

**Academic Research &
Reviews in Social, Human
and Administrative
Sciences
-II-**

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Administrative Sciences -II-

Edited by
Dr. Maria Emilia CAMARGO



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Perface

This book consists of nine chapters. In the first chapter aims to analyze the influence of the prospect theory and the framing effect, as well as its relationship with generations X, Y and Z, on the attitude of college students regarding investment decision making. In the second chapter of the book, the concept of metaphor is examined; The basic functions, classification, application areas and educational use of metaphors are mentioned. In addition, the concept of student and student metaphors are also examined. In the third chapter, the Pygmalion effect of instructional leadership behaviors of school administrators on students is discussed. Again, in this chapter, before explaining the development of the concept of instructional leadership, definitions, approaches, dimensions of instructional leadership and its reflections in educational organizations, the relationship between the concept and management and leadership, what is the Pygmalion effect, other concepts that may be similar and related to the Pygmalion effect, and the reflections in education are discussed and the relationship between instructional leadership and the Pygmalion effect The relationship is discussed. In the fourth part of the book, "Assumptions, Tests and Comparative Criteria in Qualitative Preference Models" are examined.

In the fifth chapter, there is research in the context of "Society's Welfare or Party's Welfare (Analysis of Government Policy Assistance in Indonesia)". In the sixth chapter, there is research in the context of Eastern Direction of External Europeanization: Conceptual Foundations and Stages of Development In the seventh chapter focused on the theory of corporate governance in the private sector, collecting these experiences, where the various governments promulgated regulations on corporate governance for their companies, private or public, where the emphasis will be on the application of the concepts of corporate governance of private companies, in addition to the OECD guidelines, what is remarkable about these standards is adding the relevant transparency and anti-corruption tools, so that these instructions do not remain a decalogue of good intentions to be applied. In the eighth chapter sought to conceptualise the broad concepts of

external business environment and MSMEs performance, through a review of extant literature. The study extensively discussed the concepts of micro, small and medium enterprise as well as business environment. This includes: economic, political, socio-cultural and technological, among others. The study concentrated on a thorough evaluation of the body of existing research on the topic. This was done to make the major ideas clearer and to suggest some potential future study topics. The results of the existing literature showed a variety of findings and conclusions. Studies on the effect of the external business environment on the performance of MSMEs in Sub-Saharan Africa have used a variety of factors. In the ninth chapter (last chapter), researches are included in the context of "Analyzing Teachers' Views Regarding School Administrators' Social Justice Leadership Implementations".

This book has been prepared for academics, researchers, doctoral students and policy makers working in the field of social, human and administrative sciences.

Foreword

Academic Research & Reviews in Social, Human and Administrative Sciences-II- is a thought-provoking book that provides valuable insights into contemporary issues facing social, human and administrative sciences academics, researchers, doctoral students, and teachers and policymakers.

The main themes of the book are: "Prospect Theory and the Analysis of the Framing Effect in the Investment Decision-Making Process and its Relationship with Generations X, Y And Z: Exploratory Study with College Students", "Student Metaphors", "Pygmalion Effect of School Principals' Instructional Leadership Behaviors on Students", "Assumptions, Tests and Comparative Criteria in Qualitative Preference Models", "Society's Welfare or Party's Welfare (Analysis Of Government Policy Assistance in Indonesia)", "Eastern Direction of External Europeanization: Conceptual Foundations and Stages of

Development”, “Transparency and Anti -Corruption Tools for Corporate Governments”, “External Business Environment and Small Business Performance in Sub-Saharan Africa: A Conceptual Review”, “Analyzing Teachers’ Views Regarding School Administrators’ Social Justice Leadership Implementations”

The authors of this book present a wealth of literature and research that will contribute to an understanding of the role of decision-makers and international organizations in the field of this area in promoting growth and development. The book is an excellent resource for anyone interested in learning about the most recent trends and emerging issues in the academic research & reviews in social, human and administrative sciences.

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CHAPTER 1

PROSPECT THEORY AND THE ANALYSIS OF THE FRAMING EFFECT IN THE INVESTMENT DECISION- MAKING PROCESS AND ITS RELATIONSHIP WITH GENERATIONS X, Y AND Z: EXPLORATORY STUDY WITH COLLEGE STUDENTS

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Introduction

Prospect theory describes decision making as an often non-rational process, showing that systematic and predictable deviations from the so-called rational model of investor behavior can be observed. Originating from it, the framing effect refers to the fact that choice is influenced by the way the problem is presented. The present study aims to analyze the influence of the prospect theory and the framing effect, as well as its relationship with generations X, Y and Z, on the attitude of college students regarding investment decision making. The methodology for this study is descriptive, with a quantitative approach, and the use of a questionnaire applied to college students. Thus, the results obtained for the first two questions showed the framing effect only in generation X, in which, in the first question, 69.3% of this generation chose the most likely alternative in the type I questionnaire and 54.7% chose the least likely alternative in the type II questionnaire. In the second question, 64% of generation X chose the alternative that gave them more certainty, choosing plan A in the type I questionnaire, while in the type II questionnaire, 53.3% chose to take a risk in search of a lower loss by choosing plan B. And finally, in the third question, the effect was evident only in generation Z, in which 50% chose the option with the best expected value, represented by alternative B in the type I questionnaire, while in the type II questionnaire, the amount of respondents diverged by covering 33.3% for each alternative.

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In the certainty effect, when it comes to earnings, investors are more likely to prefer certain outcomes to probable outcomes. However, when it is possible to win but unlikely, most investors will choose a higher value. In the reflex effect, on the other hand, even if there is a risk of a certain loss, investors tend to take the risk. Thus, Kahneman and Tversky (1979) found that by reversing gains to losses, outcome indicators become risk averse. And this behavior violates the risk aversion axioms of expected utility theory. Finally, the isolation effect which is the last one described by the researchers. In this effect, people tend to have different preferences for the same problem, but will behave in different ways.

Therefore, researchers of the theory are trying to develop an economic model that takes into account that investors are not fully rational. The biggest problem in developing such models is the enormous complexity of human irrationality. Thus, in the field of economics, these theories are based on the principle of mathematical expectation, the choice of which is objective and determined by the expected value of a given bet. However, it is Daniel Bernoulli's expected utility theory that adds the subjective characteristics of human choice and defines choice as the individual subjective result of "moral value."

Subsequently, the development of the concept of human economics as a rational decision maker was based on the outcome of their choices, which is the best way to make decisions regarding social welfare, even if there is a gap between reality and the ideal market. Therefore, an axiomatic theory was proposed, which is universal and shows the rules of rational decision making. Psychologists and mathematicians interpret them in normative

and descriptive terms based on theoretical concepts, while economists interpret them in affirmative and normative terms.

Therefore, identifying the investor's personal information and characteristics can provide more security when investing, as knowing the investor's profile will help you determine the investment that best fits your personal information and investment objectives. The appropriate application according to these objectives can guarantee good returns and financial independence. Today, the capital market is quite vast and there are many investment options, but not all of these options are suitable for everyone, because when faced with unexpected losses, each investment has its own characteristics (Haubert et al., 2014). Knowing how to invest is more than just applying capital in a particular sector. The stock market is always volatile and complex. One must check all available data and carefully consider their investment to avoid future losses (Nunes, 2018).

In line with this, the prospect theory is an alternative way to reflect on the axiom of the expected utility theory, suggesting to analyze how an individual makes decisions in certain situations and what other variables may influence these decisions (Barberis et al., 2001). In the context of risk and uncertainty, Kahneman and Tversky (1979) found that cognitive biases can influence decision making, as individuals use psychological shortcuts to simplify problems.

Given these circumstances, this research seeks, through a theoretical reference and the application of a questionnaire, to answer the following question: what is the influence of the prospect theory and the framing effect on the attitude of college students regarding investment decision making? To answer this question, the overall objective of this research is to analyze the influence of the prospect theory and the framing effect, as well as its relationship with generations X, Y and Z, in the attitude of college students regarding the investment decision making in risky environments involving scenarios of losses and gains.

Therefore, conducting this study is important because an investor's routine is based on making decisions. People make decisions based more on potential loss and gain values than on the outcome itself. However, the prospect theory went beyond simply demonstrating the violation of the axioms of rationality, creating a descriptive model that showed that people

tend to make decisions based on biases and heuristics that lead them away from rationality (Kahneman & Tversky, 1979; Macedo Jr., 2003). Thus, the study is justified as it helps university students and potential investors in decision making involving risk scenarios. Based on the prospect theory and the analysis of the framing effect, conducting this study will help confirm, through data, the attitude of college students in making decisions in risky environments.

In addition to this introductory part, this article is structured in four more sections. The second explains concepts about prospect theory, expected utility theory, investor profile, decision-making attitudes, the framing effect, and related studies. The third section aims at presenting the methodological procedures employed in the development of this research. The fourth section highlights the analysis of the results. And the fifth section presents the conclusion of the study.

Theoretical Reference

Prospect Theory

The prospect theory began to be discussed in 1979, by Kahneman and Tversky (1979), because the researchers disagreed with the expected utility theory, in relation to what was about decision making, being a fundamental contribution to explain the irrational behavior of investors. In turn, it developed through three generations: the first generation was the initial formalization proposed by Kahneman and Tversky (1979), the second generation was also proposed by Kahneman and Tversky (1992), who extended this formalization to the cumulative distribution. Finally, the third generation developed by Schmidt, et al. (2008) is another extension of the theory, however, it is based on vague evidence (Lamb, 2019).

With the help of prospect theory, possible distortions that hinder the decision-making process can be effectively understood. These prospects cause or may lead to preference biases and are considered the main factors that impair the decision-making process (Fernandes et al., 2016). With this research, the prospect theory won the Nobel Prize in economics in the year 2002.

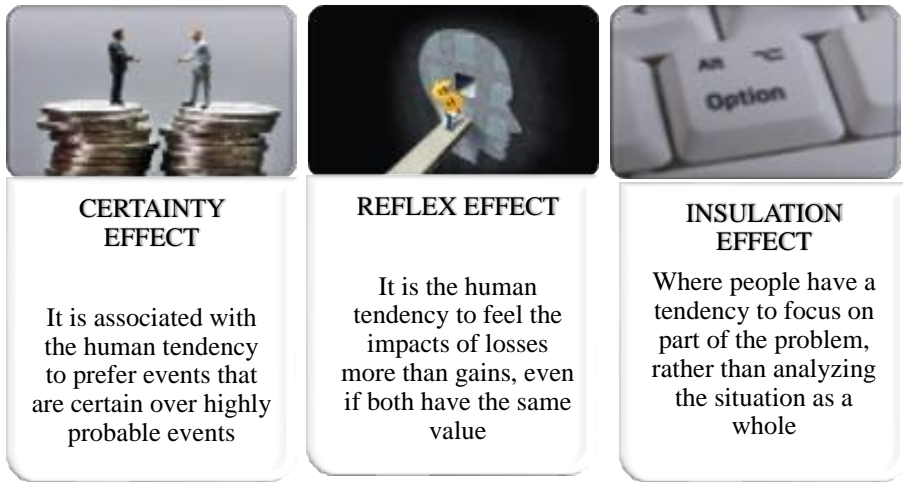


Figure 1.1. Specific examples of illusions arising from the use of biased cognitive processes

Source: Adapted from Kahneman and Tversky (1979)

Based on the assumption that decision making is not a purely rational process, prospect theory recognizes that emotions can interfere with decision making and understanding emotions. Therefore, the focus of this theory is to describe how people choose inconsistent alternatives for various reasons. As shown in the figure above, in their studies, Kahneman and Tversky (1979) address three specific examples of illusions arising from the use of biased cognitive processes, the certainty effect, the reflex effect, and the isolation effect.

Consequently, economic agents are endowed with emotions that contribute to the decision-making process, as they present subjective aspects that can make it difficult to understand the context in which they act. The investor's decision-making process can be understood by the effects of certainty, reflection, and isolation: for the former, subjects seek profit, but avoid the risk of loss or get nothing; in case of disaster, if there is risk in avoiding them, they adapt to these risks, which is a reflex effect; and for isolation, individuals tend to ignore the same factors and highlight different factors in the decision-making process.

These researchers aimed to understand the attitudes of investors in the day-to-day financial market, regarding the cognitive and psychological contexts determining choices with and without risk. To do so, they presented people with the pros and cons (gain or loss) and the risks (probabilities) involved in this decision. The researchers found that people are more averse to risk and gain than to loss because the anguish related to loss is greater than the pleasure related to a gain of the same value. One chooses a smaller but certain gain over the anguish of gaining nothing or acquiring a larger gain. Otherwise, one chooses to run the risk of losing nothing or having a greater loss, to a smaller certain loss (Cardoso & Gomes, 2007; Ferreira et al., 2008).

Based on the results obtained, one can create a chart that shows the evaluation of the investment behavior and indicates the willingness to take risks related to profit and loss. Therefore, the prospectus theory is essential to any attempt to understand the pricing of assets, or the behavior of the investor in relation to his decision, or risk classification when investing (Cardoso & Gomes, 2007; Mineto, 2005).

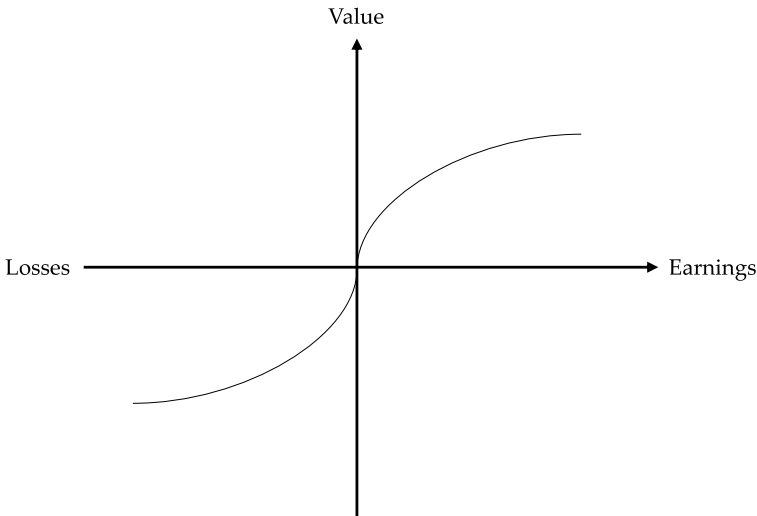


Figure 1.2. Prospect Theory Value Hypothetical Function

Source: Adapted from Kahneman and Tversky (1979)

The hypothesis of prospect theory is that the value function for changes in wealth is usually concave for gains and convex for losses, exhibiting reduced sensitivity. Moreover, the result is usually a nonzero value on both sides, and small losses are more obvious than small gains (Macedo Jr., 2003). That said, estimates of loss aversion practices propose that loss ineffectiveness is about twice the gain efficacy, despite this, both the gain and loss functions identify a declining direction (Pires, 2006).

Prospect theory, identifies two phases in choice methods, editing and evaluation. This being the case, the decision maker observes the offered prospects, which favors a simpler idea of them so that they can be evaluated and chosen applying as a basis the acts, contingencies, and outcomes that are relevant to the decision. After each prospect is edited, the decision maker obtains the value of each prospect and evaluates them, since the prospect with the highest value is the chosen one (Mineto, 2005; Pires, 2006).

With this, it was analyzed in research that the attitudes of students with higher levels of financial education were equivalent to the group with low levels of financial education, demonstrating the limits to learning, as assured by the behavioral finance theorists. However, it would be likely that errors in the decision-making process would be nullified if students could learn from their mistakes and thus nullify them from all decisions in risky situations. However, studies by psychologists and economists point out that there are still a number of limiters to this learning process, due to human behavioral characteristics such as excessive optimism/confidence and illusion of knowledge (control) (Rogers, et al., 2008).

Expected Utility Theory (EUT)

Research on expected utility theory originated prior to the 18th century. At that stage, the decision was usually made based on risk and the value of the available alternatives was related to their probability of occurrence. Therefore, the decision maker would choose the alternative

with the highest value. Daniel Bernoulli's EUT served as the basis for the development of new strategies for economic representatives to choose. Finding this theory consists of testing individual selection strategies, not the intelligence model. Bernoulli allows this theory to correlate expected monetary value with real-time improvements (Kahneman, 2012).

Before Bernoulli's theory became clear, mathematicians believed that decisions could only be made by estimating the mathematical probability of the game. That is, they considered the expected criteria to determine risk and made decisions based on the average represented by the potential outcome. However, Bernoulli argued that such decisions should not be made in this way (Hümmelgen, 2016).

Bernoulli's theory is based on the principles of EUT, but the actual value is replaced by the user value. This deepens and clarifies the understanding and solution of the expected utility problem. Thus, human value is not the central importance of economic impact, but the average function of these effects (Kahneman, 2012). With this knowledge,

Bernoulli postulated what would later be known as the law of diminishing marginal utility, which implies that as wealth increases, additional utility due to increased wealth decreases. In mathematical terms, this law states that utility as a function of money or wealth is a concave function (Cusinato, 2003, p.21).

As mathematical hope theory is replaced by expected utility theory, decision theory becomes more subjective. The decision is made because there is no obvious reason to assume that people view risk in the same way (Cusinato, 2003). Bernoulli understood the limits of the theory at the time and introduced a theory that combined the psychological values of success or failure with such benefits. The advent of TUE was enough to abandon the old theory. Since then, new ideas have emerged in the field of economics based on expected benefits (Hümmelgen, 2016).

TUE is a principle that makes decisions based on the value of various factors and aims to explain what an individual's decision looks like. As mentioned in economics, active economics is a field that defines and explains economic problems. Furthermore, Bernoulli's theory ignores the levels of control that should be judged by their utility. In this case, the theory does not take into consideration the financial situation before deciding (Hümmelgen, 2016; Kahneman, 2012).

Bernoulli's model lacks the idea of a reference point, expected utility theory fails to account for the obvious fact that [...] could explain risk aversion, but cannot explain risk-seeking preference for betting, a behavior often observed in entrepreneurs and generals when all their options are bad (Kahneman, 2012, p. 344).

TUE explored not only financial outcomes, but also the outcomes of more subjective decisions, considering that individuals could maximize the outcomes of their decisions. The idea of maximization forms the basis of the concept of "economic man" proposed by Jeremy Bentham and James Mill. Although expected utility theory contains abnormal facts, this model has not been abandoned. Instead, it was reused by mathematician John Von Neumann and economist Oskar Morgenstern. They converted the theory into an axiomatic model, instructing rational economic agents how to make decisions.

In this concept, TUE is defined as a classifier that uses actual utility to determine the answer without doing any computation to get it, in this case, being an investment. For his analysis, it includes conceptualizing risk and return, comparing them to other assets, and making the best decisions based on the investors' purposes and abilities. When investing, knowing the investor's profile and the characteristics of the investment will make the decision easier and safer, besides making their actions consistent with the purpose outlined (Silva & Pieniz, 2018).

Attitudes in Decision Making

Attitudes are direct expressions of impulses, events, actions, or emotions related to an object. When it comes to complex, acceptable behavior, it is one-sided or multidimensional. This refers to the unacceptable degree of behavior of people's thoughts or goals. When there is a person, an idea, or an event, the verbal or behavioral response is considered relatively stable, this is an organized tendency. Attitudes can be personal tendencies common to all people, but because they have different cranes, they can react in opposite ways to things and situations, whether positive or negative. Individual attitudes can change, and motivation is responsible for polarity, but whether their immobility lasts depends on their personal qualities (Zambon, 2021).

Like other aspects of psychology, attitude is not displayed directly like other thought structures, but based on visual responses. These responses are received from a specific object (called an attitude object or behavioral object) via a stimulus, and these objects can be anything that can be distinguished or retained by the human brain. However, you can design attitude objects as people, places, organizations, ideals, behaviors, events, and products (Mauro & Neiva, 2011). As such, attitudes can be defined as evaluation, affect, cognition, and behavioral predispositions.

It should be noted that the objects of attitudes provided differ from the terms used. They generally describe social attitudes as non-visible but direct aspects, are obtained through observation, and can be combined by the following aspects: cognitive, affective, and behavioral. As far as attitude composition is concerned, they can be associated with the individual's decision-making process. These three factors will affect this process, especially when there is no certainty (Martins, et al. 2015).

Decision making has the potential to determine an investor's fitness and failure, therefore, the importance of the knowledge, skills, and attitudes required to decide should be emphasized (Martins, et al. 2015; Zambon, 2021). However, for the purpose of this research, a single aspect view is assumed, in which attitudes related to behavior will be observed.

An individual's attitude is to be independent, confident in their ability to enjoy the achievement of their goals and choose to follow their own path to achieve them with confidence in their abilities. When exposed to the environment in which they live and work, their attitudes change over time, past behavioral and attitudinal experiences tend to be the best indicators of future behaviors and attitudes (Zambon, 2021).

Framing effect

The investor's evaluation and decision-making process goes through several phases until the last moment of the decision. Many are the factors that directly influence this process and, in some cases, may lead to a significant change in the decision. Over the years, some authors have dedicated themselves to the study of how judgments and decisions are made, questioning the pure rationality of this process, and admitting the existence of other influencers. Kahneman and Tversky (1979) point in this new direction, understanding that there are psychological and cognitive factors that can significantly alter these decisions. The basis of traditional economics, which sees decisions as something strictly rational, is therefore questioned, considering only the utility of the results of these decisions (Kahneman & Tversky, 1979).

Thus, the framing effect implies the existence of different responses of individuals to the same issue, through the modification of the way it is presented. The way the issue is displayed affects and can transform the decision of individuals, a situation that contradicts rational behavior and influences decision making. Therefore, the effect can be divided into two phases of the decision-making process under conditions of uncertainty: a) when the person perceives the problem and b) when he or she starts to evaluate it (Kruger et al., 2018a).

Thus, its main objective is to examine the possibilities of inducing a person to make several decisions through subtle manipulation in the representation of the situation, the best perception of the respondent making the decision to observe the alternatives to be chosen by him, as

well as the possibilities of outcomes to be analyzed integrated to the applied situation (Cardoso et al., 2008).

As shown in figure 1.3, there are three types of framing effect: attribute, objective, and choice under risk.

Attribute Framing Effect	Objective Framing Effect	Framing Effect of Choice at Risk
It is presented when the analysis of an object or event is more opportune when the key attribute is framed positively	It appears when a persuasive message has an opposite appeal, as the positive consequences of doing something to achieve a certain goal or the negative consequences of not doing the act are manifested	It appears when the propensity to take a risk depends on whether the potential results are framed in a positive or negative way. People are more likely to take risks to avoid losses than to make profits

Figure 1.3. Types of Framing Effect

Source: Adaptado de Kruger *et al.* (2018b)

The framing effect proposes that two rationally equal alternatives, if defined differently, will not be treated (in terms of preference) in the same way by the decision maker. Therefore, the framing effect violates the principle of invariance, which states that the way the situation is exposed should not influence the decision maker's decision (Dantas & Macedo, 2013).

Related Studies

Every decision maker will know the exact outcome of every choice when it comes to a reliable decision, that is, no matter the type of choice, the outcome is correct. However, by definition, this concept of certainty depends on the analysis of the consequences of these decisions. So the big challenge for new investors is that, over time, the knowledge they acquire can create barriers between them and the investment experts, so

the biggest problem for newcomers is not knowing where to start and how to go about it. Thus, investment is defined as the total consumption of resources from which the decision maker will benefit (Nunes, 2018).

Martins, et al. (2015, p.01) published a paper entitled "The Prospect Theory and the Herd Effect Heuristic: A study regarding the attitude of individuals in the investment decision in risky scenarios", which had as its general objective "to analyze the reflections of the herd effect heuristic of investors in the attitude of the individual in decision making in risky environments". They, in turn, concluded that most people classified with a conservative profile have a conservative attitude towards profit plans. However, when they turned to loss planning, most people in this group were in a different position, which meant that they were more risk prone. The fear of loss is so great that even conservative people take risks to avoid it.

Silva and Pieniz (2018, p.01) identified in their research, called "Expected Utility Theory and Prospect Theory: An empirical analysis from the investor profile of university students", in which the general objective was "to identify the investor profile among young university students at the University of Cruz Alta, among the courses of Administration, Accounting Science and Law and compare the results using the approaches proposed in the Expected Utility Theory and Prospect Theory", a group of academics, whose conservative views were somewhat concerned with risks, which was consistent with the expected utility theory. If it is used for hidden profits, there are risks, which supports prospect theory. In their analysis, they identified that in academic careers, young people tend to think about the future and financial guarantees, to obtain more profitable securities. Some young people see learning as an investment.

The study conducted by Nunes (2018, p.01) entitled "Study on the investor profile of students of the accounting sciences course of the University of Caxias do Sul", whose general objective was "to identify the investor profile of students of Accounting Sciences of the University of Caxias do Sul investigating their participation in the financial market and their planning in order to ensure or complement

the income", proved that the profiles of investors are divided into conservative (54% of students), who do not risk, want to keep their assets and want less profit; moderate (40% of students), who are willing to risk a small part of their investment and keep them; and bold or aggressive (accounting for 6% of students), are willing to take risks for higher returns.

According to Cordeiro (2019, p.01) in his article "The prospect theory and the Portuguese investor: an empirical study", it was sought through questionnaire shared on social networks, "discuss the behavior of the Portuguese investor in the light of the contributions of the prospect theory", in which the results obtained through analysis, suggest that Portuguese investors behave according to the principles emanating from the prospect theory and that the female gender is more averse than the male gender, and that income influences the level of risk aversion of the investor.

Kruger et al. (2018b, p.01) in their study entitled "Prospect theory: Analysis of the framing effect in the decision-making process", has as its general objective "to identify the influence of the framing effect in the decision-making process by accounting science course students, from the guiding context of the prospect theory". The results showed that, for the most part, respondents tend to choose riskier options in an environment of potential gains and are more cautious when faced with potential losses. Overall, the research highlights the presence of errors in managerial decisions considering the way a given problem is presented, as well as the framing effect that influences individuals' decisions.

Considering the mentioned studies, it was found that the public is looking for safe investments, which shows that most of them are conservative. The study also found that cognitive and psychological biases influence decision making. Another bias is that academics have loss aversion. In one of the studies, it was concluded that while they do not have enough income, their investment risk is somewhat higher. From these results, it can be understood that soon the university environment will really affect academics' decisions about resource conservation (Silva & Pieniz, 2018).

