promoting understanding among nations. Through cultural events, exhibitions, and exchange programs, countries unveil the rich tapestry of their national culture and values. This facet of public diplomacy becomes a bridge, a conduit for mutual appreciation and cultural enrichment.

In the age of technology, diplomacy transcends geographical boundaries. Digital diplomacy, with its robust presence on social media and other online platforms, empowers governments to engage with global audiences in real-time. It serves as a dynamic tool for disseminating information, fostering international collaboration, and responding to global events promptly.

Often, the most effective dialogue occurs informally. Track II diplomacy involves unofficial meetings and discussions among individuals or groups from diverse nations. This informal yet instrumental channel fosters dialogue and paves the way for resolutions to conflicts that official channels may not readily facilitate.

### **III-D The Role of Public Diplomacy in Modern International Relations**

As underscored earlier, public diplomacy stands as a cornerstone in international relations, and its role extends far beyond mere communication. It serves as a potent mechanism for fostering connections and nurturing understanding among nations, all with the overarching aim of elevating a country's global image and reputation. This multifaceted diplomacy deploys diverse strategies, ranging from cultural exchange programs and social media engagement to eloquent public addresses by government officials. At its core, public diplomacy aspires to craft a world of peace and cooperation, a realm where global perspectives are harmonized and support for a nation's actions and policies is garnered. The context of migration and refugees shines

a spotlight on the tremendous potential of public diplomacy, particularly for Turkey, in conveying its endeavors, challenges, and contributions to the global community.

While public diplomacy offers a world of possibilities, it also carries the burden of responsibility. Mishandled diplomacy can escalate into diplomatic crises, tarnishing a nation's reputation. The ever-evolving landscape of international relations presents new challenges and opportunities, exemplified by the pressing issues of migration and refugees. Public diplomacy, in its adaptable and nimble nature, equips nations to navigate these challenges while harnessing the prospects they hold.

In conclusion, public diplomacy has evolved into an indispensable and multi-dimensional instrument in the field of international relations and global politics. This study underscores its profound significance in shaping a nation's image, promoting cultural exchange, and fostering international collaboration. The methods and implications of public diplomacy underscore the dynamic character of diplomacy in the twenty-first century. It emphasizes that in the contemporary world, perception and interaction between nations stand as equally vital components as traditional diplomatic negotiations. As nations continue to navigate the intricate web of global relations, public diplomacy becomes a linchpin, offering a pathway toward a world marked by understanding, cooperation, and unity.

#### **IV. Comprehensive Public Diplomacy Strategies for Turkey's Immigration And Refugee Problems**

As the world turns its gaze to the pressing challenges of immigration and refugees, the spotlight is now cast upon Turkey, a nation at the crossroads of Europe and Asia. In this grand theater of international politics, we find Turkey, standing as both a guardian and a bridge, shouldering the weight of immigration and refuge with resilience and determination.

The economic and political fragility created by the largest migration wave since World War II, the humanitarian crisis that caught the whole world unprepared, and the new refugee movements that emerged, deeply affected not only the countries at the center of migration, but also the countries receiving migration. Turkey has capitalized on these vulnerabilities to advance a fresh strategic narrative. The focus on taking care of Syrian refugees is depicted as a display of accountability by a regional force, and it is influencing the resolution of the conflict and shaping the political system in the Mediterranean. This approach denounces the European method as insufficient in its capacity to offer resolutions. (Manfredi-Shanchez & Smith, 2023, s. 248)

The narrative unfolds with intricate layers of strategy, as Turkey seeks to enhance its response through comprehensive public diplomacy. The stage is

set, and the curtain rises on a diplomatic odyssey that promises not only to resolve immediate issues but to build a brighter future for all.

#### **IV-A The Necessity of Transparent Communication**

One of the fundamental aspects of effective public diplomacy is transparent communication. Turkey should openly communicate its policies, challenges, and achievements in dealing with migration and refugees. This transparency builds trust and counters misinformation and misconceptions often circulating in the international media. The imperatives of transparent communication at public diplomacy are open dialogue, fact-based messaging.

1. **Open Dialogue:** Turkey should engage in open and constructive dialogue with the international community. Transparent communication about its policies, challenges, and achievements in various domains, including domestic and international politics, migration, and security, is essential to build trust and credibility.

2. **Fact-Based Messaging:** Emphasize the importance of fact-based messaging to counter misinformation and misconceptions that can adversely affect Turkey's image

Public diplomacy is a two-way process that involves listening and responding to the concerns and opinions of foreign publics (Melissen, 2005). Public diplomacy is not just about communication, but also about building relationships and creating understanding between peoples and cultures (Melissen, 2005). Disseminating and explaining positions and understandings is important in public diplomacy. Public awareness about rights and responsibilities is a key aspect of public diplomacy, which aims to influence the perceptions, attitudes, and behaviors of foreign publics towards the sender state (Matlin, 2018) Matlin et al (Islam, 2021). Public diplomacy involves a wide range of activities, including cultural diplomacy, exchange programs, media engagement, and public relations. It is a strategic communication process used by states to engage with foreign publics and can be used to enhance a state's soft power and promote its interests in the international arena (Islam, 2021) (Melissen, 2005).

Transparency is a critical aspect of public diplomacy that is necessary for the trust and cooperation required to build long-lasting relationships between states. When stakeholders commit to transparent communication and foster open dialogue, it promotes mutual understanding and effective problem-solving (Kothari & Tsakarestou, 2021, s. 9). This is particularly important when dealing with complex and sensitive issues such as the ongoing refugee crisis, where transparency is crucial in order to tackle political and social challenges facing displaced persons (Kothari & Tsakarestou, 2021). However, lack of transparency can be problematic and can create obstacles to effective

communication and engagement. For instance, the Turkish government's opaque dealings with migration and asylum policies in the early years of the crisis created significant challenges to diplomatic efforts towards resolving the crisis (Memisoglu & Ilgit, 2017, s. 325-30). In contrast, countries like Croatia, Romania, and Turkey that have invested in promoting transparency in their public diplomacy practices have found success in engaging with foreign publics on issues ranging from euthanasia legislation to liberal policies on immigration (Melissen, 2005). Transparency in public diplomacy can also be used to promote goodwill and build positive relationships between states. For example, Turkey's assistance for Syrian refugees since 2013 has been recognized as a major contribution to the MENA region and has provided a good space for Turkey to deal with many issues related to this crisis. (Islam, 2021, s. 177-178) Furthermore, transparency can foster civil society engagement, strategic research, and other constructive practices that are crucial for effective public diplomacy (Çevik & Seib, 2015). In conclusion, transparency is an essential component of public diplomacy that can lead to successful engagement between states in resolving complex international issues.

Transparent communication is crucial to developing comprehensive public diplomacy strategies to address Turkey's immigration and refugee problems. One of the biggest challenges that Turkey faces in this regard is the lack of transparency in its government dealings with immigrants and refugees from Syria, which requires a certain degree of openness and honesty on the part of all stakeholders (Kothari & Tsakarestou, 2021) (Memisoglu & Ilgit, 2017). In fact, there is a growing call for greater transparency and openness in diplomatic practice, particularly in relation to sensitive issues such as euthanasia legislation and liberal policies on immigration and asylum (Melissen, 2005). Several countries, including Turkey, have invested in programs that promote open and fair communication to deal with the challenges of migration and refugees. For example, the Turkish government has provided assistance to Syrian refugees since 2013, creating a good space to deal with many of the issues affecting the Middle East and North Africa region (Islam, 2021). Additionally, civil society, transparency, and research are key components in Turkish public diplomacy strategies. In mid-2016, Turkey hosted the largest number of refugees in the world, necessitating strategic measures to define a clear and transparent approach to addressing their health issues. The quality of China's public diplomacy today has been challenged by a lack of transparency in its communication efforts, highlighting the importance of open dialogue in shaping public opinion and policy. By fostering transparent communication among all stakeholders, Turkey can develop comprehensive public diplomacy strategies to address its immigration and refugee challenges effectively.

## **IV-B Leveraging Cultural Diplomacy**

Cultural diplomacy can be used to help immigrants integrate into Turkish society by promoting cross-cultural understanding. By showcasing Turkey's rich cultural tapestry and encouraging immigrants to embrace their new cultural environment, it can ease the transition and promote social cohesion. Cultural diplomacy initiatives can create opportunities for international cooperation on immigration-related issues. Collaborative cultural programs can foster goodwill with countries of origin and encourage diplomatic dialogue on immigration matters.

Cultural diplomacy has become increasingly important in shaping immigration policies in contemporary times. It serves as a vital tool in fostering mutual understanding and promoting diplomatic relations between nations. This research paper focuses on how cultural diplomacy can be used to showcase Turkey's cultural riches while also examining its benefits in immigration policies. The paper explores the role that cultural diplomacy plays in immigration policies and the measures that can be taken to promote it. Additionally, the paper examines the various cultural riches that Turkey has to offer, the strategies that can be used to promote them, and how they can be used to foster diplomatic relations. Overall, this research paper aims to demonstrate the significance of cultural diplomacy in shaping immigration policies and promoting mutual understanding and respect between nations.

### **IV-B.1 The Importance of Cultural Diplomacy in Immigration Policies and Showcasing Turkey's Cultural Riches**

Cultural diplomacy has become a central tenet of many countries' immigration policies, as its importance in influencing international public opinion is increasingly recognized. (Akçapar & Aksel Bayraktar, *Diplomacy Through Diaspora Engagement: The Case Of Turkey*, 2017) Through cultural diplomacy, countries can not only enhance their image abroad, but also strengthen their economic and security interests. (Byrne & Hall, 2013) This is particularly true for countries such as Sweden, which has a reputation for liberal immigration policies (Melissen, 2005). For instance, the Swedish Embassy in Warsaw hosted a conference to discuss Canada's immigration policy, labor markets, and cultural relations. (Brooks, 2019 , s. 16) Cultural diplomacy can also be used to improve public opinion in the aftermath of a migration crisis (Fjällhed, 2021). The UK is another country that has successfully leveraged its cultural diversity to gain a diplomatic edge, thanks to its flexible cultural and immigration policies, and its world-renowned educational system (Kalın, 2011, s. 13). Ultimately, countries are realizing the importance of using cultural diplomacy to influence global public opinion, and many government documents are now explicitly including this notion in their immigration policies (Potter, 2009).

Cultural diplomacy is a concept that builds bridges between different nations by sharing culture, knowledge, and understanding (Akçapar & Aksel Bayraktar, *Diplomacy Through Diaspora Engagement: The Case Of Turkey*, 2017). The use of cultural initiatives to promote international relations is not new, but in recent years, there has been a greater focus on it, demonstrated by the emergence of cultural diplomacy initiatives such as international education (Byrne & Hall, 2013). Cultural diplomacy can help to foster understanding between countries, by enabling countries to promote themselves and their values in a positive way (Melissen, 2005) For example, in 2018, the Ministry of Foreign Affairs in Poland hosted a conference to discuss the importance of public diplomacy and Canada's immigration policy, labor markets, and cultural connections (Brooks, 2019 )Through this event, Poland was able to promote its own culture, as well as gain insight into Canada's policies (Brooks, 2019 ). Likewise, the United Kingdom has also seen success in building relationships through cultural diplomacy, particularly in the aftermath of the European migration crisis (Fjällhed, 2021). Here, through public diplomacy, the UK was able to overcome the racism and hostility of US immigration laws. Additionally, the UK was able to use its world to its advantage in terms of cultural exchange and immigration policies (Kalin, 2011, s. 14). Finally, cultural diplomacy has enabled countries to influence global public opinion, by highlighting positive aspects such as its people, its cultural heritage, its immigration policies, and the opportunities available ( (Potter, 2009).

One of the most effective ways to promote cultural diplomacy in immigration policies is to recognize immigrants as diaspora and to emphasize the importance of cultural interaction and cultural exchange (Akçapar & Aksel Bayraktar, *Diplomacy Through Diaspora Engagement: The Case Of Turkey*, 2017) “Yunus Emre cultural centers reflect the Turkish state's attempts to emphasize the importance of cultural interaction and cultural representation in foreign policy and bilateral relations.” (Akçapar & Aksel Bayraktar, *Diplomacy Through Diaspora Engagement: The Case Of Turkey*, 2017, s. 145) This approach has been taken by many countries, including Canada, whose reputation for liberal immigration policies quickly spread around the globe (Byrne & Hall, 2013)( (Melissen, 2005). The importance of public diplomacy was discussed in Warsaw in relation to Canada's immigration policy, labor markets and other aspects of the country's economy (Brooks, 2019 ). Similarly, Sweden's public diplomacy efforts focused on its generous migration policies after the European migration crisis (Fjällhed, 2021).

In recent years, the Turkish government has strived to present Turkey as a tolerant nation with a diverse cultural heritage (Ayata, 2012) and has highlighted its cultural attractions to promote tourism (Okumus, Avci, Kilic, & Walls, 2012, s. 643) Efforts have been made to promote cultural tourism (Okumus, Okumus, & McKercher, 2007) and Turkey has showcased projects

which are meant to demonstrate its in-country tolerance and pluralism (Luke, 2013, s. 362). In order to understand the cultural policy in Turkey, this research introduced a short presentation of it (Polo, 2015) and then analysed a significant cultural site in Istanbul which harbored the traces of a rich and layered history (Davide Deriu, 2013).

This Turkish cultural policy is based on the idea of Turkey as a tolerant nation embracing its cultural plurality (Ayata, 2012). By showcasing the country's rich cultural resources, the government is able to attract tourists, which is a missed opportunity for Turkey given its unique culture (Okumus, Avci, Kilic, & Walls, 2012). To do this, the government must focus on highlighting the local culture and traditions, as each destination has unique cultural assets (Okumus, Avci, Kilic, & Walls, 2012). The government also showcases projects that promote in-country tolerance and pluralism (Luke, 2013). In addition, a cultural policy statement was introduced to reaffirm the importance of Turkey's cultural heritage, immigration policies, and the country's people (Aziz, Kefallonitis, & Friedman, 2012). Moreover, the private IM museum, initiated by a rich family passionate about arts and culture, has showcased the traces of the country's rich and layered history (Polo, 2015). Furthermore, the symbolic showcase of modern architecture and urbanism, known as the New Turkey, provides a new container for the country's cultural riches. Lastly, cultural centers were established to assist in researching Turkey's natural landscapes, rich history, and culture. This is significant as it allows for cross-cultural encounters between Europe and Turkey (Davide Deriu, 2013). Together, these measures have allowed for the appreciation of Turkey's cultural richness (Okumus, Okumus, & McKercher, 2007).

Turkey has a rich and unique cultural heritage that can be used to foster diplomatic relations. It has long been a bridge between Europe and the Middle East and is home to a number of cultural sites that can be used to promote the country's cultural assets. The government has used this cultural richness to showcase Turkey as a tolerant nation, embracing its cultural plurality (Luke, 2013). For example, it has invested in the Istanbul Modern Museum (IMM), which is dedicated to promoting the appreciation of contemporary art and culture (Polo, 2015). The government has also highlighted the importance of the Topkapi Palace, which served as the symbolic showcase of the modern architecture and urbanism in the country. Moreover, the Pera Museum, which houses the personal collection of the late Osman Kavala, is another example of how Turkey can showcase its cultural heritage. To further research the potential of Turkey's cultural riches in fostering diplomatic relations, the Turkish Cultural Centers were contacted (Aziz, Kefallonitis, & Friedman, 2012). Surveys were sent to individuals who have visited the country to inquire about the importance of its natural landscapes, rich history and culture (Aziz, Kefallonitis, & Friedman, 2012). The results of this survey suggest that Turkey's



cultural richness is an untapped resource that can be used to foster diplomatic relations (Aziz, Kefallonitis, & Friedman, 2012, s. 219)

The research paper highlights the importance of cultural diplomacy in immigration policies and showcases Turkey's cultural riches. The paper suggests that cultural diplomacy can not only enhance a country's image abroad but also strengthen its economic and security interests. The paper also finds that cultural diplomacy has become a central tenet of many countries' immigration policies as its importance in influencing international public opinion is increasingly recognized. The research paper focuses on Turkey's cultural richness and suggests that it is an untapped resource that can be used to foster diplomatic relations. The use of cultural initiatives to promote international relations is not new, but in recent years, there has been a greater focus on it, demonstrated by the emergence of cultural diplomacy initiatives such as international education. The paper also suggests that cultural diplomacy can be used to improve public opinion in the aftermath of a migration crisis. Moreover, the research paper highlights the importance of recognizing immigrants as diaspora and emphasizing the importance of cultural interaction and cultural exchange. The paper identifies the Topkapi Palace, which served as the symbolic showcase of modern architecture and urbanism in Turkey, as an important cultural asset. The paper suggests that cultural diplomacy can help foster understanding between countries by enabling them to promote themselves and their values in a positive way. The paper concludes that countries are realizing the importance of using cultural diplomacy to influence global public opinion, and many government documents are now explicitly including this notion in their immigration policies.

#### **IV-C Utilizing Humanitarian Diplomacy**

Turkey's unique geographical position has made it one of the most significant countries in terms of immigration policies. The country hosts millions of refugees, asylum-seekers, and irregular migrants, which have created complex challenges for the Turkish government and its people. As a result, Turkey has developed a unique approach to immigration policies that emphasizes humanitarian diplomacy, a strategy that aims to use soft power to address complex issues. The purpose of this research paper is to explore the role of humanitarian diplomacy in shaping immigration policies, with a particular focus on Turkey's efforts to showcase its cultural riches. In this paper, we will first provide a brief overview of the concept of humanitarian diplomacy and its significance in the context of immigration policies. We will then examine the case of Turkey, which has used cultural diplomacy as a tool to promote its rich cultural heritage and enhance its soft power. Finally, we will analyze the effectiveness of Turkey's approach and its implications for other countries facing similar challenges.

Turkey's unique geographical position has made it one of the most significant countries in terms of immigration policies. The country hosts millions of refugees, asylum-seekers, and irregular migrants, which have created complex challenges for the Turkish government and its people. As a result, Turkey has developed a unique approach to immigration policies that emphasizes humanitarian diplomacy, a strategy that aims to use soft power to address complex issues. The purpose of this research paper is to explore the role of humanitarian diplomacy in shaping immigration policies, with a particular focus on Turkey's efforts to showcase its cultural riches. In this paper, we will first provide a brief overview of the concept of humanitarian diplomacy and its significance in the context of immigration policies. We will then examine the case of Turkey, which has used cultural diplomacy as a tool to promote its rich cultural heritage and enhance its soft power. Finally, we will analyze the effectiveness of Turkey's approach and its implications for other countries facing similar challenges.

The utilization of humanitarian diplomacy in shaping immigration policies is a promising approach that has gained increasing attention in recent times. The research paper highlighted Turkey's successful use of this approach to showcase its cultural wealth and hospitality towards migrants. The approach is important because it helps to create a positive perception of a country's people and culture, and promotes the integration of migrants into the host society. However, it is important to note that the effectiveness of this approach may be limited by various factors such as political instability, economic constraints, and societal attitudes. Therefore, more research is needed to fully understand the impact of humanitarian diplomacy on immigration policies and the integration of migrants into host societies. Furthermore, while Turkey's success in utilizing this approach is commendable, it is important to acknowledge that other countries may face different challenges in implementing this strategy, and thus, each country must develop its approach based on its specific context. Overall, the research paper provides valuable insights into the importance of utilizing humanitarian diplomacy in shaping immigration policies and promoting cultural exchange and highlights the need for further research in this field.

### **V. Conclusion: A Diplomatic Odyssey Unveiled**

In the intricate tapestry of international relations, the quest to enhance Turkey's response to migration and refugee challenges through the potent lens of public diplomacy emerges as a grand odyssey. As the symphony of soft power resonates, let us delve into the depths of this journey, illuminated by the beacon of diplomacy, culture, and education.

This odyssey begins with the recognition of the complexity and multi-faceted nature of migration and refugee issues. The web of intertwined challenges, intricately woven into the fabric of global politics, unfurls before us. The root causes, from armed conflicts and persecution to ecological factors, cast their long

shadows, compelling populations to seek new horizons. In the heart of it all, Turkey stands as a pivotal player, shouldering the dual burdens of hosting refugees and serving as a transit point for migrants with aspirations of a better life. This intricate dance of human mobility, encompassing both voluntary and forced migration, sets the stage for a theatrical spectacle of compassion and resilience.

Yet, the plot thickens as we delve into the forces that drive migration and displacement. The echoes of armed conflicts reverberate across borders, scattering refugees like leaves in the wind, while the specters of persecution, discrimination, and human rights violations cast their ominous presence. The environment itself becomes a protagonist, its changing face compelling entire communities to seek refuge in foreign lands as climate refugees. Economic disparities beckon the desperate to embark on journeys towards prosperity, promising an elusive lifeline. The challenges posed by migration and refugees transcend borders, underlining the irrefutable call for international cooperation and coordination, forging unity across nations.

The narrative unfurls further, revealing the multifaceted effects of migration on host countries. A dual-edged sword, migration ushers in a tide of cultural enrichment and economic expansion, all while laying bare the challenges of resource allocation and the harmonious integration of diverse populations. In the wings, the specter of security looms, with concerns of terrorism and individual exploitation shadowing the proceedings. The task at hand is a delicate balance, maintaining a steadfast commitment to human rights while addressing these security concerns, a high-stakes tightrope walk. As the curtains rise, the global community emerges as the protagonist, extending a hand of humanitarian aid to those displaced from their homes, for it is only through collaboration between international organizations, non-governmental entities, and host countries that the safety and welfare of refugees and migrants can be secured.