Methodological Aspects

Research Design

Several quantitative scientific data collection methods include survey or survey research, it is noteworthy that some authors refer to research that presents this delineation as descriptive. For political parties, educational organizations, as well as public and private institutions, they identify patterns of behavior and attitudes and answer the researchers' own questions, usually using survey tools, mainly questionnaires (Baptista & Campos, 2016). In this study, ebooks, articles, newspapers, websites, among others, were used, and a survey was carried out regarding the influence of the prospect theory and the analysis of the framing effect in the attitude of college students regarding the investment decision making in risk environments involving scenarios of losses and gains, aiming at the practical application of the theoretical concepts raised.

Regarding the objectives, descriptive research seeks to examine and establish patterns that may occur to other people in the same situation. If the study is to present and analyze the nature of the problem, then it will be the appropriate method (SANTOS; KIENEN; CASTIÑEIRA, 2015). Therefore, to meet the objectives proposed in the present work, descriptive research was carried out, aiming to study the theme in a deeper way. Regarding the approach to the problem, the research conducted will be quantitative, using a questionnaire to collect data and measuring through statistical methods to build an average of the respondents' answers. In other words, some form of statistical analysis is often used to quantify the data.

Data collection and analysis procedures

As an instrument of data collection and analysis, a survey was developed via Google Docs, adapted from Barreto et al. (2013), whose collected data were analyzed using Excel and SPSS software from IBM, to better verify its results. According to Lakatos and Marconi (2017), the questionnaire is a data collection instrument consisting of a series

of ordered questions and without the presence of the interviewer. Thus, the proposal for this research was to apply to college students a questionnaire divided into two types (I and II) with objective questions, to identify the framing effect, as well as its relationship with generations X, Y and Z, in the investment decision-making in risk environments involving scenarios of losses and gains, based on the theory presented.

Survey Results

Respondent Profile

Subsequently to the data collection of the study, analyzing the sample of 158 respondents, it was sought to initially identify some of their main characteristics. The tables present the characteristics regarding the level of education (Table 1.1), gender (Table 1.1), area of knowledge (Table 1.2), monthly income (Table 1.3), and the generation to which they belong (Table 1.4).

Table 1.1. Level of education x Gender

Level of Education	Gender		Total
	Feminine	Masculine	
Undergraduate	85	41	126 79.7%
Graduate	14	12	26 16.5%
Master's	4	2	6 3.8%
Total	103 65.2%	55 34.8%	158 100%

Source: Survey data (2021)

It was found that, among the respondents, there are the following levels of education: Undergraduate (126 respondents - 79.7%); Graduate (26

respondents - 16.5%); and Master's (6 respondents - 3.8%). There is a significant difference between genders, with 103 female and 55 male respondents, representing, therefore, 65.2% and 34.8% respectively. According to the 2020 Semesp Institute survey, 57% of university students are female. In the bachelor's courses, for example, women dominate 54.9% of the vacancies, while in the undergraduate courses, this figure reaches 71.3%, and in the health and welfare area, they are 72.1%. It was also verified that there are several courses in which they are enrolled, totaling 54 courses among all schooling levels. The courses that obtained the highest number of respondents were: Accounting (45 respondents - 28.5%); Business Administration (21 respondents - 13.3%); and Law (12 respondents - 7.6%).

Table 1.2. Areas of knowledge

Areas	Qty.	%
Applied Social Sciences	118	74.7%
human sciences	15	9.5%
Health Sciences	9	5.7%
Exact and Earth Sciences	5	3.2%
Engineering	5	3.2%
Linguistics, Literature and Arts	2	1.3%
Agricultural Sciences	3	1.9%
Biological Sciences	1	0.6%
Total	158	100%

Source: Survey data (2021)

It is observed that 74.7% (118 respondents), the largest concentration of the sample, is in Applied Social Sciences which, in this research, covers mostly courses in Accounting, Law and Administration, followed by the area of Human Sciences with 9.5% (15 respondents). It can be said that the classification of the areas of knowledge is a systematized way of organizing scientific activities, which facilitates the evaluation processes of the funding agencies by defining appropriate criteria for each area, dividing into large areas according to

theoretical and structural aspects of the basic evaluation areas. There are currently nine major areas: Exact and Earth Sciences; Biological Sciences; Engineering; Health Sciences; Agricultural Sciences; Applied Social Sciences; Humanities; Linguistics, Literature, and Arts; and others, the latter being subdivided into Teaching and Multidisciplinary (Canto, 2018).

Table 1.3. Monthly income

	Qty.	%
Up to BRL 1,100.00	34	21.5%
From BRL 1,101.00 to BRL 3,300.00	90	57%
From BRL 3,301.00 to BRL 5,500.00	22	13.9%
Above BRL 5,500.00	12	7.6%
Total	158	100%

Source: Survey data (2021)

Among the monthly income it was found that 21.5% (34 respondents) of the sample have an income of up to R\$1,100; 57% (90 respondents), a little more than half of the respondents, have an income of up to R\$3,300; 13.9% (22 respondents) have an income of up to R\$5,500; and 7.6% (12 respondents) have an income of over R\$5,500.

Table 1.4. Generation

	Qty.	%
Generation X	75	47.5%
Generation Y	77	48.7%
Generation Z	6	3.8%
Total	158	100%

Source: Survey data (2021)

Corroborating with the 2020 Semesp Institute study, in which approximately 79% of college students have a monthly income of up to R\$3,000; 5% of them have a monthly income of over R\$5,000; and 17.4% of college students have no remuneration, either through curricular internship or volunteering. It is important to point out that young people are turning to volunteering as an alternative to improve their résumé, so dedicating yourself to extracurricular activities, be it free lectures, conferences, or even volunteering, is a good option to help you. And on the resume, for example, volunteering deserves special mention, because it is always highly valued by recruiters, allowing the development of other important skills for the business environment.

As for the age of the respondents, samples were collected by generations, being 47.5% (75 respondents) corresponding to generation X, characterized by working with more informal and trust-based relational attitudes, with a shorter and more cautious approach to the hierarchy, this generation does not show much loyalty to the company for which they work to evaluate teamwork in relation to status; 48.7% (77 respondents) of generation Y, being new to the use of new technologies, they bring characteristics of energy and creativity and are always in search of professional improvement, seeking knowledge and seeking to update themselves; and finally, 3.8% (6 respondents) being generation Z, which stands out for the ease of dealing with technology, a difficulty for this generation is to be able to separate real life from digital life (Silva & Pieniz, 2018). According to the 2020 Semesp Institute survey, more than half of university enrollments are young people between 19 and 24 years old (generation Y). Students between 25 and 29 years old (generation X), on the other hand, is at a percentage of 18%.

Analysis of the framing effect and its relationship with generations X, Y and Z

The questions were first treated separately, and after this evaluation, joint analyses related to the framing effect were performed. Question

01 is based on the difference between perspectives, where the proportions were kept in average terms.

Table 1.5. Question 01

His company works with agricultural products and at the beginning of the year R\$ 300,000 was invested in the business. Due to a flood, you will have to pay some costs. Some measures will have to be taken to minimize the losses caused by the “catastrophe”. Choose the alternative (A or B) that you find most convenient for your company.		
	Alternative A	Alternative B
Type I	40% de chances de recuperar R\$100 mil	42% de chances de recuperar R\$100 mil
	e 60% de chances de recuperar R\$ 0.	e 58% de chances de recuperar R\$ 0.
Type II	40% de chances de não recuperar R\$200 mil e 60% de chances de não recuperar R\$300 mil.	42% de chances de não recuperar R\$200 mil e 58% de chances de não recuperar R\$300 mil.

Source: Adapted from Barreto et al. (2013)

It is noteworthy that in both scenarios of the questionnaire, alternative A presented similar expected value, and the same occurs in alternative B. At the same time, alternative B generated in both scenarios the highest expected value. Thus, the expected value remained the same for each alternative, that is, the alternatives are the same, but pointed with different parameters, one in gains and another in losses.

Thus, the objective was to analyze the behavior of the respondents, comparing them with average values, considering whether the prospect theory is present, modifying the level of responses due to a change of scenario and, if the result leads to a violation of the expected utility theory, which establishes that investors consider the utilities according to the hypotheses of each possible outcome. Therefore, it was expected that the respondents would experience the effects of the prospect theory

and, with this, in gains, a preference for the higher probability of a certain gain and in the area of losses a preference for risk.

When analyzing the type I questionnaire, it is clear the preference of the generations for the alternative of higher expected value, as shown in the table above, generations X (69.3% - 52 respondents), Y (77.9% - 60 respondents) and Z (83.3% - 5 respondents) opted for the alternative of higher probability, thus establishing an aggressive profile in front of the gains. In the Type II questionnaire, one notices that the difference between the answer patterns was well divided, where generation X 54.7% (41 respondents) chose the option of lower probability and lower expected value, thus establishing a relationship of confrontation to risk. Whereas the Y generation (53.2% - 41 respondents) and Z generation (66.7% - 4 respondents), chose the option of higher probability and higher expected value, being contrary to risk.

Table 1.6. Difference in perspectives between generations

		Generation X	Generation Y	Generation Z	Total
Type I	Alternative A	23 30.7%	17 22.1%	1 16.7%	41 25.9%
	Alternative B	52 69.3%	60 77.9%	5 83.3%	117 74.1%
	Total	75 100%	77 100%	6 100%	158 100%
Type II	Alternative A	41 54.7%	36 46.8%	2 33.3%	79 50%
	Alternative B	34 45.3%	41 53.2%	4 66.7%	79 50%
	Total	75 100%	77 100%	6 100%	158 100%

Source: Survey data (2021)

Due to the field in which the questionnaires (I and II) are inserted, there was a change between the results only among generation X, because the Y and Z generations chose in both questionnaires the same alternative, in this case the "B". As the alternatives are the same between the questionnaires, differing only in the form of presentation, it is evident the presence of the framing effect only in generation X (Barreto et al., 2013).

The second question, is typical on the prospect theory, seeking in the framing effect the cause for a response that can contradict the invariance principle, in other words, in which the respondents of the type I questionnaire point to plan A as more favorable, and the respondents of the type II questionnaire choose plan B. Thus, the framing effect is observed, if respondents in gains (type I questionnaire) choose the most suitable alternative and in losses (type II questionnaire) the most uncertain alternative.

Table 1.7. Question 02

A controller at a medium size company, faced with the need to lay off employees due to a cost reduction program, estimates that these layoffs will generate, through labor claims, R\$ 300 thousand in losses. Because of this, he has been analyzing alternatives to reduce the impacts of layoffs and has developed two voluntary layoff plans to be presented to the board of directors. In relation to each plan he evaluates the following:		
	Plan A	Plan B
Type I	If this option is adopted, R\$100,000 will be saved.	If this option is adopted, there is 1/3 probability that the R\$300,000 loss will be saved and 2/3 probability that nothing will be saved.
Type II	If this option is adopted, R\$200,000 will be lost.	If this option is adopted, there is a 1/3 chance that nothing will be lost and a 2/3 chance that everything will be lost.

Source: Adapted from Barreto et al. (2013)

Interestingly, in this question, unlike question 1, there is no option with a higher expected value since all options have the same expected value. Therefore, the question has isolated the decision into a mere matter of preference, that is, in a situation where the options have the same expected value, the preference depends on how the information is presented.

Table 1.8. Principle of invariance between generations

		Generation X	Generation Y	Generation Z	Total
Type I	Plan A	48 64%	35 45.5%	3 50%	86 54.4%
	Plan B	27 36%	42 54.5%	3 50%	72 45.6%
	Total	75 100%	77 100%	6 100%	158 100%
	Plan A	35 46.7%	26 33.8%	3 50%	64 40.5%
Type II	Plan B	40 53.3%	51 66.2%	3 50%	94 59.5%
	Total	75 100%	77 100%	6 100%	158 100%

Source: Survey data (2021)

Corroborating with studies by Kahneman and Tversky (1979), the analysis above shows that in the situation of the type I questionnaire, of which the framing corresponded to cost recovery, generation X, with 48 respondents (64%) chose the alternative that gave them more certainty (certainty effect), choosing plan A whose alternative gave certainty that R\$ 100mil would be saved. Differently, generation Y with 42 respondents (54.5%) chose plan B, while generation Z distributed themselves in equal proportions, represented respectively 50% (3 respondents) in plan A and 50% (3 respondents) in plan B.

Table 1.9. Question 03

The person responsible for legal matters in your company has been postponing one of the most crucial recommendations in the organization's entire history. You are facing a class action suit brought by a group of consumers. Although you believe you are innocent, there is a perception that the court may not take that view. The expectation is that the company will incur a loss of \$50,000 if it loses the action in court. This case has been studied by the legal department for more than six months and it seems that it is time for you to decide. Some hypotheses have been raised. Among the probable legal paths, three were exposed as possible. What would be your decision, from the options below?			
	Alternative A	Alternative B	Alternative C
Type I	10% chance of saving \$45K and 90% chance of saving R\$0.	45% chance of saving \$15K and 55% chance of saving \$0.	90% chance of saving \$5,000 and 10% chance of saving \$0.
Type II	10% chance of losing R\$5 thousand and 90% chance of losing R\$50 thousand.	45% chance of losing \$35,000 and 55% chance of losing \$50,000.	90% chance of losing \$45,000 and 10% chance of losing \$50,000.

Source: Adapted from Barreto et al. (2013)

In the Type II questionnaire, the situation in which the framing was of cost loss, 53.3% (40 respondents) of generation X and 66.2% (51 respondents) of generation Y, opted to risk in search of a smaller loss by choosing plan B, whose alternative was the probability of 1/3 that nothing would be lost and 2/3 chance that everything would be lost, while generation Z remained similar to the Type I questionnaire, in which 50% (3 respondents) in plan A and 50% (3 respondents) in plan B.

The results obtained in the statistical test confirm the presence of the Framing Effect only in generation X, because generation Y opted in both for plan B and generation Z remained similar in both questionnaires. The framing effect was present only in generation X, as changing the reference point before changing the way the problem is presented affects the decision. This leads to the rejection, therefore, of

the null hypothesis that the proportions of choosing plan A were the same in both types of questionnaires for generation X, that is, regardless of the way the information is presented. This result confirms the principles of the prospect theory, disobeying the principle of invariance in the decision-making process of this generation (Barreto et al., 2013).

What can be noticed during the theoretical review conducted for this article is that the questions involving aspects related to the prospect theory present alternatives that usually address two options inserted in the extremes. Therefore, the third question, in addition to analyzing the effect from the studied theory, tries to verify the respondent's behavior in relation to a median option.

Table 1.10. Presence of the prospect theory and the framing effect among the generations

		Generation X	Generation Y	Generation Z	Total
Tipo I	Alternative A	24 32%	18 23.4%	2 33.3%	44 27.8%
	Alternative B	34 45.3%	42 54.5%	3 50%	79 50%
	Alternative C	17 23%	17 22%	1 17%	35 22%
	Total	75 100%	77 100%	6 100%	158 100%
	Alternative A	23 30.7%	20 26%	2 33.3%	45 28.5%
Tipo II	Alternative B	35 46.7%	34 44.2%	2 33.3%	71 44.9%
	Alternative C	17 22.7%	23 29.9%	2 33.3%	42 26.6%
	Total	75 100%	77 100%	6 100%	158 100%

Source: Survey data (2021)

First, the questions are ordered in opposite directions, one about saving (type I questionnaire) and one about loss (type II questionnaire). By changing the response pattern between the questionnaires, we are trying to highlight the presence of prospect theory and its framing effect on the responses.

It was found that in both questionnaires, most respondents chose the option with the best expected value, represented by alternative B, where in the type I questionnaire, they were represented respectively by 34 respondents (45.3%) being from generation X, 42 respondents (54.5%) from generation Y, and 3 respondents (50%) from generation Z. Accordingly, in the type II questionnaire, it was depicted that 35 respondents (46.7%) belong to generation X and 34 respondents (44.2%) to generation Y, as for generation Z the amount of the sample is similar containing 2 respondents (33.3%) for each alternative (A,B and C).

For the perception of the prospect theory and the framing effect to exist, it would be necessary that the respondents vary their answers, according to the manipulation, being necessary that the answer in the field of gains and losses diverge, thus demonstrating the theory in this third question. Associated with this, one can notice that generation Z was the only one that varied its answers, evidencing the influence of the framing effect and the prospect theory. In contrast, between generations X and Y, in both cases, there were no bias effects, and the respondents did not change their answer, even if the presentation of the options was manipulated, thus not evidencing the framing effect and the prospect theory.

Final Considerations

Given the evidence that psychological aspects significantly influence decision making, this study's main objective was to analyze the influence of the prospect theory and the framing effect, as well as its relationship with generations X, Y and Z, on the attitude of college students regarding investment decision making. According to the above, two questionnaires were constructed, type I and type II, to

manipulate the data addressing the same question, but one presented the alternatives in terms of losses and the other in terms of gains. This verification of the answers to the questionnaires indicated the best comparison with respect to the prospects involved. Therefore, by modifying the alternatives according to the prospect theory, it is possible to make a comparison between the types of questionnaires.

Thus, by manipulating the way the situations were presented and modifying the way the information was conveyed, it was found that in most of the situations exposed, respondents presented an attitude in favor of the certain, or most likely, gain when faced with a choice that implied only gain. On the other hand, when it came to losses, respondents tended to take risks by choosing the riskier option.

Thus, we defined the framing effect, which was statistically tested and accepted among the situations analyzed by generation X in questions 01 and 02, in which in the first question, 69.3% of this generation chose the most likely alternative in the type I questionnaire and 54.7% chose the least likely in the type II questionnaire. In the second question, 64% of generation X chose the alternative that gave them more certainty, choosing plan A in the type I questionnaire, while in the type II questionnaire, 53.3% chose to take a risk in search of a lower loss by choosing plan B. And by generation Z, in question 03, in which 50% chose the best expected value option, represented by alternative B in the type I questionnaire, while in the type II questionnaire, the amount of respondents diverges, covering 33.3% for each alternative.

Thus, by manipulating the way the situations were presented and modifying the way the information was conveyed, it was found that in most of the situations exposed, respondents presented an attitude in favor of the certain, or most likely, gain when faced with a choice that implied only gain. On the other hand, when it came to losses, respondents tended to take risks by choosing the riskier option.

Thus, we defined the framing effect, which was statistically tested and accepted among the situations analyzed by generation X in questions 01 and 02, in which in the first question, 69.3% of this generation chose

the most likely alternative in the type I questionnaire and 54.7% chose the least likely in the type II questionnaire. In the second question, 64% of generation X chose the alternative that gave them more certainty, choosing plan A in the type I questionnaire, while in the type II questionnaire, 53.3% chose to take a risk in search of a lower loss by choosing plan B. And by generation Z, in question 03, in which 50% chose the best expected value option, represented by alternative B in the type I questionnaire, while in the type II questionnaire, the amount of respondents diverges, covering 33.3% for each alternative.

Therefore, the results of the decisions made by respondents of the generations mentioned above, confirm the existence of the effect and the prospect theory of Kahneman and Tversky (1979), which states that individuals are contrary to risk in the hypothesis of gains and favorable to risk in the hypothesis of losses. This paper contributes to the study of the prospect theory and to the verification of the existence of the framing effect in the investment decision-making process. The objective was achieved, and, with this, it is concluded that it is of utmost importance that college students have a greater interest in the area of finance. The support of the universities themselves would be a stimulus to awaken the interest of students, so that in future investments they can make their decisions reducing the presence of the framing effect.

For future research, it is suggested to identify the framing effect with other variables, such as salary range and marital status for example, consider different samples, such as accounting, economics and management students only; and it would be interesting to analyze the existence of the framing effect with the accounting professionals themselves.

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CHAPTER 2

STUDENT METAPHORS

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Introduction

Individuals strive to comprehend and make sense of their environment from the moment of birth. Individuals may use both non-verbal and verbal expressions when articulating these interpretations, frequently employing metaphors to enrich and enhance their verbal communication. In other words, perceptions or thoughts regarding a concept, event, or phenomenon are frequently expressed via metaphors. Many consider a metaphor to be an instrument of poetic imagination, an artistic expression of language, as opposed to something mundane (Lakoff & Johnsen, 1980). Furthermore, it is important to note that metaphors permeate not only language, but also thought and action in everyday life. Education is a domain where metaphors are prevalent. Students can benefit from more effective and lasting learning environments when metaphors are used as instruments for comprehension and explanation. Furthermore, metaphors can reveal students' perceptions of events, phenomena, and situations. By analyzing metaphorical insights, we can develop solutions and recommendations that improve the educational process and the student experience.

In this section of the book, the concept of metaphor will be examined; we will venture into the primary functions of metaphors, their classification, application areas, and educational use. In addition, we will examine the concept of student and student metaphors.

Background

Metaphor Concept

The metaphor, which means "transfer", derived from the Greek word "Metapherin", it was created by combining the words meta (change) and pherein (carry). Metaphor is a form of speech used to describe a word or something the word does not specify exactly (Levine, 2005; McGlone, 2007). "Metaphor", which is an English word, is expressed with the words "analogy, metaphor" in Turkish, "metaphor" in ancient Turkish, and "istiare" in Arabic. Metaphor is a word or set of words used to add stylistic beauty and ease to the expression, to make the

desired definition with something that has very similar qualities without using the words "like" or "similar" to something or an idea (Aydın, 2006). According to Balcı (2010), metaphor is "the use of words in other meanings than their real meanings". According to Şişman (2007), metaphors are metaphors and metaphorical expressions that people often use to explain certain situations in their daily lives.

The first studies on the concept of metaphor are seen in Aristotle's "Poetics" written in 350 BC. In the Turkish translation of the work, the metaphor is expressed as "metaphorization", "the use of a name for something else, in a variety of genres, from variety to variety, from variety to variety, or in an affinity relationship" (Aristotles, 2007). Another statement about the metaphor is conveyed by Keklik (1984) as follows: "The purpose of the metaphor, which means analogy (istiâre), is to facilitate the understanding of an abstract issue if there is difficulty in understanding it." For example, the organism metaphor likens the organization to a living being, stating that the organization must exchange with its environment in order to live just like living things (Balcı, 2003). The metaphorical reflection of social reality is called metaphor.

It is sometimes impossible to describe an object, an event or a phenomenon with the words that already exist in the language. In addition, human beings need to colourize the expression, add harmony and say fancy words in the literary products they reveal by adding aesthetic value to their feelings, thoughts and dreams. Apart from these, it is always possible to come across efforts to be more understandable in the language used in daily life, to include more concrete expressions, and to try to describe the unknown. One of the most common methods to achieve all these goals is to make an analogy/transfer. These expressions, also called metaphors, enable a phenomenon or an object to be described by expressing it with known words and to be embodied, made visible and understood in this way (Akkaya, 2021).

To summarize, individuals can use analogies/metaphors to add pleasure to their expression while expressing their feelings and thoughts, to concretize and explain the abstract and/or to compare and explain the known to the unknown. These metaphors are called metaphors.

Metaphors can be described as definitions or metaphorical expressions that can be used instead of events, phenomena or situations based on their similarities to add beauty to the expression and facilitate comprehensibility.

Basic Functions of Metaphors

Metaphors allow an individual to see one phenomenon as another and enable the individual's mind to move from a certain way of understanding to another (Saban, 2009). It is possible to list the functions of metaphors in organizational life in general and educational organizations in particular as shown in Figure 2.1.

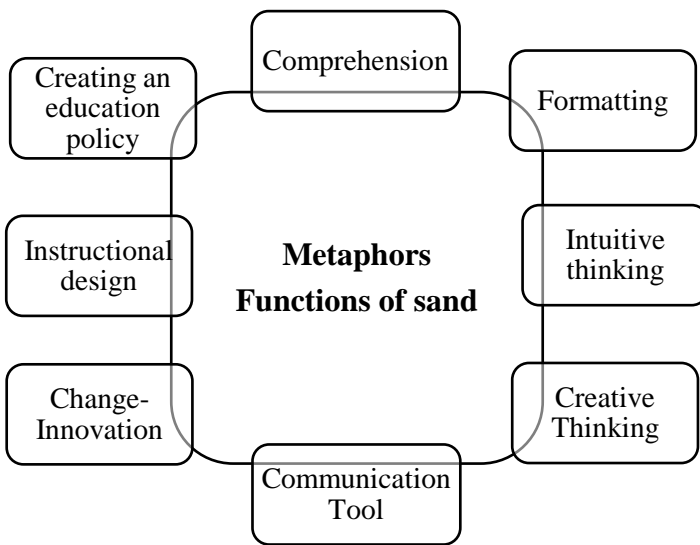


Figure 2.1. Functions of Metaphors

Source: Adapted from Botha (2009) and Morgan (1998).

As seen in Figure 2.1, metaphors; (1) look for ways to understand and shape organizational life, (2) encourage thinking and acting in new ways, (3) expand the horizon of insight and pave the way for new possibilities, (4) can create a large number of perspectives and behaviors, (5) can intuitively function as a tool for discovery, (6) can act as a means of communication, (7) can be used as a tool for the school (family, factory, etc.) They mediate in understanding its nature, can establish planned educational policies [e.g., the "market" metaphor or school selection (goods, services, consumers)], (8) can establish the teaching process, often acting as a teaching approach (dramatization and role-playing), (9) sometimes apply the teacher's teaching activities (pottery, gardening, art, police, entertainer, manager, scientist, guide, coach, researcher, sculptor, chef, gardener, etc.), (10) sometimes determine the path of learners or the learning process, (11) form the characteristic features of the taught subject (Botha, 2009; Morgan, 1998).

It is a fact that metaphors add attractiveness/different perspectives to the narration/situation, regardless of the purpose for which they are used. To summarize, it can be said that using metaphors in organizational life and especially in educational organizations provides benefits in matters such as creative thinking, behaving by thinking in many directions, intuitive thinking, effective communication, planning,, especially in educational organizations, provides benefits in matters such as creative thinking, behaving by thinking in many directions, intuitive thinking, effective communication, planning, and learning by embodying abstract concepts, expressing emotions and thoughts. In addition, metaphors in education can be used briefly in the design of teaching design, sometimes as a teaching method, sometimes as a means of evaluating teaching, and sometimes as a means of drawing attention to teaching activities.

Classification of Metaphors

Following Aristotle's discourses on metaphors, metaphor studies appeared in literary genres such as poetry and novels until the end of the

19th century. In the early 20th century, Breal (1899) stated that metaphor was not an ornament but a ubiquitous feature of language and a major tool of language change. Later, Richards (1936) presented a metaphorical terminology that became quite common by addressing this issue. The philosopher Max Black (1962), who was involved in Richards' work, developed an effective alternative to traditional views on the understanding of metaphor. According to Black's "view of interaction," metaphors prepare the ground for perceiving the subject based on instrumental concepts, combine their conceptual characteristics, and thus transcend their true meaning. Black, who rejected Aristotle's comparison view, argued that metaphor is a communicative phenomenon that works at the level of word meaning and the deeper level of conceptual structure. Later, although contemporary metaphor theorists Lakoff and Johnson (1980) frequently (and rightly) criticized Black's ambiguous statement about his representational superiority, they adopted the concept of "interaction" as an alternative to the concept of "comparison" to describe the cognitive processes underlying metaphor use and understanding (as cited in McGlone, 2007). It is possible to express the study of traditional metaphor as a language game based on the use of words outside their true meaning. Besides, it would not be wrong to say that traditional metaphors are used for artistic and literary purposes. It is seen that the theory called "*Contemporary Metaphor Theory*", which Lakoff and Johnson put forward in their work titled "*Metaphors We Live By*" published in 1980, brings new perspectives to the concept of metaphor. According to this theory (Lakoff & Johnson, 2015):

- Metaphor is not the quality of words but of concepts.
- The function of metaphor is to increase the rhetorical impact of expressions with artistic or aesthetic concerns and provide a better understanding of certain concepts.
- The metaphor is often not based on similarity; it even creates these similarities.

- Metaphor is used by ordinary people who do not have a special ability without requiring a great deal of mental activity in everyday life.
- Metaphor is a linguistic ornament, not an unnecessary decor, but an integral element of human thought and reasoning.

According to the Contemporary Metaphor Theory, researchers classify metaphors as orientational metaphors, structural metaphors, and ontological metaphors, and they state that other examples can be addressed outside these three classifications. The classification of metaphors is shown in Figure 2.

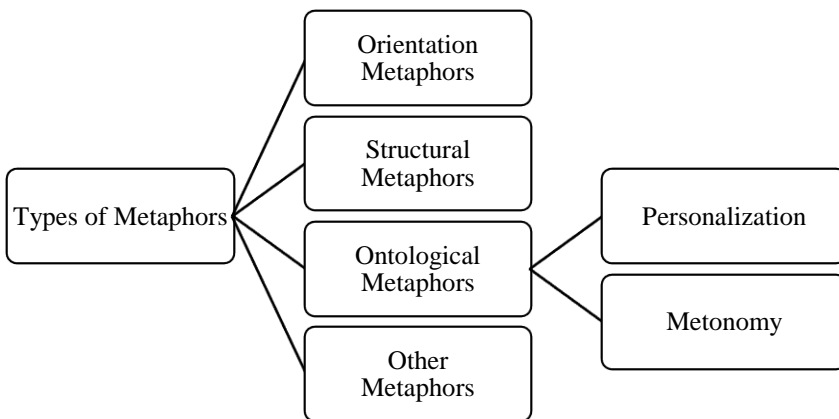


Figure 2.2. Classification of Metaphors

Source: Adapted from Lakoff and Johnsen (1980).

In Figure 2.2, it is seen that metaphor types are classified as orientation, structural ontological metaphors (personilaziation and metonymy), and other metaphors. The types of metaphors are briefly explained below.

Orientalional Metaphor. These metaphors are called orientational metaphors because they give direction to concepts through space and location. These metaphors may differ from culture to culture because

they have a basis based on cultural and physical experiences (Lakoff & Johnsen, 1980). In orientation metaphors, abstract ideas are conceptualized using spatial orientations such as down-up, in-out, front-back, and shallow-deep. It is particularly common here to use vertical dimensions. These metaphors include high morale, low inflation, high status, high fever, low temperature, and low risk (Akşehirli, 2007).

Structural metaphors. In structural metaphors, metaphorical concepts reveal and emphasize an aspect of the concept while conveying other concepts to the structure. Here, a single aspect or dimension of the concept is metaphorically structured (Girmen, 2007). Lakoff and Johnsen (1980) cite examples of building metaphors as follows: “Time is money.”, “I don't have time to waste on you.”, “This flat tire has cost me an hour.”, “You are consuming my time.”, “Spend some time on Ping-Pong.”, “Do you have a lot of time left?”, “You are not using your time efficiently.”, “I lost a lot of time when I got sick.”, “Thank you for your time.

Ontological metaphors. It can be said that ontological metaphors help them understand more easily by embodying abstract concepts. Lakoff and Johnsen (1980) emphasize that ontological metaphors are natural and very common in thought, usually manifested by direct explanations of mental phenomena and that events, actions, activities and situations are interpreted using ontological metaphors. Some examples of ontological metaphors are: “My mind doesn't work at all today,” “The wheels are turning now,” “I'm a little rusty today,” “We've been working on this problem all day and now our battery is running out,” “His ego is very fragile,” “You should treat him carefully after his wife's death,” “He's been disintegrated under interrogation,” “Experience has shattered him,” “I'm going to disintegrate,” “His mind has suddenly disintegrated.”

Personification is a type of ontological metaphor that gives non-human beings and phenomena human characteristics through imaginary means. The most obvious ontological metaphors are those in which the physical object is determined as a person. This enables us to

comprehend a wide range of experiences with non-human beings in terms of human motivations, characteristics and activities. Examples of such metaphors are: "Inflation attacked the foundation of the economy.", "Life deceived me." In ontological metaphors, the use of one thing as a substitute for another is called metonymy. Metonymy has the function of recommendation; it allows the use of an entity to express the new situation. Metamorphosis is not just a matter of advice. It also serves the function of providing understanding. Examples of such metaphors are; "Ford bought it.", "There is a Picasso in the bedroom." (Lakoff & Johnsen, 1980).

Other metaphors. Special metaphorical expressions stand alone in language and thought and are not used systematically (Girmen, 2007). Such metaphors, which can also be expressed as special cases of metaphor, include simple expressions, and ordinary expressions in the form of normal daily speech. Some examples of this situation are (Lakoff & Johnsen, 1980): The foot of the table, the belly of the cabbage, the foot of the mountain, seeking fortune, and taking chances.

To summarize, contemporary metaphor theory suggests that metaphors are not only a characteristic of language as a feature of words but also a conceptual system used in thinking and action.

Areas Where Metaphors are Used

Metaphors that can vary according to the field of use can be found in fields such as science, politics, literature, philosophy and economics; complex thoughts, meanings, explanations, and associations are explained through metaphors. For example, philosophers use metaphors to facilitate difficult-to-understand philosophical problems, while literati use them for stylistic beauty. As a result, messages that are difficult to understand about people, the universe, love, society, the future and the past, goodness and justice, expectations, and hopes can be expressed through metaphors (Keklik, 1984; Yıldırım & Şimşek, 2006).

Metaphor studies are first encountered in Aristotle's "Poetics". Plato, who conveyed Socrates' metaphor of likening the human soul to wax, tried to explain the theory of ideas through symbols with the famous cave metaphor. On the other hand, Augustine said, "An honest man is free even though he is a slave; an evil man is a slave even though he is a king"; Pythagoras said, "The life of the world is like sports competitions. Here, some are spectators, some are contestants, and some are present for the purpose of trading in matches. Philosophers are among these spectators"; Ghazali's "Yakîn (certain knowledge) is like a tree; the morality (habits) in our hearts (in our souls) are the branches that emerge from it. The behaviors that emerge from these habits are the fruits that emerge from these branches. "It is seen from their statements that they used this method (Aydın, 2006; Keklik, 1984).

It is seen that metaphors are at the center of many studies conducted in various fields such as *health* (Larsen and Larsen, 2004; Bozkurt, 2012), *literature* (Huebner, 1944; İçel, 2014; Keysar, Shen, Glucksberg & Horton, 2000; Pourhossein, 2016), *philosophy* (Aydın, 2006; Keklik, 1984), *advertising* (Atar, Şener & Onay, 2016), *public relations* (Sert, 2012) and *education* (Akkaya, 2021; Bay-Dönertaş, Akkaya & Erkiş, 2022; Cerit, 2006; Nasırcı, 2016; Pate & Johnson, 2013; Soysal & Afacan, 2012).

Student Concepts and Student Metaphors

It would not be wrong to say that the most important subject of educational activities is students. Because all activities organized in educational institutions are directly or indirectly aimed at the student. In other words, the reason for the existence of educational institutions is students (Erden, 1998). From this point of view, it can be argued that research on students based on student opinions has an important place in the field of education. When the literature is examined, it is seen that there are studies in which the opinions and feelings of the students and the perceptions of the teachers and administrators about the students are included. Among these studies are metaphor studies. In this part of the

study, a conceptual framework for the concept of student and student metaphors was tried to be presented. At the same time, relevant research was also tried to be included.

Student Concept

Before addressing student metaphors, it is thought that it would be useful to create a conceptual framework for the concept of student. In this context, the definitions related to the concept of student, the behaviors expected from the students and the factors affecting the student's learning behavior will be mentioned below.

There are two definitions of the concept of student in the Turkish Language Institution Dictionary (TDK, 2023). In these definitions, the concept of student is expressed as "a person studying in any educational institution to study" and "a person working on a certain subject under the supervision and guidance of a science or art authority". Based on these definitions, the concept of student can be defined as a person who learns under the guidance of an instructor-expert-guide in formal education institutions in line with the determined goals and prepared education programs. In short, the student is the individual who needs education and continues to attend formal education institutions to meet this need (Duman, 2015).

The child who goes to educational institutions is sharply removed from home life and acquainted with a new role; he becomes a student. This is the first corporate role he has achieved (Bennet DeMarrais & LeCompte, 1995; cited in Aydın, 2012). In addition, it is possible to say that there are some behaviors that teachers and administrators in the school expect from students, the student's family and close environment, and even other people in society. These behaviors can be listed as follows (Erden, 1998): Attending classes, studying, being respectful to teachers, administrators and friends, getting along well with friends, and following school rules.

The basic element of education is the student. The student is the individual who records information passively and is the subject of their actions, not the recipient. In the learning process, the student can make sense of and even change the stimuli coming to his or her senses according to his or her beliefs, attitude, experiences, past experiences, socio-cultural situation and position, age, intelligence, motivation, philosophy, expectations and needs (Duman, 2015). The factors affecting student behaviors in the learning process are shown in Figure 2.3.

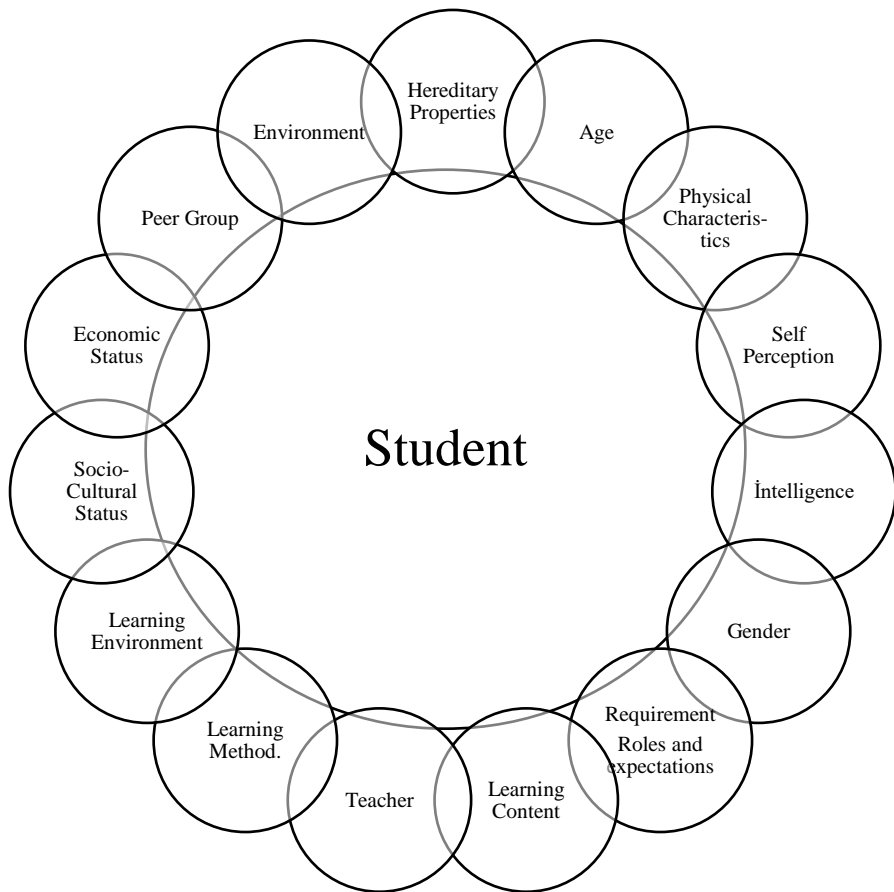


Figure 2.3. Factors Affecting Student Behavior in the Learning Process

Source: Adapted from Duman (2015) and Sahranç (2015).

When Figure 2.3 is examined, it is seen that characteristics such as heredity, age, physical structure, self-perception, intelligence, gender, needs and expectations, learning method, learning environment, learning content, teacher, socio-cultural status, economic status, environment and peer group affect the behavior of the student. Sahranç (2015) classifies these factors affecting student behavior as factors related to the student, factors related to learning content, factors related to learning methods and working habits, and factors related to the teacher and learning environment. Below, these titles are briefly summarized using Sahranç (2015).

Factors related to the student. Here, concepts such as readiness, maturation, other learning by the student, focusing attention and motivation come to the fore. *Preparation* means the existence of biological equipment for learning to take place. *Maturation* is considered in terms of age and intelligence, and it is expressed as the achievement of a certain level of development of the biological equipment necessary to demonstrate a behavior. *Motivation* can be expressed as the stimulation of the organism to be ready for action. *Students' previous or subsequent learning* and other experiences can also affect learning in the sense that old learning facilitates or prevents new learning. Since *attention* is the determinant of the stimuli to be included in cognitive processes, it is important for the student to focus his/her attention on the learning process and not divide it with other activities.

Factors related to learning content. Here, features such as ease of pronunciation, distinguishing, associating and conceptually grouping come to the fore. The straightforwardness of *pronunciation* corresponds with the readability and conciseness of the subject and its constituent terms. It is important that the important parts are clear and emphasized differently from other issues *to distinguish* the subject. The *ability* to associate is the re-memorization of the subject by the student in the form of other phenomena, situations or events. *Conceptually, grouping* is the ability to put the subheadings in a hierarchical order.

Factors related to learning methods and working habits. The *method* of learning can be expressed as the way to process, teach or learn a subject. *Working* habits may include activities such as effective use of time, working behavior following the structure of the subject, consulting with the teacher, writing, and reading.

Factors related to the teacher. Teachers are responsible for providing students with behaviors that are appropriate for their educational purposes (Başaran, 2008). Teacher characteristics such as sufficient domain knowledge, effective communication skills, providing developer feedback, and effective classroom management can affect students' attitudes and behaviors in the learning process.

Factors related to the learning environment. The fact that students play an active role in the physical arrangement of buildings and classrooms will positively affect their perception the school and the classroom. The new understanding of school architecture aims to meet the expectations of the school as a learning tool with its building and other physical features.

As a result, it is possible to believe that the primary goal of activities carried out in formal education institutions is to induce the desired behavior change in pupils. Many elements impacting the student (age, surroundings, IQ, gender, learning environment, etc.) are effective in causing this desired and, thus, permanent behavior change.

Student Metaphors

Various disciplines (biology, chemistry, religion and spirituality, medicine, recreation and leisure, psychology, higher education, English, literature and computer-aided learning) use metaphors as meaning-creating agents. Metaphors shape the classroom and learning environment in formal and structured ways as well as in informal and unstructured ways, affecting the mutual learning of instructors and students (Pate & Johnson, 2013). The content students want to be taught should be aesthetically and emotionally appealing. Because the art and

science of teaching are the ability to find activities where students can learn what they need to learn. Information can be expressed directly, sometimes embedded in stories, and sometimes given using literary expressions and metaphors (Schlechty, 2011).

Students can't separate their past learning, writing and actions from the essence of their thoughts. Seeing what is in them for a moment gives many clues about the cultivation of the spirit and tone of their words (Levine, 2005). For this reason, metaphor research to determine students' perceptions of any event or phenomenon may also require the researcher to have knowledge about many different subjects (nature, the universe, etc.). Levine (2005) explains this situation in his study titled "Metaphors and Images of Classrooms" with the following statements: "I read about kaleidoscopes, snowflakes, circus tents, mountain forests, garden sales, party dinners, shopping trips, interstate highways, bakery cakes and family dinners".

One of the most important effects of using metaphors as a teaching tool is that it can create an environment that provides long-term retention (Arslan & Bayrakçı, 2006). Metaphors filled with intentional language use and poetic, lyrical and storytelling qualities create a communicative sharing of thoughts and associated emotions for students to gain a new and personal understanding. It is important to use metaphors so that students can read and see themselves, their learning, and the world simultaneously in different and familiar ways. In the classroom, metaphors, expressions, jokes or concepts can be used intentionally in the form of several experiences prepared to identify, explain or explain ideas or strategies (Pate & Johnson, 2013).

Apart from being used as a teaching tool, metaphors can be a powerful research tool in understanding, revealing and explaining perceptions about the student phenomenon (Saban, 2009). It is seen that metaphor research is included in education to reveal the perceptions of teachers, administrators and parents about the concepts of students and to reveal the feelings and opinions of students about events, facts, concepts, lessons, teachers, school, and school administrators. Below, research on student metaphors is tried to be transferred under the relevant headings.

Research in which students' feelings and opinions about educational practices, school and class are included. This section includes research on student metaphors related to school, classroom and transportation education concepts. In the studies in which different participants (teacher, prospective teacher, parent, etc.) were included in the study group, only the findings containing the feelings and opinions of the students were included.

Levine (2005) included the metaphors produced by the students about their classes in his study titled "Metaphors and Images of Classrooms". These metaphors were transferred from the students' own narratives, such as treasure hunt, stew, patchwork cover, garden, studio, and place of study

Cerit (2006) aimed to analyze the perceptions of students, teachers and administrators about the concept of school through metaphors and consulted the opinions of 600 fifth-grade students, 203 classroom teachers and 51 administrators. Students put forward the following metaphors about the school: prison, court, place of care and supervision, factory, workplace, place of change and progress, shopping mall, chaotic environment, orchestra, entertainment place, theater, place of knowledge and enlightenment, place of change and progress, place of discipline and authority, place of family, growth and maturation, pleasant and beautiful place, team.

In the study conducted by Saban (2008a) with 1,204 first level students, 85 teachers and 420 prospective teachers to reveal the metaphors related to the concept of school, 14 were produced only by the students. These are heaven, a flower, a flashlight, a rose, a map, peace, the internet, a heart, a ladder, a playground, a teacher, a boring place, a company, and the light of hope.

In the study by Özdemir & Akkaya (2013), which aims to reveal what students and teachers perceive the school as in general high schools and what the ideal school concepts they design are through metaphor, opinions were obtained from 576 students and 55 teachers. According to the research findings, the students produced metaphors related to the

school, such as prison, family, wild animal, computer, empty and closed box, flower garden, broken clock, grater, ideal school, knowledge nest, home/family, entertainment center, superman, amusement park, tree, fairy tale, Atatürk, gym, flower garden and chocolate.

Another study was conducted by Kayhan (2014) with 481 transport students and 50 teachers in five transport center secondary schools in the city center of Sivas to determine the metaphors of teachers and students regarding transport education application. As a result of the research, 43.6% of the students likened the transportation education process to a journey with the 178 metaphors they created.

When the research findings in the literature are evaluated together, student metaphors such as prison, factory, family, and entertainment center are common in different research findings. Among these metaphors, it is seen that the prison metaphor is used the most. In addition, in the student metaphors produced for the classroom, metaphors (stew, patch cover) in which different characteristics are gathered together stand out.

Research in which students' feelings and opinions about school administrators are included. Cerit (2008) obtained data through the analysis of the questionnaires applied to 600 students, 203 teachers and 51 administrators in his study titled "Students, Teachers and Administrators' Views on the Metaphors Related to the Concept of Principal". According to the findings of the research, students stated that they agreed less with the metaphor that "principals are mother/father, caregiver, authoritarian, guardian, king, judge, boss, leader, coach, and orchestra conductor" and that they agreed moderately with the metaphor that "principals are controllers, consultants, and education experts".

According to the results of the research conducted by Aslan, Bilgili and Kaya (2018) to determine the thoughts of students studying in high schools about school principals through metaphors, the general perceptions of the participants about school principals are negative. In the study, the participants mostly produced metaphors in the categories

of "being harsh and oppressive", and the least in the categories of "enlightenment, being a valuable asset, giving a nurturing shape". The top 10 most-produced metaphors were "disciplinary machine, teaching leader, guard, coach, dictator, authoritarian power, brain, king, shepherd, and ship captain".

Another study was conducted by Aydeniz (2022) to reveal the metaphorical perceptions of gifted students about the concept of the school principal. According to the research findings, students produced metaphors for the concept of the school principal in the categories of "power, personality, protector, educator-shaper, leadership, knowledge and physical". Among the metaphors produced by the students about the concept of the school principal, the first three metaphors with the highest number of opinions were the president, the president and the administrator.

When the research findings in the literature are evaluated together, it is possible to say that students see school administrators as more powerful and authoritative figures.

Research in which students' feelings and opinions about teachers are included. While examining the metaphorical perceptions of the students about the concept of teacher, studies including student metaphors about the concepts of "psychological counselor", "academician", "Turkish teacher" in the literature were also reported.

The findings of the study, which was conducted with the participation of 247 12th-grade students studying in different high school types, whose aim was to compare the metaphors perceived by students in different high school types regarding psychological counseling and guidance service, are as follows: The most preferred Metaphor for a psychological counselor by students is the category of "protective and reassuring" psychological counsellor. Then, there are psychological counsellor categories as "useless and unnecessary entities", psychological counsellor as "guiding and informing", and psychological counselor as "solving problems and giving peace of mind", respectively. When the categories were divided into positive and

negative categories, it was seen that the majority (62.5%) had positive thoughts (a famous character, an athlete, who directs and gives information, gives protective-confidence, solves problems and gives peace of mind). In contrast, negative evaluations (a useless and unnecessary asset, a stimulant-punisher-discipline provider, a lack of communication, a manager, a follower, a complex asset, a slow asset) were found to be less (47.5%) (Doğan (2013)).

Polat, Apak and Akdağ (2013) collected study data in which students studying at Kocaeli University, Department of Classroom Teaching examined their perceptions of the concept of "academician" through metaphor analysis from 134 students. As a result of the research, a total of 61 metaphors were produced. Some of these metaphors are as follows: cair, book, bee, sea, the sun, flower, ant, tree, and candle.

Gedikli (2014), in his research examining the metaphors of 225 secondary school students about the concept of "Turkish teacher", stated that the students produced a total of 420 valid metaphors gathered under 22 conceptual themes. According to the research findings, the following themes emerged: Information source-transmitter (book, sun, pen, electricity, space, etc.), guiding-directive-impressive (sun, light, candle, eraser, shepherd, mirror, etc.), watchful-protective-care assistant-good (sunglasses, angel, mother, can simidi, shadow, etc.), part of the family (mother-father, friend, friend, child, brother/sister, etc.).

In the study conducted by Coştu (2022) to examine the perceptions of "physics lesson" and "physics teacher" of 11th and 12th-grade students studying in different secondary education institutions with the help of metaphors, the majority of the students described the physics teacher as scary (25%) and described it as negative. However, there are also positive metaphors in that students describe the physics teacher as knowledgeable (15%) and useful (14%).

When the research findings are evaluated together, it is seen that student metaphors such as books, the sun, candles, bees, and information sources stand out in the research.

Research in which students' feelings and opinions about various concepts are included. This section presents research including student metaphors related to concepts such as limit, information, tourism, books, nature, scientific value, mother tongue, and critical thinking.

Oehrtman (2002) examined the thoughts of first-year mathematics students on limit concepts and reached metaphors in five different categories as a result of the research. These categories are; zooming, proximity in a spatial region, reasoning in terms of accumulation in one dimension, a physical boundary in which nothing smaller can exist, and infinity as a number.

As a result of the research carried out to reveal the mental images (metaphors) of 105 primary school teachers and 1248 students about the concept of knowledge, the participants described the concept of knowledge as a source of reference, a valuable asset, a guide, a compulsory need and a dynamic/developing phenomenon, a personal and professional development tool, an endless phenomenon, a phenomenon that gives pleasure or happiness, a protective/saving/healing phenomenon, a phenomenon that needs to be recorded or stored, and a power/control tool (Saban, 2008b).

Another study was undertaken by Özder, Kaya and Ünlü (2012) to determine the metaphors for 115 secondary school students' perceptions of the notion of tourism. As a consequence of the research, students came up with 44 alternative metaphors for the concept of tourism. Tourism in terms of historical and cultural values, tourism as a classical perception, tourism in terms of space and material elements, tourism in terms of foreign country elements, and tourism in terms of financial terms are classified into five conceptual categories. In the research conducted to examine the metaphors developed by 515 students in primary and secondary school senior grades regarding the concept of books, eight conceptual categories were identified out of 185 metaphors developed by students; books as a source of information, books as an object, books as a description, books as nature, books as a person, books as a place, books as an action and cartoons as a hero (Bektaş, Okur & Karadağ, 2014).

Another study conducted with primary school students aims to reveal students' perceptions of the concept of nature through metaphors. As a result of the research, 45 valid metaphors were determined in four different conceptual categories (vital function of nature, diversity of nature, aesthetic and artistic aspects of nature, balance and rules of nature) regarding the concept of nature (Kahyaoğlu, 2015).