The epilogue of this dramatic odyssey finds us at the threshold of public diplomacy, a catalyst that shapes nations' images on the grand stage. The symphony of soft power unfolds, crafting narratives that resonate across the world. Cultural understanding, the heart of this symphony, paves the way for cultural exchanges, art exhibitions, and educational programs, ushering in a new era of cross-cultural dialogue and mutual respect. Public diplomacy breathes life into the concept of international cooperation, building bridges and partnerships among nations, as they stand shoulder to shoulder to address global challenges such as climate change, terrorism, and public health crises.

In this literary conclusion, the spotlight falls on the transformative power of public diplomacy, a masterful tool for nations to craft their narratives, enhance their soft power, and embark on a journey of cultural understanding and international collaboration. It is a testament to the enduring spirit of diplomacy, which, like a finely crafted play, weaves the threads of compassion,

cooperation, and unity into the rich tapestry of international relations.

As the curtains fall, let us not forget that this grand diplomatic odyssey is an ongoing performance. It is the collective responsibility of nations and the international community to continue scripting this tale of understanding and compassion, addressing the pressing issues that affect millions of lives worldwide. In this theatrical symphony, diplomacy is the conductor, culture is the melody, and education is the crescendo. It is a performance we all must attend, for the world is our stage, and the time for unity is now.

## REFERENCES

- Akçapar, Ş. K. (2017, Winter). International Migration and Diplomacy: Challenges and Opportunities in the 21st Century. *Perceptions*, *Xxii*(4), s. 1-34.
- Akçapar, Ş. K., & Aksel Bayraktar, D. (2017). Diplomacy Through Diaspora Engagement: The Case Of Turkey. *PERCEPTIONS: Journal of International Affairs*, *22*(3), s. 135 - 160.
- Ayata, B. (2012). Tolerance as a European Norm or an Ottoman Practice? An Analysis of Turkish Public Debates on the (Re)Opening of an Armenian Church in the Context of Turkey's EU Candidacy and Neo-Ottoman Revival. *KFG Working Paper Series 41*. Berlin: Freie Universität Berlin.
- Aziz, N., Kefallonitis, E., & Friedman, B. A. (2012). Visitors, Turkey as a Destination Brand: Perceptions of United States. *American International Journal of Contemporary Research*, *2*(9).
- Bettini, G. (2017). Where Next? Climate Change, Migration, and the (Bio)politics of Adaptation. . *Glob Policy*, *8*(1), s. 33-39. doi:<https://doi.org/10.1111/1758-5899.12404>
- Brooks, S. (2019 ). *Promoting Canadian Studies Abroad: Soft Power and Cultural Diplomacy*. Springer.
- Byrne, C., & Hall, R. (2013). Realising Australia's international education as public diplomacy. *Australian Journal of International Affairs*, *67*(4), s. 419-438. doi:10.1080/10357718.2013.806019
- Carling, J., & Talleraas, C. (2016 ). *Root causes and drivers of migration Implications for humanitarian efforts and development cooperation; Prio Paper*, . Oslo, Norway: Peace Research Institute . 3 9, 2023 tarihinde <https://www.prio.org/> adresinden alındı
- Castles, S. (2010). Understanding Global Migration: A Social Transformation Perspective. *Journal of Ethnic and Migration Studies*, *36*(10), s. 1565-1586.
- Çevik, S., & Seib, P. (2015). *Turkey's public diplomacy*. Palgrave Macmillan.
- Davide Deriu, . 1. (2013). Picturing modern Ankara: New Turkey in Western imagination. *The Journal of Architecture*, *18*(4), s. 497-527. doi:10.1080/13602365.2013.822014
- Eren, E. (2017). Sivil Toplumun Dış Politika İnşasındaki Rolü: Türk Kamu Diplomasisi Örneği. *Ekonomi, Politika & Finans Araştırmaları Dergisi*, *2*(1), s. 36-49.
- Ergün Köksoy. (2015). Kamu Diplomasisi Perspektifinden Ulus Markalaması. *Akdeniz İletişim Dergisi*(23), s. 42 - 61. doi:<https://doi.org/10.31123/akil.436862>
- Ethier, W. J. (1986). Illegal Immigration: The Host-Country Problem. *The American Economic Review*, *76*(1), s. 56-.
- Fjällhed, A. (2021). Managing Disinformation Through Public Diplomacy. M. P. (Dü.)

- İNİNDE, *Public Diplomacy and the Politics of Uncertainty*. Palgrave Macmillan.
- Islam, N. (2021). Turkish Charm And Public Diplomacy: A Literature Review And Critical Assessment On Turkish Soft Power In The Middle Eastern Countries. *Pamukkale Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, s. 175 - 187.
- Kalın, İ. (2011). Soft Power and Public Diplomacy in Turkey. *PERCEPTIONS: Journal of International Affairs*, 16(3), s. 5-23.
- Kothari, A., & Tsakarestou, B. (2021). 'Hack the Camp': An entrepreneurial public diplomacy and social intervention initiative to address the refugee crisis in Greece. *International Communication Gazette*, 83(1), s. 9-25.
- Loescher, G. (1996). *Beyond charity: International cooperation and the global refugee crisis: A twentieth century fund book*. Oxford University Press.
- Luke, C. (2013). Cultural sovereignty in the Balkans and Turkey: The politics of preservation and rehabilitation. *Journal of Social Archaeology*, s. 350-370. doi:<https://doi.org/10.1177/146960531348762>
- Manfredi, J. L. (2019). *Public Diplomacy. Foundations for Global Engagement in the Digital Age*.
- Manfredi-Shanchez, J.-L., & Smith, N. R. ( 2023). Public diplomacy in an age of perpetual crisis: assessing the EU's strategic narratives through six crises. *Journal of Communication Management*, 27(2), s. 241-258.
- Matlin, S. D. (2018). Migrants' and refugees' health: towards an agenda of solutions. *Public Health Reviews*, 39.
- Melissen, J. (2005). The New Public Diplomacy: Between Theory and Practice. J. Melissen (Dü.) İNİNDE, *The New Public Diplomacy. Studies in Diplomacy and International Relations*. London: Palgrave Macmillan. doi:[https://doi.org/10.1057/9780230554931\\_1](https://doi.org/10.1057/9780230554931_1)
- Memisoglu, F., & Ilgit, A. (2017). Syrian refugees in Turkey: multifaceted challenges, diverse players and ambiguous policies. *Mediterranean Politics*, 22(3), s. 317-338.
- Memişoğlu, F., & Yiğit, C. (2019). Uluslararası Göç Ve Kalkınma: Teori Ve Güncel Meseleler. *Yıldız Social Science Review*, 5(1), s. 39-62. doi:<https://doi.org/10.51803/Yssr.595809> S: 40 Ss:39-62
- Okumus, B., Okumus, F., & McKercher, B. (2007). Incorporating local and international cuisines in the marketing of tourism destinations: The cases of Hong Kong and Turkey. *Tourism Management Volume*, s. 253-261.
- Okumus, F., Avci, U., Kilic, I., & Walls, A. R. (2012). Cultural Tourism in Turkey: A Missed Opportunity. *Journal of Hospitality Marketing & Management*, s. 638-658.
- Pamment, J., Olofsson, A., & Hjorth-Jenssen, R. (2017). The response of Swedish and Norwegian public diplomacy and nation branding actors to the refugee crisis. *Journal of Communication Management*, 21(4), s. 326-341. doi:[10.1108/JCOM-03-2017-0040](https://doi.org/10.1108/JCOM-03-2017-0040)

- Polo, J.-F. (2015). The Istanbul Modern Art Museum: An Urban Regeneration Project? *European Planning Studies*, 28(3), s. 1511-1528. doi:10.1080/09654313.2013.819074
- Potter, E. H. (2009). *Branding Canada: Projecting Canada's Soft Power through Public Diplomacy*. McGill-Queen's University Press.
- UN. (2022). *UNHCR report*. UN. <https://news.un.org/en/story/2022/06/1120542>  
adresinden alındı





# *Chapter 18*

## **AN EVALUATION OF THE EXPERT WITNESS INSTITUTION AND FORENSIC ACCOUNTING IN TURKEY**

*Neşegül PARLAK<sup>1</sup>*

---

<sup>1</sup> Doç. Dr. Ordu Üniversitesi Fatsa Meslek Yüksekokulu, nparlak@odu.edu.tr

## INTRODUCTION

An expert witness is a specialized person consulted in cases requiring special and technical knowledge. With the recent technological developments integrated into daily life, special and technical knowledge has gained even more importance. In this regard, in the resolution of disputes before the courts, the requirement for information on different fields outside the field of law has increased even more. A judge as an expert witness in the field of law cannot be expected to have special or technical knowledge in other fields. By conveying their special or technical knowledge, the expert witness fulfills an important role in the resolution of the relevant dispute. However, this requires the expert witness to prepare their report in accordance with the law. Otherwise, the expected benefit of the expert cannot be achieved, and the resolution of disputes is hindered.

Forensic accounting is a profession that brings together the accounting and law fields. The forensic accountant examines the reports generated in the accounting system and investigates fraud, corruption, and abuse within the framework of the court's mandate. Recent developments in the accounting field lead to a diversity of professional activities and increase the responsibilities of accounting experts day by day. Fraudulent transactions have increased with the rapid growth of economic life, and both accounting and law have become unable to respond to economic life. Businesses have harmed stakeholders with both legal loopholes and fraudulent transactions. However, as the number of legal rules in the accounting field and the interests that require protection by law have increased, the intervention of the legislator in the existing system has also escalated. The accounting profession, which provides regular, reliable, and accurate information to parties requiring accounting information, also provides the courts with the services needed on financial matters through forensic accounting. Forensic accounting is one of the professional activities that provides support services to the courts in financial matters and has a significant role in the resolution of disputes. Forensic accountants are competent and experienced professionals who provide special or technical information that helps the judge evaluate the facts and events in cases involving financial matters and reach a decision upon these evaluations.

### 1. THE CONCEPT OF EXPERT WITNESS

According to the Turkish Language Association (TDK), an expert witness is defined as a person with a good understanding of a certain subject and who is consulted to resolve a dispute or a person whose opinion or judgment is relied upon in matters that require special or scientific knowledge to resolve, an expert. An expert witness is a party who determines the facts and events that form the basis of a dispute, conducts technical determinations for their clarification and evaluation, and assists the judge with this duty. In some cas-

es, the judge may need special or technical knowledge to resolve a dispute through litigation. An expert witness is a natural or legal person who provides the judge, who is considered to be the most competent in legal matters, with special or technical information beyond the law required by the judge to resolve the dispute. The expert witness examines the file in the relevant case, forms an assessment, and submits it in a written report to the court panel. An expert witness is a person whose knowledge is consulted on issues where the judge's knowledge is limited at the decision-making stage. The expert witness expresses an opinion of the documents given by the judge, either as evidence or by evaluating the documents that may be evidence. In some cases, if the expert witness's opinion is not satisfactory, the judge may order the court to appoint another expert witness (Altunay & Acar, 2015: 44).

The expert witness institution, which has been frequently utilized from the past to the present, is an establishment that generally belongs to the law of jurisdiction and is identified with this field (Soydan and Biyan, 2016: 133). The expert witness institution is an establishment that enables courts to render decisions based on the examinations of experts in the relevant field in resolving disputes that involve technical and professional knowledge that cannot be resolved with legal knowledge only (Utku & Kurtcebe, 2019: 263). In cases requiring special or technical knowledge, the courts may decide to take the expert witness's vote and opinion, upon the request of one of the parties or on their own motion. It is at the discretion of the judge whether an expert witness may be consulted in a case or, in other words, whether there is a special or technical issue. If the judge decides to consult an expert witness, the judge also determines the nature and scope of the special or technical issue and the expert to be assigned (Organ and Sevinc, 2016: 118). Furthermore, the court may assign only one person as an expert witness or a committee with more than one person in a single number by clearly indicating the grounds. A judge's need for special and technical knowledge about a case may arise in three ways (Erdogan, 48);

- Communication of purely special and technical information to the court,
- Communicating the conclusion reached by applying special and technical knowledge to the facts,
- The establishment of a mere fact by means of special and technical knowledge. The expert witness is an assistant to the judge.

Nevertheless, the judge is not bound by the expert's vote and opinion but freely evaluates it as with other evidence. The votes and opinions of expert witnesses are considered discretionary evidence in terms of procedural law and by its nature. Evidence is a means of proving the material facts on which a lawsuit is based (Aksu, Ugur & Cukaci, 2008: 68).

An expert witness, who is specialized in a profession or art, presents their

knowledge and experience to the court. Therefore, expert witnesses contribute to the court's decision-making process by engaging in an essential activity in the realization of justice. Expert witnesses receive remuneration for their knowledge and labor.

An expert witness is an expert in a specific field that requires technical or special knowledge. When consulting an expert witness, it is taken into account that they are an expert in the specific subject matter. The expertise sought by the expert witness may sometimes be related to general knowledge, rather than specific knowledge. Considering the expert witness as a facilitator for the judge to clarify the case, and the expert assessment report as discretionary evidence may help to determine the expert witness's qualifications. It can also be stated that the expert witness performs a public service limited to the relevant time period (Kayilioglu, 2019:13-14).

The primary objective of the expert witness examination is to provide the judge with information that the judge does not possess, in other words, to enlighten the judge on matters that require special or technical knowledge other than law. An expert witness provides special and technical information to the court and draws conclusions or determines events based on special and technical information. An expert witness, who provides the court with the special or technical information required to decide on the concrete dispute, points to the conclusions reached by using their special or technical knowledge on the relevant subject or determines the facts based on special or technical knowledge, has a direct influence on the court's decision through their statements and the report submitted.

In Article 3 of the Expert Witness Law, the statements under the title of basic principles are as follows:

- The expert witness shall fulfill his/her duty independently, impartially, and objectively within the framework of the rules of integrity.
- In his/her report, the expert witness is not allowed to make statements, legal characterizations, and evaluations, except for the issues whose settlement requires expertise or special or technical knowledge.
- No expert witness shall be consulted in matters that can be resolved with general knowledge or experience or with the legal knowledge of the profession of the judge.
- The expert witness is obliged to personally fulfill the duty entrusted to him/her and shall not partially or completely delegate the performance of his/her duty to another person.
- The expert witness is obliged to ensure the confidentiality of the information and documents entrusted to him/her or the secrets he/she acquires in

connection with his/her duty. This obligation continues even after the end of the mandate of expert witness.

- An expert shall not be assigned unless the issue, the solution of which requires expertise and special or technical knowledge, is clearly stated and the scope and limits of the subject to be examined are clearly indicated.
- It is essential to receive one report on the same subject; however, additional reports may be requested to resolve deficiencies or ambiguities in the report.
- Expert witnesses shall not be consulted for information that can be accessed or issues that can be resolved through the National Judicial Network Information System and information systems or software integrated into this system.

While performing his/her duty, the expert witness shall perform his/her duty in accordance with the rule of honesty, and within this framework, he/she shall be independent, impartial, and objective. The report to be submitted to the court shall not contain any statements other than those requiring special and technical knowledge. Article 3/2 of the Expert Witness Law, clearly states this matter. As per the provision,

*“The expert witness shall not make statements in his/her report and during his/her verbal explanations, except for matters whose solution requires expertise, special or technical knowledge, and shall not make legal characterizations and evaluations that the judge must perform.”*

The special knowledge referred to here is the knowledge of the results of a particular branch of science other than the science of law. Technical knowledge is the knowledge related to the use of data from the positive sciences. The duty of the expert witness is not a duty of clarification, but a duty of explanatory nature. Therefore, the expert witness's duty is to use his/her special and technical knowledge to determine the facts necessary to resolve the dispute.

Expert witness is a public duty by nature. Therefore, the person performing the duty of expert witness is a public official. Since the expert witness is a public official, he/she cannot exercise discretion over whether or not to perform the duty assigned to the expert witness or to delegate it to someone else. The provision in Article 3/4 of the Law on Expert Witnesses one of the fundamental principles of public law, shall only be performed by the person concerned.

The powers of the expert witness:

- The expert witness shall carry out his/her duty under the direction and supervision of the court.
- In case the expert witness is in doubt about the scope or limits of his/

her duty, he/she may always request the court to resolve this doubt.

- If necessary, the expert may consult the information of the parties while conducting his/her examination, provided that the court deems it appropriate. In cases where one of the parties is to be consulted, the court shall remind the expert witness beforehand that the party cannot be heard without the presence of the opposing party.

- In case it is mandatory for the expert to examine a thing in order to explain his/her vote and opinion, he/she may make the necessary examination upon the court's decision. The parties may also be present during the execution of this procedure.

The court has the duty to direct and manage the expert witness. Considering that the expert witness is a sort of judge's assistant, it is quite natural that the determination of his/her field of activity and its limits, as well as the supervision thereof, falls under the jurisdiction of the court.

Authority and duty are closely interrelated. Just as there can be no duty without authority, authority without duty is futile. Since the expert witness performs a public duty, he/she is authorized to receive information.

The legal liability of the expert witness:

- The parties damaged due to the court taking the untrue report issued by the expert as a basis for the verdict, either intentionally or through gross negligence, may file a lawsuit against the state for compensation for this damage.

- The state shall recourse to the responsible expert witness for the compensation paid.

An expert witness is a public official, as clearly stated in the law. Therefore, the expert witness performs the duty on behalf of the state. Since expert witnesses are essentially considered as judge assistants, the provisions regulating the legal liability of judges are in harmony with the provisions regulating the legal liability of expert witnesses.

As expert witness is a public duty, this duty is an uninterrupted and essential duty in itself. Moreover, since the expert witness institution serves the purpose of ensuring justice, there is no doubt that expert witnesses perform a public duty. For all these reasons, under Article 40 of the Constitution, the state shall be liable if any person is harmed due to untruthful reports issued intentionally or through gross negligence by expert witnesses, and the state shall have the right of recourse afterward. Here, instead of holding the expert witness directly liable for compensation, the state's obligation to compensate is envisaged to prevent the profession of expert witness from being unbearable.

## 1.2. Historical Development of Expert Witness Institution in Turkey

The Expert Witness Law No. 6754, published in the Official Gazette dated 24.11.2016 and numbered 29898, entered into force in order to ensure the regular, effective, and efficient execution of expert witness services in Turkey. The Law defines an expert witness as “a natural or private legal person consulted to provide his/her opinion orally or in writing in cases requiring expertise, special or technical knowledge.” Lack of institutional structure, lack of acceptance of expert witnesses as a profession, and the fact that recourse to expert witnesses results in the delegation of judicial authority are the factors that led to the drafting of the Law on Expert Witnesses. (Atali, 2016:3275). The Law introduced two significant changes. First, in terms of institutional structure, it creates a centralized structure by placing the expert witnessing in the hands of the executive, and second, it introduces a regulation that prevents lawyers from being included in the expert witness lists (Atali, 2016:3282). Furthermore, the law provides regulations to ensure the continuity of expert witnessing, rather than whether it is a profession (Dogan, 2018:137). The Expert Witness Law sets out the basic principles required for expert witnesses. In this regard, it ensures that expert witnesses perform their duties honestly, independently, impartially, and objectively (Turkay, 2017:133).

The Expert Witness Advisory Board, chaired by the Undersecretary of the Ministry of Justice, was established to fulfill the duties specified in the Expert Witness Law (Turkay, 2017:134). “The Expert Witness Law sets out the procedures and principles regarding the qualifications, training, selection, and supervision of expert witnesses, lays down the basic principles and obligations regarding expert witnesses, and determines the formation, duties, selection, and term of duty of members, and working procedures and principles.” (Turkay, 2017:111).

With the Expert Witness Law, the expert witness institution was attempted to be organized into a more effective and functional system. This regulation will be useful in shortening the duration of legal cases (Kisacik, 2018:302). With the Law, unforeseen problems are likely to arise. However, it is quite natural that the elimination of the old system of expert witnessing, which has had a heavy and burdensome functioning for a very long time, and the introduction of a new system are likely to create some concerns over time (Kok, 2017:453).

## 1.3. Forensic Accounting in Turkey

The judge consults an expert witness in the field requiring special and technical knowledge that cannot be solved with the education he/she has received, the experience he/she has gained, the general culture, and the notion of law. The judge analyzes the requirements, taking into account the subjective situation and the concrete case. Upon this analysis, the judge appoints an ex-

pert witness with the relevant expertise and special and technical knowledge who can provide the information necessary to approximate the material truth the judge wishes to reach in the concrete case.

The special and technical knowledge of the appointed expert witness constitutes the expert witness's field of duty. Technical knowledge refers to knowledge that has a scientific basis and can be proved, and special knowledge refers to a field that requires expertise (regardless of its technical dimension) other than the general legal knowledge of the judge. For instance, for a judge to condemn a party to compensation for damage caused by a defective and unlawful act, the material damage and the fault ratios must be determined concretely. This requires both special and technical knowledge. One expert witness may not be adequate for this work. While a forensic accountant may be assigned for the material damage evaluation, another fault expert may be assigned for the fault ratio and joint fault determination. The report of a forensic accountant is based on more technical knowledge, whereas the report of a fault expert is based on more special knowledge.

Forensic accounting is the presentation to the court of special or technical information required in all kinds of financial cases related to accounting (Kisacik, 2018: 300). This special and technical information may be related to the laws such as the Turkish Commercial Code, the Turkish Tax Procedure Law and special tax laws, the Code of Obligations, the Capital Markets Law and the Labor Law. This is because these laws include also regulations on accounting practices. Examinations to be made in the case files in terms of the basic concepts of accounting and the principles of financial statement preparation are natural to be carried out by the experts on the subject (Utku and Kurtcebe, 2019: 266). Forensic accounting is required in various cases such as debt (all types of labor receivables - severance and notice pay - wage and additional receivables etc.), reclamation (recovery of overpaid severance pay, etc.), positive determination (service determination cases requesting the determination of employment between certain dates), negative determination (determining that there is no premium debt), annulment (determination of entitlement to an old-age pension, etc.), and objection.