In the study of Karapınar (2016), who aimed to reveal the perceptions of primary school senior students about the concept of mother tongue and four basic language skills with the help of metaphors, 48 students who participated in the research produced metaphors about the concepts of "mother tongue, reading, writing, speaking and listening". As a result of the research, it was observed that metaphors of plants, religious concepts, national values, education, people and organs, vital needs, astronomical concepts, objects, vehicles, skills, animals, nations, and structures were produced in 15 different categories related to mother tongue, and reflection and mine metaphors could not be categorized.

In order to determine the metaphorical perceptions of Turkish teacher candidates about critical listening, the research conducted by Emiroğlu, Arslanbaş and Işkın (2023) included the opinions of 50 teacher candidates studying in the Turkish Language Teaching Program. As a result of the research, it was revealed that the three most commonly used metaphors for critical listening by prospective teachers were "water" (4.20%), "book" (2.52%) and "perspective" (1.68%).

Research in which students' feelings and opinions about various concepts are included. In this section, research, including student metaphors related to courses such as mathematics, social studies, science and technology, and physical education is presented.

Schinck, Neale, Pugalee, and Cifarell (2008), in their research on the mathematical beliefs of 9th and 10th-grade students attending a private school's university preparatory class in the southeastern United States, listed the resulting metaphors in five different categories: perseverance (mathematics is challenging, requires effort, and rewards), mathematics as structure (connected and hierarchical), mathematics as a journey

(journey of discovery and uncertainty), mathematics as a tool, and the active role of the student.

In the study where Kılıç (2010) aimed to examine the metaphors created by primary school fifth-grade students on history subjects in social studies courses with the discourse analysis technique, 169 meaningful metaphors emerged. These metaphors are grouped into 10 different categories: lighting, information, value, content, certainty, culture, symbol, continuity, historical events, and time.

Toplu (2015) obtained 80 different metaphorical perceptions from the research conducted to determine the metaphorical perceptions of secondary school eighth grade students about science and technology courses. The metaphors obtained were collected in seven different categories. These categories are love, happiness, and entertainment, both positive and negative; necessary, valuable, and important; difficult, complex, boring, or disliked; labor-intensive; wide-ranging; and new and different information.

In another study in which the metaphorical perceptions of secondary school students about physical education were tried to be revealed, 554 secondary school students revealed 482 metaphors about the concept of physical education. Some of these metaphors are as follows: Sports, life, water, flowers, nature, plant, game, amusement park, puzzle, entertainment, music, madness, healthy life, physical education, lifeline, meaning of life, the meaning of school, addiction, cleanliness, happiness, pigeon, leopard, discipline, discharge, relaxation session, reading novels, fruit, chocolate, freedom, newly opened plant, therapy, watching fish, an the eighth wonder of the world (Sofi, 2015).

In the study aiming to reveal the metaphorical perceptions of secondary school students about religious culture and ethics courses, Özcan (2023) found that 98.1% of the students developed positive metaphorical perceptions about the course, and 1.9% developed negative metaphorical perceptions about the course. It was observed that the students produced metaphors in the categories of "religious and moral

information, informative, enlightening-for the good, entertaining-relaxing, loved, and needed".

Research in which students' feelings and opinions about themselves are included. According to the findings of the study conducted by Inbar (1996) with 254 educators and 409 students; 33% of the students described the student as a prisoner (slave, prisoner, bird in the cage, etc.), 7% stated that they perceived the students as empty boxes (bottles, containers, vases, etc.), 3% used metaphoric images (gum, toothpaste, dough, etc.) that resemble the mud in the hands of a potter.

In the study conducted by Bozik (2002) with 49 first-year university students, students were asked to express how they perceived themselves as a students at four different times (the first week of the course, midterm time, the last week of the course and the next semester) through metaphors. The obtained metaphors were divided into four categories: animal metaphors (snail, fish, prairie mouse, duck, mule, cow, etc.), object metaphors (sponge, coloured pencil, curtain, computer program, etc.), human metaphors (candy-eating child, observer, baby, Alzheimer's patient, etc.) and action metaphors (tree climbing, eating, etc.). According to the research findings, students perceive themselves as passive and switch to higher education with the concern that they have lost most of their learning.

Research including the feelings and opinions of teachers, prospective teachers and parents about students. This section presents researches including the metaphorical perceptions of teachers, prospective teachers and parents regarding the concept of students and gifted students.

In the study conducted by Inbar (1996) with 254 educators and 409 students, 7042 metaphors related to the concepts of student, teacher, principal and school were obtained. According to the findings of the study, approximately 18% of the educators used metaphor images that likened the students to empty boxes (for example, bottles, containers, vases, etc.), 10% of the students to the mud in the hands of a potter (for

example, gum, toothpaste, dough, etc.), and 8% of the students to the prisoner (for example, slaves, prisoners, birds in cages, etc.).

Hoffman and Kretovics (2004) propose a new metaphor that defines "students as part employees" to reveal the interaction between students and higher education institutions in the study titled "Students as Partial Employees: A Metaphor for the Student-Institution Interaction". In the study, the existing literature that supports and rejects the concepts of the student as a customer, the student as a product, and the student as a worker is summarized and presented as a preferable definition for the student as a partial employee.

As a result of the research in which Saban (2009) examined the metaphors of 2847 prospective teachers about the concept of the student, 156 valid metaphors were produced, and these metaphors were collected in 11 different conceptual categories in terms of their common characteristics. These categories are as follows: student as an empty mind (white page, earth, computer, field, etc.), student as a passive information receiver (sponge, memorizer, porter, customer, video camera, cow, etc.), student as a reflector of information (mirror, parrot, moon, star, overhead, etc.), student as a raw material (dough, oduz piece, stone/metal piece, game dough, construction, etc.), student as a disabled/defective entity (puzzle, the first draft of the book, a locked chest, etc.), student as a submissive entity (race horse, music instrument, ship, chameleon, etc.), student as a social capital (investment, natural resource, key, etc.), student as a valuable asset (mineral oreum, treasure, sea/ocean, etc.), student as a developing entity (fidan, flower, seed, baby, etc.), student as a student (social worker, detective artist, soccer detective, soccer player, etc.).

As a result of the research conducted by Aydın and Pehlivan (2010) to reveal the perception styles of Turkish teacher candidates regarding the concepts of "teacher" and "student", 85 metaphors related to the concept of student were produced. These metaphors produced were gathered under five categories; student as the recipient of information (an empty plate, notebook, paper, CD well, etc.), student as produced and shaped

(unchipped stone, dough, etc.), student as reflective (mirror), student as striving (ant, worker), and student as restricted (prisoner).

Çapan (2010) examined the metaphorical perceptions of 211 prospective teachers about gifted students, reached 128 metaphors, and collected these metaphors in 13 categories. These categories are as follows: High-performing (runner, zero car, etc.), trying to develop under inadequate conditions (ready to dry flowers, flowers blooming in the swamp, etc.), requiring appropriate training (unprocessed iron, coal, field, etc.), mysterious and requiring effort to understand (magic box, surprise egg, etc.), valuable (diamond, gold, diamond, etc.), open to control and direction (bomb, tsunami, etc.), able to see ahead and direct the future (light, pole star, sun, etc.), able to investigate and look at events differently (wise, genius, etc.), different from their peers (strawberry among pomegranates, olive oil on the water, etc.), large capacity (unfilled container, huge world, etc.), productive (fertile soil, bud, etc.), creative (painter, artisan, multi-faceted sky, etc.), etc.

With this approach, educational procedures can be made more effective. Disclosing the meanings assigned to the pupil will help with issues such as knowing or understanding. Using metaphors, determine the mental images teachers have concerning the concept of student. Sezgin et al. (2017) surveyed 290 primary school teachers for their perspectives. standing with the student, focusing on student-centered education, exploring multiple learning paths, and formulating educational policy. According to the findings of the research, teachers' metaphors for students were gathered under nine conceptual categories: student as a developing being (flower, tree, sapling, etc.), student as a valuable being (diamond, machine, intelligence cube, etc.), student as a raw material (dough, water, book, etc.), student as a reflector of knowledge (mirror, light bulb, glass cup, etc.), student as a blank mind (blank paper, blank plate, hard disk, etc.), student as a social participant (tourist, brother, son, etc.), student as a unique being (rainbow, chameleon, colour, etc.), student as a passive information receiver (camera, robot, watch, etc.), student as a negative connotation (cat, atom, fire, etc.).

The findings of the research conducted by Yıldız (2014) to determine the perceptions of 223 faculty members working at Mersin University about the university, academic profession, teaching, research and student concepts through metaphors include the following metaphors for the student concept: Positive student metaphors (bridging, diversity for society and the future, being raised or shaped, reflective, exerting or showing effort), negative student metaphors (reluctant, limited, maladaptive, exhibiting unwanted/destructive behaviors, money/profit instrument, memorizing/unquestioning, self-interested and insincere).

In another study examining the perceptions of students, teachers and parents of the Science and Art Center towards gifted students, participants were asked to create a metaphor for the concept of "gifted student". The eight conceptual categories of the metaphors produced by the participants are as follows: High-performing hardworking individual (bee, ant, the machine, gluttonous human, bird, easy-to-work dough), the individual in need of appropriate education (tree, internet, crystal, space, skyscraper), mysterious/effortful individual (life, labyrinth, information cube, road, nice surprise, surprise egg), valuable individual (diamond, mineral ore, fertile land, diamond), the individual who looks different from his/her peers (light, flower, the race car, iron, glass, self-confidence box, star, bright star, snowdrop, curious machine), large-capacity individual (water, smart board, young wolf, sea, ocean, world), versatile individual (teacher, computer, magnifier, calculator, inventor) (Özsoy, 2014).

In the study conducted by Bay-Dönertaş, Akkaya and Akman (2022), it was aimed to reveal the metaphorical perceptions of primary school administrators and teachers about the concepts of "distance education", "teacher in distance education" and "student in distance education" in the COVID-19 pandemic. According to the findings of the research, school administrators and teachers produced negative metaphors such as "passive information receiver, behaving as he/she wants, difficult to reach, uncertain development, difficult to reach" as well as metaphors such as "labouring, laboring, trying to develop under inadequate conditions, unique, valuable" during the distance education process.

When the research mentioned above is evaluated together, it can be said that metaphors such as white sheet, blank sheet, bee, ant, tree, diamond/diamond, hard disc/cd, labored metaphors related to the concept of student are common and prominent in research.

Conclusion

Based on the known, metaphors can explain the unknown through analogies and reveal perceptions/opinions about a phenomenon/concept. It is seen that metaphor research is carried out in different fields. Akkaya (2021) states that it is possible to encounter metaphorical expressions in many disciplines, such as management, medicine, physics, chemistry, and daily speech language. In the field of education, the researcher states that metaphors can be used to carry out learning from the concrete to the abstract, from the unknown to the unknown, to train teachers, to determine the perceptions of teachers or prospective teachers about the profession and to make them aware of these perceptions.

Among the metaphor research conducted in education, studies include student metaphors because the most important subject of education is the student. It is valuable to reveal the perceptions of the student in order to identify current situations or problems related to education and make suggestions. In addition, it is important to reveal the meanings attributed to the student in terms of forming the future of society. In this way, educational procedures can be made more effective. Knowing and understanding the student, focusing on student-centered education, uncovering diverse learning paths, and developing educational policies would all benefit from revealing the meanings attached to the student. With the metaphor studies carried out/to be carried out in the field of education, in addition to the meanings attributed to the student, the meanings attributed by the students to events, phenomena, concepts or people can also be investigated.

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CHAPTER 3

**PYGMALION EFFECT OF SCHOOL PRINCIPALS'
INSTRUCTIONAL LEADERSHIP BEHAVIORS ON
STUDENTS¹**

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Introduction

It is well known that people have lived in small or large communities from the beginning of time. Each has its own type of governance and varied names such as family, tribe, clan, principality, empire, and state. Bennis (2009, 4) describes the scenario thus:

There is a more nuanced understanding of leadership nowadays. It is possible to live on an isolated island without leading. Two fully compatible persons are likely to get along well and even improve the environment in which they reside. Someone must lead three or more persons stranded on a deserted island. However, regardless of how closely companies interact, someone must bring the players back into the dance and make the final judgments.

Just as communities need leaders for their management, it is a fact that educational organizations, specifically schools, also need qualified leaders for their management. It can be said that school administrators are expected to act as leaders who initiate action and help create the necessary conditions for others to take action (Balçı, 2007). In this way, the school's primary function of providing individuals with self-actualization skills can be more effectively fulfilled.

There is a debate on how schools should be managed with a leadership approach. In the literature, it is seen that the terms "school leadership," "educational leadership," and "instructional leadership" are also used instead of school administration (Bush, 2008; Pont, Moorman & Nusche, 2008; Şişman, 2018). Instructional leadership primarily encompasses the things that need to be done to improve teaching and learning in schools and student learning (King, 2002). In addition to all this, effective school administrators are expected to possess certain qualities as instructional leaders. Effective administrators stand out from others by raising teachers' morale and creating a fulfilling learning environment suitable for every student's learning at the school. Thus,

the school administrator demonstrates effectiveness more as an instructional leader than as an administrator. Being aware of the school's primary function, interpreting the school's objectives to stakeholders, visiting teachers in their classrooms, and providing guidance and support are among the main tasks of an effective school administrator (Balci, 2007).

It is seen that the concept of instructional leadership emerged during the effective school movement. The role of the school principal, who aims to standardize effective teaching practices, is to maintain high expectations for teachers and students, supervise classroom instruction, coordinate the educational program, and monitor students' development (Barth, 1986). Instructional leadership is a term used to demonstrate the ability to be involved in the school's instructional matters, manage the educational program, understand and supervise instructional content, serve as a model for teachers in instructional matters, provide feedback, and contribute to collaboration around student learning as part of a professional learning community (DuFour, DuFour & Eaker, 2008).

The Pygmalion effect, which expresses the positive impact of leader expectations on followers' behaviors, is known to have emerged from a mythological legend. It can be said that the instructional leadership duties of school principals are important tasks that need to be fulfilled to improve schools and increase students' achievements. It would not be wrong to expect school principals in the role of instructional leaders to use the effect of creating positive expectations while supporting students' performance, in other words, the "Pygmalion effect," as a strategy. The Pygmalion effect, another form of the "self-fulfilling prophecy" theory, describes a situation where a person's behavior concerning their expectations towards a second person prompts the second person to act in ways that confirm the first person's expectations (Jussim, 1986).

It would not be incorrect to suggest that organizations capable of adjusting to quick advancements and changes in the universe can continue to exist. At this time, it is critical for companies to be able to keep up with, and even lead, change. This condition can be linked to organizational managers possessing the required knowledge and skills. Managers that have adopted modern management practices and have

leadership skills will be able to manage their organizations more successfully and encourage their followers to become a part of this change and progress, with a positive expectation effect. This is undoubtedly true for schools and school administrators, who are expected to be among the entities that determine the changes and advancements in the universe.

This section discusses the Pygmalion effect of school administrators' instructional leadership behaviors on students. In this section, before providing explanations related to the development of the concept of instructional leadership, definitions related to instructional leadership, approaches, dimensions of instructional leadership, and reflections in educational organizations, the relationship between the concept and management and leadership has been established, what the Pygmalion effect is, other concepts that may show similarity and be related to the Pygmalion effect, and reflections in education are discussed, and the relationship between instructional leadership and the Pygmalion effect is debated.

Background

Instructional Leadership

Historical Development of Leadership and its Relationship with Management

It can be said that the concept of leadership dates back to ancient times. There is a relatively long history of leadership theory and research spanning over a century (Avolio, Reichard, Hannah, Walumbwa, & Chan, 2009). Leadership discussions can be seen in the works of Plato, Caesar, and Plutarch. Additionally, leadership is a situation that emerges universally among all people, regardless of culture, such as isolated Indian villagers, Eurasian steppe nomads, or Polynesian fishing peoples (Bass & Bass, 2008).

Questions related to the concept of leadership, such as "Why did some leaders (e.g., Gandhi, Mao Tse-tung, Mustafa Kemal Atatürk) arouse intense enthusiasm and loyalty? How did some leaders (e.g., Julius Caesar, Alexander the Great) establish great empires? Why did some

ordinary people (e.g., Adolf Hitler, Claudius Caesar) rise to great power positions? Why were some leaders (e.g., Winston Churchill, Indira Gandhi) suddenly removed from office despite their powers and achievements?" has been the subject of long-standing debates, but scientific studies on leadership have not emerged until the early 20th century (Yukl, 2010).

Scientific studies on what leadership is and who the leader is began with research trying to explain the characteristics of the leader and followers in the early 1900s, followed by research trying to explain leadership behaviors. Subsequent research focused on situational factors affecting leadership, followed by modern leadership approaches. The historical development of leadership approaches is shown in Figure 3.1.

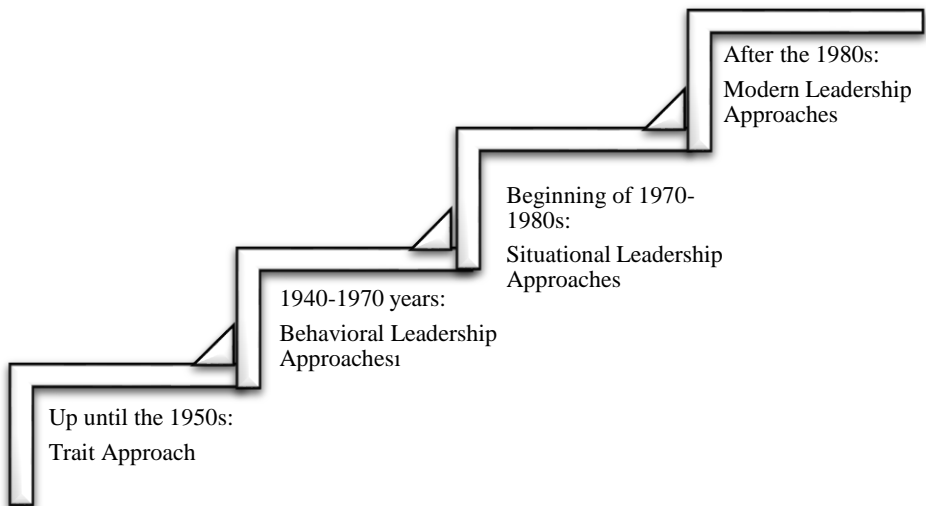


Figure 3.1. Historical Development of Leadership Approaches

Source: Özek (2020)

When the historical development process of leadership approaches in Figure 3.1 is examined, it can be seen that studies on leadership approaches began with examining the leaders' characteristics, and the

common features of the leaders were classified in two categories: the Great Man Theory and the Trait Theory. In the leadership discourse that prepared the ground for the emergence of the "Great Man Theory" by the 19th-century Scottish historian Thomas Carlyle (1841), it is stated that leaders are born with leadership qualities and that leadership cannot be acquired later. He claimed that world history consisted of the biographies of great men and sometimes involved the narratives of prophets, poets, or kings. The theory has been described as a popular assumption about leadership in the Victorian period, a personalized, masculine, rule-based, and individual heroism model (Grint, 2011). According to another theory, Trait Theory, which is discussed in the characteristics approach; leadership is considered in terms of the individual's personal characteristic features, and the leaders' physical, social, and personal features are tried to be determined. However, when the characteristics of the leaders were researched and analyzed, it was seen that the list of characteristics they had was getting longer. In addition, it has been criticized that a person can't have many features determined for leadership at the same time; sometimes some people have much more than the leader's special features among the followers, but these people do not emerge as leaders, and it is difficult to measure leadership features.

The idea that the characteristic approach was insufficient for explaining leadership and that it was necessary to focus on leadership behaviors to explain leadership led to the emergence of behavioral leadership approaches. Universal theories about effective leadership behavior have evolved from behavioral research in the 1950s and 1960s, focusing on relationships between leaders and followers and leaders' behavior towards followers. Iowa University (Lewin, Lippitt & White, 1939), Ohio State University (Fleishman, 1953; Halpin & Winer, 1957; Hemphill & Coons, 1957; Stogdill, 1948), Michigan University leadership studies (Katz, Maccoby & Morse, 1950; Katz, Maccoby, Gurin & Floor, 1951; Likert, 1961, 1967), Blake and Mouton's Managerial Grid Model, McGregor's two types of organizational leadership assumptions called Theory X and Theory Y, and Likert's System 4 Model form the behavioral leadership approaches. This approach assumes that people can be trained to be leaders. According to this approach, leadership is defined as the leader's behaviour while directing the group's activities towards a common goal with which they interact (Karšli, 2013; Northouse, 2016; Yukl, 1989).

In the following years, there has been a focus on *situational leadership approaches* based on the premise that different situations require different types of leadership. Assuming that followers' skills and motivation change over time, the situational leadership approach suggests that leaders need to change their degree of being directive or supportive to meet the changing needs of followers (Northouse, 2016). Fiedler's Contingency Leadership Theory (Fiedler, 1967), Path-Goal Theory developed by House (1971), Hersey and Blanchard's Situational Leadership Theory (Hersey & Blanchard, 1988), and Vroom-Yetton-Jago Decision Model (Vroom & Jago, 1988; Vroom & Yetton, 1973) are among situational leadership approaches. These situational approaches are followed by new approaches such as "servant leadership", "school leadership", "charismatic leadership", "interactive leadership", "transformational leadership", "authentic leadership", "visionary leadership", "moral leadership", "distributed leadership", "instructional leadership", "ethical leadership", "quantum leadership" (Bass, 1985; Conger & Kanungo 1987; House, 1971). It can be seen that all these approaches that emerged in the historical process examine the concept of leadership with a different perspective based on similar features; some approaches examine the characteristics of the leader, some focus on the behaviors of the leader, some leadership approaches can vary depending on the situation, and leadership studies are carried out with modern leadership approaches in the following years.

Considering that people have established various administrative systems and organizations since the early periods of history, as in leadership, it can be said that the science of management is an ancient science as old as human history. Indeed, Baransel (1993) states that management is an art as old as social life, a universal process, and an evolving science. The author notes that the management process involves a set of activities and functions; the art of management represents an application; and the science of management signifies a systematic and scientific body of knowledge. The subject matter of management science includes answers to the question of what will be done, and management principles and techniques encompass answers to the question of how it will be done (Taymaz, 2000). In summary, the management synthesis constitutes the answers to what will be done and how it will be done in an organization.

In the 21st century, it can be said that management and leadership are intertwined concepts that are often used interchangeably. It is inevitable to think that a good manager has leadership qualities, and a competent leader also possesses management skills. In addition to having certain skills in the management process, it is important to adopt and implement contemporary management approaches when mobilizing human resources. By doing so, innovations and developments in different fields can be followed, and one can adapt to the current age. Indeed, Akkaya (2023a) emphasizes that organizations can no longer be managed from a traditional perspective, particularly highlighting the importance of strengthening the competencies of followers. It can be seen that leadership forms an important dimension of management within contemporary management approaches. Managers can manage their organizations more effectively and efficiently by adopting modern leadership roles. Achieving this may depend on managers having some necessary qualities for leadership. Managers' leadership qualities are shown in Figure 3.2.

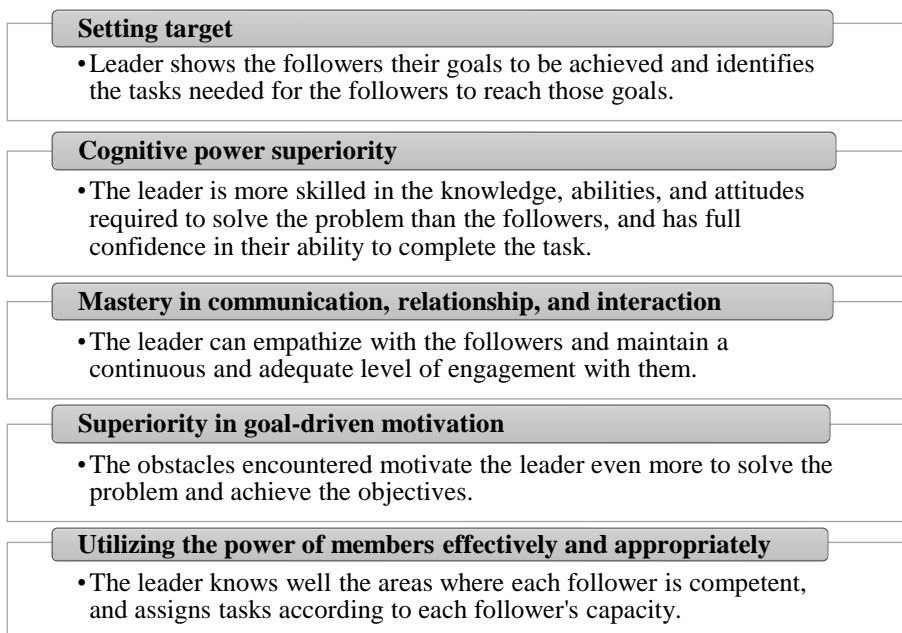


Figure 3.2. Manager's Leadership Qualities

Source: Başaran (2008)

The leader is the creator, manager, and implementer of grand plans (Balçı, 2010). As seen in Figure 3.2, managers are expected to demonstrate leadership behaviors that can be summarized as setting goals, exhibiting superior power, advanced communication, interaction and motivation skills, recognizing followers, and providing proper guidance. In addition, although management and leadership should coexist in the same person, throughout history, it has rarely been observed that good leaders are good managers and good managers are also good leaders.

In conclusion, while leadership and management are sometimes used interchangeably, a literature analysis demonstrates that both ideas have many distinct elements. It is important to emphasize that leadership and leaders are not concepts that will eventually supplant management and managers. Each one has distinct functions and qualities (Güçlü, 2020). Combining leadership and management's interrelated and complementary attributes might be deemed relevant in organizational management.

Leadership in Educational Organizations and School Management

In the education system, schools are a subsystem, and within educational management, school management holds the same position. School management, with its boundaries defined by the goals and structure of the education system, can be said to have a more restricted and human-oriented practice area compared to other management fields and even educational management. Organizations within the scope of educational management exhibit more intense bureaucratic characteristics in structure and operation than schools. In contrast, schools must adopt a "loose structure" model. Therefore, schools' climate and human relations differ from those of other educational organizations. As one moves from educational organizations to schools, it is seen that the relationships between organization members become less formal and take on a more natural quality (Açıklın, 1998).

Another important point is the significant change in the managerial roles of school administrators. In addition, school management and managers have significant responsibilities to meet the needs of all stakeholders and achieve success in schools. In addition to being competent in managing the education program, student and employee affairs, preparing the educational environment, and budget-related tasks, and effectively managing these tasks, the manager must also be competent in planning school operations, organizing and coordinating the existing power of the organization, ensuring communication between employees, and supervising the management and education processes (Başaran, 2008). The school manager must realize that they cannot become a school manager of the information age by simply adopting the role of implementing yesterday's legislation and maintaining the status quo (Ada & Küçükali, 2009). Açıkalın (1998, 7) expresses this situation as follows: "The fact that the goals of the schools are common only reveals a structural characteristic of them. Apart from this, the features that distinguish schools from each other stem from the school manager." Therefore, it would be correct to emphasize the need for school managers to transform schools into attractive centers with a contemporary management approach while fulfilling their duties and responsibilities to implement current laws and regulations and the planned education program.

Marzano, Waters and McNulty (2005) found more than 5,000 articles and studies published between 1978-2001 that addressed the issue of school leadership. However, they state that only 69 studies investigated the quantitative relationship between leadership and students' academic achievement. As a result of their meta-analysis, the researchers suggest that principals can profoundly impact student achievement in their schools. The researchers identified 21 leadership responsibilities that they considered important in having a statistically significant relationship with student success, even though they have been discussed in the theoretical literature for decades. Some responsibilities of managers, which are considered important for effective leadership in schools, are given in Figure 3.3.

CHAPTER 3

Responsibility Area	Leadership Behavior of School Administrator:
<i>Affirmation</i>	Recognizing and celebrating successes and accepting failures.
<i>Change Agent</i>	Being willing to challenge the status quo and actively challenge it.
<i>Contingent Rewards</i>	Recognizing and rewarding individual achievements.
<i>Communication</i>	Establishing strong lines of communication between teachers and students.
<i>Culture</i>	Promoting shared beliefs and a sense of collaboration.
<i>Discipline</i>	Protecting teachers from problems and effects that would reduce their teaching time or focus.
<i>Flexibility</i>	Adapting leadership behavior to the needs of the current situation.
<i>Focus</i>	Setting clear goals and keeping these goals in focus.
<i>Ideals/Beliefs</i>	Communicating and working towards strong ideals and beliefs related to the school.
<i>Inputs</i>	Including teachers in the design and implementation of important decisions and policies.
<i>Intellectual Stimulation</i>	Ensuring awareness of current theories and practices and making them part of the school culture.
<i>Involvement in Curriculum, Instruction, and Assessment</i>	Directly participating in the design and implementation of programs, teaching, and evaluation practices.
<i>Knowledge of Curriculum, Instruction, and Assessment</i>	Being knowledgeable about current program, teaching, and evaluation practices.
<i>Monitoring/Evaluation</i>	Monitoring the effectiveness of school practices and their impact on student learning.
<i>Optimizer</i>	Inspiring and leading new and challenging innovations.
<i>Order</i>	Establishing and maintaining operational processes and routines.
<i>Outreach</i>	Being an advocate and spokesperson for the school to all stakeholders.
<i>Relationships</i>	Showing awareness of the personal aspects of teachers and staff.
<i>Resource Provider</i>	Providing teachers with the necessary materials to successfully carry out their work and supporting their professional development.
<i>Situational Awareness</i>	Being aware of the details and shortcomings of the functioning of the school and using this information to address current and potential problems.
<i>Visibility</i>	Establishing effective communication and interaction with teachers and students.

Figure 3.3. Responsibilities of School Administrators as a Leader

Source: Marzano, Waters and McNulty (2005)

Figure 3.3 highlights 21 areas of responsibility for leading school administrators. Displaying leadership behaviors in these areas of responsibility for school administrators can be seen as important mediators in managing schools effectively, improving schools, and increasing student success.

To summarize; it wouldn't be wrong to say that the world's need for knowledgeable, skilled, and responsible individuals is increasing every day. In this context, it is important for educational organizations to support individuals' development in line with the realities of the developing and changing world and to ensure that every individual benefits equally from educational services without falling behind the developing and changing world. Based on this, it can be thought that it is necessary for leaders and administrators who will improve educational organizations to turn their visions into plans that will change not only schools but also the world and put them into action. It will be an expected approach for leaders and administrators who will improve educational organizations to act as instructional leaders to achieve this change in schools.

Instructional Leadership in School Management

Traditions and beliefs about leadership in schools are no different from those in other institutions. The presence of leading administrators in school management is becoming more and more important every day. It wouldn't be wrong to say that leadership is vital for the successful operation of many aspects of a school. Indeed, Akkaya (2021) states that the school leaders who can manage well, effectively, or qualified schools that provide well-trained human outputs with the ability to adapt to the changing and constantly developing world have become debatable. Similarly, Stronge, Richard and Catano (2008), in their study listing the qualities of effective school principals, first addressed instructional leadership and stated that the principal facilitates the development, communication, implementation, and evaluation of a

common learning vision reflecting excellence, thereby promoting the success of all students.

It is known that instructional leadership emerged as a prominent leadership style in school management with the effective school movement in the 1980s. In the first research focusing on instructional leadership, which gained momentum with the effective school movement in the 1980s, the instructional leadership roles of principals in effective schools were mainly tried to be revealed. In the researches on instructional leadership in the 1980s and 1990s; it is possible to come across studies that dealt with the instructional leadership role of the school principal (Barth & Deal, 1982; Bossert, Dwyer, Rowan & Lee, 1982; Clark, 1980; Cuban, 1988; Dwyer, 1986; Hallinger & Murph, 1985a, 1985b; Leithwood & Montgomery, 1982; Murphy, Hallinger & Mitman, 1983; Purkey & Smith, 1983), associated the instructional leadership of the school principal with effective schools (Firestone & Herriot, 1982; Hallinger & Murphy, 1986; Murphy & Hallinger, 1987), related the instructional leadership behaviors of the school principal with student success, and the student's attitude towards the school (Andrews & Soder, 1987; Bamburg & Andrews, 1990; Brewer, 1993; Glasman, 1984; Heck, Marcoulides & Lang, 1992; Leithwood, Begley & Cousins, 1990; Leithwood & Jantzi, 1999; Leitner, 1994; Mortimore, 1993), and dealt with the instructional leadership behavior of the school principal together with the management of the educational program, school productivity, and school development (Barth, 1986, 1990; Brookover et al., 1982; Cuban, 1984; Fullan, 1982; Hallinger & Leithwood, 1994; Hallinger & Wimpelberg, 1992; Murphy, 1992). By the 1990s, there were studies discussing the relationship between the instructional leadership behaviors of school principals and student success; alongside studies emphasizing the positive contributions of the school principal as an instructional leader to the improvement of instruction (Bamburg & Andrews, 1990; Edmonds, 1979; Hallinger & Murphy, 1985a, 1985b; Hallinger & Murphy, 1986;), there were also studies suggesting that they had limited contributions (Bossert, Dwyer, Rowan & Lee, 1982; Heck, Marcoulides & Lang, 1991; Pitner, 1982; Rowan, Bossert & Dwyer, 1983).

During the period when research on instructional leadership gained momentum, Hallinger and Murphy (1985a) developed a scale to measure instructional leadership, the Principal Instructional Management Rating Scale (PIMRS). Another comprehensive study on instructional leadership in 1996 was the development of standards for school leaders by the Interstate School Leaders Licensure Consortium (ISLLC) under the auspices of the Council of Chief State School Officers in collaboration with the National Policy Board for Educational Administration (NPBEA). These standards explain what school leaders can do to strengthen their organizations, support teachers, lead instruction, and advance student learning (NPBEA, 2015).

By the 2000s, it was observed that countries outside the United States also focused on the development of school leadership. In the late 1990s, the National College for School Leadership (NCSL) in the UK began work on school leadership (Bush & Glover, 2003). In the 21st century, it can be said that contributions to the field are largely from Anglo-American sources such as Australia, Canada, the UK, and the US, and that educational administration and leadership research from non-Anglo-American perspectives such as Asia, Africa, and South America are relatively in their infancy (Seong, 2019). Parallel to the renewed emphasis on instructional leadership in the 2000s, a network was established at the University of Cambridge in 2001, and with the support of the Carpe Vitam Foundation, the Leadership for Learning Project (LfL) was launched (Frost, MacBeath, Swaffield & Waterhouse, 2008; LfL, 2019).

While the concept of instructional leadership continues to be a focal point over the years and into the 21st century, it can be said that the concept of leadership for learning, which is considered a more complex model compared to instructional leadership, provides a broader perspective on school development and student learning. In the leadership for learning model, Hallinger (2011) addresses leadership as a concept aimed at improving student learning while emphasizing values. The basic elements of this model are vision and goals, academic structures and processes, and human capacity. Leadership affects these

elements, and these elements influence student outcomes. In short, the leader brings their values, beliefs, knowledge, and experience to their work, influencing students. Hallinger (2018) examined leadership practices in several educational environments in his study. He emphasizes the necessity of examining how diverse school settings such as institutional, community, socio-cultural, political, economic, and school development impact school leadership practice and the need to develop innovative ways in this area.

It is possible to encounter different definitions in the literature on instructional leadership, which is seen as one of the most effective factors in student learning at the school level and an important leadership form in school management. While many of these definitions emphasize learning and success, the inability to achieve semantic unity on the subject of instructional leadership is also notable point. Some definitions of what instructional leadership is are as follows: Instructional leadership;

- Activities organized or delegated by the principal to encourage improvement in student learning (DeBevoise, 1984),
- Efforts undertaken by the school principal to create a productive and satisfying work environment for teachers, and to improve the desired learning conditions and outcomes for students (Greenfield, 1987),
- A decisive, interpersonal, and dynamic process that carries holistic expectations for accountability in instruction when making decisions (Weber 1987),
- Defining the school's values and objectives, managing the programming of instruction and curriculum, and establishing the school as a professional learning community (Hopkins, 2003),
- Providing guidance and direction for the instructional program, working to improve learning-teaching and student success (Elmore, 2008),

- A leadership style that emphasizes organizational management for instructional development rather than daily education and learning, and has a strong impact on student learning by creating opportunities for teacher development (Horng & Loeb, 2010),
- Associated with the functions demonstrated by effective administrators, such as placing great importance on instruction, clearly defining instructional goals and expectations, and ensuring they are communicated to teachers and administrators, spending most of their time dealing with instructional issues, showing interest and support for instruction, and being staff-oriented (Balci, 2014),
- The duties and responsibilities of school principals in supporting teachers and students in their pursuit of excellence in education every day, leadership functions related to teaching and learning (DeMatthews, 2014),
- The school administrator focuses all activities in the school on learning-teaching processes, and delegated some administrative tasks to their assistants (Özden, 2020).

When the definitions and explanations regarding instructional leadership are evaluated together, instructional leadership can be defined as effectively conducting educational activities in schools, supporting and enhancing students' academic achievements, providing necessary resources and all kinds of support for teachers to perform at their highest level while carrying out educational activities, and, in short, leading all activities and stakeholders towards the learning-teaching process. It is observed that the instructional leadership behavior of the school principal has evolved over time along with the concept of instructional leadership, and this renewal brings new roles and responsibilities to the school principal. At this point, it is appropriate to emphasize the importance of school principals focusing on learning and constantly contributing to the development of themselves and those around them. In summary, it is important to meet the individual and educational needs of students, plan, implement, and evaluate education programs suitable for their interests and desires, and

support the development of employees in the school; in short, the display of instructional leadership behaviors by the school principal, their efforts and initiatives for this purpose are important factors for improving instruction and effectively managing schools. The behavioral dimensions of instructional leadership, formed from the synthesis of different models (CEL, 2015, 2020; Hallinger & Murphy, 1985a; Murphy, 1990; NPBEA, 2015), are provided in Figure 3.4.

Synthesis of Behavioral Dimensions of Instructional Leadership	
1. Mission, Vision, and Core Values	Formulate school objectives Disseminate school objectives Develop the school
2. Management of Instruction	Supervise and evaluate instruction Organize the instructional program Monitor student progress Protect academic time Monitor student development Improve instruction
3. School Climate and Culture	Promote professional development Be visible in the school Provide incentives for school staff Develop and implement academic standards Create positive norms and expectations Offer opportunities to make students feel a sense of belonging Instil collaboration and harmony among employees
4. Management of Resources	Determine priorities Rank resources Allocate resources Develop talent
5. Ethics	Ethics and professional norms Equality and cultural sensitivity
6. Collective Leadership	Personal growth Create a collaborative culture

Figure 3.4. Synthesis of Behavioral Dimensions of Instructional Leadership

Source: CEL (2015, 2020); Hallinger ve Murphy (1985a); Murphy (1990); NPBEA (2015)

In the years following the effective school movement and currently, the question of how schools should be managed continues to be a subject of research. It would not be wrong to say that leadership is important for the effective management of organizations in general and schools in particular. It is especially known that the instructional leadership behaviors of school principals have a direct or indirect impact on student competencies and success. It can be said that instructional leadership is of critical importance to the success of a school's improvement initiatives and the effectiveness of the school, and that the primary goal of the school principal is to promote the learning and success of all students. School principals can achieve this goal by focusing on learning, promoting collaboration, using data to improve learning, providing support to everyone, and aligning the program-instruction-evaluation. In addition to all these, it can be said that making the learning of students who have come together under the school roof with different environments, families, and learning histories effective passes through leading the out-of-school environment that affects the student. Undoubtedly, one of the ways to achieve this is hidden in the ability to gather the school environment around the common goals, which can be shown as one of the most important tasks of the instructional leader.

Pygmalion Effect

Pygmalion Effect Concept

It is known that the concept of the Pygmalion effect is derived from the Pygmalion myth. This mythological legend was interpreted by the ancient writer Ovidius. According to the legend, Cypriot sculptor Pygmalion creates a beautiful ivory statue to form the ideal woman he keeps alive in his imagination. This wonderful work of art is so realistic that the sculptor himself begins to think that it is real and starts to apply daily routines aimed at seducing the female statue with gifts. Pygmalion eventually becomes passionately attached to the image he created in human form and begins to imagine that it is reciprocating his feelings. Pygmalion goes to the temple of Venus, the goddess of love, during the

festival held in honor of the island and asks for a wife like the ivory woman statue he made. The gods respond to Pygmalion's prayer by bringing the statue to life, and the statue created by Pygmalion takes the name Galatea (James, 2011).

The Pygmalion myth is seen as a metaphor in psychology. Akkaya (2020; 2023b) states that mythology is related to the science of psychology, which examines mental processes and behaviors, and that psychology, which deals with the abstract, sometimes quotes from recent narratives or myths and uses analogies, transfers, and metaphors when analyzing individuals' attitudes and behaviors. The Pygmalion myth can be described as an effect where expectations yield positive results. The concept of the Pygmalion effect, which is derived from this legend, has attracted considerable attention and has been addressed in numerous studies (Cobos-Sanchiz, Perea-Rodriguez, Moron-Marchena, & Munoz-Diaz, 2022; Crawford, Thomas & Fink, 1980; Dusek, Hall & Meyer, 1985; Eden et al., 2000; Eden & Ravid, 1982; Harris & Rosenthal, 1985; King, 1971, 1974; Lundberg, 1975; Rosenthal, 1991; Rosenthal & Jacobson, 1968; Szumski & Karwowski, 2019; Şakar, 2023). In psychology, the concept of the Pygmalion effect is seen to be applied to education by Rosenthal & Jacobson (1968), based on Merton's (1948) concept of "self-fulfilling prophecy". Therefore, the concept is also known as the "Rosenthal Effect" in the literature. Researchers have discovered that teachers' expectations about student performance greatly affect students' performance. The Pygmalion effect refers to situations where teachers' expectations about student performance become self-fulfilling prophecies. In other words, students can perform better or worse than other students, depending on the way their teachers expect them to perform (Benton, 1991; Collins, 2011).

The Pygmalion effect generally refers to the effects of interpersonal expectations, i.e., the finding that what one person expects from another can serve as a self-fulfilling prophecy. When interpersonal expectation effects emerge in the context of education, the effects of interpersonal self-fulfilling prophecies are generally referred to as the

Pygmalion effect (Rosenthal, 2010). In addition to all these, it is stated that the Pygmalion effect is more than just positive thinking. Based on the Pygmalion myth, the necessity of taking action in addition to thoughts and beliefs is emphasized when creating the Pygmalion effect. In other words, an individual's actions towards others affect the beliefs of others about the individual; the beliefs of others about the individual cause them to take action towards the individual; this reinforces the individual's beliefs about themselves and affects the individual's actions. The Pygmalion effect is based on the fact that the higher the expectation, the better individuals perform. There are four guiding principles for the Pygmalion effect: information or ideas about expectations are acquired, expectations are communicated, behavior is adapted to meet expectations, and eventually, expectations become reality (Shashank, 2016). The Pygmalion effect is an interactive process between individuals based on expectations, behaviors, and beliefs. This effect can be communicated through physical or verbal expressions. In short, the Pygmalion effect can be defined as high expectations, conveyed through physical or verbal expressions, positively impacting individuals.

Other Concepts Related to the Pygmalion Effect

In the literature, concepts that can be directly related to the Pygmalion effect or, in other words, address the Pygmalion effect from different perspectives include the self-fulfilling prophecy, the Galatea effect, and the Golem effect. The concept of self-fulfilling prophecy was first introduced by Merton (1948) to explain how false expectations could generate new behaviors. Merton illustrates the concept with the example of a bank that went bankrupt in 1932 due to depositors believing in bankruptcy rumors and withdrawing their savings, ultimately causing the anticipated event to occur. In other words, the negative expectations turned into reality, and the prophecy became true.

Students' academic performance in schools can sometimes be self-fulfilling as a result of teacher prophecies. Research on self-fulfilling

prophecy in classroom settings is generally shaped by the belief that "students will change their behavior according to teachers' expectations" (Brophy, 1983; Jussim, 1986). For the self-fulfilling prophecy in schools, it can be interpreted that teachers will not expect high achievement from students in low-achieving classes while not expecting low achievement from students in high-achieving classes.

The Galatea effect, one of the concepts that can be related to the Pygmalion effect, can be expressed as individuals' belief in themselves to achieve success, and it is associated with the animation of the sculpture created by Pygmalion due to his desire and passion. A review of the literature reveals that research on the Galatea effect in education is relatively limited (Rowe & O'Brien, 2002), and it is more prominent in the field of management (Aghajari, Mahmoudi, Nasiri, & Kaab Omeir, 2022; Eden & Ravid, 1982; Eden & Kinnar, 1991; Eden & Zuk, 1995; McNatt & Judge, 2004; Seymour, 2009). The Galatea effect is observed to increase individuals' voluntarism, motivation, and performance. In management, many managers tend to communicate their expectations to their subordinates, resulting in the Pygmalion and Galatea effects often emerging together. The Galatea effect is a result of the subordinate's own expectations about their performance. In other words, it is a performance gain achieved by raising subordinates' expectations about their own performance. However, the Galatea effect can be produced independently by raising subordinates' expectations through an intermediary other than the manager, bypassing the manager. This can be achieved through planned interventions designed to increase subordinates' self-efficacy and create the Galatea effect (Eden & Kinnar, 1991). It is a fact that an increase in leaders' positive expectations will contribute to the improvement of followers' performance. However, in some cases, followers may find the power to achieve more without needing the leader's guidance. At this point, it can be said that the "Pygmalion" effect is deactivated, and the "Galatea" internal motivation comes into play. In summary, the Galatea effect can be expressed as the view that raising followers' expectations about their own performance will also increase their performance levels.

Another concept that can be related to the Pygmalion effect is the Golem effect. Babad, Inbar and Rosenthal (1982) describe the Golem effect as the negative counterpart of the Pygmalion effect and note that the word "golem" is a slang term in Hebrew meaning clumsy or foolish. While the Pygmalion effect investigates the positive impact of expectations on performance, the Golem effect demonstrates how opposite poles or negative expectations can lead to adverse outcomes (Stoicescu & Ghinea, 2013). The Golem effect begins with low expectations from an authority figure such as a manager or teacher. Low expectations cause the authority figure to convey low expectations to subordinates/students and provide less supportive leadership. When this occurs in a classroom, students expect less from themselves, develop a lower motivation level, put forth less effort, exhibit lower performance, and achieve less success. These low achievements reinforce both students' and teachers' low performance expectations, strengthening the Golem effect (Rowe & O'Brien, 2002).

In summary, individuals' achievements, thoughts, behaviors, and perceptions of their abilities can be influenced by the expectations of those around them. These expectations, even if they are the result of biased or irrational thinking, have the power to affect individuals and change outcomes. The literature shows that the concepts of the Pygmalion, Galatea, and Golem effects, also referred to as the expectation effect, are derived from the concept of self-fulfilling prophecy. Positive expectations create the Pygmalion effect on individuals, negative expectations create the Golem effect, and individuals' self-expectations are expressed with the Galatea effect.

Education and the Pygmalion Effect

When the literature is examined, it is seen that the experimental study titled "Pygmalion in the Classroom" by Rosenthal and Jacobson (1968) was the first to investigate this subject in the field of education. The researchers conducted an experiment in an elementary school to examine the impact of teachers' expectations on student performance. In this

experiment, all students in the elementary school were given a pre-IQ test. Afterward, 18 classrooms were selected, representing low, average, and high ability groups. A random sample of 20% of the students was informed by the teachers that they would show unusual potential for intellectual development and would mature during the year. These students were selected randomly without any relation to the pre-IQ test, which was not mentioned to the teachers. At the end of eight months, the students were given another IQ test, and it was observed that the randomly selected students, who were told that they would mature intellectually during the year, scored higher on this test. In summary, the Pygmalion in the Classroom study, conducted to examine the effect of teacher expectations on student performance, found that positive teacher expectations led to an increase in students' IQ scores.

Various theoretical models (Cooper, 1979; Darley & Fazio, 1980; Jussim, 1986; Martinek, 1981; Rosenthal, 1974; Rosenthal, 1989) have been proposed to explain the Pygmalion effect in education. These models generally consist of three stages (Trouilloud, Sarrazin, Martinek & Guillet, 2002): (1) Teachers develop expectations for students' future achievements, (2) students respond differently (quantitatively and qualitatively) according to these expectations, (3) these different responses can manifest directly or indirectly in motivational and cognitive variables (e.g., self-perception, student achievement). All these models developed concerning the Pygmalion effect in education describe situations such as how expectations are communicated to students, what kind of effects they have on students, and contain detailed explanations about the topics that need to be considered for expectations to have positive effects on students.

Based on this information, teacher actions involving intense attention and communicated success expectations can be considered driving forces that encourage students to further increase their success. With the thought that school administrators may also have similar driving forces on teachers and students, conveying administrators' positive expectations to both teachers and students can be seen as an essential action step towards fulfilling the prophecy.

The Relationship Between Instructional Leadership and the Pygmalion Effect

In the research, known as the Coleman Report, published in the United States in 1966 (Coleman et al., 1966), it was concluded that the student's background characteristics, such as socio-economic level and family structure, have a higher impact on student achievement than the school and teacher. In subsequent years, various studies (Brookover & Lezotte, 1979; Edmonds, 1979) focused on improving schools and instruction (Cohen, 1972; Mehan, 1979; Rosenshine & Berliner 1978; Rosenthal & Jacobson, 1968) were conducted to demonstrate the opposite view that schools, school administrators, and teachers can be effective in student achievement. Based on these studies, the factors explaining school success can be listed under the headings of a conducive atmosphere for learning and teaching, strong leadership, high expectations, the importance attributed to success, small class sizes, children's willingness to attend school, and administrators' fairness and flexibility. In conclusion, understanding the relationship between instructional leadership and the Pygmalion effect is crucial for improving student achievement. School administrators can create a supportive learning environment and promote academic success by fostering positive expectations for teachers and students.

School principals act as instructional leaders at the center of schools where student potential is supported. In the United States, in collaboration with state education boards and nationally active education unions (AACTE, AASA, ASCD, CAEP, CCSSO, NAESP, NASSP, NCPEA, NSBA, UCEA), some standards (ISLLC, 1996, 2008; PSEL, 2015) have been developed for school principals to effectively carry out their instructional leadership roles. The PSEL standards, created by updating the ISLLC standards, express the scope of the school principal's instructional leadership behaviors and the values represented by the profession, offering suggestions on how practitioners can achieve the results required by the profession and expected by the public. These standards are also associated with student learning. This relationship is shown in Figure 5.

As shown in Figure 5, the PSEL standards, consisting of 10 standards and a total of 83 tasks, offer the following suggestions to instructional leaders regarding high expectations that support student development (NPBEA, 2015):

- Develop a vision of teaching and organizational practices that promote success for every child's learning and development in collaboration with school and community members and using relevant data.
- Articulate, advocate, develop, and continuously improve the core values that define the school's culture and emphasize the necessity of student-centered education, supporting students with high expectations.
- Establish culturally responsive, academically aligned, and high-expectation programs, instruction, and assessment systems that promote the school's mission, vision, and core values for student learning.
- Review and adjust the school's mission and vision according to changing expectations and opportunities, as well as the changing needs of students.
- Encourage adult-student, student-peer, and school-community relationships that value and support academic learning and positive social-emotional development.
- Confront and change biases that marginalize students based on deficit-based education and low expectations related to race, class, culture, language, gender, sexual orientation, disability, or special status.