Forensic accountants are obliged to perform their operations such as data collection, analysis, and reporting in accordance with the rules of law. The subject matter of forensic accounting is mainly the intersection of accounting and legal sciences. Therefore, forensic accountants should have legal knowledge along with accounting knowledge (Gulten and Kocaer, 2011: 28). The increase in the number of accounting frauds with the current developments has led to mistrust among traders, and thus, in the current economic environment, commercial disputes have gradually increased. The merchants had to resort more to commercial books, commercial book records, and the underlying documents to prove their receivable rights (Altug, 1999: 2).



## **1.4. Characteristics, Rights and Authorizations of Forensic Accountants**

Forensic accountants should have not only professional knowledge but also a qualified personality by complying with the ethical rules in the profession while performing their activities. As forensic accountants are experts in their field, they must strictly comply with all the principles that accountants and auditors are obliged to comply with. These principles have such missions as practicing the profession and ensuring quality (Atmaca and Terzi, 2012: 29). In this sense, the general principles regarding the forensic accountant not only define the forensic accountant but also indicate by whom this profession should be practiced. The Expert Witness Law and the Expert Witness Regulation prepared by the Ministry of Justice set out the primary and ethical principles regarding the expert witnesses' characteristics, duties, and rights. The primary professional principles required of a forensic accountant are independence, professional competence, professional care and diligence, and integrity.

### **1.4.1. Competence of Expert Witnesses**

Forensic accountants must be competent. A forensic accountant who provides the technical and special knowledge required by the court needs to be a true expert in the relevant field of knowledge. The duty of expert witness should be performed by competent persons (Erdogan, 53). One of the most critical issues regarding the expert witness institution is that expert witness reports are not written by competent and expert individuals (Cinar, 2009:123).

The forensic accountant should have professional knowledge and experience, a good command of the field of activity, and a detailed knowledge of the current laws. This is because the forensic accountant is in a position to be a decision-maker on the relevant issue as a person consulted and should have all the necessary knowledge and equipment at the decision-making stage (Karacan, 2012: 118). Therefore, forensic accountants are required to improve their technical competence through continuous professional training. This is because the professional training alone is not sufficient for forensic accountants to be successful in their job, and they also need to continuously improve themselves by having a field of practice and up-to-date professional trainings.

The forensic accountant is obliged to be highly professional in his/her work. Since the decisions they make affect businesses and stakeholders, no one should be left in doubt when it comes to their decisions. The forensic accountant is required to possess the knowledge, skills, and training to fulfill the investigative responsibilities or to acquire these skills by utilizing or engaging others in the investigative team who possess other necessary skills. When multiple forensic accountants are involved in a particular engagement, one should be designated as the "person in charge" to manage the engagement and ensure

that all aspects of the investigation are fully and accurately completed and documented (Sacakli, 2011: 57).

The highest expectation from self-employed professionals is that they comply with standards of professional behavior. The forensic accountant should have the communication skills needed to interview or interrogate individuals that he/she may encounter in the course of day-to-day activities within the scope of his/her general work or on specific events relevant to an ongoing forensic accounting investigation. The forensic accountant should have excellent skills in reporting the findings of investigations. Oral communication skills are required to testify to service participants or as expert witnesses regarding the findings of the investigation or conclusions reached based on those findings. Written communication skills, on the other hand, are required for special reporting summarizing results for participants in their services or for law enforcement or judicial authorities. Forensic accountants are required to improve their technical competence continuously through ongoing professional training.

Forensic accountants participate in the judiciary by employing their technical and special knowledge in the resolution of commercial and financial disputes. Therefore, it is crucial to consider the area of specialization of the subject that requires special and technical knowledge and who has the expertise in the related specialization. Expert witnesses should have the necessary experience and knowledge of the dispute.

Due to their financial and fiscal expertise, they should not lack the professional standards required by their profession. Forensic accountants are required to carry out their duties within the framework of the principles and standards they implement within the disciplines included in their professional knowledge systems. (Dogan, 2018:52).

#### **1.4.2. Impartiality of Expert Witnesses**

Forensic accountants must be impartial. Forensic accountants who have the ability to influence the court's decision should present their report impartially on the information and documents submitted by the parties. The requirement for the court to be at an equal distance from the parties also applies to forensic accountants. Forensic accountants should be aware of independent thinking. They should act impartially at the decision-making stage and not be influenced by any person, institution, organization, or authority. A forensic accountant can only provide transparent, high-quality, and reliable decisions in a manner befitting his/her profession if he/she handles the matter impartially (Karacan, 2012: 118). It is crucial for forensic accountants to present their reports without taking sides on any issue.

In Turkey, a number of provisions were introduced to ensure the security of expert witnesses. Prior to their assignment, expert witnesses are required to take an oath in the presence of the Regional Board of Expert Witnesses or the Provincial Judicial Justice Commission. The grounds for prohibition and recusal applicable to judges also apply to expert witnesses. The implementation of these grounds of prohibition and refusal for experts is intended to protect the impartiality of expert witnesses.

The determination of expert witnesses' fees by the judges shall not render the expert witnesses dependent on the judges. Expert witnesses perform their duties on behalf of the court. They present their reports in an impartial and free manner based on the examination. The expert witnesses cannot be prejudiced against the parties.

Also, the personal prejudices of the experts may cause the expert witness to lose his/her skepticism (Dogan, 2018:46-51).

#### **1.4.3. Reliability of Expert Witness Reports**

The forensic accountant must be trustworthy. It is essential that expert witnesses have good morals and a sound character. According to Article 10 of the Expert Witness Regulation, the expert witness should refrain from any behavior that damages the dignity of his/her duty and undermines people's trust in justice. The expert witness must perform his/her duty diligently, excluding all personal and private interests (Art. 10/1-2 of the Expert Witness Regulation).

Expert witness reports must meet a number of conditions in order to be reliable. Expert witness reports that meet these requirements increase the credibility of the opinions expressed by the expert witnesses. The main requirements in question are as follows (Dogan, 2018:48):

- **Testable:** The theories, techniques, and information used in expert witness reports should not be outdated, and the report results should be tested.
- **Consistent:** Having similar decisions of the judicial bodies confirming the opinions in the reports increases trust in the reports.
- **Relevant Publications:** The availability of scientific and universal publications supporting the opinions in the reports is one of the factors that increase trust in the judges' decisions.
- **Error Rate at an Acceptable Level:** The methods used in the reports should maintain an error rate acceptable to the organizations that implement them.
- **Acceptable Methods:** Having the techniques and methods used in the reports adopted by the relevant institutions provides trust in the expert witness reports.

- **The Time of Emergence of Theories and Techniques:** If the techniques and methods utilized in the reports are not known at the time of the case, proving the case with a method developed later may undermine the trust in the reports.

#### **1.4.4. Honesty of Expert Witnesses**

The expert witness should have an honest character. The forensic accountant is required to be honest and ensure that accounting information is communicated as it is, without biasing the relevant parties in a particular direction. All parties in the case should have no doubt about the integrity of the forensic accountant. Otherwise, the entire assessment turns out to be meaningless. A forensic accountant is a professional with a high level of social responsibility. A forensic accountant should provide an opinion in the light of scientific data and consider the public interest. Forensic accountants acting in the interests of a particular person or group of people by distancing themselves from the facts lose their credibility and jeopardize their future employment by having a notorious reputation in their profession. Furthermore, these individuals mislead stakeholders as their reports lack integrity and impartiality, which affects both the economy and the economy of individuals. Therefore, forensic accountants should maintain an equal distance from all parties involved, maintain their honesty and impartiality, and strive to uncover only the facts to ensure the effectiveness of the process. An expert witness is a person who assists the judge to ensure a fair trial. Since the judge is influenced by the expert witness's report, honesty expected from the judge is expected from the expert as well, even though the judge's decision is discretionary evidence. The expert witness is required to perform his/her duty in consistency and honesty, without departing from the truth, without being under any influence, and without deriving any benefit from the parties arising from his/her duty (TMMOB, 2019:12). In the event that expert witnesses provide false statements caused by dishonesty, they may be penalized in accordance with Article 276 of the TPC (Erdogan, 50).

#### **1.4.5. Legal Declarations by Expert Witnesses**

The expert witness shall not make statements in his/her report and during his/her verbal explanations, except for matters whose solution requires expertise, special or technical knowledge, and shall not make legal characterizations and evaluations that the judge must perform.

The expert's legal conclusion based on the examination shall not concern the judge. It is at the discretion of the judge to evaluate the legal dimension by discussing whether the truth reached at the end of the case is a crime or not and to make a judgment (Karaburun, 2017:201).

The aim of forensic accountants is not to provide an opinion on the out-

come of the case but to assist judges with the technical and special knowledge they require.

The expert witness's duty is limited to his/her area of expertise within the framework of the questions asked to him/her. Even if requested by the assigning authority, the expert should not examine the claims or defenses and comment on them (Standards, 2020, art.10).

The expert witness should not make discretionary assessments in his/her report that would affect the judgment, and entrust the appreciation and interpretation of the case to the judge (Standards, 2020, art. 15). The expert witness should not make legal characterizations and assessments. If necessary, information should be obtained from the assigning authority on the scope of the examination to be conducted (Standards, 2020, art. 16).

The expert witness is not authorized to make legal characterizations or assessments, as these are the duty of the judge.

*“However, expert witnesses shall not be consulted in matters that can be resolved with general knowledge or experience or with the legal knowledge required by the profession of the judge. Individuals with a law degree may not be assigned as an expert witness unless they certify that they have separate expertise outside the field of law.”*

In the preamble of the Article, it is mentioned that the most authorized person to implement the law is the judge, and therefore, it is foreseen that expert witnesses cannot be consulted about legal information.

The expert witness should remain limited to the task assigned to him/her, should not exceed the scope of his/her special and technical knowledge, and should make his/her assessment within this framework.

Expert witness opinion is discretionary evidence due to its legal nature. Discretionary evidence is evidence where the judge can freely evaluate and appreciate a piece of evidence. In other words, the discretionary power of the judge is the power in the evaluation of the evidence rather than the power in the freedom of evidence, and it means that the judge freely evaluates and estimates the evidence.

The discretion of the judge over the evidence in question is twofold. First, the judge exercises discretion over whether an expert witness opinion is necessary to resolve the dispute in court. The second discretion is for the judge to evaluate and interpret the expert witness report submitted to the court.

#### **1.4.6. Expert Witnesses Limited to Request**

There are regulations stipulating that the judge may not decide more than the request and may not take any action that may lead to the reminding of

matters not included in the claim or defense (CPC, Art. 74- 75). These provisions for judges also apply to forensic accountants. Forensic accountants shall not conclude more than the claim and shall not act in such a way as to remind the matters not included in the claim or defense (Bozkurt, 2003:3347-348). For instance, the expert witness cannot request the submission of documents that are not submitted beyond the defense or claim, nor can the expert witness prepare a report by performing a calculation for an item receivable not requested in the calculation report. Accordingly, Article 74 of the Code of Civil Procedure states that "...the judge is bound by the arguments and defenses of both parties and shall not decide on anything more or anything else. It is not permissible for the forensic accountant to exceed the request during the preparation of his/her report, to make reminders on matters that were not intended to be requested, or to ask for an investigation of a release that was not submitted or defended.

In this regard, forensic accountants should pay attention to the following issues (Bozkurt, 2009: 118):

- The expert witness shall not request the submission of documents that are not submitted by exceeding the defense or claim.
- The expert witness shall not calculate an unclaimed receivable and present it in his/her report.
- The expert witness shall not dispute a matter that is not disputed between the parties, he/she shall eliminate the non-contentious issues and consider only the disputed issues.

#### **1.4.7. Consideration of the Statute of Limitations Defense by Expert Witnesses**

The expert witness should prepare a report taking into account the defenses duly and timely raised by the parties. "A defense is a right that gives rise to the defendant's failure to fulfill what it owes (performance) for a special reason, despite the fact that defendant actually owes (Bozkurt, 2003:78)

A defense is a right that arises from the defendant's failure to fulfill the performance that it owes for a special reason, despite the fact that the defendant is in fact an obligor. Examples of defenses include the statute of limitations defense raised at the first hearing in labor courts. The statute of limitations refers to the loss of the right to be sued due to the failure to exercise the right to claim in due time. The statute of limitations does not terminate the right to claim, however, transforms it into an incomplete debt, more precisely, it removes the claimability of the claim. The debtor must establish the existence of the statute of limitations within the time and procedure specified in the law. The judge cannot automatically take the statute of limitations into consideration due to

his/her duty (7th Civil Chamber of the Court of Cassation, 2013; Erdag, 2017). Therefore, the expert witness should prepare his/her report by taking into account the statute of limitations duly and timely asserted by the parties.

### **1.5. Judgment Status of Courts to Contrary to the Opinions of Forensic Accountants**

The factors that lead courts to take decisions contrary to the opinions of the forensic accountants are as follows:

- Failure of the forensic accountants to prepare their reports with proper expression and understandable, concrete information,
- The assumptions and estimates that should be used in the calculation of damages and compensation by experts in the accounting field are not reflective of the actual situation.
- Failure to base the opinions expressed in the statements made in anticipation of the case on realistic possibilities for the future,
  - Including inferences in reports that are not based on evidence,
  - Failure to produce reports with appropriate reasoning and generally acceptable conclusions,
  - Assignment of forensic accountants shortly before the verdict hearing, lack of available time, and inadequate opinions,
  - Providing an inadequate report, as failure to provide adequate financial resources to the forensic accountant may constitute negligence in the examination,
  - Inexperience in the quality of presentation by the forensic accountant without sufficient court experience and inability to prepare his/her reports within the framework of the duty assigned to him/her by the court,
  - Lack of simplicity of the special and technical information utilized in the forensic accountant's reports for the courts and the parties to understand,

It is essential that the possible situations we have listed should not be present for forensic accountants to prepare their report within the framework of the duty assigned to them by the court, to present it to the court, and to assist the court.

## REFERENCES

- Altunay, M. & Acar, D. (2015). “ Türkiye”deki Adli Muhasebeciliğin Hakimlerin BakıĖ Açıları Baēlamında Analizi,” Süleyman Demirel Üniversitesi İktisadi ve İdari Bilimler Fakültesi Dergisi.C:20, S:4, (43-66).
- Aksu, İ. , Uēur, A. & Çukacı, Y. C. (2008). Adli Muhasebe Ve Adli Muhasebecilik Mesleēinin Bir Kolu Olarak Bilirkişilik . Journal of Management and Economics Research , 6 (9) , 63-71 . Retrieved from <https://dergipark.org.tr/tr/pub/yead/issue/21822/234571>
- Atalı, M. (2016). 6754 Sayılı Bilirkişilik Kanunu ve Hukuki Konularda Bilirkişilik. Ankara Üniversitesi Hukuk Fakültesi Dergisi, 65(4), 3271-3282.
- Atmaca, M. ve Terzi S.( 2012 ), Adli Muhasebe, Adli Muhasebe Uygulamalarının Muhasebe Meslek Mensupları Açısından Deēerlendirilmesine Yönelik Bir Araştırma, Yaylım Yayıncılık, İstanbul.
- Bozkurt, A. (2003). İş Yargılaması Usul Hukuku, Seçkin Yayınevi, Ankara.
- Çınar, S. (2009). Türk Vergi Hukuku’nda Bilirkişilik Kurumu ve Analizi. T.C. Gazi Üniversitesi/Sosyal Bilimler Enstitüsü Yüksek Lisans Tezi. Ankara.
- Doēan, F. (2018). Yargı Denetiminde Adli Muhasebecilik ve Hile İncelemesi (1.Baskı). İstanbul:Beta.
- Erdoēan, E. Bilirkişilik Temel Eēitimi Kaynak Kitabı. Talat Canbolat (Ed.), Bölüm 1-2 içinde (s. 1-84). T.C. Adalet Bakanlığı Hukuk İşleri Genel Müdürlüēü Bilirkişilik Daire Başkanlığı. <https://bilirkisilik.adalet.gov.tr/Resimler/SayfaDokuman/372020142300temele-gitimkaynak.pdf> (Erişim Tarihi:28.09.2023)
- Gülten, S. ve Kocaer, G. (2011), Adli Muhasebe Uygulamaları, Ankara
- Karacan, S. (2012), “ Hukuk Ėle Muhasebenin KesiĖme Noktası: Adli Muhasebe”, Uluslararası İktisadi ve İdari İncelemeler Dergisi, C: 4, S: 8, (105-128
- Karaburun, G. (2017). Karar Örnekleleriyle Yargıtay’ın Bilirkişiliēe Bakışı ve Bilirkişiliēin Sorunları. Adli Tıp Bülteni, 22(3), 200-207.
- Kaylıoēlu, D. (2019). Türk İdari Yargılama Hukukunda Bilirkişilik. Türkiye Cumhuriyeti Ankara Üniversitesi/Sosyal Bilimler Enstitüsü Yüksek Lisans Tezi. Ankara.
- Kısacık, H. (2018). Adli Muhasebe ve 6754 Sayılı Bilirkişilik Kanunu Kapsamında Muhasebe Bilirkişiliēi. Turkish Studies (Elektronik), 13(15), 291-303.
- Kök, A.N. (2017). 6754 Sayılı Bilirkişilik Kanunu Neler Getirdi?. Uyuşmazlık Mahkemesi Dergisi, Yıl 5, Sayı 10, 445-454.
- Organ, İ. & Sevinç, C.(2016). Vergi Yargılamasında Bilirkişilik Kurumu ve Bilirkişilik Kanun Tasarısının Getireceēi Yenilikler, Maliye Dergisi, S.170, Ocak-Haziran 2016, s.116-130.
- Standartlar (2020). Bilirkişilerin Uyacaēı Rehber İlkeler ve Bilirkişi Raporlarında Bulunması Gereken Standartlar. T.C. Adalet Bakanlığı Hukuk İşleri Genel



- Müdürlüğü Bilirkişilik Daire Başkanlığı. <https://bilirkisilik.adalet.gov.tr/Resimler/SayfaDokuman/792020110047%C4%B0LKELER%20VE%20STANDART-LAR.pdf> (Erişim Tarihi:29.08.2023)
- Saçaklı, Y., (2011). Adli Muhasebecilik Perspektifinde Türkiye'deki Üniversitelerde Muhasebe Denetimi Eğitimi ve Öneriler, Yüksek Lisans Tezi, Afyon Kocatepe Üniversitesi Sosyal Bilimler Enstitüsü.
- TCK, <https://www.mevzuat.gov.tr/mevzuatmetin/1.5.5237.pdf> (Erişim Tarihi:03.09.2023).
- TMMOB (2019). TMMOB Bilirkişilik Alanında Yaşanan Sorunlar ve Çözüm Önerileri Raporu (Baskı Tarihi: Nisan 2019). Ankara:Patika Ajans.
- Türk Dil Kurumu Sözlükleri. <https://sozluk.gov.tr> (Erişim Tarihi:12.09.2023)
- Türkey, İ. (2017). 6754 Sayılı Bilirkişilik Kanununun Genel Değerlendirilmesi. İSM-MMO Mali Çözüm Dergisi, Ocak - Şubat 2017, 111-135.
- Utku, M. & Kurtcebe, E. (2019). Yeni Bilirkişilik Mevzuatı Çerçevesinde Muhasebe Meslek Mensuplarına Verilen Bilirkişilik Temel Eğitimleri Üzerine Bir Değerlendirme. Alanya Akademik Bakış, 3(3), Sayfa No. 261-276.



# *Chapter 19*

## **REVISIT INTENTION: A KEY CONCEPT IN TOURISM<sup>1</sup>**

*Halil İbrahim KARAKAN<sup>2</sup>*

*Kemal BİRDİR<sup>3</sup>*

<sup>1</sup> This study is derived from the second chapter of the PhD thesis entitled “Türkiye’yi tekrar ziyaret etme niyeti olmayan turistlerin algıladıkları risk faktörlerinin ve seyahat motivasyonlarının belirlenmesine yönelik bir çalışma” written by the Halil İbrahim KARAKAN under supervision of Prof. Kemal BİRDİR. PhD dissertation acceptance date: 28.06.2019 Mersin University Institute of Social Sciences

<sup>2</sup> Doktor, Bağımsız Araştırmacı, <https://orcid.org/0000-0003-3335-0923>

<sup>3</sup> Prof. Dr., Mersin University, <https://orcid.org/0000-0003-1353-3618ö>

## 1. Introduction

Tourism was initially defined by Guyer Feuler in 1905. According to this definition, tourism encompasses all economic activities related to foreigners from different countries, cities, or regions temporarily visiting other destinations (Hafsa, 2020). Today, millions of people participate in touristic activities by departing from their regions of residence and temporarily visiting different destinations (Kozak, 2012).

Tourist destinations comprise various components and are open to subjective evaluation. Hence, holidaymakers face a challenge in making precise and realistic observations to positively perceive destinations they want to visit (Baloğlu & Mangaloğlu, 2001). Tourists' selection process of destinations is influenced by numerous economic, social, cultural, and psychological factors (Ünal, 2003).

Accurate, speedy, and complete information is crucial for tourists to minimize uncertainties and potential post-purchase concerns when making travel decisions. Individuals who typically only take one holiday annually wish to avoid disappointment and ensure the best possible choice. Tourist attractions offered by holiday destinations are vital in shaping the holidaymakers' decisions during the destination selection process (Ülker, E., 2010).

In this context, destinations must constantly exchange information to compete effectively. They need to assess the needs and expectations of tourists accurately, offer prompt and high-quality service, and meet their information demands (Altunışık & Çallı, 2004).

It is important for destinations to determine what sets them apart from tourists and why they prefer them over other destinations (Ahn et al., 2013). These factors form the competitive advantage of destinations and shape tourists' preferences. Alongside components such as the appeal of destinations, touristic activities, service quality, and the variety of touristic enterprises available, the image of destinations also plays a decisive role in tourists' intentions to visit (Echtner & Ritchie, 2003).

In the tourism industry, creating loyal customers by retaining them is as important as it is to attract customers (Huang & Hsu, 2009). One of the most important goals of tourism businesses and destinations is to ensure that tourists visit again. Revisiting tourists has the potential to leave more revenue and less cost, so understanding the desire to revisit is a critical challenge for destination managers (Pratminingsih et al., 2014). Therefore, attracting repeat visitors is of great importance for developing tourist destinations. Because touristic products vary and each tourist has unique wants and needs, ensuring the desire to visit again is a complex process (İlban et al., 2016).

Tourists who leave destinations dissatisfied due to unmet expectations are

unlikely to have any intention of returning. These dissatisfied tourists often share their negative experiences with their social circles and on the internet, potentially influencing the destination choices of other prospective tourists (Osti et al., 2012). In other words, dissatisfied tourists can damage a destination's reputation by sharing their negative experiences with others, which can, in turn, have a detrimental impact on the destination's future capacity to attract visitors.

In this study, revisit intention, which is an important issue in the tourism literature, will be discussed. In this context, the study will address issues such as literature on revisit intention, revisit intention and purchase decision process, and the importance of revisit intention in tourism.

## 2. Literature Review

When the tourism literature is examined, it is seen that revisit intention is addressed with many variables. When the literature is examined, it is seen that revisit intention is mostly studied with the variables of satisfaction, behavioral intention, destination image, perceived value, travel motivation, perceived risk, service quality and past experiences. This section gives information about the studies on revisit intention in tourism literature.

Petrick (1999) emphasized the positive relationship between loyalty, satisfaction, and the intention to revisit. Moreover, some minor variations in satisfaction levels were observed based on the demographic characteristics of the study participants. The hypothesis was also accepted that the intention to revisit might change depending on certain demographic characteristics.

Petrick et al. (2001) researched to explore the relationship between previous visits to a destination, perceived value, satisfaction, and the intention to revisit. The results indicated that past experiences, satisfaction, and perceived value were associated with tourists' intention to revisit.

Kozak (2001) examined the relationship between tourist satisfaction, past visits, and the intention to revisit visitors to Spain and Turkey. The study revealed that tourists who visited both regions had consistent satisfaction levels. However, variations in satisfaction levels and the impact of past visit numbers on the intention to revisit were observed.

Rittichainuwat et al. (2002) found that the level of satisfaction of tourists visiting Thailand influenced their intention to revisit. Therefore, the happier tourists were with their visit, the more likely they were to intend to revisit. Among the dimensions of satisfaction, one of the factors with the most significant influence on the intention to revisit was "accommodation and dining."

Tomas S. et al. (2004) studied the motivations of first-time and repeat visitors to Hong Kong and revealed differences in their motivations. For instance,

first-time visitors were motivated to explore and discover the country, while repeat visitors were motivated by purposes such as shopping and visiting family and friends. They emphasized that past experiences significantly influenced the intention to revisit.

Öztürk (2004) focused on the factors affecting satisfaction levels and the intention to revisit domestic tourists traveling to Kızkalesi. The study identified that “accommodation,” “food and beverage services,” and “hospitality” were the factors that influenced satisfaction.

Wang (2004) indicated a relationship between tourists’ behavior and their intention to revisit. Repeat tourists displayed different behaviors regarding shopping and accommodation compared to first-time visitors. These differences underscore the need to develop tailored marketing strategies for these distinct groups.

Hui et al. (2007) argued that tourists’ perceptions and expectations influenced tourist satisfaction, which, in turn, impacted the intention to revisit and recommend a destination. Their research indicated that tourists’ intentions to recommend and revisit were positively related to their satisfaction levels. They also found variations based on the demographic characteristics of tourists. Notably, North American tourists considered “accommodation and dining” as a significant factor, while European and Asian visitors valued “tourist attractions,” and Oceania tourists focused on the “cultural” factor.

Rittichainuwat et al. (2008) suggested a meaningful positive relationship between travel motivation and the intention to revisit. They examined the motivations of tourists visiting Thailand and found that motivations varied among first-time, repeat, and tourists with different demographic characteristics.

Alegre and Cladera (2009) researched the determinants of the intention to revisit a destination. The study revealed that while several factors influenced the intention to revisit, tourist satisfaction remained the primary factor. Factors that positively affected overall tourist satisfaction included “travel motivation,” “the number of previous visits to the destination,” and “tourists’ perceptions of prices.” Furthermore, the study emphasized the impact of “accommodation” and “environmental quality” on tourists’ satisfaction levels.

Huang and Hsu (2009) explored the motivations of Chinese tourists and their relationship to perceived quality in their travel experiences. They found that travel motivation, perceived quality, and past experiences positively influenced tourists’ satisfaction, subsequently affecting their intention to revisit. Additionally, the study highlighted the connection between satisfaction and customer complaints, implying that loyalty to the destination decreased as complaints increased.

Chang (2013) investigated whether travel motivation, experience, and

perceived value affected the intention to revisit. The results showed that only experience had a meaningful impact on the intention to revisit, while motivation and perceived value had no significant influence.

Boit (2013) conducted a study on tourists visiting a national park in Kenya and revealed that satisfaction substantially affected the intention to revisit. Furthermore, the study identified the influence of demographic characteristics such as age, gender, and education on tourists' satisfaction levels.

Guntoro and Hui (2013) researched the impact of tourist satisfaction on the intention to revisit among tourists in Singapore. The study demonstrated that satisfaction levels varied based on tourists' demographic characteristics and that tourist satisfaction was positively and significantly related to the intention to revisit.

Pratminingsih et al. (2014) examined the effects of destination image and tourist motivation on tourist satisfaction and intention to revisit. Within the scope of the research, data were collected from 268 visitors, and multiple regression analysis and qualitative analysis methods were used to evaluate the results. The study results show that destination image and tourist motivation affect tourist satisfaction, and this satisfaction directly affects revisit intention.

Liu and Lee (2016), an integrated service quality model that explains the emotional mechanisms linking service quality with price perception, word-of-mouth (WOM) communication, and revisit intention. Their study, conducted with a sample of 484 low-cost airline passengers, found that service quality was positively associated with passengers' perception of service price, which increased their willingness to engage in WOM, subsequently enhancing their intention to revisit. Additionally, the research identified a positive relationship between service quality and WOM, mediated by the perceived value of the monetary price. This model has contributed to understanding how service quality influences passengers' emotional responses and decision-making processes in the context of low-cost airlines.

Sinambella's (2021) study was conducted with a sample of 100 participants, employing multiple linear regression data analysis techniques. The research findings indicate a significant impact of tourist motivation on the intention to revisit. Furthermore, it is observed that tourist attractiveness has a meaningful effect on the intention to revisit. Tourist attractiveness is a dominant factor, and amid the competition in the tourism industry, creating attractive tourist destinations continues to be challenging for managers.

Peng et al. (2023) investigate how tourists' happiness influences their intention to revisit traditional Chinese medicine (TCM) cultural tourism destinations and the underlying mechanisms. This comprehensive study involves three tourist samples and confirms the existence of three key dimensions of

tourist happiness: positive emotions, engagement and meaning. Using two surveys, the researchers examine the direct and indirect effects of tourists' happiness on their intention to revisit these destinations, considering the moderating influence of tourists' health consciousness. The study's results highlight the central role of tourists' happiness in enhancing their memorable tourism experiences and fostering a strong sense of place attachment, increasing their intention to revisit these cultural destinations. In addition, the research highlights the importance of tourists' health consciousness as an essential moderator in the relationship between happiness, place attachment and revisit intention. These findings contribute to a deeper theoretical understanding of tourist happiness and provide valuable guidance for marketing and management strategies in TCM cultural tourism destinations.

### 3. Intention to Revisit and the Purchase Decision Process

Intention to repurchase refers to an individual's desire to make another purchase from the same company based on their previous experiences (Hellier et al., 2003, p. 1764). Identifying the determinants of repurchase intention is critical for researchers and practitioners. According to Grewal et al. (2007), customers are more likely to positively impact their future purchase intentions when they believe they have made a good choice, that the product meets their needs, and that they have received the expected service. In other words, dissatisfaction with any of the determinants of customer satisfaction can reduce customers' future purchase intentions. In the context of tourist visits, repurchase intention manifests as the intention to revisit (Çavuşoğlu & Bilginer, 2018). The intention to revisit a tourism destination is described as an individual's preparedness or willingness to return to the same destination. This concept accurately predicts the decision to revisit, such as purchasing a vacation package to the same destination (Han & Kim, 2010).

The intention to revisit is considered an extension of tourist satisfaction. It plays a crucial role in destination marketing rather than being the initiatory factor of the purchase decision process (Stylos et al., 2016, p. 42). Notably, it has been observed that, in many tourist destinations, repeat visitors constitute more than half of the total number of visitors (Wang, 2004: 101). The literature underscores the fundamental impact of tourist experiences, perceptions, and the consumption of products and services during the holiday process on repeat holiday decisions (Çetinsöz, 2011: 5).

Individuals' emotional reactions provide insight into their perception of a destination. Revisit intention, a sub-dimension of destination loyalty is linked to tourists' satisfaction levels (Boit, 2013, p. 19). Satisfaction with a visited destination leads to a desire to revisit that destination, as emphasized by Gitelson and Crompton (1984: 201). Tourists who have previously visited a destination tend to return to the same place, often motivated by a desire to "relax" or "see



friends or acquaintances,” compared to first-time visitors. Factors influencing why tourists revisit a destination may include (Wang, 2004: 101):

- Reducing the risk of not enjoying a destination that has been visited before.
- A desire to meet the same people again.
- Emotional attachment to a specific place.
- An increased desire to explore in more detail.
- A wish to share experiences with others

As the significance of repeat visitors in the tourism industry continues to grow, many articles present different perspectives on the subject. The literature primarily focuses on the reasons why tourists revisit a particular attraction. Many authors acknowledge the substantial influence of past behavior on future purchase intentions and behaviors. Eagly and Chaiken (1993) and Oullette and Wood (1998) have stressed that the best predictor of future behavior is the frequency of past behavioral intentions. Thus, evaluating past behavior is essential (Petrick et al., 2001, p. 42).

Research in tourism uses different theoretical approaches to predict the intentions and behaviors of future tourists. According to Ajzen and Fishbein (1980), many researchers ignore past behavior to predict the intentions and behaviors of future tourists. At this point, the theory of causal action or planned behavior usually comes into play. The theory of causal action predicts the future travel behavior of respondents by assessing tourists’ norms about their travel experience and their attitudes towards the travel experience. These factors shape tourists’ intention to revisit a destination. The theory of planned behavior adds the variable of perceived control to this relationship, i.e., it considers how much tourists can control this action (Ajzen & Madden, 1986).

The phenomenon of repeat visitation is critically important for tourism (Alegra & Cladera, 2009). Repeat visitors to destinations often account for more than half of the total number of visitors. For example, Juaneda (1996) found that 71.1% of British and 56.8% of German tourists who visited the island of Majorca in Spain were repeat visitors.

Repeat visitors are particularly important for mature holiday destinations. The competitiveness and sustainability of such destinations are closely linked to maintaining the loyalty of repeat visitors. At the same time, these visitors constitute a stable source of revenue for the destination and provide new potential tourists with valuable information about the attraction. However, destinations need to develop effective strategies to ensure the satisfaction and loyalty of repeat visitors. Customer satisfaction and loyalty are concepts emphasized in the marketing literature. Satisfied customers are more likely to repurchase products or services and show loyalty. In this context, as Oliver and

Swan (1989) stated, customer satisfaction critically impacts the formation of repurchase intention and product or brand loyalty.

In tourism research, numerous studies have been dedicated to comprehending the factors influencing tourists' intentions to revisit a destination. These investigations have revealed several key determinants that are pivotal in shaping the inclination to revisit. Noteworthy among these determinants are factors such as satisfaction, quality, perceived value, past vacation experiences, motivation, safety, destination image, supplementary services, and cultural disparities (Suhud et al., 2023; Kurnivanian, 2020; Hararap & Dwita, 2020; He & Luo, 2020; Jang & Feng, 2007; Osti et al., 2012; Petrick et al., 2001).

These factors collectively contribute to the complex decision-making process that underlies tourists' intentions to revisit a destination. It is imperative to underscore the significance of understanding why tourists choose to return, as repeat visitors often comprise a substantial portion of the total number of tourists at many destinations (Wang, 2004). This phenomenon is vital, as it underscores the need for destinations to collect essential information from potential tourists actively, ensuring the competitiveness and sustainability of the destination (Hong et al., 2009).

Wang (2004) substantiates the unique behaviors of repeat visitors compared to first-time visitors. According to Wang, repeat visitors spend more on shopping, non-hotel dining, local transportation, and accommodation, thus contributing significantly to the local economy. These findings align with the earlier research by Kozak and Rimmington (2000), which emphasized the increased spending propensity of repeat visitors. Wang's study also highlighted that repeat visitors tend to prolong their stays.

In an increasingly competitive landscape, maintaining customer satisfaction and fostering loyalty is paramount (Kotler, 2000). Loyal customers, characterized by their enduring commitment to a company, are known to make more frequent and higher-value purchases, exhibit lower price sensitivity, show a reduced inclination to explore alternatives, actively promote the company through positive word-of-mouth, and are willing to pay a premium for quality products and services (Marangoz, 2006). Consequently, serving loyal customers entails lower costs compared to acquiring new customers.

Understanding the complex interplay of these factors in the context of tourists' intentions to revisit a destination is essential for destinations aiming to thrive in the competitive tourism industry. This comprehension enables destinations to cater effectively to repeat visitors and attract new ones, ultimately contributing to the sustainable development of the destination. Understanding tourists' repeat visit behavior necessitates an evaluation of tourist motivation, attitudes, and intentions. However, assessing the influence of past travel experiences is crucial, as it significantly shapes a tourist's inclination for

repeat visits. It is widely accepted that past travels can positively and negatively influence tourist attitudes and behaviors (Huang & Hsu, 2009: 30).

Opperman (1997) emphasized the desirability of repeat visitation in tourism and marketing literature for various reasons. The behaviors of tourists towards revisiting a destination can yield different outcomes. Tourists' tendencies to revisit a destination can be characterized in several distinct manners (Opperman (1997):

**1. Apathy:** This pertains to situations where no explicit motivating factor exists compelling a return visit. In such cases, a group of tourists consistently favors the same destination.

**2. Indifference:** Tourists, at times, may contemplate alternative options. However, when a perceived absence of differentiation prevails, they revisit their vacation spot.

**3. Risk-Averse Disposition:** This behavior involves the selection of a familiar destination to mitigate the risks associated with the possibility of experiencing a disappointing vacation.

**4. Satisfaction:** This denotes the exhibition of a positive attitude, driven by the quality and cost criteria assessment, serving as indicators of a gratifying experience.

**5. Emotional Attachment to the Attraction:** In this scenario, tourists establish an emotional bond with the destination, integrating personal and familial sentiments with their affinity for the attraction.

One effective way to encourage tourists to revisit the same destination is by adopting a compensatory attitude. This situation fosters the tourists' tendency to return and helps satisfy their travel motivations, contributing to cost-effectiveness.

Furthermore, satisfaction can lead to a beneficial attitude contingent on quality and cost criteria. Tourists may also develop an emotional connection with the destination, resulting in a personal and familial bond.

When tourists have had a highly satisfying experience at a destination, they may prefer exploring new places over revisiting the same spot. However, in some cases, unsatisfied tourists perceive a place they have visited before as potentially less unfavorable and risky than venturing into completely unknown territory (Rittichainuwat et al., 2003, p. 220).

In their study, Geva and Goldman (1991) found that, even when customers are satisfied with a tour guide, they remain skeptical when tour companies automatically and directly benefit from repeat purchases (Rittichainuwat et al., 2003, p. 220).

Sönmez and Graefe's (1998) research suggests that past travel experiences to specific places increase the intention to revisit the same locations. According to Goodrich (1978), Mazursky (1989), and Sönmez and Graefe (1998), past travel experiences significantly influence behavior and intentions. When tourists visit a destination once, they perceive it as more reliable and less risky for future choices.

Lepp and Gibson (2003) noted that experienced tourists perceive less risk than others and identified significant differences in perceived risk factors based on experience. However, past international experiences can instill confidence for future travel; nevertheless, previous negative experiences can make potential tourists apprehensive about future considerations. Risk perception considerably influences an increased sense of caution rather than the possibility of future travel, thereby strengthening the impact of past travel experiences on behavioral intentions (Qi et al., 2009, p. 59).

According to Bello and Etzel (1985), families embarking on a trip inclined to novelty are likely to return to a different destination. Travelers seeking novelty are generally more content than those who purchase similar vacations repeatedly. Different types of customer behaviors within repeated purchases diminish the allure of specific destinations since habit formation reduces or prevents novelty altogether.

The purchasing process is a series of events where a consumer obtains a product, uses it, and subsequently judges their experience. The act of purchasing is a form of decision-making. In the concluding stage of the purchase decision process, consumers evaluate the results and consequences of their decisions. Based on this appraisal, they assess their experiences and decide whether they will likely purchase a repeat. This cycle comprises the evaluation stage, the final link in the antecedent purchase decision process, which prepares the foundation for the ensuing purchase stage—a favorable evaluation stage results in a likelihood of recurring purchases (Çetinsöz, 2011, p. 37).

In the present context of customer-oriented marketing, regarding marketing as a strategic process is crucial. Marketing managers are responsible for the pre-purchase and post-purchase phases and assessing consumer behavior following a purchase. Moreover, they should provide customer satisfaction support after the purchase (Yükselen, 2011, p. 17).

Every purchase process is a learning activity for future purchasing decisions from the consumer's perspective. Consumers base their future purchasing decisions on the knowledge they acquire from these processes. During the final stage, consumers focus on the satisfaction derived from the product, any product deficiencies, and proper disposal methods (Koç, 2008: 304; Çetinsöz, 2011).

The evaluation of the purchased product is influenced by behaviors such

as after-sales conflict, use of the product and disposal. A comparison is made between the expected performance before purchasing the product and the perceived performance after the evaluation after purchasing and using the product. The results obtained after this comparison will be as follows (Odabaşı & Barış, 2007, p. 388).

- If the expected performance exceeds the perceived performance, dissatisfaction will arise. In this case, there is a feeling of satisfaction, and the consumer does not tend to purchase again.

- Expected performance may be equal to perceived performance. In this case, expectations will be met, but expectations will not be exceeded.

- If the expected performance exceeds the perceived performance, a sense of satisfaction will arise if the customer has experienced a better performance than expected. The customer will tend to purchase again. In the modern marketing approach, customer expectations should be exceeded, and high satisfaction should be provided to the customer.

Touristic consumer purchasing behavior, one of the objectives of destination marketing, generally covers visitors' decision processes and behaviors toward the stages of purchasing and using touristic products (Uygur, 2007, p. 163).

For destination marketing to be effective, it is necessary to understand how tourists make touristic travel decisions. Tourist consumer purchasing behavior, which is the product of a complex process, starts with the emergence of need (Kozak, 2010, p. 222). After collecting information about product and brand alternatives, the tourist whose need is stimulated decides to purchase the most suitable product by comparing alternatives (Uygur, 2007, pp. 190-191). In other words, the consumer who evaluates the alternatives determines the product to be purchased, and at this point, a purchase intention occurs. Other people's attitudes and unexpected situational factors stand out as two factors that affect the transformation of purchase intention into the purchase decision. While the positive attitudes of other people play a role in the potential consumer's realization of the purchase decision, negative attitudes may cause the purchase intention to tend to change before it turns into a purchase decision (Kotler et al., 2010, p. 167).

The purchase process is completed when the product is purchased, used, and evaluated. Post-purchase behavior constitutes the consumption or use evaluation phase. This stage is where the extent to which the expectations are met is measured with a general evaluation made after the consumption (travel) of the touristic product (Uygur, 2007, p. 193). As mentioned before, with the evaluation process, which is the last stage of the purchasing process, three different results, such as the product or service being below the expectation,

meeting the expectation or being above the expectation, affect the consumer's satisfaction level. The same is the case for touristic consumers. Satisfaction occurs when tourists think that they have received a return for their expenditures and time spent during their vacation and that they have obtained a benefit (Demir ve Kozak, 2011: 22). In this case, the tourist who is satisfied after the purchase tends to purchase again. The consumer purchase model, which is given in stages above, can be summarized as follows:

## Emergence of the need

(The emergence of the need for vacation)

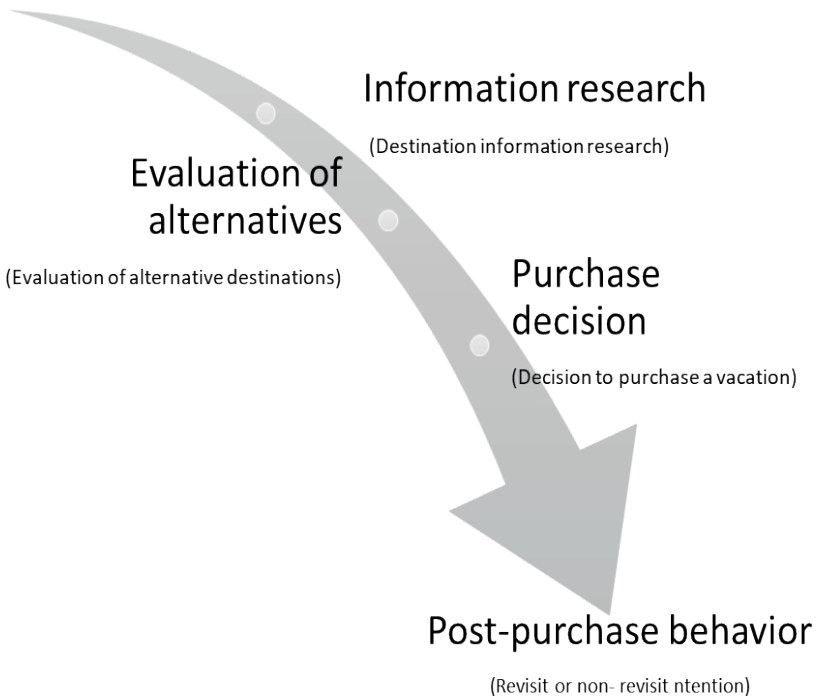


Figure 1: Consumer Purchasing Process (adapted from Kotler et al., 2010)

Post-purchase evaluations of tourists are of great importance to tourism businesses. For instance, a travel agency selling package tours wants to know how satisfied tourists are with transportation, transfers, accommodation, dining, tours, and guiding services. Similarly, managers of accommodation establishments want to understand how pleased guests are with services such as lodging, dining, and front office services. Touristic businesses, including accommodation establishments, travel agencies, and food service companies, as part of a whole destination, also value tourists' post-purchase evaluations. These evaluations are vital in terms of the tendency of these tourists to return

and their potential impact on the purchase intentions of other potential tourists, as they can serve as positive references. Tourists who leave with positive impressions may desire to revisit the same place.