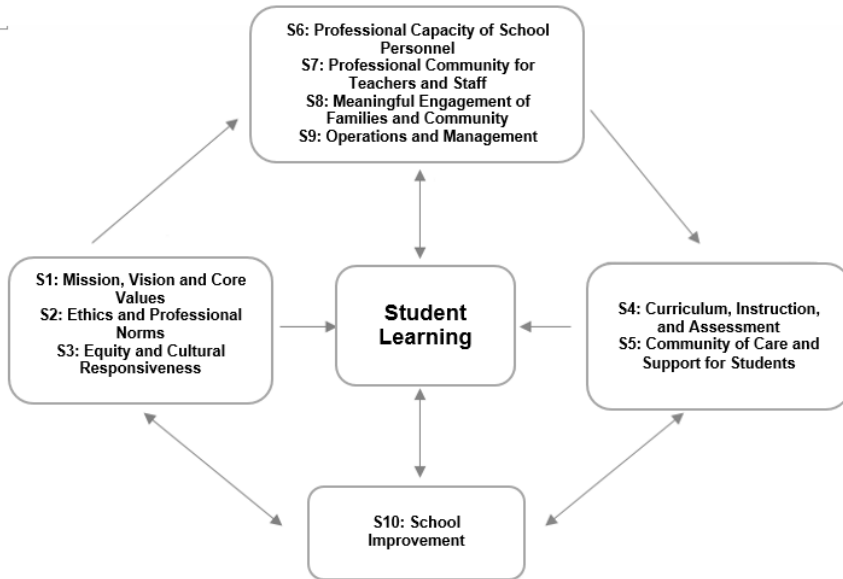


Figure 3.5. The Relationship Between PSEL Standards and Student Learning

Source: NPBEA (2015)

In her study with 524 twelfth-grade students to reveal the Pygmalion effect of school principals' instructional leadership behaviors on students, Bay-Dönertaş (2021) investigated the levels of instructional leadership behaviors that create a Pygmalion effect on students according to student perceptions, as well as the relationship between these behaviors. According to the findings of the research, school principals occasionally display instructional leadership behaviors in sub-dimensions of improving the school's learning climate and mission, vision, and school-specific values, while they often exhibit behaviors in sub-dimensions of managing the instructional program and acting according to ethical standards. Students largely agree that the instructional leadership behaviors of school principals create a Pygmalion effect on students. There is a moderate, positive, and significant relationship between the instructional leadership behaviors of school principals and the Pygmalion effect these behaviors create on students. As the instructional leadership behaviors of school principals

increase, so does the Pygmalion effect they create on students. It has been determined that improving the school's learning climate and acting according to ethical standards are significant predictors of the Pygmalion effect of school principals' instructional leadership behaviors on students.

Future Research Directions

The subject can be studied with mixed and experimental research methods. The Pygmalion effect of school principals' instructional leadership behaviors on students can be investigated in relation to leadership style, academic achievement, organizational commitment, organizational justice, organizational culture, organizational climate, ethical principles, self-efficacy, and motivation. In addition, studies can be conducted that deeply investigate the Galatea and Golem effects on students. The Pygmalion effect of school principals' instructional leadership behaviors on students can be investigated in depth based on the perceptions of school administrators and/or teachers.

Conclusion

Traditional management practices are no longer effective in the twenty-first century. Managing businesses in modern ways that follow innovations and even pioneer them in line with scientific and technological developments might be regarded as a need. Managers face major obligations and responsibilities in this situation. It is obvious that the presence of inventive managers who are internationally knowledgeable, self-developing, contributing to the growth of others, charismatic, favorably influencing those around them, and possessing current leadership skills is becoming increasingly crucial. Furthermore, creating positive, performance-oriented expectations in employees by managers with leadership skills is a significant issue that should be highlighted. It has been noticed that increased employee performance positively contributes to the organization's effectiveness and efficiency.

In schools, the demand for school administrators with leadership characteristics, particularly instructional leadership qualities, is growing on a daily basis. This is because schools are at the forefront of institutions that guide the development of society. Today's administrators' most essential instructional leadership behaviors are to make schools more effective and contribute to students' self-realization. Undoubtedly, instructional leaders' high expectations of students' self-realization, also known as the Pygmalion effect, are one of the most essential goals in boosting school performance.

It is well recognized that school principals influence children through their expectations. These expectations can be communicated to students by verbal or nonverbal communication, having either positive or negative effects on them, and students may react and conduct themselves according to these expectations. By serving as instructional leaders, school principals may guarantee that expectations have a beneficial impact on pupils. Indeed, studies on how to build these positive expectations, also known as the Pygmalion effect, on children through the instructional leadership behaviors of school principals, and the developed standards, are guiding in this respect.

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CHAPTER 4

ASSUMPTIONS, TESTS AND COMPARATIVE CRITERIA IN QUALITATIVE PREFERENCE MODELS

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Introduction

In cases where the dependent variable contains two or more qualitative preferences, it is not appropriate to use linear regression models when assumptions such as normality, linearity and constant variance are not met. Instead, qualitative preference models are used. In qualitative preference models, the dependent variable (Y) is coded as “0” and “1” in binary preference models. A household's decision to buy a car can be given as a classic example of this situation. When the dependent variable is coded to take the value of “0” for “not to buy” and “1” for “to buy”, binary preference models are used (Davidson and MacKinnon, 1999). Binary preference models are analyzed with linear probability model (LPM), binary logit model, binary probit models, and tobit models. Due to some drawbacks of the LPM, binary logit and probit models are widely used. Tobit model is applied for censored data.

Multiple choice models can be viewed as extensions of binary logit and binary probit models. In these models, the dependent variable has at least three or more categories and is either nominal or ordinal (ordered). Therefore, multiple preference models are generally based on ordered and non-ordered preferences.

In ordered preference models, the dependent variable is an ordinal variable with a natural order. Such variables are encountered especially in Likert type scales in the social sciences and health fields. For example, a variable may be determined as “agree, undecided, strongly agree”. Here are 3 possible alternatives that can be listed in a natural way. Such variables can be analyzed with an ordered logit model (OLM) or an ordered probit model (OPM) (Davidson and MacKinnon, 1999).

In non-ordered preference models, the dependent variable is a nominal or classifying variable that does not have a natural ordering. A classic example of this situation can be given by transportation vehicle preferences. For intercity travel, people make a choice between an airplane, a car, a train and a bus. There is no natural ordering for these four preferences. Among non-ordered models, multinomial logit (MNL) and multinomial probit (MNP) models are two of the most common. In these models, the independent variables can be quantitative or qualitative.

One of the multiple qualitative preference models is the sequential qualitative preference model. Sequential logit models(SLM) and sequential probit model(SPM), also called sequential-response, hierarchical-response, or nested logit and probit models, are natural extensions of binary logit and probit models. SLM or SPM is preferred in cases where there are multiple preferences and decisions are made sequentially while choosing between alternatives, and there is a clear sequence and a nested structure. In this case, the estimation of the models turns into sequential estimations of models with fewer alternatives and the required calculations are reduced (Amemiya, 1981). At each stage of the sequential model, the binary model is estimated using the logit and probit methods (Liao, 1994:26).

Figure 4.1 shows the models that can be used when the dependent variable is discrete (categorical) and continuous.

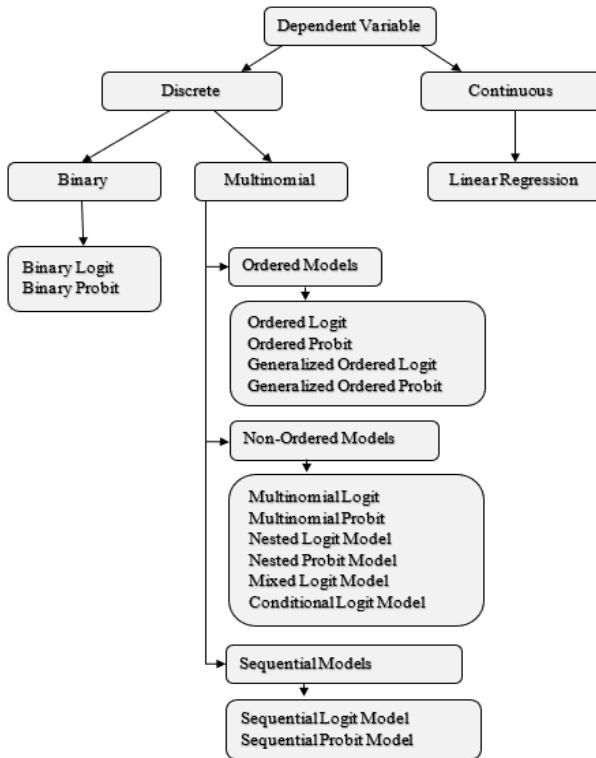


Figure 4.1. Models Used According to The Dependent Variable (Figure 1 was created by the authors)

If the dependent variable is multi-category qualitative, it is important to determine whether the multinomial model or the ordinal model is more suitable for the data structure because in some cases it can be difficult to decide whether the dependent variable is purely preference or circumstantial. For example, it can be difficult to decide which model to use when the dependent variable is categorized as no risk, low risk, high risk. In such cases, a choice can be made depending on whether the assumptions are met or not. Commonly used multiple choice models and their assumptions are given in Table 4.1.

Table 4.1. Assumptions of Multiple-Choice Models (This table, compiled by Güneri et al., 2022, has been expanded)

Multiple Choice Models	Dependent Variable	Model Assumptions
Ordinal Logit (OLM)	Ordered	The assumption of parallel slopes is required.
Ordinal Probit (OPM)	Ordered	The assumption of parallel slopes is required.
Multinomial Logit (MNL)	Nominal	It does not require the assumption of parallel slopes. The IIA assumption is required.
Multinomial Probit (MNP)	Nominal	It requires no assumptions.
Generalized Ordered Logit (GOLM)	Ordered	It is flexible against the Parallel Slopes and IIA assumption.
Mixed Logit Model (MXLM)	Nominal	It has the features of MNL and CLM.
Conditional Logit Model (CLM)	Nominal	The parallel slopes assumption and the IIA assumption are required.
Sequential Logit Model (SLM)	Nominal	The probability of each successive choice must be independent of the other possibilities.
Sequential Probit Model (SPM)	Nominal	It assumes that decisions are made in a hierarchical manner.
Nested Logit Model (NLM)	Nominal	The uniqueness parameter or encompassing value (Inclusive Value =IV) must be positive. The IIA assumption is provided within slots, but not between slots.

In order for the estimations of multiple-choice models to be reliable, they need to satisfy some assumptions. Among these, the most well-known assumptions are parallel slopes (parallel assumption) and independence of irrelevant alternatives (IIA) assumptions. The parallel slopes assumption is required for ordered models (ordered logit and ordered probit), while the IIA assumption is more necessary for multinomial logit models.

OLM and OPM, which are among the multiple preference models, are the methods used when the dependent variable is in an ordered structure. However, in order to use these methods, it is necessary to satisfy the assumption of parallel slopes (proportional probabilities) first. The parallel slope assumption is extremely restrictive. Different tests (Wolfe Gould, Brant Score, Likelihood Ratio, Wald etc.) are used for this assumption. The most widely used of these are the LR and Brant tests. Except for the Brant test, all tests give results as to whether the assumption is met as a whole. In cases where this assumption is not met, alternative models such as MNL, MNP, conditional logit model (CLM) and nested logit model (NLM) can be preferred. However, these models do not consider the ordered structure. Another method that provides flexibility in the assumption of parallel slopes and considers the ordered structure is the generalized ordinal logit model (GOLM). Apart from this, the generalized ordered probit model (GOPM) can also be used.

In multinomial models, there are 3 types of models: individual-specific, choice-specific and both individual and choice-specific preferences. Among these models, CLM is used for individual-specific ones, MNL and MNP models are used for choice-specific ones, and the Mixed Logit Model (MXLM) is used for both choice and individual-specific preferences. For this reason, first of all, whether the assumption of parallel slopes is met or not should be tested by means of parallel slope tests. When the parallel slope assumption is violated, the following situations may occur (Brown, 2017):

- It is common for one or more β (coefficients) in the model to differ between values of j (categories). In such a case, the OLM model can be used by ignoring the assumption.
- The Binary logit model can be used by dividing the result into two. This is also common, but in this case, there is a loss of information and this can change important results.
- MNL can be used when the dependent variable consists of non-ordered categorical variables. This frees the model from the assumption of parallel slopes. But basically, it is often doubtful.
- A model such as MNP, GOLM, heterogeneous selection models that does not require the assumption of parallelism can be used. This situation is becoming more common.

The most important assumption other than parallel slopes is the IIA assumption. The IIA assumption is not met in many studies. The MNL, CLM and NLM models use the logit link function structure. Among these models, MNL and CLM require the IIA assumption. In NLM, on the other hand, the assumption of IIA within slots is satisfied, while the assumption of IIA between slots is not required. NLM, in which decisions are made sequentially, is a generalized version of the MNL model (Hausman & McFadden, 1984).

This model is preferred because it softens the IIA assumption and also provides additional information. Therefore, it reduces the problems that arise from the violation of the IIA assumption. The MNP model, on the other hand, uses the inverse of the cumulative standard normal distribution as the bond function structure. The assumption required to apply the MNP model is the normal distribution of errors.

In the 1970s and early 1980s, more flexible and complex models such as these were proposed (Bunch and Kitamura, 1991). If the dependent variable has a multinomial distribution, the MNP model, which considers the dependency structure between categories and allows including variables that differ between categories, is more comprehensive than all the other models in these conditions (Altınışık,

2007). The link function used in the MNP model requires multiple integral calculations. Although it was not widely used for a period due to this computational problem, it is widely used today with the development of computer software.

After the model selection stage is determined according to the assumptions, goodness-of-fit statistics should be calculated for the validity of the model. A wide range of pseudo- R^2 measures have been recommended for qualitative preference models (see McFadden 1974; Maddala 1983; Dhrymes 1986; Nagelkerke 1991, Veall and Zimmermann 1995, 1996). These measurements can be useful in comparing different models and in model selection. But analysts face the practical challenge of choosing among pseudo- R^2 measures because many package programs give more than one pseudo- R^2 value. Preferred substitution of pseudo- R^2 and recommendations on the conditions under which this preference is valid are not included in the literature (Simonetti et al., 2017).

Many Monte Carlo studies have been carried out to select the pseudo- R^2 value from the goodness-of-fit measures. For example, Hagle and Mitchell (1992) stated that in their study where they tested four different Pseudo- R^2 measures with simulation, McKelvey Zavoina and Adjusted Aldrich Nelson measures were close to each other and performed quite well. Veall and Zimmermann (1995, 1996) emphasized that these measurements gave different results for the same models by using different Pseudo- R^2 values. Windmeijer (1995), on the other hand, examined the goodness of fit measures developed especially for the probit model in binary preference models.

Smith and McKenna (2013) examined seven different pseudo- R^2 indices used in logistic regression, how the values of these indices were compared with the ordinary least squares (OLS) R^2 values obtained under similar conditions, and how the values of these indices changed. Information criteria such as the likelihood ratio (LR) test, Akaike Information Criteria (AIC) and Bayes Information Criteria (BIC) are also used as a measure of goodness of fit.

Model Assumptions

Parallel Slopes Assumption

The parallel slope assumption is the basic assumption for ordered models. This assumption states that there is a parallelism between the categories of the dependent variable. According to the assumption of parallelism, parameter values should not change for different categories. In other words, the parameters for the correlation between the variables and the cut off points for the categories do not change (Ari & Yıldız, 2014). Figure 4.2 shows the assumption of parallel slopes.

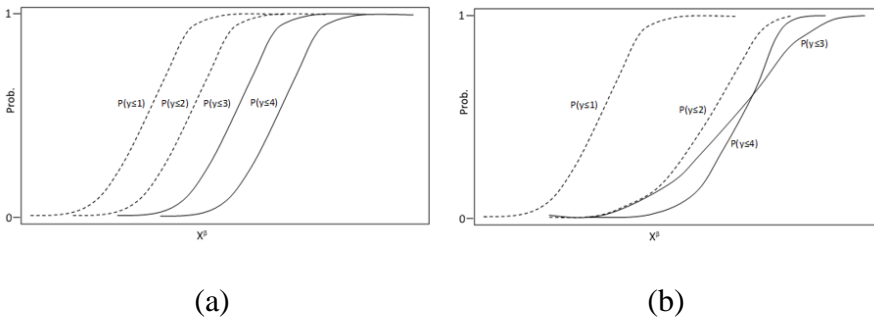


Figure 4.2. The parallel slopes assumption (Fullerton and Xu, 2012)

Parallel slopes for a dependent variable with 4 categories are shown in Figure 2. Figure 2a shows the situation where the assumption is met and Figure 2b shows the situation where the assumption is not met. As can be seen in Figure 2, the slopes of all 4 curves are the same. But the threshold or cut off values differ.

If the coefficients of the independent variables are represented by β 's, it is tested whether they are equal for each category. The null hypothesis of the coefficients can be written as follows:

$$H_0: \beta_{1j} = \beta_{2j} = \dots = \beta_{(k-1)j} = \beta_j \quad j=1,2,\dots,J \quad [1]$$

Likelihood Ratio Test, Wald test and chi-square test are commonly used tests to test parallel slopes (Long, 1997; Agresti, 2002). According to these tests, if the assumption of parallel slopes is not met, the interpretations of the results obtained will be wrong. If parallel slopes are not provided, their generalized models can be used as an alternative to OLM and OPM.

The IIA Assumption

The MNL model, which is widely used in cases where the dependent variable has nominal categories in multiple choice models, is one of the first suggested methods. Despite its shortcomings, the MNL model, which is easy to calculate, is used in many applications (Alvarez and Nagler, 1994). A necessary condition in MNL applications is the IIA assumption. This condition requires the independent emergence of the probabilities of the models belonging to the dependent variable categories. The ease of use has a great effect on the wide use of the MNL model. On the other hand, the fact that IIA actually makes this model difficult and invalid to use in many situations. In cases where there is a dependent structure between the models, appropriate estimations cannot be obtained with the MNL model (Altınışık, 2007). Hausman test, Suest test and Small-Hsiao tests are used to test the IIA assumption.

There is a need to develop new methods to get rid of the limitations of the IIA assumption. When this assumption is not met, CLM and NLM appear as another multiple-choice model. Although these two alternative methods have relieved the restrictive nature of the IIA assumption, they are not satisfactory enough. In cases where the models belonging to the dependent variable categories have a dependency structure, logit modeling methods are not sufficient to reveal the real model structure. CLM offers the ability to include choice-specific variables in the model. NLM requires the IIA assumption for choices within the same cluster. In most applications, individuals encounter different sets of preferences. In NLM, where decisions are made

sequentially, this model is preferred because additional information is given to soften the IIA assumption. MNP and NLM, as a model not constrained by independence constraints, are alternative methods within discrete preference models.

MNP, which does not require the IIA condition and is used under the assumption that the errors are normally distributed, has been developed as an alternative method that considers the phenomenon of addiction under the multinomial structure and provides the opportunity to examine it. In this model, if there is addiction, this structure can be examined. If the independence condition is met, the model is analyzed as an independence-probit (IP). This is a flexible model that allows for the examination of the choice-specific variables in the model, and the relations between the alternatives.

Multiple Choice Model Tests

Brant Test

The Brant test is one of the tests used to test the validity of the parallel slopes assumption or the proportional risk assumption. In order to understand whether the parallel slopes assumption is met in ordered models, the parallel slopes test is performed. In practice, it is seen that the assumption of parallel slopes is mostly not met or researchers neglect this situation. This test not only tests parallel slopes in general, but also gives information about which variable or variables cause parallel slopes to deteriorate. This test, which was first developed by Brant, is also known as the Wald test (Brant, 1990). In this test, the equality of the estimated β_{j-1} coefficient of the $J-1$ binary logit model obtained from the dependent variable with J categories, and the equality of the coefficients estimated for each variable are tested. The prediction results of the $J-1$ binary logit model is combined. The variance-covariance matrix of $\hat{\beta}^* = (\hat{\beta}'_1, \hat{\beta}'_2, \dots, \hat{\beta}'_{j-1})'$ and $\hat{\beta}^*$ is constructed. Wald test null hypothesis is as in Equation 2 (Brant, 1990),

$$H_0: \beta_j = \beta \text{ or } H_0: D \beta^* = 0 \quad [2]$$

$$H_1: \beta_j = \phi_j \beta \text{ or } H_1: D \beta^* \neq 0 \text{ and } j=1, 2, \dots, k-1$$

Here $(j-2)p \times (j-1)p$ dimensional contrast matrix D is expressed by Equation 3:

$$D = \begin{bmatrix} I & -I & 0 & \dots & 0 \\ I & 0 & -I & \dots & 0 \\ \vdots & \vdots & \vdots & \ddots & \vdots \\ I & 0 & 0 & \dots & -I \end{bmatrix} \quad [3]$$

The Wald test statistic can be written as in Equation 4 using matrix D :

$$W = (D\hat{\beta}^*)^T [D\hat{V}\hat{\beta}^*(\hat{\beta}^*)D^T]^{-1} (D\hat{\beta}^*) \quad [4]$$

The statistic given above shows the χ^2 distribution asymptotically with $(j-2)p$ degrees of freedom. For individual variables, the hypothesis is set as $H_0: \beta_{k_1} = \dots = \beta_{k_{-1}}$. Rows and columns corresponding to the coefficients to be tested can be selected from D , $\hat{\beta}^*$ and $\hat{V}\hat{\beta}^*$ matrices and tested with $j-2$ degrees of freedom (Long, 1997).

The Brant test suffers from two flaws common to many goodness of fit tests. First, if either j or p is greater, the test cannot be expected to be very powerful. Second, even if the test is powerful enough to detect deviations from proportionality, examining the individual components of the test statistic may not provide a clear indication of the nature of the discrepancy detected (Brant, 1990). The Brant test is set up as in Equation 5:

$$\delta_1 = 0; E(\tilde{\beta}_j) \approx \beta_1 + \delta_j \beta_1 \quad j=1, 2, \dots, k-1 \quad [5]$$

In this equation, $\tilde{\beta}$ is a form of the nonlinear regression equation. The test of $\delta_j = 0$ is constructed by estimating the weighted regression of $\tilde{\beta}$ on the inverse-weighted variance-covariance matrix of $\tilde{\beta}$. From here, the test statistic is given by Equation 6:

$$\chi^2 = +\hat{\delta}^T \hat{V}(\hat{\delta})^{-1} \hat{\delta} \quad [6]$$

In the above equation, $\hat{V}(\hat{\delta})$, $\hat{\delta}$'s variance-covariance matrix shows χ^2 distribution with $k-2$ degrees of freedom (Brant, 1990).

Likelihood Ratio (LR) Test

Likelihood ratio (LR) is one of the most widely used tests to test the co-significance of the coefficients. For multiple choice models, the null and alternative hypotheses, with J being the number of categories, are as follows;

$$H_0: \beta_1 = \beta_2 = \dots = \beta_{J-1} = 0 \quad [7]$$

H₁: at least one is different from zero

In the calculation of the LR test statistic, the constrained and unconstrained models are estimated with the most similarity (ML) method and maximum likelihood values are obtained. This test statistic, with k being the number of independent variables and j being the number of categories of the dependent variable fits the chi-square ($\chi^2_{k(j-2)}$) distribution with $k(j-2)$ degrees of freedom (Fulerton and Xu, 2018). The test statistic is obtained by Equation 8:

$$LR = -2(L_0 - L_1) \quad [8]$$

In binary models, L_1 represents the likelihood function value for the full model, and L_0 represents the maximum value of the likelihood function when all other coefficients are 0 except for the constant term. In multiple choice models, L_1 refers to the model that satisfies the parallelism assumption (restricted) and L_2 refers to the model that does not satisfy the parallelism assumption (unconstrained).

The LR test statistic can be generalized for k independent variables. Thus, the test statistic of the Generalized Likelihood Ratio is given by Equation 9 (Fox, 1997):

$$G^2 = -2(L_k - k + p) \quad [9]$$

LR test statistic shows the chi-square distribution with p degrees of freedom ($G_G^2 \sim \chi_p^2$). The Generalized Likelihood Ratio is used only for nested model comparisons. All else being equal, models with larger log-likelihood values are preferred (Long, 1997).

For testing parallel slopes, the LR test tests the equality of the coefficients of all variables simultaneously. Accordingly, it cannot be determined whether the coefficients of some variables are identical in binary equations when the coefficients of other variables are different. Therefore, Brant's Wald test calculates the parallelism assumption for each variable separately. Therefore, it is a more useful test. (Long and Freese, 2001). Failure to satisfy the parallel slopes assumption makes the ordinal model results unreliable.

Hausman Test

The IIA is a test used to determine whether the assumption is met. The Hausman test statistic is used to determine whether there is a difference between the model covering all dependent variable choices and the model obtained by removing at least one of the choices. In other words, the parameters obtained for the constrained model and the unconstrained model are compared. If the obtained parameters are similar, it means that the IIA assumption has been met. The null and alternative hypotheses to test the validity of the IIA assumption are as in Equation 10, with β_s and β_f being constrained and unconstrained parameter estimates, respectively,

$$\begin{aligned}
 H_0: \beta_s &= \beta_f \text{ (IIA assumption applies)} \\
 H_1: \beta_s &\neq \beta_f \text{ (IIA assumption does not apply)}
 \end{aligned}
 \tag{10}$$

These hypotheses are tested using the Hausman-McFadden test statistic. The Hausman test shows a chi-square distribution with k degrees of freedom. Chi-square the test statistic is given by Equation 11:

$$\chi^2 = (\hat{\beta}_s - \hat{\beta}_f)' [\hat{V}_s - \hat{V}_f]^{-1} (\hat{\beta}_s - \hat{\beta}_f)
 \tag{11}$$

In the above equation, s is estimations based on the constrained set, and f represents estimations based on the whole set of preferences. Also, V_s and V_f are variance covariance matrices. This statistic tests whether the parameters $\hat{\beta}_s$ and $\hat{\beta}_f$ are equal to each other. If $p < 0.05$ is significant, the IIA assumption is violated (Hardin and Hilbe, 2001). In this case, alternative models to MNL should be used (Hausman and McFadden, 1984).

Another test used for the IIA assumption is the Suest (seemingly unrelated estimation) test developed by Hausman and McFadden (Hausman and McFadden, 1984). The standard Hausman test, which is generally used in panel data analysis, can sometimes be used to calculate an undefined test statistic value (when the chi-square value is negative) under the assumption of IIA, so this test may be preferred. This testing process is similar to the Hausman process. However, here, score values are calculated for each model and robust standard error values are given. If the Hausman-McFadden test's statistical value is found to be positive, the IIA assumption is satisfied. A negative chi-square value is strong evidence for rejecting the null hypothesis. In this case, the Suest test can be performed.

An alternative test, the Small-Hsiao test, can be used in cases where the Hausman test cannot be used to satisfy the IIA assumption (Long and Freese, 2001).