Furthermore, satisfied tourists leaving a destination can positively influence potential tourists by sharing their favorable thoughts with others. In this context, satisfying one tourist could influence the decision of thousands of tourists to visit the destination positively. On the other hand, an unsatisfied tourist departing the destination might hurt the decision of thousands of tourists to visit the destination. This situation could lead to a decrease in the tourism destination's market share within the tourism sector. Complaint tendencies of consumers are often higher than satisfaction expressions, which is why this is a significant consideration (Köz, 2014, p. 65).

#### **4. The Importance of Intention to Revisit in Tourism**

Intention to revisit is a core concept in the tourism industry, encompassing key factors relating to destination loyalty. This result includes tourist satisfaction, the motivations behind choosing a particular destination, and measuring tourist commitment through repeat visit rates (Alegre and Cladera, 2009: 670; Boit, 2013: 19). Ambiguity and subjectivity have been excluded, technical abbreviations explained on first use and bias has been avoided. Numerous studies suggest that tourists who have previously visited a destination are more likely to express an intention to revisit than their first-time counterparts (Gitelson & Crompton, 1984, p. 199; Kozak and Rimmington, 2000: 260).

Within the context of the tourism sector, understanding the significance of the intention to revisit is paramount (Opperman, 1997). The choice to revisit a destination serves as an indicator of tourist satisfaction.

Tourists who choose to return are more likely to engage in similar behaviors in the future and can recommend the destination to friends and family. Marketing efforts to retain returning visitors to the same destination tend to be less extensive than those focused on first-time visitors.

Visitors who frequently return to the same destination tend to stay longer and participate in fewer activities than their first-time counterparts. This result necessitates a more focused effort to attract initial visitors. While revisiting a destination is often considered a sign of securing repeat visitors and achieving tourist satisfaction, this ultimately results in acquiring loyal visitors (Güngör, 2010, p. 35).

Within this context, Oppermann's (1997) study suggests differences in travel behavior between first-time foreign tourists to New Zealand and those who choose to revisit. The reasons behind repeated visits to a destination that does not rank exceptionally high may be linked to risk aversion and the fear

that an unfamiliar place may lead to a less desirable experience. There may be a positive correlation since repeat visits can be considered an indicator of continuous visitors; it is understood that tourist satisfaction is achieved first, and as a result, loyal visitors are obtained. Since repeat visits can be considered as an indicator of continuous visitors, it is understood that tourist satisfaction is achieved first and as a result, loyal visitors are obtained (Güngör, 2010).

Oppermann (1997) revealed differences in the travel behaviors of foreign tourists who visit New Zealand for the first time and foreign tourists who prefer to visit again. Tourists revisit the same destination because they want to avoid taking risks. Even if the destination they visit is not very good, they revisit the destination they have visited because of the fear that going to a new place will perhaps be worse, which may be related to the fact that there is a positive relationship between the intention to revisit and the number of previous visits (Kozak, 2000). Even if the tourist is satisfied with the destination, he/she may not want to visit it again. For this reason, positive word-of-mouth rumors about a destination may be a more beneficial factor for the destination than revisiting the destination (Baker & Crompton, 2000, p. 799). Gitelson and Crompton (1984) also stated that tourists give more importance to the recommendations of relatives, friends and acquaintances rather than getting information from magazines, newspapers, media, etc. in destination selection. Çalhan (2010) argues that the information sources of tourists visiting Cappadocia are relatives, acquaintances and the internet and that the word-of-mouth announcements of tourists who are satisfied with the destination are very effective in making other tourists prefer and revisit Cappadocia.

## 5. Results

In tourism, revisit intention is a fundamental concept with important implications for destinations and businesses. It represents the likelihood that tourists will return to a particular destination or business based on their previous experiences. Revisiting intention is a multifaceted concept that highlights the interplay of different factors. The literature on the subject consistently emphasizes that the decision to revisit is directly related to the quality of the tourist experience, the level of satisfaction achieved, the excellence of the services provided and the overall attractiveness of a destination. Therefore, understanding the intricacies of revisit intention is essential for destination management and the long-term success of tourism.

In order to increase revisit intention, several key factors need to be considered. Customer satisfaction is paramount. A satisfied tourist is more likely to return to the same destination. Therefore, businesses and destinations should make customer satisfaction a top priority. Beyond satisfaction, improving the quality of services tourism businesses offer is crucial. From accommodation to transport and entertainment, exceptional service can leave a lasting impression on tourists and increase the likelihood of return visits. The attractiveness



of a destination also plays a key role. The natural beauty, cultural heritage and unique experiences a destination offers significantly impact a tourist's decision to return. These factors shape tourists' revisit intentions.

The impact of the tourist experience goes beyond the individual tourist, and it is a powerful marketing tool. When tourists have a positive experience, they are more likely to return to the same destination. They also become advocates for the destination, recommending it to others. This word-of-mouth marketing is invaluable as it can attract new tourists based on the positive experiences of satisfied visitors. The influence of social media and online reviews amplifies this effect. Tourists' shared experiences, testimonials and reviews can significantly influence potential tourists' decisions, making the tourist experience a priority and a marketing strategy.

Sustainable tourism is a long-term goal that should be at the forefront of destination management. To achieve sustainability, policymakers and industry professionals must focus on understanding and improving tourists' intentions to return. This situation requires a focus on service quality, overall satisfaction, the fulfillment of tourists' expectations and the attractiveness of destinations.

The aim of tourist destinations and businesses to increase tourists' intention to return is synonymous with continuously improving customer satisfaction. In this context, the systematic collection and detailed analysis of regular tourist feedback is critical. This feedback provides important guidance for destination management and businesses to identify strategies to improve their services and facilities. Increasing tourist satisfaction is key in encouraging tourists' intention to return to the same destination.

The success of tourism businesses is based on high service quality. In this context, business staff training is indispensable in service delivery. The staff's professional, respectful and helpful attitude toward tourists guarantees a positive experience. Therefore, it is necessary to continuously train the staff and ensure that the service standard is maintained. In addition, the maintenance and development of the destination and its facilities and infrastructure is vital to improve the quality of the tourist experience. Maintaining high standards in areas such as accommodation, transportation and guiding ensures that tourists have good experiences and increases their confidence and satisfaction, leading to higher intentions to return.

The sustainable success of tourist destinations relies on these two key elements of quality tourism experiences and increasing tourists' intentions to return. Increasing customer satisfaction and improving service quality is essential for long-term tourism success and should be a priority for destination management. This policy increases tourists' satisfaction and loyalty and promotes destination sustainability. Therefore, these factors are key components that should be addressed to ensure that tourists revisit.

## REFERENCES

- Ahn, T., Ekinçi, Y., & Li, G. (2013). Self-congruence, functional congruence, and destination choice. *Journal of Business Research*, 66(6), 719-723.
- Ajzen, I., & Madden, T. J. (1986). Prediction of goal-directed behavior: Attitudes, intentions, and perceived behavioral control. *Journal of Experimental Social Psychology*, 22(5), 453-474.
- Alegre, J., & Juaneda, C. (2006). Destination loyalty consumers' economic behavior. *Annals of Tourism Research*, 33(3), 684-706.
- Alegre, J., & Cladera, M. (2009). Analysing the effect of satisfaction and previous visits on tourist intentions to return. *European Journal of Marketing*, 43(5/6), 670-685.
- Altunışık, R., & Çallı, L. (2004). Plansız Alışveriş ve Hazcı Tüketim Davranışları Üzerine Bir Araştırma: Satın Alma Karar Sürecinde Bilgi Kullanımı. 3rd Ulusal Bilgi Ekonomi ve Yönetim Kongresi.
- Baker, D. A., & Crompton, J. L. (2000). quality, satisfaction, and behavioral intentions. *Annals of Tourism Research*, 27(3), 785-804.
- Bello, D. C., & Etzel, M. J. (1985). The role of novelty in the pleasure travel experience. *Journal of Travel Research*, 24(1), 20-26.
- Boit, J. C. (2013). The role of destination attributes and visitor satisfaction on tourist repeat visit intentions to Lake Nakuru National Park, Kenya. Unpublished master's thesis, Western Illinois University.
- Chang, L. L. (2013). Influencing Factors on Creative Tourists' Revisiting Intentions: The Roles of Motivation, Experience, and Perceived Value.
- Çalhan, H. (2010). Tüketici odaklı yaklaşımla destinasyon performansının değerlendirilmesi: Kapadokya örneği. Unpublished master's thesis, Mustafa Kemal Üniversitesi.
- Çavuşoğlu, S., & Bilginer, F. G. (2018). Tüketici deneyimlerinin tekrar ziyaret etme niyetine etkisi: Bingöl ili örneği. *Türk Sosyal Bilimler Araştırmaları Dergisi*, 3(1), 72-85.
- Çetin, G. (2012). Konaklama İşletmelerinde Müşteri Deneyiminin Sadakat ve Tavsiye Davranışına Etkisi. Unpublished doctoral dissertation, İstanbul Üniversitesi.
- Çetinsöz, B. C. (2011). Uluslararası seyahatlerde turistlerin çekim yerinde algıladıkları risklerin tekrar ziyaret etme niyetleri etkileri: Alanya ilçesine yönelik bir araştırma. Unpublished master's thesis, Erciyes Üniversitesi.
- Demir, Ş. Ş., & Kozak, M. (2011). An investigation of the relationship between stages of consumer behaviors model in tourism. *Anatolia: Turizm Araştırmaları Dergisi*, 22(1), 19-34.
- Eagly, A. H., & Chaiken, S. (1993). *The psychology of attitudes*. Harcourt Brace Jova-

novich College publishers.

- Echtner, C. M., & Ritchie, J. R. B. (2003). The Meaning and Measurement of Destination Image. *Journal of Tourism Studies*, 14(1), 37–48.
- Gitelson, R. J., & Crompton, J. L. (1984). Insights into the repeat vacation phenomenon. *Annals of Tourism Research*, 11(2), 199–217.
- Goodrich, J. (1978). The Relationship Between Preferences for and Perceptions of Vacation Destinations: Application of a Choice Model. *Journal of Travel Research*, pp. 17, 8–13.
- Grewal, D., Iyer, G. R., Gotlieb, J., & Levy, M. (2007). Developing a deeper understanding of post-purchase perceived risk and behavioral intentions in a service setting. *Journal of the Academy of Marketing Science*, pp. 35, 250–258.
- Guntoro, B., & Hui, T. K. (2013). Travel satisfaction and revisit intention of Chinese visitors: the case of Singapore. *Advances in Hospitality and Leisure*, 9, 29-47.
- Hafsa, S. (2020). Economic contribution of tourism industry in Bangladesh: At a glance. *Global Journal of Management and Business Research*, 20(1), 29–38.
- Han, H., & Kim, Y. (2010). An investigation of green hotel customers' decision formation: Developing an extended model of the theory of planned behavior. *International journal of hospitality management*, 29(4), 659-668.
- Harahap, M., & Dwita, V. (2020). Effect of EWOM on Revisit Intention: Attitude and Destination Image as Mediation Variables (Study in Pasaman Regency Tourism Destinations).
- He, X., & Luo, J. M. (2020). Relationship among Travel Motivation, Satisfaction and Revisit Intention of Skiers: A Case Study on the Tourists of Urumqi Silk Road Ski Resort. *Administrative Sciences*, 10(3), 56.
- Hellier, P. K., Geursen, G. M., Carr, R. A., & Rickard, J. A. (2003). Customer repurchase intention: A general structural equation model. *European journal of marketing*, 37(11/12), 1762-1800.
- Hong, S. K., Lee, S. W., Lee, S., & Jang, H. (2009). Selecting Revisited Destinations. *Annals of Tourism Research*, 36(2), 268-294.
- Huang, J., & Li, A. (2009). Empirical analysis on perceived risk of enterprise's logistics supervisor for outsourcing logistic business. *International Business Research*, 2(2), 175-181.
- Huang, S., & Hsu, C. H. (2009). Effects of travel motivation, past experience, perceived constraint, and attitude on revisit intention. *Journal of Travel Research*, 48(1), 29–44.
- Hui, T. K., Wan, D., & Ho, A. (2007). Tourists' satisfaction, recommendation and revisiting Singapore. *Tourism Management*, 28(4), 965-975.
- İlban, M. O., Bezirgan, M., & Çolakoğlu, F. (2016). Termal Otellerde Algılanan Hizmet Kalitesi, Memnuniyet ve Davranışsal Niyetler Arasındaki İlişkilerin İncelenmesi: Edremit Örneği. *Anatolia: Turizm Araştırmaları Dergisi*, 27(2), 181-194.

- Jang, S., & Feng, Ruomei. (2007). Temporal destination revisit intention: The effects of novelty seeking and satisfaction. *Tourism Management*, 28, 580-590. 10.1016/j.tourman.2006.04.024.
- Juaneda, C. (1996). Estimating the probability of return visits using a survey of tourist expenditure in the Balearic Islands. *Tourism Economics*, 2(4), 339-352.
- Kotler, P. (2000). *Marketing Management*. New York: Prentice Hall.
- Kotler, P., Bowen, J. T., & Makens, J. C. (2010). *Marketing for hospitality and tourism*. Pearson Education International: New Jersey, 160-170.
- Kozak, M. (2000). destination benchmarking: facilities, customer satisfaction, and levels of tourist expenditure. Sheffield Hallam University.
- Kozak, M. (2001). Repeaters' behavior at two distinct destinations. *Annals of Tourism Research*, 28(3), 784-808.
- Kozak, M. (2010). Holiday taking decisions-The role of spouses. *Tourism Management*, 31(4), 489-494.
- Kozak, M. (2012). Genel turizm bilgisi. Anadolu Üniversitesi.
- Kozak, M., & Rimmington, M. (2000). Tourist satisfaction with Mallorca, Spain, as an off-season holiday destination. *Journal of Travel Research*, 38(3), 260-269.
- Köz, E. N. (2014). Sürdürülebilir Kültür Turizmi Algısının Nesillere Göre Tekrar Gelme Niyetine Etkisi. Eskişehir Osmangazi Üniversitesi, Sosyal Bilimler Enstitüsü, Yüksek Lisans Tezi.
- Kurniawan, R. (2020). The effect of online experience on revisit intention mediated with offline experience and brand equity. In 2nd International Seminar on Business, Economics, Social Science and Technology (ISBEST 2019) (pp. 97-103). Atlantis Press.
- Lepp, A., & Gibson, H. (2003). Tourist roles, perceived risk, and international tourism. *Annals of Tourism Research*, 30(3), 606-624.
- Liu, C. H. S., & Lee, T. (2016). Service quality and price perception of service: Influence on word-of-mouth and revisit intention. *Journal of Air Transport Management*, pp. 52, 42-54.
- Marangoz, M. (2007). Ağızdan Ağıza İletişimin Müşterilerin Satın Alma Davranışlarına Etkileri: Cep Telefonu Pazarına Yönelik Bir Araştırma. Çanakkale Onsekiz Mart Üniversitesi Sosyal Bilimler Enstitüsü Dergisi, 16(2), Ss. 395-412.
- Odabaşı, Y., & Barış, G. (2007). Tüketici Davranışı. Mediat Kitapları, Kapital Medya Yayın A.Ş., İstanbul, 151-154.
- Oliver, R. L., & Swan, J. E. (1989). Consumer Perceptions of Interpersonal Equity and Satisfaction in Transactions: A Field Survey Approach. *Journal of Marketing*, 53(2), 21-35.
- Opperman, M. (1997). First-Time and Repeat Visitors to New Zealand. *Tourism Management*, 18(3), 177-181.

- Osti, L., Disegna, M., & Brida, J. G. (2012). Repeat visits and intentions to revisit a sporting event and its nearby destinations. *Journal of Vacation Marketing*, 18(1), 31-42. <https://doi.org/10.1177/1356766711428803>
- Ouellette, J. A., & Wood, W. (1998). Habit and intention in everyday life: The multiple processes by which past behavior predicts future behavior. *Psychological Bulletin*, 124(1), 54.
- Öztürk, A. B. (2004). Kızkalesi yöresinde tatilini geçiren turistlerin memnuniyetini etkileyen faktörler. Unpublished master's thesis, Mersin Üniversitesi.
- Peng, J., Yang, X., Fu, S., & Huan, T. C. T. (2023). Exploring the influence of tourists' happiness on revisit intention in the context of Traditional Chinese Medicine cultural tourism. *Tourism Management*, 94, 104647.
- Petrick, J. F. (1999). An examination of the relationship between golf travelers' satisfaction, perceived value and loyalty and their intention to revisit. Unpublished doctoral dissertation, Clemson University, Clemson, SC.
- Petrick, J. F., Morais, D. D., & Norman, W. C. (2001). An Examination of the Determinants of Entertainment Vacationers' Intentions to Revisit. *Journal of Travel Research*, 40(1), 41-48.
- Pratminingsih, S. A., Rudatin, C. L., & Rimenta, T. (2014). Roles of motivation and destination image in predicting tourist revisit intention: A case of Bandung-Indonesia. *International Journal of Innovation, Management and Technology*, 5(1), 19.
- Qi, C. X., Gibson, H. J., & Zhang, J. J. (2009). Perceptions of risk and travel intentions: the case of China and the Beijing Olympic Games. *Journal of Sport and Tourism*, 14(1), 43-67.
- Rittichainuwat, B. N., Qu, H., & Mongkhonvanit, C. (2008). Understanding the motivation of travelers on repeat visits to Thailand. *Journal of Vacation Marketing*, 14(1), 5-21.
- Rittichainuwat, B. N., Qu, H., & Mongknonvanit, C. (2002). A study of the impact of travel satisfaction on the likelihood of travelers to revisit Thailand. *Journal of Travel & Tourism Marketing*, 12(2-3), 19-43.
- Rittichainuwat, B. N., Qu, H., & Leong, J. K. (2003). The collective impacts of a bundle of travel determinants on repeat visitation. *Journal of Hospitality & Tourism Research*, 27(2), 217-236.
- Sinambela, E. A. (2021). Examining the Relationship between Tourist Motivation, Touristic Attractiveness, and Revisit Intention. *Journal of Social Science Studies (JOS3)*, 1(1), 25-30.
- Sönmez, S. F., & Graefe, A. R. (1998). Influence of terrorism risk on foreign tourism decisions. *Annals of Tourism Research*, 25(1), 112-144.
- Stylos, N., Vassiliadis, C. A., Bellou, V., & Andronikidis, A. (2016). Destination images, holistic images, and personal normative beliefs: Predictors of intention to revisit a destination. *Tourism management*, 53, 40-60.

- Suhud, U., Allan, M., Fauzi, A. A., et al. (2023). Tourists' Intentions to Revisit a Geothermal Site: the Case of Kawah Putih. *Geoheritage*, 15, 44.
- Tomas, S. R., Scott, D., & Crompton, J. L. (2002). An investigation of the relationships between quality of service performance, benefits sought, satisfaction, and future intention to visit among visitors to a zoo. *Managing Leisure*, 7(4), 239–250.
- Uygur, M. S. (2007). *Turizm Pazarlaması*. Nobel Yayın Dağıtım, İstanbul.
- Ülker, E. (2010). *Destinasyon pazarlamasında destinasyon seçimi karar verme süreci üzerine bir çalışma: Bozcaada örneği* (Master's thesis, Trakya Üniversitesi, Sosyal Bilimler Enstitüsü).
- Ünal (2003). Instagram İçeriklerinin Yabancı Turistlerin Destinasyon Seçimleriyle İlgili Anlık Algı Değişimlerine Etkisinin Belirlenmesi. *Turizm Akademik Dergisi*, 7(1), 1-14.
- Wang, D. (2004). Tourist behaviour and repeat visitation to Hong Kong. *Tourism Geographies*, 6(1), 99–118.

# *Chapter 20*

## **PERFORMANCE ANALYSIS OF BANKING BY USING THE MULTI CRITERIA DECISION MAKING METHOD: SECA**

*Naci YILMAZ<sup>1</sup>*

---

<sup>1</sup> Assoc.Prof.Dr. Dođuş Üniversitesi İİBF İktisat Bölümü. nyilmaz@dogus.edu.tr. ORCID: 000-0003-0107-6448.

\*The abstract of this study was presented in the 15th International Congress on Eurasian Economies 19-20 September 2023 in İzmir.