Small-Hsiao Test

Another test used to test the IIA assumption is the Small-Hsiao test (Small and Hsiao, 1985). To perform this test, the sample is divided equally into two sub-samples. Unconstrained MNL is estimated for each subsample. $\hat{\beta}_u^{S_1}$ shows the estimates obtained by MNL applied to the first subsample, while $\hat{\beta}_u^{S_2}$ shows the estimates obtained from the second subsample. The weighted average of the parameters is as in Equation 12:

$$\hat{\beta}_u^{S_1 S_2} = \left(\frac{1}{\sqrt{2}}\right)\hat{\beta}_u^{S_1} + \left[1 - \left(\frac{1}{\sqrt{2}}\right)\right]\hat{\beta}_u^{S_2} \quad [12]$$

Then, using the second subsample, an unconstrained sample is created with a selected value of the dependent variable. With this unconstrained sample, MNL is estimated, yielding $\hat{\beta}_u^{S_2}$ estimates. Small-Hsiao test statistic is obtained from Equation 13 (Long and Freese, 2001).

$$SH = -2[L(\hat{\beta}_u^{S_1 S_2}) - L + (\hat{\beta}_u^{S_2})] \quad [13]$$

This statistic shows χ^2 distribution with $(k+1)$ degrees of freedom, with k being the number of independent variables.

Comparison Criteria

Model fit measures as comparison criteria are used to compare competing models and select a final model (Jose et al., 2020). Goodness of fit measures are statistics used to measure the validity of the model estimated with the observed data (Sönmez, 2006). In the linear regression model, the coefficient of determination (R^2) is the standard measure of fit. When the dependent variable is qualitative, the pseudo- R^2 measure is commonly used. As the number of independent variables included in the model increases, the R^2 value also increases. For this reason, it is not always sufficient to take it alone as a model selection criterion.

Another way to choose the final model is to use the likelihood ratio (LR) test, in which all slope coefficients are simultaneously tested to see if they equal zero. Information criterion measures such as the Akaike Information Criteria (AIC) and Bayesian Information Criteria (BIC) are popular for comparing models, especially when the models are not nested. Mean squared errors (RMSE's), zero and residual deviations, sensitivity, specificity and accuracy, or correct percent estimation (CPP) values are also commonly used measures to compare binary models. Goodness of fit measures used in qualitative preference models are given in Table 4.2.

Table 4.2. Goodness of fit measures used in qualitative preference models (Klein and Mittnik, 2003)

Measures based on the number of correct and incorrect predictions	Error measures based on sum of squares	Measures based on similarity function
<ul style="list-style-type: none"> • Number of wrong predictions • Proportion of correct predictions (count-R²) 	<ul style="list-style-type: none"> • Error sum of squares • Weighted sum of squares • Efron pseudo- R² value • Buse pseudo- R² • Squared correlation coefficient 	<ul style="list-style-type: none"> • McFadden R² • Maddala R² • Aldric Nelson R² • Normalized AN R² • Pseudo- R² • McKelvey and Zavoina R² • Veiall-Zimmerman R² • Akaike Information Criteria (AIC) • Bayesian Information Criterion (BIC)

Apart from AIC and BIC, pseudo- R² measures based on similarity function are widely used among the measures given above. The number of incorrect predictions, which are measures based on the number of correct and incorrect predictions, is given in Equation 14.

$$\begin{aligned}
 \hat{Y}_i &= 1 \text{ if } \hat{P}_i \geq 0.5 \\
 \hat{Y}_i &= 0 \text{ if } \hat{P}_i < 0.5 \\
 NOWP &= \sum_{i=1}^N (Y_i - \hat{Y}_i)^2
 \end{aligned}
 \tag{14}$$

Error sum of squares (SSE): The most frequently used measures based on error sum of squares are sum of squares error and weighted sum of squares. If $(y_i = 1) = P_i$ in the binary model, the error sum of squares is as in Equation 15:

$$SSE = \sum_{i=1}^N (y_i - \hat{P}_i)^2
 \tag{15}$$

Weighted Sum of Squares (WSSR): WSSR is usually assumed to have an asymptotic chi-square distribution. However, McCullach (1986) and Windmeijer (1990) proved that the asymptotic distribution of the weighted residual sum of squares conforms to the normal distribution.

The weighted sum of squares formula is given by Equation 16 (Windmeijer, 1995):

$$WSSR = \sum_{i=1}^N \frac{(y_i - \hat{P}_i)^2}{\hat{P}_i(1 - \hat{P}_i)} \quad [16]$$

Here \hat{P}_i is the predictive value of P_i .

Pseudo- R² dimensions

There are many fit index measures such as pseudo- R² for models whose dependent variable is qualitative. However, none of these measures provides a clear interpretation of the variation explained (Long, 1997). Since the pseudo- R² value is quite low in qualitative preference models, it is not considered as a goodness of fit measure for these models. When comparing linear regression models, the model with the largest R² value among the models is accepted as the model that best fits the data. The coefficient of determination takes values in the range of R² (0-1). In qualitative preference models, the pseudo-R² value may go outside the (0-1) range.

Researchers have a hard time choosing between pseudo- R² measures. In the literature, there is no explanation as to which R² value is preferred and under what conditions this preference is valid (Aldrich and Cnudde, 1975).

When deciding which of the pseudo- R² measures to use, a researcher must first decide for what purpose he will use the pseudo- R² measure. These purposes may be to measure the explained variance, test hypotheses, or classify the dependent variable correctly (Achen, 1979, 3).

Researchers interested in explained variance, the most common application of R² in linear regression, will use one of the pseudo- R² measures proposed by McKelvey and Zavoina (1975), Aldrich and Nelson (1984) or Dhrymes (1986) (Hagle and Mitchell, 1992). Commonly used pseudo- R² values are given in Table 4.3.

Table 4.3. Pseudo-R² Classification (Created by Simonetti, B., Sarnacchiaro, P., and Rosario Gonza'lez Rodri'guez M., 2017, this table has been expanded and edited)

Class Dimensions	Author	Formulas
Measures based on Likelihood	Maddala (1983) Cox and Snell (1989)	$R_{CS}^2 = 1 - \left(\frac{L_1}{L_0}\right)^{2/n}$
	Cragg and Uhler (1970) Maddala (1983) Nagelkerke (1991)	$R_{CU}^2 = \frac{1 - \left(\frac{L_1}{L_0}\right)^{2/n}}{1 - L_0^{2/n}}$
Measures based on Log-likelihood	McFadden (1974)	$R_{MF}^2 = 1 - \frac{L_1}{L_0}$
	Hensher and Jhonson (1981)	$R_{MFHJ}^2 = 1 - \frac{\frac{L_1}{n(J-1)} - k}{\frac{L_0}{n(J-1)}}$
	Horowitz (1982)	$R_{MFH}^2 = 1 - \frac{L_1 - \frac{k}{2}}{L_0}$
	Aldrich and Nelson (1984)	$R_{AN}^2 = \frac{2(L_1 - L_0)}{2(L_1 - L_0) + n}$
	Ben-Akiva and Lerman (1985) Mittlböck and Heinzl (2004)	adjusted $R_{McF}^2 = \bar{R}_{MF}^2 = 1 - \frac{L_1 - k}{L_0}$
	Veall and Zimmermann (1994)	$R_{VZ}^2 = \frac{\frac{2(L_1 - L_0)}{2(L_1 - L_0) + n}}{\frac{-2L_0}{n - 2L_0}}$
Estrella (1998)	$R_E^2 = 1 - \left(\frac{L_1}{L_0}\right)^{-2/nL_0}$	
Measures based on estimated probabilities	Lave (1970) Efron (1978)	$R_{LE}^2 = 1 - \frac{\sum(y_i - \hat{P}_i)^2}{\sum(y_i - \bar{y})^2}$
	Buse (1973)	$R_{Buse}^2 = \frac{(WSSR_0 - WSSR)}{WSSR_0}$
	Mittlböck and Schemper (1996)	$R_{MS} = \frac{(\sum_{i=1}^n (y_i - \bar{y})(\hat{P}_i - \bar{P}))^2}{\sum_{i=1}^n (y_i - \bar{y})^2 \sum_{i=1}^N (\hat{P}_i - \bar{P})^2}$
	Maddala (1992)	$Count R^2 = \frac{n_c}{N}$ n_c number of correct predictions Adjusted $Count R^2 = \frac{n_c - \max n}{N - \max n}$ n = number of most frequent results
Measures based on variance decomposition of estimated probabilities	McKelvey and Zavoina (1975)	$R_{MZ}^2 = \frac{\widehat{var}(\hat{y}^*)}{\widehat{var}(\hat{y}^*) + var(\epsilon)}$

n =sample size, k =number of model parameters, L_0 =similarity ratio of fixed parameter only, L_1 =similarity ratio of whole model

Deviance (D)

The deviation (D) measure, corresponds to the sum of squares error (SSE) in linear models (Hosmer and Lemeshow, 2000). This measure shows how much the actual values deviate from the predicted values, in other words, how different they are.

A model containing as many variables as the number of parameters is called a fully saturated model. When L_S indicates the log likelihood value obtained from the saturated model and L_M indicates the likelihood ratio of the model, the deviation measure is expressed as in Equation 17.

$$D = -2\ln \left[\frac{L_M}{L_S} \right] \quad [17]$$

The model with a smaller deviation is preferred. Because a smaller deviation indicates a better fit of the model to the data. In studies where the number of observations is low, the deviation measure is insufficient.

Information Criteria***Akaike Information Criteria (AIC)***

This criterion is one of the commonly used methods in model selection. The Akaike Information Criterion (AIC) was first proposed by Akaike in 1974. The AIC value gives information about which model fits the data better (Hardin & Hilbe, 2001). The AIC value is calculated with the following equation:

$$AIC = \frac{-2\log(L) + 2k}{n} \quad [18]$$

In the equation [18] given above, the L value indicates the log likelihood of the model, k the number of independent variables in the model, and n the number of observations or sample size.

When choosing between different models, the model with the smaller AIC value is preferred. Because the smaller AIC value is an indication that the model fits the data better. If the number of parameters is more

than the sample size, the AIC value developed by Hurvich and Tsai should be used (Hurvich and Tsai, 1989).

Bayesian Information Criteria (BIC)

In general, the Bayesian Information Criterion (BIC) is given together with the AIC value. The BIC value is used in model comparisons as in AIC. Bayes Bilgi Kriteri, Denklem 19 ile hesaplanır: The Bayesian Information Criterion is calculated by Equation 19:

$$BIC = -2\log(\mathcal{L}) + k\log(n) \quad [19]$$

With this criterion, the model with the lowest BIC value is selected.

Conclusions

When the dependent variable contains two or more qualitative preferences (variables), these models are called qualitative preference models. Models in which the dependent variable takes two values such as yes-no, purchase-not purchase are called binary (0-1) preference models. Although binary logit and probit models give similar results, the parameters of the two models cannot be directly compared. Among them, the binary logit model is used a lot because it is easier to calculate and interpret. In cases such as Likert type scales having an independent variable defined as weak-medium-high, brand preferences and in ordered and multinomial (nominal) situations, multiple preference models are used. In both models, the main purpose is to determine the probability of preference.

OLM and OPM are used when the dependent variable has three or more categories in their natural order. These models require the restrictive assumption of parallel slopes. When this assumption is not met, parallel slope assumptions can be stretched, GOLM, partial proportional betting and heterogeneous preference models can also be applied. In cases where a dependent variable with more than two categories does not

have a natural order, the multinomial logit model, which is often preferred, should satisfy the IIA assumption. If this assumption cannot be met, besides the multinomial probit model, models that allow detecting unobservable differences in independent variables that are thought to affect the dependent variable have been developed. Among the mentioned models, MXLM which allows the independent variables to be randomly distributed, alternative specific CLM and NLM estimated by nesting dependent variable categories within certain measures can be listed as other alternative non-ordered models.

The R^2 value is a widely used measure of goodness of fit for linear regression models in model comparisons. This value shows what percentage of the changes in the dependent variable can be explained by the independent variable (variables). In qualitative preference models, pseudo- R^2 value is used instead of this value. In qualitative preference models, it is more important than the goodness of fit that the coefficients give the expected signs and the independent variables are statistically significant. This value may turn out to be very small when pseudo- R^2 is calculated for these models. In these models, a small pseudo- R^2 value does not indicate that the model is invalid. Because the calculated pseudo- R^2 value is based on the similarity ratio for qualitative preference models. It is not explained by the generally explained variance.

When the literature is reviewed, it is seen that many goodness-of-fit measures have been suggested for qualitative preference models. When these measures developed by different people are used, it is seen that different values are calculated for the same data, and even these values are very different from each other. In this regard, we see that comparisons have been made with various simulation studies in recent years. However, it is not clear which of these measures is better. Some researchers value one pseudo- R^2 value, while others find another pseudo- R^2 value important. Although the pseudo- R^2 value cannot be interpreted as the standard R^2 value, it is important to know which pseudo- R^2 value is considered in comparisons. Careful use and reporting of pseudo- R^2 measures should be considered in order to make

model comparisons correctly and not cause misinterpretations about the significance of the model.

Many ordered and non-ordered discrete preference models have been developed in applications, which makes it possible to identify the best model among alternative models to the extent that the research objectives and the dependent variable categories they prefer allow. The most known statistics in multinomial models are the LR, AIC and BIC criteria. In model comparisons, these values are expected to be small to find the more significant model. In qualitative preference models, nonparametric tests such as chi-square and G^2 are used instead of parametric tests because they do not fit the normal distribution.

As a result, in order to make model comparisons correctly and not cause misinterpretations about the significance of the model, it is necessary to use the pseudo- R^2 measures carefully and to consider whether the assumptions are met for the model selection.

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CHAPTER 5

SOCIETY'S WELFARE OR PARTY'S WELFARE (ANALYSIS OF GOVERNMENT POLICY ASSISTANCE IN INDONESIA)

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Introduction

Every three months, a long line forms outside the Pos Indonesia office. Neither to transmit letters nor to send commodities, but rather to accept money. People, especially women and the elderly, went to the Pos Indonesia office, which serves as a gateway for government funds. This is known as providing Direct Cash Assistance (BLT) (Akib & Risfaisal, 2015). Indonesia has been providing aid since 2005 and will continue to do so through 2023 (Firmansyah & Fanida, 2022). BLT is a new policy that was implemented by the government under President Susilo Bambang Yudhoyono's (SBY) first term and was continued by the Joko Widodo administration (Iping, 2020). The government's BLT strategy anticipates reducing the burden on society as a result of growing prices for gasoline (BBM), inflation, and several other social catastrophes such as the COVID-19 Pandemic (Juliana et al., 2022). Furthermore, the BLT was designed to promote the Indonesian government's initiative to abolish fuel subsidies, which was implemented during President SBY's tenure (Prasetyo et al., 2008). As a result, it is believed that BLT will assist the poor in meeting their fundamental needs, preventing a fall in their standard of living owing to economic difficulties, and increasing shared social responsibility (Sasuwuk et al., 2021).

BLT was renamed Community Temporary Direct Aid (BLSM) or *Balsem* in 2013 (Iyansep, 2015). BLSM, like BLT, is a follow-up policy adopted by the government in response to rising fuel costs. Every six months, the Indonesian Post Office distributes BLSM to the general public. The nominal amount of money received per distribution period is IDR 300,000-IDR 400,000, and it usually continues to adjust to the country's economic conditions and inflation status in the year the assistance is delivered. So, who is eligible for this help? The BLT program primarily targets persons who are classified as poor or have below-average income, which is divided into three categories: (1) Very Poor Households, (2) Poor Households, and (3) Nearly Poor Households (Iping, 2020). In theory, the BLT or BLSM policy is very beneficial to the community, particularly the poor, in terms of shielding themselves from rising gasoline prices and inflation. Many parties,

however, are critical of government policies under the BLT or BLSM programs (Akib & Risfaisal, 2015). According to UGM political observer Ari Dwipayana, BLT contradicts the poverty reduction paradigm since people rely on the government. Another effect is the destruction of social capital as a result of distrust between the community, the community and village leaders, and the community and the government. Furthermore, the program has political ramifications because this policy is exploited as campaign material for political parties, resulting in the favor of specific parties (Tempo, 2012). Another example is the citizens of Panduman Village, Jelbuk District, Jember Regency, East Java, who were unhappy when they were required to pay IDR 12,000 to village officials in 2013 in order to obtain a BLSM beneficiary card. This situation demonstrates that there are still numerous 'illegal fees' in the system, which should be devoid of corruption (Jawa Pos, 2020).

According to Edi Suharto, the concept of a developing state welfare system in Indonesia usually includes more drawbacks than positives, such as the government's BLT program (Putra, 2021). When the BLT is reduced, it always coincides with a general election. As a result, many regarded BLT as a tool for gaining votes for political parties or certain causes by winning hearts of the public. Furthermore, incomplete and erroneous community data collecting led in aid distribution that was off target. Numerous persons who are labeled as beneficiaries do not get BLT, instead, numerous people in higher income groups receive government support. So far, the government has emphasized 'raw data' that has not been validated, with little regard for who should receive it. The government frequently relies on 'raw paper' data that has not been updated or checked, and it pays little attention to changes in data in the fieldwork (Akuntono, 2013).

The government's primary responsibility should be to protect and provide for its citizens. Essentially, Indonesia strives to be a state capable of providing welfare to all of its citizens. According to Alhumami (Alhumami, 2005), Indonesia's Founding Fathers desired for the country to become a 'modern welfare' country. This can be found in the

development of the Republic of Indonesia's 1945 Constitution (1945 Constitution), one of which reads, "*...establish an Indonesian State government that protects the entire Indonesian nation,... promotes general welfare, educates the nation's life, and participates in the implementation of world order based on freedom, eternal peace, and social justice...*". Added again by Abdul Rahman, apart from being listed in the opening of the 1945 Constitution, it is also contained in Article 27 paragraph (2) and Article 34 of the 1945 Constitution. Article 27 paragraph (2), reads (Republik Indonesia, 1945):

"Every citizen has the right to work and to live a decent life for the sake of humanity".

Article 34 goes on to say (Republik Indonesia, 1945):

- (1) *"The state takes care poor people and neglected children."*
- (2) *"The state establishes a social security system for all people and empowers the weak and unable in accordance with human dignity and worth."* (2), and;
- (3) *"The state is responsible for providing adequate health-care and public-service facilities."*

A fulfilled life is stated in several articles in the 1945 Constitution of the Republic of Indonesia, in addition to articles 27 and 34. Prosperity is another basic right of the Indonesian people. This is evident in article 28H, which states (Republik Indonesia, 1945):

“Live in physical and spiritual prosperity, get health services, and receive special treatment.”

Based on the aforementioned, when Indonesia formulated the ideals of a nation that wants to realize social welfare since its inception, which is then attempting to be realized through the BLT or BLSM policy, it demonstrated some of the Indonesian government’s fundamental commitments to ensuring the welfare of its people. Furthermore, the Indonesian government’s commitment to supplying BLT is a kind of support in the Sustainable Development Goals (SDGs) commitment goal 1: No Poverty and goal 2: Zero Hunger (UNDP, 2023). Unfortunately, several hurdles remain in the distribution system, which is still administratively traditional, resulting in many negative appraisals of this government policy from diverse parties. The question is whether BLT or BLSM policies are covered by the welfare state? Is it appropriate to execute the policy in Indonesia? Furthermore, what are the benefits and drawbacks of this policy?

Discussion

States

There are various expert viewpoints on the state, including those of the ancient Greek intellectuals Plato and Aristotle, who believe that the state’s power is exceedingly broad and absolute. The state is useful in maintaining social morals. Max Weber, for example, contended that the only entity with the legitimacy to commit acts of violence against its inhabitants is the state (Petring, 2009). Another Enlightenment-era opinion from Grotius attempted to characterize the state as an entity established from the consent of those who believed the state could sustain its own security. According to these experts, the state is the integration of political power and serves as a mechanism for society to govern the authority of its members. As a symbol of its sovereignty, the state has unique features, such as the nature of coercion, monopoly, and

the all-encompassing nature of all elements. The state's coercive nature means that it has the authority to employ physical force to uphold the law, which ensures public order. Because of the nature of monopoly, the state has the right to set general goals that are assumed to be the goals of all members of society. Its nature includes everyone, which means that the state establishes and enforces rules that apply to everyone without exception (Kemensetneg, 2014).

Based on the foregoing understanding and qualities of the State, it may be concluded that the State possesses great authority. As a result, state power must be restrained because it is always exerted by individuals who abuse power. This is the same as Lord Acton's phrase, "*power tends to be corrupt, but absolute power is definitely corrupt*" (Martin, 1998). In Heywood, there are several definitions of the State depending on different points of view or perspectives, such as: (1) Idealist perspective - Hegel regards the state as an ethical society maintained by mutual compassion and "universal altruism." (2) Functionalist approach - used by neo-Marxists to emphasize the role and purposes of state institutions, as well as the role of the state in maintaining social order. (3) Organizational View - The definition of the state includes five key elements: the ruler, a measure of legitimacy, tools of dominance, geographical unity, and state institutions that are acknowledged as public (state). (4) International approach - Article 1 of the Montevideo Convention on the Rights and Obligations of the State (1933) defines the state as having defined boundaries, permanent residents, effective governance, and the ability to establish relations with other states (Stirner, 2019).

Government

The concept of the state cannot be discussed apart from the concept of governance. So, what exactly is government? The government is conceptually described as an entity founded to realize the nation's values, make and carry out shared decisions to attain these ideals. Anderson defines government as having seven basic functions: (1)

providing socioeconomic infrastructure, (2) providing collective goods and services, (3) resolving conflicts between community members, (4) maintaining a competitive climate, (5) protecting the environment, (6) providing individuals with minimum access to goods and services, and (7) stabilizing the economy (Cetty & Anderson, 2021). Meanwhile, the World Bank identifies five government functions as follows: (1) establishing firm policies that do not deviate, (2) macroeconomic stabilization, (4) investing in basic social services and infrastructure, and (5) protecting the weak, including the environment (Weiss, 1989).

Obviously, the government requires an instrument to accomplish its policies. Government instruments, in broad terms, are methods employed by the government to carry out its legitimate functions. Hughes defines four sorts of government instruments as follows (Hughes, 1992):

A. Government

Government provision is the direct provision of goods and services by the government through the budget as a tool for the government to carry out its tasks. The budget is the government's media for controlling the direction of the country's economy, as well as three policy tools, among others:

- a) Allocation: refers to the relative connection between the public and private sectors, in which the government controls the level and type of activity undertaken. For example, when the government publishes the State Revenue and Expenditure Budget (APBN)/Regional Budget and Expenditure Revenue (APBD) to develop roads, private parties such as construction service providers and others will be affected.
- b) Distribution: refers to government initiatives to close the wealth and income imbalance among citizens. A budget for social welfare, such as security, education, health, and direct help to specific populations, is one example.

c) **Stabilization:** measures aim to increase the overall economic activity of the country. According to the evolution of the Keynesian economic model, the government is responsible for implementing economic stability, maintaining price stability, creating economic growth, creating job opportunities, and regulating a fair and stable compensation system.

B. Subsidy

Subsidies are government-provided products and services to the public. In this case, the government's role is limited to ensuring that subsidies are used in accordance with expectations, while administration is left to the recipients of subsidies. Assistance to farmers, industries, entrepreneurs, private schools, breeders, and others, for example.

C. Production

Production is the government's involvement outside of the APBN/APBD budget, in which customers of government goods or services pay a fee. For example, the usage of energy, water, gas, and various modes of transportation.

D. Regulation/Rules

Regulation is the employment of law by the government to influence private activities. Regulations are employed in the economic setting to encourage corporate activity or to protect customers, such as product quality. Setting currency exchange rates, foreign investment, and minimum wages are just a few examples.

Welfare States

In the mid-twentieth century, the term "welfare state" was extensively used. Their use highlights Western democratic governments' responsibility to meet human needs in education, health care, housing, childcare, and economic security for the old, disabled, and unemployed. However, the application of the welfare state began in the 1880s, with

German Chancellor Otto von Bismarck pioneering welfare politics in order to secure political support and avoid a labor revolution. The welfare state is a state that is primarily responsible for providing social welfare to its residents in the form of social security, health care, education, and other services (though the form varies by society) (Briggs, 2009). This policy implements a Keynesian economic policy system that manages and regulates capitalism in order to foster growth and employment. Keynesianism and social welfare are fundamental characteristics of a social democratic state. This type of state seeks to produce larger social reform, usually through the application of the values of equality and social justice (Klein, 1966). Actually, at this point, Austria and Sweden are examples of social democracies. Assar Lindbeck expressed another viewpoint, dividing the welfare state into two types: narrow and expansive. In a nutshell, the welfare state consists of two types of government spending arrangements: (1) monetary benefits to households (transfers, including mandatory income insurance) and (2) subsidies or government service provision (childcare, pre-school, education, child care, health and elderly care). The welfare state, in its broadest definition, comprises price regulation (such as rent control and farm price support), housing policy, labor law, security, and environmental policy (Lindbeck, 2008).

The welfare state's goals include: (1) managing and exploiting socioeconomic resources for the public good. (2) ensuring that wealth is distributed in a fair and equal manner. (3) alleviate poverty. (4) Provide poor people with social security (education and health care). (5) Subsidizing fundamental social services for the poor. In addition, (6) giving social protection to all citizens. The welfare state theory emphasizes the state's duty for the welfare of its citizens. The state exists to achieve good for all people by intervening in all facets of goal achievement. The following principles are proposed by the Welfare State theory (Lindbeck, 2008):

- 1) Politics and economic primacy (the state was formed by the people and is administered and directed by the people, not by money).

- 2) Community and brotherhood (State life is governed by a spirit of humanity and solidarity that extends beyond economic interactions).
- 3) Multiplier and full employment (the government is in charge of generating prosperity, overcoming recessions, and reducing unemployment).
- 4) Social Security (Every citizen's rights and needs, particularly fundamental necessities, are guaranteed).