## Introduction

Banks, which play a financial intermediary role in the function of converting savings into investments, are one of the most important elements of the financial system. The financial success of this element is extremely important for the good functioning of the financial system. The financial performance and soundness of each bank is also extremely important for the sectoral soundness of all banks. The financial performance of each bank is related to the financial performance of other banks because the banking sector is also a sector where intense competition is experienced. Each bank strives to prevail over others in this competitive environment. In an ongoing race, no bank wants to stay in the last place and always prefers to be ahead. Each puts a lot of effort into it. There are many indicators of a bank's financial performance. The most important of these is the financial ratios of that bank. Financial ratios provide information about a bank's capital strength, asset quality, borrowing capacity, return on assets and equity, liquidity status, and many other characteristics. Financial ratios represent the performance criteria of a bank in a nutshell. According to these ratios, the financial performance of a bank can be evaluated. Of course, the power of each financial ratio to represent financial performance is not the same; Some may be more representative of financial performance, while others may be less representative. At this point, the question of the weight of the criteria comes into play. Each financial ratio, or performance criterion, has a distinct degree of importance (criterion weight) and many methods have been developed to determine this.

In this study, a performance ranking will be made among the banks by comparing the financial data of domestic and foreign deposit banks in Turkey according to the selected financial ratios. To do this, the Simultaneous Evaluation of Criteria and Alternatives (SECA) method which is the one of the multi criteria decision making techniques (MCDM), will be employed. The method is one of the new techniques used both to determine the criterion weight and to make the performance ranking among banks. In the study, introduction, method and application sections will be followed by conclusion and bibliography sections.

### 1.Literature Concerning the Research

The quantity of studies in which the SECA method was employed in order to compare financial performances is quite limited in banking sector. We found only one study in the literature so far. The previous academic studies applying the method either in banking or in other fields can be read in this section.

For the first time, Keshavarz-Ghorabae et al. (2018) proposed the SECA method. Then they evaluated the production strategies relating to environmental sustainability by integrating WASPAS and SECA methods in



2019. Mishra et al. (2020) employed SECA together with AHP method to solve the problem of resource allocation in cloud technology. Later Baradari et al. (2021) used SECA for ranking and selection of the key performance indicators of service management in IT. The method was applied by Bazrafshan et al. (2021) to evaluate the criteria of the special courses. SECA was also used by Azbari et al. (2021) for determining the optimal distribution of wastewater. Ecer (2021) implemented SECA together with other 7 MCDM methods to solve the selection problem of the rechargeable electric vehicles. The method was applied by Bahrami and Rastegar (2022) as combined with VIKOR and BWM methods to evaluate feeders of the energy power distribution. Then SECA was implemented by Armağan et al. (2021) in order to examine the influence of the COVID-19 on the performances of banks. Finally the method was used by Ersoy (2022) to rank the scores of the construction firms operating in Turkey.

## 2.The Research Method

**Simultaneous Evaluation of Criteria and Alternatives (SECA)** method was applied in the research. It is one of the novel MCDM methods. It was first introduced by Keshavarz, Ghorabae and others in 2018. The superiority of the research method is that it enables to calculate the criterion coefficients while making possible to build the ranking list simultaneously (Keshavarz-Ghorabae vd. 2018). It is also one of the objective weighting methods. Thus, the weights of the criteria are only based on calculations but not on subjective decisions of experts. The stages of SECA can be read as follows (Armağan et al., 2021; Ecer, 2020; Ersoy, 2022; Yılmaz, 2023).

### Stage 1. Building the initial decision matrix (IDM)

At first, an IDM is created. In the matrix, “m” means the number of alternatives, “n” indicates the number of the performance criteria. The rows include criteria, the columns involve alternatives.

$IDM = [x_{ij}]_{m \times n}$	Equation (1)
-------------------------------	--------------

### Stage 2. Normalization of benefit criteria

$n_{ij} = \frac{x_{ij}}{\max_j x_{ij}}$	Equation (2)
-----------------------------------------	--------------

### Stage 3. Normalization of cost criteria

$n_{ij} = \frac{\min_j x_{ij}}{x_{ij}}$	Equation (3)
-----------------------------------------	--------------

### Stage 4. Building the normalized matrix (NIDM)

$NIDM = [n_{ij}]_{m \times n}$	$\begin{bmatrix} n_{11} & \cdots & n_{1n} \\ \vdots & \ddots & \vdots \\ n_{m1} & \cdots & n_{mn} \end{bmatrix}$	Equation (4)
--------------------------------	------------------------------------------------------------------------------------------------------------------	--------------

**Stage 5.** Finding the discrepancy degree

$$\pi_j = \sum_{j=1}^n (1 - r_{lj}) \quad \text{Equation (5)}$$

$r_{lj}$ : The correlation between the columns  $l$  and  $j$  in NIDM.

$\pi_j$ : the discrepancy degree for criterion  $j$ .

**Stage 6.** Finding the standard deviation

$$\sigma_j = \sqrt{\frac{n_{ij} - \text{avg } n_{ij}}{m}} \quad \text{Equation (6)}$$

$\sigma_j$ : standard deviation of criterion  $j$ . avg: average.  $m$ : number of alternatives.

**Stage 7.** Normalization of standard deviation values

$$\sigma_j N = \frac{\sigma_j}{\sum_{j=1}^n \sigma_j} \quad \text{Equation (7)}$$

$\sigma_j N$ : normalized deviation of criterion  $j$ .

**Stage 8.** Normalizing the discrepancy degree

$$\pi_j N = \frac{\pi_j}{\sum_{j=1}^n \pi_j} \quad \text{Equation (8)}$$

$\pi_j N$ : normalized discrepancy degree of criterion  $j$ .

**Stage 9.** Linear programming for the purpose function

$$Z_{max} = \lambda a - \beta (\lambda b + \lambda c) \quad \text{Equation (9)}$$

$\lambda a$ : total performance score of alternatives.

For purpose function,  $\lambda a$  must be maximized. Since the target deviations are minimum, deviations are discounted from the purpose function by coefficient  $\beta$  that is bigger than zero. The total performance score ( $S_i$ ) of each alternative together with the weight of each criterion ( $w_j$ ) are found by employing the model.

**Stage 10.** Constraints on alternative performances

$$\max S_i = \sum_{j=1}^n w_j \cdot n_{ij} ; \text{ for } \forall i \in \{1, 2, \dots, n\} \quad \text{Equation (10)}$$

$S_i$ : total performance score of alternative  $i$ .

**Stage 11.** Building the minimum constraint criterion weights for normalized deviation reference points

$$\min \lambda b = \sum_{j=1}^n (w_j - \sigma_j N)^2 \quad \text{Equation (11)}$$

**Stage 12.** Building the smallest constraint on the reference points of the normalized discrepancy degree for criterion weights

$$\min \lambda c = \sum_{j=1}^n (w_j - \pi_j N)^2 \quad \text{Equation (12)}$$

**Stage 13.** Building the constraints of criteria weights lower than 1.

$$w_j \leq 1 ; \text{ for } \forall i \in \{1, 2, \dots, n\} \quad \text{Equation (13)}$$

**Stage 14.** Building the constraints of criteria weights bigger than the lower limit parameter

$$w_j \geq \varepsilon ; \text{ for } \forall i \in \{1, 2, \dots, n\} \quad \text{Equation (14)}$$

$\varepsilon$ : lower limit parameter for criterion weight;  $\varepsilon=0,001$

In the research, the parameter was accepted as 0.001. Multi-purpose optimization techniques are used in order to optimize the model set up in Equation 9.

### 3.Implementation

The goal of the research is to build the financial success ranking of the banks with multi-branches (alternatives) in Turkey based on some selected criteria. The data were obtained from the statistics of Turkish Banks' Association. In this research, the SECA method will be employed. It will be employed for both to find the weightings and to rank the banks based on their performance (the criteria values). The name of alternatives and criteria in the research can be seen in Table 1 and Table 2.

**Table 1. Alternatives**

Bank	Code
Türkiye Cumhuriyeti Ziraat Bankası A.Ş.	ZIR
Türkiye Vakıflar Bankası T.A.O.	VAK
Türkiye İş Bankası A.Ş.	ISB
Türkiye Halk Bankası A.Ş.	HAL
Türkiye Garanti Bankası A.Ş.	GAR
Yapı ve Kredi Bankası A.Ş.	YKB
Akbank T.A.Ş.	AKB
QNB Finansbank A.Ş.	QNB
Denizbank A.Ş.	DEN
Türk Ekonomi Bankası A.Ş.	EKO
ING Bank A.Ş.	ING
HSBC Bank A.Ş.	HSB
Fibabanka A.Ş.	FIB
Odea Bank A.Ş.	ODE
Şekerbank T.A.Ş.	ŞEK
ICBC Turkey Bank A.Ş.	ICB
Burgan Bank A.Ş.	BUR
Alternatifbank A.Ş.	ALT
Anadolubank A.Ş.	ANA

In Turkey, there are 19 deposit banks, each owns more than 15 branches in 2022. We call them banks with multi-branches. For this reason, the banks that have under 15 branches were kept out of the research field. Investment banks were also not evaluated in this research because they do not accept deposit. The research is confined to the deposit banks with multi-branches and their financial ratios in 2022.

The financial performances of the banks in the list above will be evaluated. This evaluation will be based on seven criteria (financial ratios). The names, the abbreviations, the criteria optimums can be read in the following table:

**Table 2. Criteria**

<b>Performance criteria</b>	<b>Abbreviations</b>	<b>Optimum</b>
Total Loans / Total Assets	KA	max
Total Loans / Total Deposit	KM	max
Total Capital / Total Assets	OA	max
Total Profit / Total Assets	DKA	max
Total Profit / Total Capital	DKO	max
Branch Number / Total Profit	SDK	min
Personnel Number / Total Profit	CDK	min

Total Loans / Total Assets ratio (KA) indicates the loan share in total assets. It shows the capacity of interest income from loans. The amount of loans determines the amount of interest earned from loans and thus net interest income. The higher is the better. Total Loans / Total Deposit ratio (KM) compares the size of loans with the size of deposits. A bank is a financial intermediary which functions as a bridge between deposits and loans. Deposit is a source of cost because a bank has to pay for the deposit interest to depositors but loan is a source of income because it enables a bank to earn the loan interest from the borrowers. The higher is the better. Total Capital / Total Assets ratio (OA) refers the share of capital in total assets. It indicates the financing levels of the shareholders for the banking operations. It shows the soundness of a bank in time of crisis even if it discounts the profitability. The higher is the better for bank soundness. Total Profit / Total Assets ratio (DKA) indicates the return on assets. It is a kind of profitability. The higher is the better. Total Profit / Total Capital ratio (DKO) refers the return on equity. It is also a ratio with regard to the profitability. The higher is the better. Branch Number / Total Profit ratio (SDK) refers the productivity of the bank branches based on bank profit. The higher is the better. And finally, Personnel Number / Total Profit ratio (CDK) indicates the productivity of the bank employers. The higher is the better.

Branch Number / Total Profit and Personnel Number / Total Profit are cost criteria and the remaining are accepted as benefit criteria. The calculation of weights will be explained later. In Table 3, the initial decision-matrix (IDM) showing the financial ratios of 19 deposit banks with multi-branches in 2022 is shown.

**Table 3. Decision Matrix-Financial Ratios of Deposit Banks with Multi-Branches in Turkey for 2022**

	<b>KA</b>	<b>KM</b>	<b>OA</b>	<b>DKA</b>	<b>DKO</b>	<b>SDK</b>	<b>CDK</b>
	<b>Max</b>	<b>Max</b>	<b>Max</b>	<b>Max</b>	<b>Max</b>	<b>Min</b>	<b>Min</b>
<b>ZIR</b>	0.5478	0.7281	0.0876	0.0178	0.2029	0.0428	0.5958
<b>VAK</b>	0.5673	0.8457	0.0636	0.0143	0.2245	0.0395	0.7062
<b>ISB</b>	0.5556	0.8403	0.1359	0.0437	0.3216	0.0184	0.3788
<b>HAL</b>	0.6053	0.7942	0.0645	0.0106	0.1642	0.0704	1.4085
<b>GAR</b>	0.5810	0.8466	0.1325	0.0508	0.3832	0.0143	0.3169
<b>YKB</b>	0.5455	0.8984	0.1139	0.0476	0.4178	0.0152	0.2926
<b>AKB</b>	0.5212	0.8249	0.1429	0.0558	0.3908	0.0118	0.2119
<b>QNB</b>	0.6007	0.9168	0.0736	0.0286	0.3891	0.0253	0.6634
<b>DEN</b>	0.5721	0.8514	0.1036	0.0326	0.3150	0.0391	0.7652
<b>EKO</b>	0.5427	0.7452	0.0921	0.0407	0.4416	0.0400	0.7795
<b>ING</b>	0.6327	0.9294	0.1368	0.0266	0.1943	0.0564	1.1381
<b>HSB</b>	0.4423	0.5461	0.0843	0.0342	0.4064	0.0232	0.6126
<b>FIB</b>	0.5334	0.8436	0.0879	0.0360	0.4099	0.0165	0.7408
<b>ODE</b>	0.4716	0.6609	0.0731	0.0124	0.1693	0.0563	1.3010
<b>ŞEK</b>	0.5656	0.7648	0.0742	0.0238	0.3199	0.1584	2.2814
<b>ICB</b>	0.4436	1.1095	0.0474	0.0217	0.4579	0.0296	0.5734
<b>BUR</b>	0.6363	0.9184	0.0881	0.0208	0.2359	0.0266	0.8488
<b>ALT</b>	0.5976	1.0592	0.0678	0.0179	0.2635	0.0321	0.8248
<b>ANA</b>	0.5463	0.7063	0.1757	0.0488	0.2781	0.0604	0.8705
<i>Max</i>	<i>0.6363</i>	<i>1.1095</i>	<i>0.1757</i>	<i>0.0558</i>	<i>0.4579</i>	<i>0.1584</i>	<i>2.2814</i>
<i>Min</i>	<i>0.4423</i>	<i>0.5461</i>	<i>0.0474</i>	<i>0.0106</i>	<i>0.1642</i>	<i>0.0118</i>	<i>0.2119</i>
<i>Max-Min</i>	<i>0.1940</i>	<i>0.5634</i>	<i>0.1282</i>	<i>0.0452</i>	<i>0.2936</i>	<i>0.1466</i>	<i>2.0695</i>

Source:(TBB, 2022).

In the research, IDM needs to be normalized by discounting the values between 0-1 interval. At first stage of the implementation, IDM values were normalized using Equation 1,2,3 and 4 respectively. The results can be seen in the following table:

**Table 4. Normalized Matrix (NIDM)**

	KA	KM	OA	DKA	DKO	SDK	CDK
	Max	Max	Max	Max	Max	Min	Min
<b>ZIR</b>	0.8609	0.6562	0.4986	0.3184	0.4433	0.2769	0.3556
<b>VAK</b>	0.8916	0.7622	0.3623	0.2559	0.4903	0.2998	0.3000
<b>ISB</b>	0.8731	0.7574	0.7735	0.7827	0.7023	0.6445	0.5593
<b>HAL</b>	0.9512	0.7158	0.3674	0.1898	0.3587	0.1684	0.1504
<b>GAR</b>	0.9131	0.7631	0.7544	0.9096	0.8370	0.8280	0.6685
<b>YKB</b>	0.8573	0.8098	0.6486	0.8526	0.9124	0.7800	0.7242
<b>AKB</b>	0.8191	0.7434	0.8132	1.0000	0.8535	1.0000	1.0000
<b>QNB</b>	0.9441	0.8263	0.4187	0.5127	0.8498	0.4679	0.3194
<b>DEN</b>	0.8990	0.7674	0.5896	0.5845	0.6881	0.3032	0.2769
<b>EKO</b>	0.8530	0.6716	0.5243	0.7285	0.9645	0.2959	0.2718
<b>ING</b>	0.9944	0.8377	0.7785	0.4759	0.4243	0.2102	0.1862
<b>HSB</b>	0.6951	0.4922	0.4797	0.6134	0.8876	0.5102	0.3459
<b>FIB</b>	0.8384	0.7604	0.5006	0.6457	0.8953	0.7192	0.2860
<b>ODE</b>	0.7412	0.5956	0.4159	0.2215	0.3697	0.2105	0.1629
<b>ŞEK</b>	0.8889	0.6893	0.4226	0.4255	0.6988	0.0748	0.0929
<b>ICB</b>	0.6971	1.0000	0.2700	0.3890	1.0000	0.4005	0.3695
<b>BUR</b>	1.0000	0.8278	0.5016	0.3724	0.5153	0.4448	0.2496
<b>ALT</b>	0.9392	0.9547	0.3862	0.3202	0.5755	0.3686	0.2569
<b>ANA</b>	0.8585	0.6366	1.0000	0.8750	0.6073	0.1960	0.2434

Secondly, the correlation coefficients of the criteria were shown in the following table:

**Table 5. Correlation Coefficients ( $r_{lj}$ )**

	KA	KM	OA	DKA	DKO	SDK	CDK
<b>KA</b>	1.000	0.342	0.171	-0.121	-0.433	-0.153	-0.181
<b>KM</b>	0.342	1.000	-0.201	-0.123	0.141	0.153	0.109
<b>OA</b>	0.171	-0.201	1.000	0.781	0.055	0.345	0.458
<b>DKA</b>	-0.121	-0.123	0.781	1.000	0.636	0.693	0.721
<b>DKO</b>	-0.433	0.141	0.055	0.636	1.000	0.583	0.483
<b>SDK</b>	-0.153	0.153	0.345	0.693	0.583	1.000	0.893
<b>CDK</b>	-0.181	0.109	0.458	0.721	0.483	0.893	1.000

Later, the discrepancy degrees were found by employing Equation 5. The outputs obtained in the research can be seen in Table 6.

**Table 6. (1- r<sub>lj</sub>) Results and Discrepancy Degrees (π<sub>j</sub>)**

	KA	KM	OA	DKA	DKO	SDK	CDK	Discrepancy Degrees
KA	0.000	0.658	0.829	1.121	1.433	1.153	1.181	6.374
KM	0.658	0.000	1.201	1.123	0.859	0.847	0.891	5.579
OA	0.829	1.201	0.000	0.219	0.945	0.655	0.542	4.392
DKA	1.121	1.123	0.219	0.000	0.364	0.307	0.279	3.414
DKO	1.433	0.859	0.945	0.364	0.000	0.417	0.517	4.534
SDK	1.153	0.847	0.655	0.307	0.417	0.000	0.107	3.486
CDK	1.181	0.891	0.542	0.279	0.517	0.107	0.000	3.518

Then the normalization of the discrepancy degrees was made by using Equation 7. The outputs are shown below:

**Table 7. Normalization of Discrepancy Degrees (π<sub>j</sub><sup>N</sup>)**

Criteria	Degree of Discrepancy	π <sub>j</sub> <sup>N</sup>
KA	6.374	0.2037
KM	5.579	0.1783
OA	4.392	0.1403
DKA	3.414	0.1091
DKO	4.534	0.1449
SDK	3.486	0.1114
CDK	3.518	0.1124
SUM	31.297	1.0000

Following this stage, the values of standard deviation were found by employing Equation 6. Later the normalization of the standard deviation was made by help of Equation 8. The outcomes of the calculations are presented in the table below:

**Table 8. The Values of Standard Deviation (σ<sub>j</sub>)**

	KA	KM	OA	DKA	DKO	SDK	CDK	Total
σ <sub>j</sub>	0.4740	0.3957	0.4161	0.4482	0.4690	0.4120	0.4227	3.038
σ <sub>j</sub> <sup>N</sup>	0.1560	0.1303	0.1370	0.1475	0.1544	0.1356	0.1392	1.0000

Then the program of *LINGO 20* was employed in order to solve this multi purpose model (MPM). In the MPM, β is accepted as 3. The model's LINGO code is presented in Table 9:

**Table 9. The Code of LINGO**

```

MODEL:
SETS:
AL/1..19/:S;
CR/1..7/:W,STD,COR;
LINK(AL,CR):X;
ENDSETS

DATA:
B=3;
X,STD,COR=@OLE('C:\MATRIX1.XLSX','e5:k23','15:111','n5:n11');
ENDDATA

@FOR(AL(I):
S(I)=@SUM(CR(J):W(J)*X(I,J));
LA<=S(I);
);

@FOR(CR(J):
W(J)<=1;
W(J)>=0.001;
);

@SUM(CR(J):W(J)=1;

LB=@SUM(CR(J):((W(J)-STD(J))^2));
LC=@SUM(CR(J):((W(J)-COR(J))^2));

Z=LA-(B*(LB+LC));

@FREE(Z);

MAX=Z;

END
    
```

The results obtained by the help of LINGO can be read in the following tables:

**Table 10 and 11. LINGO Results -Criteria Weights and Ranking**

Table 10. Criteria Weights		Table 11. Ranking	
W( 1)	0.2092788	S( 1)	0.5332551
W( 2)	0.1715581	S( 2)	0.5350092
W( 3)	0.1409622	S( 3)	0.7451674
W( 4)	0.1144173	S( 4)	0.4828956
W( 5)	0.1480849	S( 5)	0.8178858
W( 6)	0.1086959	S( 6)	0.8047003
W( 7)	0.1070028	S( 7)	0.8700959
		S( 8)	0.6679074
		S( 9)	0.6342607
		S( 10)	0.6550654
		S( 11)	0.6215978
		S( 12)	0.5916159
		S( 13)	0.6916879
		S( 14)	0.4363296
		S( 15)	0.5340704
		S( 16)	0.6311665
		S( 17)	0.6159697
		S( 18)	0.6042009
		S( 19)	0.6672435



According to LINGO Results, the criterion weights can be seen more clearly in Table 12.

**Table 12. Criterion Weights (w)**

Weight number	Code	Criteria Name	Weight Coefficient	Weight Rank
w1	KA	Total Loans / Total Assets	0.2092788	1
w2	KM	Total Loans / Total Deposit	0.1715581	2
w3	OA	Total Capital / Total Assets	0.1409622	4
w4	DKA	Total Profit / Total Assets	0.1144173	5
w5	DKO	Total Profit / Total Capital	0.1480849	3
w6	SDK	Branch Number / Total Profit	0.1086959	6
w7	CDK	Personnel Number / Total Profit	0.1070028	7
	<b>SUM</b>		1.0000000	

According to the table, the most important criterion for banks' financial performance in 2022 is the Total Loans/ Total Assets with 20,9 weight. It is followed by Total Loans/Total Deposit with 17.1 percent. The weakest criterion is Personnel Number /Total Profit with 10.7 percent coefficient.

According to LINGO Results, the ranking and the performance scores of the banks can be seen in the following table:

**Table 13. The Performance Scores and Ranking of the Banks**

Bank number	Bank Code	Performance Score	Ranking
s1	ZIR	0.5332551	17
s2	VAK	0.5350092	15
s3	ISB	0.7451674	4
s4	HAL	0.4828956	18
s5	GAR	0.8178858	2
s6	YKB	0.8047003	3
s7	AKB	0.8700959	1
s8	QNB	0.6679074	6
s9	DEN	0.6342607	9
s10	EKO	0.6550654	8
s11	ING	0.6215978	11
s12	HSB	0.5916159	14
s13	FIB	0.6916879	5
s14	ODE	0.4363296	19
s15	ŞEK	0.5340704	16
s16	ICB	0.6311665	10
s17	BUR	0.6159697	12
s18	ALT	0.6042009	13
s19	ANA	0.6672435	7

According to the table above, the most successful bank is AKB Bank with its 0.8700959 rank value. It is followed by GAR Bank. YKB Bank has

the third best place. The bank that is at the bottom of the list is ODE Bank. In Table 14, The names of the bank in ranking can be seen based on the ranking order from the best to the worst.

**Table 14. Final Ranking**

<b>Bank</b>	<b>Bank Code</b>	<b>Ranking</b>
Akbank T.A.Ş.	AKB	1
Türkiye Garanti Bankası A.Ş.	GAR	2
Yapı ve Kredi Bankası A.Ş.	YKB	3
Türkiye İş Bankası A.Ş.	ISB	4
Fibabanka A.Ş.	FIB	5
QNB Finansbank A.Ş.	QNB	6
Anadolubank A.Ş.	ANA	7
Türk Ekonomi Bankası A.Ş.	EKO	8
Denizbank A.Ş.	DEN	9
ICBC Turkey Bank A.Ş.	ICB	10
ING Bank A.Ş.	ING	11
Burgan Bank A.Ş.	BUR	12
Alternatifbank A.Ş.	ALT	13
HSBC Bank A.Ş.	HSB	14
Türkiye Vakıflar Bankası T.A.O.	VAK	15
Şekerbank T.A.Ş.	ŞEK	16
Türkiye Cumhuriyeti Ziraat Bankası A.Ş.	ZIR	17
Türkiye Halk Bankası A.Ş.	HAL	18
Odea Bank A.Ş.	ODE	19

The best three banks are Akbank, T. Garanti Bankası., Yapı ve Kredi Bankası based on the SECA Model and their 2022 values in terms of the selected criteria. Another conclusion of the research is that the public banks have the bad results in ranking. T. Vakıflar Bankası is in the 15<sup>th</sup> place, T.C. Ziraat Bankası is in the 17<sup>th</sup> place and Türkiye Halk Bankası A.Ş. is in the 18<sup>th</sup> place.

## **Conclusion**

Banks, which play a financial intermediary role in the function of converting savings into investments, are one of the most important elements of the financial system. The financial success of this element is very important for the good functioning of financial system. The goal of the research is to build the financial success ranking of the banks with multi-branches (alternatives) in Turkey based on some selected criteria. The data were obtained from the statistics of Turkish Banks' Association. In this research, the SECA method employed. It employed for both to find the performance criteria

weightings and to list the banks based on the evaluation of their financial performance. The research is based on seven financial ratios (criteria) such as Total Loans / Total Assets ratio (KA), Total Loans / Total Deposit ratio (KM), Total Capital / Total Assets ratio (OA), Total Profit / Total Assets ratio (DKA), Total Profit / Total Capital ratio (DKO), Branch Number / Total Profit ratio (SDK), Personnel Number / Total Profit ratio (CDK).

According to the SECA method, the most important criterion for banks' financial performance in 2022 is the Total Loans/ Total Assets with 20,9 weight. It is followed by Total Loans/Total Deposit with 17.1 percent. The weakest criterion is Personnel Number /Total Profit with 10.7 percent coefficient. Again according to the SECA method, the best three banks are Akbank., T.Garanti Bankası, Yapı ve Kredi Bankası based on the model and their 2022 values in terms of the selected criteria. Another conclusion of the research is that the public banks have the bad results in ranking. T. Vakıflar Bankası is in the 15<sup>th</sup> place, Türkiye Cumhuriyeti Ziraat Bankası A.Ş. is in the 17<sup>th</sup> place and T.Halk Bankası is in the 18<sup>th</sup> place.

Since the ranking and criterion weights revealed by the research are determined entirely according to the applied model, there is a need to re-evaluate and test these results reached with other models.

## REFERENCES

- Armağan, İ. Ü., Özdağoğlu, A., ve Keleş, M. K. (2021). COVID-19 salgınının banka performanslarına etkisinin SECA yöntemiyle değerlendirilmesi. *Oğuzhan Sosyal Bilimler Dergisi*, 3(2), 114-124.
- Azbari, K. E., Ashofteh, P. S., Golfam, P., ve Singh, V. P. (2021). Optimal wastewater allocation with the development of an SECA multi-criteria decision-making method. *Journal of Cleaner Production*, 321, 1-10.
- Bazrafshan, R., Hashemkhani Zolfani, S., ve Al-e-hashem, S. M. J. (2021). Comparison of the sub-tour elimination methods for the asymmetric traveling salesman problem applying the SECA method. *Axioms*, 10(1), 1-14.
- Bahrami, S., ve Rastegar, M. (2022). Security-based critical power distribution feeder identification: Application of fuzzy BWM-VIKOR and SECA. *International Journal of Electrical Power & Energy Systems*, 134, 1-8.
- Baradari, I., Shoar, M., Nezafati, N., ve Motadel, M. (2021). A new approach for KPI ranking and selection in ITIL processes: Using simultaneous evaluation of criteria and alternatives (SECA). *Journal of Industrial Engineering and Management Studies*, 8(1), 152-179.
- Ecer, F. (2021). A consolidated MCDM framework for performance assessment of battery electric vehicles based on ranking strategies. *Renewable and Sustainable Energy Reviews*, 143, 110916.
- Ecer, F. (2020). *Çok Kriterli Karar Verme. Geçmişten Günümüze Kapsamlı Bir Yaklaşım*. SEÇKİN-Teknik, No: 303, Birinci Baskı: Mayıs 2020 Ankara.
- Ersoy, N. (2022). Türk inşaat firmalarının finansal performansının SECA yöntemi ile değerlendirilmesi. *İzmir İktisat Dergisi*. 37(4). 1003-1021.
- Fan, L., Gu, B., ve Luo, M. (2020). A cost-benefit analysis of fuel-switching vs. hybrid scrubber installation: A container route through the Chinese SECA case. *Transport Policy*, 99, 336-344.
- Keshavarz-Ghorabae, M., Govindan, K., Amiri, M., Zavadskas, E. K., ve Antuchevičienė, J. (2019). An integrated type-2 fuzzy decision model based on WASPAS and SECA for evaluation of sustainable manufacturing strategies. *Journal of Environmental Engineering and Landscape Management*, 27(4), 187-200.
- Keshavarz-Ghorabae, M., Amiri, M., Zavadskas, E. K., Turskis, Z., ve Antuchevičienė, J. (2018). Simultaneous evaluation of criteria and alternatives (SECA) for multi-criteria decision-making. *Informatica*, 29(2), 265-280.

- Keshavarz-Ghorabae, M., Amiri, M., Zavadskas, E. K., Turskis, Z., ve Antucheviciene, J. (2018). Simultaneous evaluation of criteria and alternatives (SECA) for multi-criteria decision-making. *Informatica*, 29(2), 265-280.
- Keshavarz-Ghorabae, M., Govindan, K., Amiri, M., Zavadskas, E. K., ve Antuchevičienė, J. (2019). An integrated type-2 fuzzy decision model based on WASPAS and SECA for evaluation of sustainable manufacturing strategies. *Journal of Environmental Engineering and Landscape Management*, 27(4), 187-200.
- Turkish Banks's Association (2022). 31.12.2022 İtibarıyla Aktif Büyüklüklerine Göre Banka Sıralaması <https://www.tbb.org.tr/tr/bankacilik/banka-ve-sektor-bilgileri/istatistiki-raporlar/59>.
- Yılmaz, N. (2023). Financial performance analysis of Greek banks: The SECA method. Editors: A. Kara and R.Bazancir, Duvar Yayınları, 269-288.
- Zhang, X., Wang, C., Li, E., ve Xu, C. (2014). Assessment model of ecoenvironmental vulnerability based on improved ENTROPY weight method. *The Scientific World Journal*, 2014, 1-7.



# *Chapter 21*

## **ORIENTALIST VISION IN LADY MONTAGU'S *Embassy Letters* AND KELEMEN MIKES' *Letters from Turkey*: A NEW HISTORICIST PERSPECTIVE**

*Neslihan ALBAY*<sup>1</sup>

## Introduction

The objective of this study is to provide a comparative analysis of Mary Wortley Montagu's *Embassy Letters* and Kelemen Mikes' *Letters from Turkey* through Edward Said's influential book *Orientalism* as theoretical framework. I aim to portray the diverse views of the 'Orient' of English and Hungarian travelers living in different centuries. On the other side, their real journeys along the mystified, exotic Ottoman land enabled both writers to reshape or in Greenblatt's term, "fashion" their protagonists' outsider image in relation to the alien, the Orient. In this respect, both writers explore this world with their Western magnifying glasses, albeit they can't help having their characters metamorphose into new selves through their encounter with the Other. From a Saidian perspective, they first "locate [themselves] vis-à-vis the Orient" as opposed to their Western selves and owning the knowledge and therefore the power of Western superiority and masculinity, they hold onto their transgressor identities who are going to infiltrate the heart of Ottoman Orient, Constantinople" (Said, 1977: 21). However, within the melting pot of the city, these achieved identities subvert and get lost (Greenblatt, 2005: 9). While establishing the ideology of orientalism, Said mainly demonstrates the Western representations of Arab-Islamic world. Later, critics and academics discussed that these representations could change depending on which Western country dominates and has representations about which region. Henceforth, many different types of Orientalism have emerged. In most of them, the Oriental is conventionally represented as childish, illogical, need-to-be-governed-by-others and barbarian. The Oriental male is portrayed as vigorous, violent, aggressive, preposterous, and physically unattractive while the Oriental female is described as exotic, silent, submissive, unreasonable and weak. It is also possible to observe a discrete representation of the Orient in the works of some Romantic-Oriental writers, though, especially in the 19<sup>th</sup> century. Studying the works of British and Hungarian romantic authors will shed light on this variable perspective. Emerging in the 1980s as a contemporary literary approach, New Historicism puts forward new perspectives for understanding history. By defying the traditional understanding of history, New Historicism delves into the representations of history as it believes that there are multiple histories rather than only one history, based on the subjective narrative techniques shaped by personal and public histories.

Orientalism is a cultural field of study that was put forward by Edward Said in 1978. Said critically explored how the West depicts the "Orient". He showed how Western thinkers celebrate and eternalize domineering stereotypes of Asia, the Middle East, and the North Africa to justify colonial rule. He revealed how Orientalist discourse frames the East as irrational and backward, in contrast to a superior, rational West. Said favored new approaches to cross-cultural understanding through critical reflection and recognizing our shared



humanity across borders. His concepts opened space for marginalized groups to shape their own narratives. His critique is relevant in tackling issues like religious extremism and Islamophobia. Moreover, he defines the cultural and religious roots of Orientalism to better understand its historical background. In his book *Orientalism* Said defines and examines the two contradictory parts of the world East and West by categorizing and formulating two definite terms which he puts forward as "Occident" and "Other". According to him, these two juxtaposed terms are intermingled with each other, in a reference to the correlativeness of the East and the West. According to his concept of *Orientalism*, specifically in the area of literature, one should examine the ingrains of *Orientalism*, by a close analysis of the East and the West as a discourse. According to him, the East cannot solely be defined within the prospect of Western understanding and evaluation of the East; however, one must see through the totality of the East and the West as a combination of cultural constructions and perceptions of the Eurocentric thoughts that mainly correspond with the Western concept of Orientalism. From this point of view, the East is a culmination of facts and misperceptions which are the outcomes of Eurocentric thinking. In a similar vein, "new historicism becomes a history of possibilities; while deeply interested in the collective, it remains committed to the value of the single voice, the isolated scandal, the idiosyncratic vision, the transient sketch" (Gallagher & Greenblatt, 2000:16). Therefore, New Historicism helps us to re-examine hardened perceptions based on stereotypes and avoid demonization.

Orientalism is a literary and cultural field of study in which East and West are analyzed and evaluated within their geographies, histories, ethnicities and religious background. In this perspective, Said's *Orientalism* reflects a limited time frame of the history in the 18th and 19th centuries. Andre Gingrich expands the boundaries of Said's Orientalism, states a new theory *Frontier Orientalism* in which he broadens his argument on Central European countries and their cultural relationship with Muslim countries. The concept of frontier orientalism, in Gingrich's terms, focuses more on the Central Europe's experience that's been affected by the Ottoman Culture in the forms of myths and folklore and that has solidified as a sub-narrative amongst the Mid-European community. In this paper, I argue that Said's notion of Orientalism is limited; therefore, the history of the Central Europe is fallen behind, as if it did not exist. This paper will include the analysis of both Lady Montagu's *Embassy Letters* and Kelemen Mikes' *Letters from Turkey*, focusing on orientalism. It aims to compare the experiences of both authors within the oriental world, primarily their experiences and thoughts during their time in the lands of the Ottoman Empire as the convergent point of both texts. To help form a theoretical framework for this paper, Edward Said's "Orientalism" and Andre Gingrich's concept of Frontier Orientalism will be used. The identity

of the Orient becomes almost an object produced according to the Occident's perspective. According to New Historicism, the power relations, social and political codes, historical events of the era affect the literary production. This makes new historicism a useful approach to understand the concept of 'self-fashioning' in literature. As stressed by Aram Veerer, "by discarding what they view as monologic and myopic historiography, by demonstrating that social and cultural events commingle messily, by rigorously exposing the innumerable trade-offs, the competing bids, and exchanges of culture, New Historicists can make a valid claim to have established new ways of studying history and a new awareness of how history and culture define each other" (Veerer, 1989: xiii)

Said makes the connection between the East and the West more concrete by claiming the Western stereotypical concepts or remarks about the Eastern civilization are based on the misperception and false images of the Eastern values. His idea of Orientalism based on the connection of the East with Europe broadens the understanding of culminative representation of the Eastern and the Western cultures together. The Orient is a formula of the West, solely depends on the Western values and tradition and also a figment of the Western imagination. He also explains that the Orient has helped to define Europe (or the West) as its contrasting image, idea, personality, experience. (Said: 1978, 70). According to Said, Orientalism is a discourse in which the Eastern part is complementary part of the Europe that enables Westerners to analyze and examine the East from different angles. To formulate his perception of the Orient as a cultural field of research, Said borrows the idea of power and knowledge in which they constitute the main point of interconnection between the East and the West. By forcing and subjugating the East, the West exposes itself to vast platform of knowledge full of falsification, which enables itself to formulate distorted or manipulated perceptions and create male-formulated images of the East. Said formulates the power and knowledge as a discourse by elaborating Michel Foucault's dialect of the power and knowledge. According to Foucault, knowledge and power are adjacent to each other. Knowledge gives sense of power, creates will to power. Knowledge gives power, more power requires more knowledge" (Said, 1978: 36). This yearning to achieve power, triggers Westerners to learn more about the Orient, as a result, they provide themselves knowledge and power in a sense, create the Orient, the Oriental and his world (Ashcroft, 1995:59). In that way, West as sophisticated, civilized, rational; whereas Orient is uncivilized, irrational, merciless and "blind to human reality" (Said, 1978: 322). Said argues that the Orient is the contrast image of Westerners. This formulation of self and the other clearly defines the East as other, as a phenomenon which creates a surrogate of between the East and the West, or in Said's terms "self" and the "other". The Self – whether it is conceived as male, white, European – is constructed as positive term.

Conversely, the Other – be it female, black, non-European – is constructed as its negative reflections (Childs & Fowler, 2006:165). From that point of view, the East is the suppressed and undervalued and colonized, whereas the West is privileged, valued and colonialist. The West takes responsibility to speak and represent the “Other”. However, Said, defines Orientalism as “other” within the scope of British, French, American perspectives.

Since the theory of orientalism is the result of the colonialization of the third-world countries, Said’s Orientalism may overlook the concept of otherness, as he evaluates solely the European Imperialism which can be acknowledged as the root of colonization. However, there are some parts which are undermined or missed in Said’s Orientalism that needs to be defined and examined thoroughly. In his article entitled “Imagining the Orient in Central Europe: An Intercultural Studies” Robert Gafrik makes a clear distinction between Europe and Central Europe. Furthermore, he postulates several examples from the Eastern Europe by analyzing its roots and origin, compiling resources from Czechia, Slovakia, Poland, and Hungary. According to him, Central Europe has hardly ever been considered in the discussions of Orientalism. If at all, it has been seen as the object of West European Orientalist discourses (2). Gafrik examines the main issues such as the missing parts of Orientalism by emphasizing the familiarity of countries which are located at Central Europe. These countries, according to him, are the representative of the Central Europe which are considered as the parts of Europe, whereas they are undermined, devalued, eliminated from the Western discourse. This puts the Central European region in a peculiar, if not paradoxical, position: it is a victim as well as a producer (or a reproducer) of Orientalization. (178). This situation in which Central Europe is both the outsider and insider within the scope of Western culture can still be controversial, and the lines which define the borders of Eastern Europe and Western Europe cannot be delineated easily.

Just before the emergence of the novel as a new genre in the eighteenth century, two authors– a British aristocrat and a Hungarian exile – wrote about their own experiences in the foreign lands that contradicted their mindset in the same century. *The Letters from Turkey* by Kelemen Mikes and *The Embassy Letters* by Lady Mary Montagu reflect the features of their nation and culture, and their personal observations of ‘the other’ people in their letters written with a new historicist approach. As a privileged female writer and traveler in her time, Lady Montagu recounted important details in her letters and presented her genuine observations about the lifestyle in the seraglio in the Constantinople. On the other hand, one of the famous Hungarian authors, Mikes focuses on his exilic life in the Ottoman Empire including the years 1717 and 1758 in his *The Letters from Turkey*. His appreciation of the merciful management style of Ottoman Sultans is striking even if he wrote his letters through an insense sense of his Hungarian identity and cultural traditions

in the face of the ‘Other’ culture. Published posthumously, both works also include fictional elements, personal feelings and thoughts narrated in a sincere way through vivid descriptions based on the perspectives of two live witnesses from two different cultures. Moving with Greenblatt’s well-known idea that “self-fashioning occurs at the point of encounter between an authority and alien” (Greenblatt, 1980: 9), this paper deals with the encounters of both Lady Montagu and Mikes with the Other in order to demonstrate how European countries refashioned their cultural identities constructively and optimistically.

### **A Hungarian Exile in the Ottoman Land**

Marked by the Age of Enlightenment, the seventeenth and eighteenth centuries prioritized reason and science over fiction and superstition. Edward Said identifies the Enlightenment as “a unified trajectory and master sign of both Orientalism and colonialism” (Said, 1978). According to the essential premises of the Enlightenment, human beings can achieve the stages of perfection through science and reason. Religion which was the most important aspect that Europeans defined their identities in the earlier centuries started to lose its prominence in the Age of Enlightenment. This shift paved the way for the shift in the view of the East. The Ottomans were no longer the demonic pagans sent by God for their sins. The Ottoman Empire was viewed differently in that it had a despotic rule with its people who were subjects to the Sultan. Having this view in his background, Kelemen Mikes spent forty years in exile as a loyal follower of Prince Racokzi II who rebelled against Austria-Hungarian Empire. His work *Letters from Turkey* is a reflection of the lifestyle in the Ottoman Empire in the seventeenth century. Consisting of 207 letters written between the years 1717 and 1758, *Letters from Turkey* addresses an imaginative aunt – whom Mikes loves as much as he loves cabbage stew- in a humorous and affable way. In his letters, Kelemen Mikes writes not only about his observations of the Ottomans but also about many topics varying from politics to sericulture and anecdotes from the ancient times to his present day. *Letters From Turkey* is a series of 207 letters that Mikes uses an epistolary form to talk about his experiences during his exile. The context of his letters ranges from personal matters to political ones, mostly serving as a diary of his daily endeavors.

In Rodosto (today’s Tekirdağ) Kelemen Mikes faces with people with diverse nationalities from Greece, Armenia and Jew as well as Turks. They live away from the city center without mingling with each other. He thinks that Turks treat them well and expresses his gratitude towards them from time to time, thanking God for bringing them among such amicable people “who know to do good to others” (Mikes, 180) and “who are not as horrible as were told” (Mikes, 2000: 95). However, his inability to speak Turkish language causes him to have difficulty in blending and building sincere relations with the local people. He mentions the behavior of Turkish people as: “Nobody annoys us,

but it is difficult for foreign people here because nobody can get acquaintance and make friend. This nation does not hate Christian, but they consider him inferior. We can't wait for someone to invite us to his home" (Mikes, 2000: 19), while Mikes label the English as "very merciless, hard of heart and ungrateful" (Mikes, 2000: 249) when he mentions that the French and the English have declared war on one another. He also learns that Sultan Mahmut was a very well-liked, mighty Sultan as he "never willingly started a war, and wished to rule in peace. On a number of occasions there were incipient risings against him, but he forestalled them, suppressed them, and removed the heads from the insurgents so that they should do it not more. He was much loved by the people, Christian and Turk alike; he himself was well-disposed towards the Christians. He governed the empire peacefully" (Mikes, 2000: 247).

Prior to the Ottoman Empire, Kelemen Mikes spent some of his time of exile in Slovenia and France when he accompanied his Prince as a clerk in his service. Kelemen Mikes also shares the same observation. He directs his criticism for the frequent change and the lack of merit in the assignment of grand viziership whose holders he saw as "the god of the world with richness worthy of kings" (Mikes, 2000: 22): "A barber, an ax man, a butcher or a sailor can be assigned there; all of them have been seen to be the Grand Vizier. Our new vizier is the chief lord of the janissaries. He himself cannot know how long he will stay in that position" (Mikes, 2000: 232). On the other side, he stresses that "if a good Vizier were left in post for a long time, and for that reason came the final attack; for whereas while they are still Viziers their power is very great, it is all but impossible for them not to abuse their power... They ought to contrive some means whereby they are not so quickly deposed" (Mikes, 2000: 146). Mikes' letters inform the readers with various customs of the people in Rodosto, not only the Turkish customs but also those of other nationalities. He compares shared customs with his homeland such as grape harvest and farming. While relating these customs, he does not abstain from placing his own opinion when they are in contrast with his worldview. For instance, he states that he finds Turkish way of marriage ill-shaped as Turks marry without seeing each other. He refers the Armenian custom as unpleasant when they cover the bride's mouth to prevent her talking without the permission of her mother-in-law.

According to Voltaire, the causes of difference (from the Ottomans) were climate, government and religion but the greatest difference lay in the treatment of women (Mikes, 2000:151). In his letters, Mikes states his ideas about women supporting the necessity of their education in that women can educate their children, which is for the benefit of the state. For him, women are capable in the administration of the state, and they could be good lawyers. Therefore, his open-minded attitude towards women contrasts with that of the Turks. He would not recommend "asking the wellbeing of the lady of the

house because the husband takes you out with a stick. Here no memory of her is brought to mind, we have to act as if there were no woman in the world” (Mikes, 2000: 19). Mikes also asserts his opinions about the women from different nationalities from French to Greek, however, he favors the women of his homeland, Ardeal, the most. He mentions his desire to get married; however, his hopes for marriage diminish day by day like his hopes for returning to Hungary. Consolation and relief come from his religious faith during his long exile years. Mikes informs about the religion of Islam explaining the belief system in detail. In the letter CLXXXI he explains: “the Turks have one article of faith, to wit, that there is but one God and that Mahumet is God’s emissary. As concerns the commandments of the law, these are divided into five parts: 1. that they pray five times daily; 2. that they fast during Ramazan; 3. That they give alms and perform works of mercy; 4. If possible that they go on pilgrimage to Mekka; 5. that they suffer no uncleanliness upon their bodies” (Mikes, 2000: 233). Moreover, he adds that these commandments are not indispensable for salvation and” 1. that Friday be kept as a holy day; 2. That they be circumcised; 3. That they refrain from wine; 4. That they should not eat the meat of the pig, nor of any animal of which they have not first spilt the blood” (Mikes, 2000: 233). While criticizing the clergy of both religions - Catholic and Orthodox in Christianity and Islam – due to their lives in wealth and vanity, he claims that they would not be respected by the public if they lived in modesty. He holds his religion as the supreme belief and sincerely wishes from God to grant Turks the Christian belief which is the true faith.

Our knowledge is shaped by power and the knowledge itself can sometimes lose its legitimacy as time allows still, the point is that the legitimacy of knowledge, how to trust the knowledge. The question of Foucault is the origin of this paper since it mostly examines the range of legitimacy of knowledge even if not derived from the biblical writings but rather from literary texts from the 18th century. Our perception of truth and its relation to critique are intertwined with the developing knowledge and shifting power dynamics within the historical process. As it can be traced in Said’s work where the cultures critique each other, especially powerful ones critique the weaker cultures, constructing their cultures through knowledge. Yet, this less dimensional examination was reduced and not comprehensive that by the assertion of Stephen Greenblatt’s theory, self-fashioning, and the one-sidedness had been long gone to eradication, rather multifaceted and prone to interpretation approach had been brought to the display. The main intention of this work is to examine thoroughly the primary texts of two travel writers Lady Montagu and Kelemen Mikes in the light of orientalism, and new historicism in order to be able to look beyond the textuality of history, in other words, not a solely literary reading but exposing all of the textual traces of the past with the attention traditionally conferred on literary texts (Barry, 146).

### **Oriental Vision in Lady Mary Wortley Montagu's *Letters***

Born in 1689, Lady Mary Montagu was an eminent English aristocrat who accompanied her husband Edward Wortley Montagu in his Ottoman excursion owing to his position as English ambassador although she spent her early years in England, which enables her to embark on a mobile life and to open her oriental eyes to the world of the 'Other' cultures and people. Especially during her sojourn in Ottoman Constantinople, she did not give up writing her experiences extensively from a woman's oriental perspective. "The Harem" is a place which fascinated travel writers, Orientalist researchers, Western novelists, and tourists alike. Whenever we read a literary work written from an Orientalist perspective, it is almost impossible for us to escape from the image of the Harem. Ironically, the Harem which is also a place where it is forbidden for a man to enter, is described through vivid details and descriptions in many works penned by male authors. Naturally, to make their accounts more believable, sometimes a female writer's account of the Harem is more effective and impressive, which is also the case with Lady Montagu's first-hand observations and experiences within the Ottoman Empire. Lady Montagu acquires a chance to observe the other culture closely and evaluate her own life, family and culture from the eyes of the 'Other'.

As Said puts: "the systematic knowledge was added a sizable body of literature produced by novelists, poets, translators, and gifted travelers" relating to the traveling notes and enhances: "Yet what gave the Oriental's world its intelligibility and identity was not the result of his own efforts but rather the whole complex series of knowledgeable manipulations by which the Orient was identified by the West" (Montagu, 1994: 40). Holding the knowledge constitutes the power hereby, Lady Montagu both in her writership and her position in the high society, got rid of her privileges as she met aristocratic Turkish women such as the wife of the late Emperor Mustapha (Basnett, 109). She had conversations with harem ladies, and even studied the language, praised upon the local food, and even for the religion Islam she had positive reflections. Lady Montagu's letters are therefore closer to a more positive orientalist representation as they are a refreshing change from the conventions of voyeuristic 'truth-telling' (Montagu, 1994: 109). Even though the writer is putting effort into constructing credible and factual texts based on her purely observation and experience, there is no clear evidence of the trustworthiness of her letters. This is partly due to the fact that the letters were published after a year of the author's death in 1763, and more interesting detail is that they were edited by Lady Montagu; extended by some information from her diaries and also her daughter Lady Brute made some amendments on the letters before her mother burned the journal (Urgan, 2019: 449).

What is more, "The Turkish Embassy Letters" by Lady Mary Montagu romanticizes Orientalism and reveals the misrepresentation by idealizing the

East especially through her affirmations upon her entrance to the seraglio. There are notable observations in these letters that have to do with the Turkish women and the harem, whose meanings are pointed out by the author as having been misconstrued by Western society. Orientalism's improper interpretation of the male viewpoint comes from their inaccessibility into Turkish women's inner circles, hence an inaccurate drawing of conclusion. On the other hand, there is once again the credibility of such penetrative action of a foreigner in the seraglio. At the same time, this issue had caused many disputes in England as it was nearly impossible for a foreigner to enter the harem. According to Brimley Johnson who is the editor of the letters, Lady Montagu was not present in seraglio, but he approved her visit to the wife of the Grand Vizier. There is a little chance for her to visit the harem, but she visited many hammams, and met quite a lot of women from the harem itself during her visit (Urgan, 2019: 450). In addition, Lady Mary drew attention to different aspects of Turkish religion in her letters as well.

In turn, Lady Montagu insists that the Western orientalism is grounded on hegemonic Western beliefs that result in a fabricated account of people's lives in the East. For instance, there is a dispute of Turkish women's portrayal as being prey to wanton and repressive sexual cultures as the author believes that they are more liberal and proactive, when compared with Western women. It brings to our mind Said's perspective that women are "the creatures of male power-fantasy. They express unlimited sensuality, they are more or less stupid, and above all they are willing" (Said, 1977: 208). Lady Montagu's Orientalism further elaborates on British women's inclination to remain under the mask of anonymity is compromised when compared with that of Turkish women whose liberty is granted by their veils. Montagu notes, "This perpetual masquerade gives them entire liberty of the following in their inclinations without the danger of discovery" (Montagu, 1994: 116).

In juxtaposition with Mikes Kelemen's letters, they are more of products of great anxiety during the period when there were large empires such as the Ottoman (Aramavudan, 1991: 9). The accounts of Kelemen Mikes are a compilation of a man in exile; hence, they are incredibly lenient on Orientalism's nature regarding the content and tone, compared with the work by Montagu whose letters were flamboyant as her visit was to the heart of the elite and lasted no more than two years when she took the advantage of privileges of her position as being the wife to an English ambassador, whereas Mikes distances himself from the Ottoman society due to his permanent exile, thus his representation is more of a Bad Orientalism. For instance, one letter documents a visit to the Kaymakam, who receives them in open arms. Mikes notes, "But I fear that our campaign will be for naught; for the Turk makes peace when he is beaten" (Mikes, 2000: 4). In the same letter which is one of the earliest ones upon his arrival to Adrianople, he continues elaborating on the impossibility for him



to interact with the Turkish people both due to the language-related problems and the fact that he was born into a different society than Turkish people's, he goes even further stating: "This nation does not hate the Christians, but despises him" (Mikes, 2000:5). On another account "Nothing in the world is more dismal than a town or a village occupied only by Turks" (Mikes, 2000: 7). The grim tone of Mikes is understandable due to his position, but a Turkish historian makes the opposite claim such the Hungarians were in comfort under Turkish hegemony (Ortayli, 2020: 114). According to Greenblatt, we do not get a comprehensive sense of grasp upon the new cultures when we are exposed to something that is different from what we already know; we tend to ignore or make assumptions based on our own previous knowledge. On the other hand, Turhan (2004) explores the locus image of the Ottoman Empire from the eye of the British in terms of the in-out structure of hierarchy of people and city-order. As well as meaning "sacred, inviolable; forbidden," harem is again regarded as a sacred place from the Ottoman perspective since it is a domestic sphere despite being at the very center of the imperial's hearth. That's why it is intriguing for the British as they have the opposite placement of spheres: separate locating of politics and domesticity. While other empires keep their domestic center further away from this colonial, multiracial and multicultural capital, the 'contact zone' of the Ottoman Empire accepts and hosts the "copresence of subjects."

One of the most important and timeless problems in human life occurs within the framework of "the other." This alienating concept has a deep root in literature and critical theory. However, this was probably revealed for the first time in such a powerful way in *Orientalism* written by Said, whose ideas were influenced by Foucault's ideas upon power relation and discourse. Foucault's two books in particular - *The Archeology of Knowledge* and *Discipline and Punish* - constitute the identification of Orientalism and form the basis of the oriental studies since there he puts the hegemonic notions and systems under the spotlight (Said, 1979: 3). Said utilizes literary critical methodology to display how the discourse of the Orient was built over time in accordance with the development of the Western dominion. The idea that "European identity as a superior one in comparison with all the non-European peoples and cultures" (Said, 1979: 7) manifests itself in the discursive pattern of the Orient. Orientalism, in Said's perspective, is the state of the western world creating a dominant narrative, while the occident attempts with its higher privilege to define and describe the eastern world, the orient in its own exaggerated denotation, evidently creating a binary opposition of west versus east, superior versus inferior. This narrative eventually solidifies the position of the west as the foundational superior that defines different cultures as the other, allowing the misrepresented narrative to gradually form up a subtle prejudice against these cultures. This situation reminds us of Said's argument that "the Orient is

less a place than a topos, a set of references, a congeries of characteristics, that seems to have its origin in a quotation” (Said, 1977, 178).

### Conclusion

The way empires recount, depict, and present themselves has influenced literature. In *Orientalism* Edward W. Said stresses that each empire has its own history, there is another aspect of writing history: the histories of the cultures who were colonized. This new outlook stipulates focusing on the experiences of the oppressed people who lived under colonial rule. When these colonies acquired their independence, their own cultures and traditions began to bloom again. Anti-oriental narratives have changed the way we look at literature. Europe used to be the main authority in literary discourse before. Thanks to postcolonial studies, miscellaneous stories by colonized people around the world as well as the colonizer took their place in the mainstream discourse.

According to Said, the orientalist examining and analyzing Eastern cultures should focus on the similarities between the East and the West rather than highlighting their differences. The orientalist vision should oppose and correct the common Western misconceptions about Eastern cultures. Said argues that Western scholars, named as Orientalists, often illustrate Eastern cultures as backward and uncivilized, and so they are in need of guidance from the more advanced West or Occident. The leading narratives based upon this distorted view is perpetuated in a global, unfair environment and the West maintains its authority to view the East through a restricted and distorted lens. Said disapproves this view, since it misrepresents the true nature of Eastern cultures. Edward Said’s real intention in *Orientalism* is to defy the dominance of Western perspectives in mainstream discourses. Furthermore, Said’s work discloses the various ways in which the Orient is perceived, emphasizing that there isn’t just one monolithic view of the East. Instead, imperialist powers resort to refashioning and modifying their conception of the Orient in order to serve their imperial intentions and purposes. Wang Ning suggests that:

There is a linguistic Orient, a Freudian Orient, a Spanglerian Orient, a Darwinian Orient, a racist Orient, and so forth. But there is no Orient or Orientalism constructed according to a “pure” Oriental understanding of it without preconditions. So “West-centrism” still haunts him in dealing with this problem. The so-called Orient or Orientalism is nothing but an empty shell on which West-centrism functions. Thus, Said’s critique again shows his “anticolonialism” to some extent. (Ning, 1997: 60)

Illustrating the different perception of freedom she obtained through Muslim women’s sense of “veil”, Lady Montagu presents us with her critical comments and observations about the Other culture during her travels from Europe to Turkey in 1716 in her letters. She was impressed by Turkish

women's freedom as she realized that they had more freedom than the women of her own country at that time. In the letters she addressed to her educated aristocratic friends and stressed the importance of some details of the daily life of the women in the seraglio, Montagu contributes to the orientalist discourse through her travel writing, but she differs from other oriental authors with her genuine descriptions and impressions on the exotic Ottoman Empire and women, Turkish civility and morality. She is fascinated by the divine features and graceful manners of the women in Turkish baths and in the Ottoman seraglio. In a way she breaks the tradition and makes a criticism of the stereotypes or fallacy about the Turkish customs, women, sexuality, and marriage. Montagu goes beyond the borders of her country and imagination by challenging the oriental images of Ottoman women with a broad horizon. In her book entitled *Colonial Fantasies: Towards a Feminist Reading of Orientalism*, Meyda Yeğenoğlu examines the intersection between feminist and post-colonial criticism, while she highlights the Western fascination of the veiled women of the Orient as well as the veiled issue of 'otherness'. She refers to the figure of the Oriental woman as part of "the veiled interior of Western identity". She explains: "the peculiarity of a colonial discourse such as Orientalism may be said to reside precisely in the Westernizing (as well as Orientalizing) operation itself ... the operation I call "Westernizing" consists in the fashioning of a historically specific fantasy whereby members imagine themselves as Western. This engendering and fashioning of the Western subject thus has a fictive character" (Yeğenoğlu, 1998: 3).

The veil is central to the discursive constitution of the referent, namely what the Orient is; it constitutes the condition of possibility of the copula "is". But this is a unique strategic-rhetorical move, precisely because it is assumed to conceal not only the Oriental woman, but also, through her, the very being of the Orient ... In Western eyes the Orient is always more and other than what it appears to be, for it always and everywhere appears in a veiled, disguised and deceptive manner (Yeğenoğlu, 1998: 48).

*Letters from Turkey* in which Kelemen Mikes addresses an imaginary aunt represents the first art form written in Hungarian that portrays his life in exile in Turkey as a member of Prince Ferenc Rákóczi's retinue. These letters are like his memoir depicting his forty-one years of his life and bears the significance of a historical document besides its high literary value. Letters reflect a sad tone but never modest as he struggles not to yield to despair in isolation in a foreign country. He started to write these letters in order to soothe the pain he feels in this desperate situation. Having an epistolary form, *Letters from Turkey* focuses on Mikes's life between the years 1717 and 1758. As part of his policy of otherization, he praises Hungarian identity and nationalistic values while he disparages the Ottoman Empire and other European countries through pejorative remarks in his letters.

Written as a memoir, Mary Wortley Montagu's travel letters addressing to some personalities such as Lady Mar, Abbé Conti, Alexander Pope, and Montagu's family and friends are a great account of the Turkish culture and way of life from the perspective of a western woman. Her depiction of Turkish women, their beauty and freedom, and characteristics of Turkish people in a series of letters containing her impressions on the Ottoman culture and society was less prejudiced and more objective than many Western writers with an orientalist mission. Illuminating the period of Sultan Ahmet III (1703-1730, Montagu's letters were intriguing for reflecting her encounters with some upper-class ladies in the seraglio (harem). Stressing that veiled women are the freest of all women, Montagu interprets: "This perpetual masquerade gives them entire liberty of following their Inclinations without danger of Discovery," and she ends, "upon the whole, I look upon the Turkish women as the only free people in the Empire" (Montagu, 71-72). Being the first Christian lady to visit the Ottoman Empire and to observe the Ottoman culture and society, Lady Montagu was distinctive through her authentic writing style. Especially her exaltation of the emotions of freedom, honor, elegance and hospitality in the Turkish society differed her from the other foreign travel writers who misunderstand and misinterpreted the image of Turkish women within Turkish society.

Although these biased narratives provide authentic information about the Ottoman Empire as the first-hand account of their authors, they cannot go much beyond the orientalist vision. As a Hungarian exile, Kelemen Mikes strives to alleviate the torment of his exilic life within the empire through symbolic letters to his imaginary Aunt. The image of Turks in *Turkish Embassy Letters* and *Letters from Turkey* undoubtedly reinforces the orientalist vision and ideals, considering that "foreigners produced their own imagery and prescriptions" (Arat, 1999: 11). Katharine Branning indicates that writers from other nations have made very negative comments about Turkey and she suggests them as a solution: "I have learned that your viewpoint onto the world is always tainted by the perspectives that you carry inside of you, inherited from your native land and from your upbringing. When you are confronted by an unexplainable situation, you must take a deep breath and stand back from it, and then remove your Western hegemonic eyeglasses. Then, and only then, can you start to analyze what is theirs, yours, and the truth" (Branning, 2012: 5). Only when both Montagu and Mikes manage to remove their hegemonic eyeglasses completely can they have a clear insight of the Orient and regard the Ottoman Empire through an unprejudiced eye. Different readings of the Ottoman period by Lady Montagu and Kelemen Mikes look equally plausible as any other historical readings as the reality of the past is established by multiple literary or historical contexts.

## REFERENCES

- Aramavudan, Srinivas (1991). *Enlightenment Orientalism: Resisting the Rise of the Novel*. The University of Chicago Press, Chicago.
- Ashcroft, Bill, et al (ed). (1995). *The Post-colonial Studies Reader*. New York: Routledge.
- Arat, Zehra F. (1999), "Introduction: Politics of Representation and Identity", *Deconstructing Images of "The Turkish Woman"*. Ed. Zehra F. Arat. Palgrave Press, New York.
- Barry, Peter (2009). *Beginning Theory: An Introduction to Literary and Cultural Theory*. Manchester University Press, Manchester.
- Bassnett, Susan (1996). *Comparative Literature: A Critical Introduction*. Blackwell.
- Branning, Katharine (2012), *An American Women's Letters to Turkey: Yes, I Would Love another Glass of Tea*, Blue Dome Press, New York.
- Childs, Peter & Fowler, Roger (2006). *The Routledge Dictionary of Literary Terms*. Abingdon, Oxon: Routledge.
- Foucault, Michel (2007). *The Politics of Truth*. Semiotext, Los Angeles.
- Gallagher, Catherine & Greenblatt, Stephen (2000). *Practicing New Historicism*. London: The University of Chicago Press.
- Gingrich, A. (1996). *Frontier Myths of Orientalism: The Muslim World in Public and Popular Cultures of Central Europe*. *Mediterranean Ethnological Summer School, II*.
- Greenblatt, Stephen (1991). *Marvelous Possessions*. The University of Chicago Press, Chicago.
- Mikes, Kelemen (2000) *Letters from Turkey*, (Ed. Bernard Adams), Kegan Paul International.
- Montagu, Mary Wortley (1994). *Turkish Embassy Letters*. Virago Press, London.
- Ortayli, Ilber (2020). *Eski Dunya Seyahatnamesi*. Kronik Kitap, Istanbul.
- Said, Edward W (1994). *Orientalism*. Penguin Books India.
- Urgan, Mina (2019). *Ingiliz Edebiyati Tarihi*. Yapi Kredi Yayinlari, Istanbul.
- Veeser, Harold Aram (1989). *The New Historicism*. New York: Routledge
- Yeğenoglu, Meyda (1998). *Colonial Fantasies: Towards a Feminist Reading of Orientalism*. Cambridge: Cambridge University Press.