There is a fundamental difference in the role of the state, which in this case is acted upon by the government, between countries with liberal ideologies and those with socialist ideologies. Countries with a liberal ideology prefer the government to perform as few functions as possible in order to avoid interfering with activities, particularly those in the private sector (market). Meanwhile, countries with socialist ideologies want the government to intervene in two areas for the welfare of the people: the public and the market. As a concept and paradigm of welfare development, the welfare state or welfare state has various faces. The welfare state is dynamic in nature following the changes and demands of the people in the country concerned. The welfare state is not specific to economically developed countries (Schakel et al., 2020). Developing countries may implement this approach to welfare development with political will, commitment, and a clear vision of social and human investment. The welfare state involves not just the state, but also civil society, voluntary organizations, and private businesses in many nations. According to the peculiarities and demands of the local community, the notion of welfare pluralism, the type of service, and even the organizational framework can be decentralized. Most importantly, the framework and substance of this approach adhere to the spirit of a welfare state, emphasizing the necessity of social protection as a citizen's entitlement (Briggs, 2009).

In reality, the welfare state evolves in response to changing situations and conditions. After the welfare state emerged and developed, a modern welfare state or a new welfare state emerged. The modern welfare state is successful in that it has helped to solve a number of

severe societal issues. Some state welfare structures and financing create additional issues, such as benefit reliance and other incentive effects. Of course, these advances take place against a backdrop of ongoing and planned reforms, as well as the retreat of existing welfare state systems in a number of nations. Furthermore, non-governmental groups, especially non-profit organizations (NGOs), appear to be more successful in this endeavor than governmental organizations in several circumstances. This finding highlights the question of the new restricted division of labor between government, market, family, and civil society's potential utility (Lindbeck, 2008).

Direct Cash Assistance (BLT) and Community Temporary Direct Assistance (BLSM)

Explained briefly in the introductory section on BLT and BLSM. This aid has been a policy of the Indonesian government since the SBY administration to Joko Widodo's administration. Beginning with President SBY's first administration, BLT continues during President Joko Widodo's administration as a continuance of the form of decreasing the socioeconomic load on society (Akib & Risfaisal, 2015). The BLT policy is the government's plan to reduce the burden on society as a result of growing gasoline prices, inflation, and other social issues like as the COVID-19 pandemic. As a result, the BLT strategy is being implemented with the belief that it will assist the poor in continuing to meet their basic needs, preventing a reduction in their level of welfare owing to economic challenges, and increasing shared social responsibility (Iping, 2020). BLT was renamed Community Temporary Direct Aid (BLSM) or Balsem in 2013. BLSM is a government initiative designed to combat rising fuel prices. Every six months, the Indonesian Post Office distributes BLSM to the general public. The nominal amount of money received per distribution period is IDR 300,000-IDR 400,000. The direct support program focuses on those classified as Very Poor Households, Poor Households, and Nearly Poor Households. There are many more sorts of conditions for receiving

aid. Households polled must meet at least 9 of 14 criteria. A household is considered poor if it meets the criteria listed below (BPS, 2020):

- 1) The dwelling has a floor size of less than 8 square meters per person.
- 2) The residential building's floor is built of earth, bamboo, or wood.
- 3) Residential wall types composed of bamboo, thatch, low-quality wood, or without plaster.
- 4) There are no restrooms.
- 5) The lighting source does not use electricity, implying the usage of other illumination such as oil lamps and torches.
- 6) Unprotected wells or springs, rivers, or rains are sources of drinking water.
- 7) The everyday cooking fuel is firewood, charcoal, or kerosene.
- 8) Limit your consumption of meat, milk, and chicken to once each week.
- 9) Can only afford one new set of clothes per year.
- 10) Eat only once or twice every day.
- 11) Inability to pay for medical charges at a health center or polyclinic.
- 12) The head of the household earns less than IDR 600,000 per year as a farmer with a land area of 0.5 hectares, farm laborers, fisherman, construction workers, plantation workers, or other jobs.
- 13) The highest education of the household's head is not going to school and not finishing elementary school.
- 14) You do not have any savings or items that can be easily sold for a minimum of IDR 500,000.

BLT or BLSM Policy in Indonesia

The background of the problem has been explained in the introduction section, which leads to the question of whether the BLT or BLSM policy is included as a welfare state, and whether it is appropriate if this policy is implemented in Indonesia? What are the positive and negative consequences of this policy? In response to the first and second formulations, based on an understanding of government instruments, BLT/BLSM can be classified as one of the government's instruments in achieving prosperity. When contrasted with the concept of state welfare, the instrument is provision. This decision is based on the consistency of the objectives of holding BLT/BLSM with the purposes of the welfare state, including poverty eradication and the provision of basic social service subsidies to the disadvantaged. Aside from BLT/BLSM, the government also implemented a Poor Student Assistance (BSM) strategy to provide social security (education, health) to the poor. Adapted to the principles of the Indonesian people as stated in the Preamble and Articles (27) (2), 34 (1, 2, 3) and (28H) of the 1945 Constitution, this policy is a step that is executed gradually in order to attain the goal (Republik Indonesia, 1945).

In addition to some of the state's responsibilities for fulfilling the duties and pledges outlined in the 1945 Constitution. The state's goal in reducing some of the people's burdens through BLT and BLSM during the administrations of SBY and Joko Widodo was to meet some of the current global development criteria that were within the scope of the Millennium Development Goals (MDGs), which was later replaced by the SDGs international development scheme since 2015 (Bappenas, 2023). BLT and BLSM schemes that persisted during the Joko Widodo government created the foundation for goal 1 on No Poverty and goal 2 on Zero Hunger in the SDGs. These two goals are interwoven with the concepts of BLT and BLSM, which essentially aspire to become a 'safety belt' for the community to remain prosperous and prevent hunger and poverty during a socioeconomic crisis. Furthermore, during the COVID-19 Pandemic in 2019-2021, this type of government help became one of the supports for people's wellbeing in general (Sasuwuk

et al., 2021). Indonesia can be classified as a welfare state adherent based on constitutional underpinnings such as the 1945 Constitution, the Law on the National Social Security System (SJSN), and government investment for social development, which is nevertheless modest. Indonesia can investigate several welfare state models and adapt them to its capabilities and needs. In keeping with the regionalization of democracy and autonomy, the state welfare system does not need to be centralized in Jakarta and simply includes the state.

According to Suharto, there are four (4) models of the welfare state: (1) the universal model, (2) the enterprise model, (3) the residual model, and (4) the minimal model. Indonesia is one of the countries featured in the minimum model. Characterized by a lack of government investment in social development. Welfare and social security programs are provided sporadically, partially, and minimally, and are generally only available to Civil Servants (PNS), members of the Indonesian National Armed Forces (TNI), and private employees who can afford to pay contributions, such as Health Insurance (AsKes), which is deducted from their monthly salary (Akuntono, 2013). Indonesia can be classified as a welfare state adherent based on constitutional underpinnings such as the 1945 Constitution, the Law on the National Social Security System (SJSN), and government investment for social development, which is nevertheless modest. Indonesia can investigate several welfare state models and adapt them to its capabilities and needs. In keeping with the regionalization of democracy and autonomy, the state welfare system does not need to be centralized in Jakarta and simply includes the state. The welfare state is the proper system to implement in Indonesia because it meets the needs of the Indonesian people and is consistent with the goals of the Indonesian nation. Indonesia must organize this policy from the outset and progressively. Regardless of whether the system is operating within the powers of the state or not, there are numerous complaints against it. Other sectors, such as the corporate sector and the community, play a role in addition to the government.

To quote Thomas Dye, “*what governments choose to do or not do*”. There are instances when the government decides whether or not to do anything (Dye, 1979). In response to the third formulation, this policy is essentially appropriate since it assists the poor when there is an increase in fuel prices, inflation, social crises such as the COVID-19 Pandemic, and to help the spirit of development of SDGs targets 1 and 2. However, it is vital to emphasize the concept of distinguishing “time” from this phrase. This means that this policy is implemented only when fuel costs rise, rather than on a regular or periodic basis. It demonstrates a balance between income and spending for countries that have correctly implemented the welfare state system. The premise is that when people fulfill their commitments, such as paying taxes and producing social security, they are entitled to receive social services from the state, such as health care, education, and other benefits (Pratiwi & Hayati, 2022).

The government's aim is to help citizens not to feel burdened by rising fuel prices, inflation, or other socio-economic crisis situations. Initiatives and services that are only available to the poor will not be able to prevent poverty. Because these programs and services are only available to the poor. Many people who receive welfare payments in countries where the welfare state is implemented are criticized or implied to have a satellite dish and a television, as if this were a big mistake. Should they be asked to sell their satellite dish and television before receiving social benefits? Apart from generating stigma, such an approach would be in vain because it could create a “poverty trap”. It's as if everyone in this affluent country is driven to poverty in order to amass profits.(Suharto, 2006). They had to “stay” in poverty if they wanted to continue receiving ministry. So, breaking it down, there are six flaws in Indonesia's BLT program, which include:

- 1) It is not an effective or efficient policy in Indonesia to alleviate poverty. This is due to the policy's inability to improve the degree and level of wellbeing of the poor.

- 2) Because of the government's ineffective policy monitoring function, the effectiveness and efficiency of BLT money cannot be examined and managed.
- 3) The veracity of the poor data is called into doubt, affecting the accuracy with which BLT monies are distributed to those who are eligible.
- 4) Have a tendency to cause social discord in society.
- 5) A lack of active community participation, making program performance optimization harder to achieve. in addition;
- 6) In terms of state finances, the BLT strategy is a waste of state money because it is incapable of solving the problem of poverty in a sustained manner and of increasing the productivity of the poor (Dewi & Andrianus, 2021).

After discussing some of the BLT program's flaws, the following question is whether the government's BLT program has any advantages? Based on its philosophy, this initiative has a "noble" purpose of assisting the underprivileged in dealing with the effects of rising fuel prices (Dewi & Andrianus, 2021). This program is also a mechanism for the government to realize the objectives of the Indonesian people as specified by the 1945 Constitution and certain SDG goals. These benefits, however, can be read from the basic notion, but when seen in a more thorough context, these benefits can lead to premises that can even be used to criticize the BLT program. For example, as previously indicated in the context of the time of the distribution of BLT funds, the date of the distribution of funds invariably corresponds with the General Election. This undoubtedly contributed to the notion that BLT was used to improve the image of specific groups or parties in order to gain public attention. So far, the distribution of BLT in response to rising petrol prices has served as a "cooler" and "silencer" for people's concerns, fears, and rage. When this "goodness" is delivered to the people, they will gladly embrace it, assuming that the "carrier and provider of goodness" is sensible or, in

today's parlance, "pro-people". So is it necessary to question the BLT program for the sake of the people or the parties? The answer has already been stated.

There are numerous alternatives to making Indonesia more prosperous, one of which is the legislative principles required for the future welfare state of Indonesia (Tavip, 2013). It is critical to consider the following issues:

- 1) The government's job is not to make a living, but to do good.
- 2) The government, corporate sector, and society must all be present and use their resources properly to address public issues.
- 3) Indonesia's internationalism is civilized internationalism that does not produce issues for the globe and its people (Tavip, 2013).

Indonesia is classified as a collectivist based on state ideology (Pancasila) in social welfare policy, but a libertarian oriented toward capitalist globalization in economic policy. As a result, in the future, these two points of view can collide at the same central point, namely the dynamic calibration point, to depict the true Indonesian welfare state in a spectrum known as the "dynamic calibration model". This suggests that cooperation between the government, the private sector, and the community is required to achieve a thriving Indonesia. The requirement for each party to be conscious so that they are not only thinking about their own interests, but also the general interest.

Conclusion

BLT and BLSM are government policy programs aimed at mitigating the effects of rising gasoline prices, inflation, and different socioeconomic problems for people classified as in need of help. Several parties responded to this initiative in various ways, both positively and negatively. The BLT/BLMS program has so far been the foundation of the impoverished category of society in surviving the negative economic system downturn. This program is also regarded as

one of the expressions of the Indonesian people's goals as mentioned in the 1945 Constitution, which seeks to actualize the social welfare of the Indonesian people in general (Republik Indonesia, 1945).

The welfare state is a policy system for achieving prosperity (Iping, 2020). Essentially, Indonesia remains an impoverished nation, that is, a country with minimal economic and social growth. A gradual process is required for Indonesia to progress toward being a successful country with high economic and social growth. Mutual cross-checks from the government, private sector, and community necessitate cooperation. This is critical in order for the anticipated welfare state system to truly improve people's lives. There is a need to re-understand the theory of the welfare state which teaches that the state was founded by the people, is run and directed according to the will of the people, that state life is regulated in the spirit of humanism and togetherness, that the government is tasked with creating prosperity, overcoming recession and unemployment and that every citizen is guaranteed his rights and needs, especially needs. If this theory is effectively realized, there will be no more governmental policies for the welfare of the people that transform into party welfare.

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CHAPTER 6

**EASTERN DIRECTION OF EXTERNAL
EUROPEANIZATION: CONCEPTUAL FOUNDATIONS AND
STAGES OF DEVELOPMENT**

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Introduction

For the European Union, Eastern Europe has always been part of the «wider Europe», although the institutionalization of relations with the EE occurred relatively late in the framework of the European Neighborhood Policy (ENP, 2003), the Eastern Partnership (The Eastern Partnership, EaP / EP, 2009) and previously signed association agreements (The Association Agreements, AAs, 1997-1999). The process of European integration as "Europeanization" has shifted to the East and has recently reached the Eastern region in its special form of "external Europeanization". There is a positive correlation between the EU cohesion policy as a whole and its separate version - the Eastern Partnership - in all aspects of economic, social and territorial cohesion, as well as in the field of institutional capacity building. The EU's relations with the EaP countries are very specific, since in this region the external and internal periphery of the EU meet and create a special configuration. The Eastern Member States and the Eastern Partnership countries, as neighbors, have intensive contacts, joint experience in solving similar problems and, at the same time, have different attitudes towards Europeanization strategies.

The EU cohesion policy has an external vector – the convergence of regions both along their external borders and far beyond them. The emergence of the Eastern Partnership as a way to balance the European Neighborhood Policy towards the East introduced a new model of Europeanization, which is based on functional cooperation between states. The first model - promoting reforms from the bottom up through the establishment of "connections" in society - has not yet yielded tangible results. And the success of "leverage", the second model - inciting political elites from the top down to reform through political conditions - was mainly associated with the prospect of EU membership. The third model - "management" - "direct control" of the EU (through the coordination of EU representations on the ground) or under "indirect control" (through trusted international organizations, etc.) - has more potential outside the circle of candidate countries, because it does not affect the main institutions of the political system as

such, but promotes transparency, accountability and participation of the administration.

As a specific Eastern dimension of the European Neighborhood Policy, implemented in both bilateral agreements and multilateral formats (Associated Trio), the Eastern Partnership contributes to the common goal of enhancing the stability, prosperity and resilience of the EU's neighbors, as outlined in the EU's Global Foreign and Security Policy Strategy (2019) and the European Neighborhood Policy Review 2015. The Eastern Partnership supports the achievement of many global policy goals, including the Paris Agreement on climate change and the UN 2030 Agenda, as well as its sustainable development goals. It is fully in line with the European Commission's Strategic Agenda 2019-2024. Finally, it reflects all relevant major strategies adopted by the Commission.

Conceptual foundations of external Europeanization

The process of European integration as "Europeanization" has shifted to the East and has recently reached the Eastern region in its special form of "external Europeanization". This enlargement of the EU was very difficult for historical and geopolitical reasons. Historically, contacts between East and West in the economic, political and cultural spheres were rather weak during the Cold War. The East remained isolated from the dynamically developing EU due to the lack of intensive cooperation even after the Cold War, and although this isolation was decreasing, this process was very slow. Therefore, in the eastern regions, European identity was rather ambivalent, which was due to the fact that identity is always a historically determined phenomenon - there was a kind of mental barrier between East and West, mainly generated by mutual ignorance and hostility. Identity of the eastern states became "European" to the extent that they could see their European future within the EU, or at least with the EU. In 2004, the EU in its European Neighborhood Policy defined the borders of Europe - and six countries of the Eastern Partnership (Azerbaijan,

Armenia, Belarus, Georgia, Moldova, Ukraine) in 2009 found themselves outside the European perspective (Blockmans, 2015).

The cohesion policy is the main instrument at the EU level for achieving economic, social and territorial cohesion. With eastward enlargement, the entire EU cohesion policy has been radically restructured to fulfill its integrative role within the EU. Given the low absorptive capacity of new member countries (that is, the country's ability to adopt and innovate in various areas, which implies the presence of human capital capable of understanding and applying economic, social, political, technical innovations (Bachtler, 2014), the effectiveness of the cohesion policy questioned in these states, and this has influenced the expansion of the cohesion policy outside the EU to the Eastern Partnership region.

Serious changes have again taken place in the EU cohesion policy and in the philosophy of differentiated integration, originally understood as multi-level management in the field of decision-making (European Commission, 2014). The "new" cohesion policy began at the turning point between the periods 2007–2013. and 2014–2020 in the development of the EU Long-Term Budget (MFF) in 2014.

Two main trends can be identified. First, given the need to create an Energy Union (European Commission, 2015; European Council, 2015), main focus of the EU Long Term Budget (MFF) 2014– 2020 made with interconnection investments – infrastructure, transport and energy supply. Secondly, since the gap between the most and least developed Nomenclature Territorial Units 2 (NUTS 2) widened in the previous period (2007-2013) mainly due to the global crisis, the «new» cohesion policy is trying to reduce this gap. Both trends are very closely related to the EU cohesion policy of the EaP countries, because the strengthening of relations with this region was also important for the cohesion policy, since the EU regions bordering the EaP countries are among the least developed regions of NUTS 2.

Thus, there is a positive correlation between the EU cohesion policy as a whole and its separate version - the Eastern Partnership - in all aspects

of economic, social and territorial cohesion, as well as in the field of institutional capacity building. When developing the conceptual framework for cohesion policy in the EaP region, it is important to note that the EU, with its rules and values, acted as a "normative superpower" and "civilian superpower" (Larsen, 2014). The concept of the European Union as a civil power (civilian power) was put forward in the early 1970s (Duchene, 1973). Speaking about the prospects for the development of the European Economic Community (EEC), the researcher emphasized the possibility of its transformation into a separate center of power based on non-military means in foreign policy: persuasion, constant dialogue, international treaties, economic preferences and sanctions, technical assistance, etc.

The second dimension of civil power was reduced to the peculiarities of foreign policy goals, which consisted in the development of international cooperation, solidarity, strengthening the role of law in relations between states, spreading equality, justice and tolerance. Second dimension of the concept of civil power – foreign policy goals, understood as milieu goals – remained relatively little explored until a certain point. Introduced the concepts of "milieu goals" and "possession goals" by Arnold Wolfers (Wolfers, 1962: 67-80b). Possession goals (possession (English) - possession, possession; goals (English) - goals) are associated with national interests. Guided by them, states aim to preserve or strengthen what is especially valuable to them: independence, territorial integrity, sovereignty. Pursuing possession goals, governments seek to obtain economic and political advantages that are considered important from the point of view of national interests: the expansion of the territory, membership in the UN Security Council, preferential tariffs, energy and military security. Often these interests are realized at the expense of the interests of others. Realpolitik is built on possession goals. However, the foreign policy of the EU is based on milieu goals, which underlie the normative policy (milieu (fr.) - environment, environment). Milieu goals are outside the national framework. No state can claim them as its own. They are aimed at the formation and transformation of the environment, especially the formation of the nearest neighborhood. The key goal of foreign policy

in this case is the creation and maintenance of a favorable world order (Игумнова, 2012).

In fact, a return to it occurred at the turn of the 1990s–2000s. and was associated with the emergence of a new concept of the European Union as a normative power, proposed by the Danish scientist I. Manners (Manners, 2002). The key characteristic of the EU after 1991 was its ability to extend its own internal rules to countries that were not members, and in some cases did not seek to become part of this integration association.

In general, the cohesion policy gives substance to the process of Europeanization, as these terms become more and more familiar and obvious in the course of a series of enlargements of the EU. The accelerated pace of globalization has led the EU to launch a process of "globalization and regionalization" in the Eastern Partnership region. This "external governance" has been extensively analyzed in European studies. The concept of external governance was outlined by S. Lavenex and F. Schimmelfennig (Lavenex and Schimmelfennig, 2009), although it still needs further development.

The concept of civil or normative power of the EU (the EU as a civil power) was put forward in the early 1970s (Duchene, 1973). According to her, the European Economic Community should become a center of civil power based on non-military means in foreign policy: persuasion, constant dialogue, international treaties, economic preferences and sanctions, technical assistance, etc. The second dimension of civil power was reduced to the peculiarities of foreign policy goals, which consisted in the development of international cooperation, solidarity, strengthening the role of law in relations between states, spreading equality, justice and tolerance. However, when considering the European Union as an influential actor in world politics, it ignores the fact that the integration association lacks a single center of power that makes foreign policy decisions. This largely predetermined the formation of an approach to EU foreign policy as a process. Within its framework, the European Union is presented as a political entity (polity), in which power is delimited between different levels of

government (supranational bodies, member states, subnational entities) and actors (state, non-governmental, private), and between the areas of integration there are significant differences in management methods (Marks, Hooghe and K. Blank, 1996: 346–347, 371–373).

Initially, the theory of multilevel governance was intended to conceptualize the internal features of the EU rather than its relations with the outside world. However, rather quickly the postulates of this theory began to be applied to the analysis of the interaction of the European Union with third countries, which was called "external management". At its core, external governance is quite close to the concept of normative power, since it involves the extension of European Union rules to countries that are not members of it. However, unlike I. Manners, who understood norms primarily as values underlying the creation, development and expansion of the EU, supporters of applying the theory of multi-level governance to foreign policy consider its foundations as a set of legal acts (*acquis communautaire*) that form the system internal and external policies of the EU (Lavenex and Wichmann, 2009: 84).

The creation of a security space based on justice and conditional on freedom is the goal of external management. The need for external management is due to the need to cooperate with third countries as the main sources of immigration, refugee flows and organized crime. The object of analysis for external management is the institutional process of spreading norms and transferring intra-European policies to the external space (policy transfer). Currently, external governance is widely used to conceptualize the interaction of the European Union with countries included in the neighborhood policy. The lack of prospects for them to join the European Union means that the *acquis communautaire* in the field of justice and home affairs appear not in the form of normative legal acts that should be incorporated into the legal system of individual states of the CIS and the Mediterranean, but in the form of rules for the operational cooperation of these states with EU institutions and bodies through transgovernmental networks.

Thus, S. Lavenex and F. Schimmelfenigg identify three ideal types of external control: hierarchy, network control and market. In the first case, we are talking about such interaction between the European Union and a third country, in which parts of the *acquis communautaire* (legislation and EU jurisprudence) are adopted in Brussels, but are also binding on non-members of the integration association. In practice, the hierarchy best characterizes the EU's relations with the countries of the European Economic Area (today – 27 EU countries and Norway, Iceland and Liechtenstein), as well as with candidates for accession during enlargement (for 2023 – these are Serbia, Turkey, Montenegro, Macedonia and Albania, Moldova and Ukraine). The result of network management is usually not binding norms, but some kind of consensus agreements, mainly on interaction procedures. The main actors are not politicians, but experts on certain issues and officials, who coordinate (coordinate) their positions. *Acquis communautaire* is the main, but not the only basis for decisions. The «market» implies the dissemination of EU norms through their direct competition with the norms of third countries due to the principle of mutual recognition.

Thus, the foreign policy dimension of the space of freedom, security and justice is a separate direction of the EU foreign policy, which has developed as a response to transnational threats and aims to neutralize them through the active dissemination of the *acquis communautaire* in the field of justice and internal affairs to third countries. In other words, the EU seeks to preserve the existing internal security regime, trying to «work» with threats at a distance, without waiting for the onset of negative consequences from immigration, refugee flows and certain types of crime directly on its territory.

Not surprisingly, the problem of external control was an important topic in European studies in the second half of the 2000s. and that it became vital in the mid-2010s. Basically, according to S. Lavenex and F. Schimmelfenigg, external governance leads to Europeanization, since "the EU designs its own regulatory models, institutions and rules of governance outside of formal membership and does this in institutional forms of coordinated actions aimed at concluding binding agreements"

(Schimmelfennig, 2012: 657). European foreign policy is based on general principles derived from EU norms and regulations. At the same time, it may have been even more shaped by specific EU regimes in various policy areas.

Stages of Europeanization towards the East

External Europeanization developed as a historical process in several stages (Table 6.1). The European Neighborhood Policy (ENP) is addressed to the current neighbors of the EU, as well as those who have become closer to the EU as a result of enlargement. It regulates relations with 16 countries of Eastern Europe and the Mediterranean (Algeria, Morocco, Egypt, Israel, Jordan, Lebanon, Libya, the Palestinian Authority, Syria, Tunisia, Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine).

Table 6.1. EaP: Historical milestones

Category	Azerbaijan	Armenia	Belarus	Georgia	Moldova	Ukraine
Partnership and Cooperation Agreement (PCA) 1999	1997	1999	1999	1998	1998	1998
European Neighborhood Policy (ENP) Action Plan	2006	2004	Belarus covered by ENP, but no action plan yet	2006	2004	2005
Eastern Partnership Initiative (EPI)	2009	2009	2009	2009	2009 г.	2009
Association Agreement (AA)	AA negotiations started in 2010	AA will not be signed	AA has not been ratified and ratification is not envisaged on	2014 entered into force 2017	2014 entered into force 2017	2014 entered into force 2017
Deep and Comprehensive Free Trade Area (DCFTA)	Provided after Azerbaijan's accession to the WTO	DCFTA agreement will not be signed	Not applicable	2014 entered into force 2016	2014 entered into force 2016	2016 entered into force 2017
Comprehensive and Expanded Agreement entered into force	2017 start of negotiations	2017	-	-	-	-
partnership (CEPA) – replaced PCA, AA and DCFTA	2014 visa facilitation	2014 visa facilitation	2020 visa facilitation	2017 visa liberalization	2014 visa liberalization	2017 visa liberalization
Visa regime						

Source: Table 1 created by author.

ENP is financed mainly by the European Neighborhood Instrument (ENI) (in 2014-2020 in the amount of 15.4 billion euros (The European Neighbourhood Instrument)). Within the framework of ENI (until 2014 – the European Neighborhood and Partnership Instrument (ENPI)), the EU cross-border cooperation programs "Poland - Ukraine - Belarus", "Latvia - Lithuania - Belarus" and "Baltic Sea Region" are being implemented, and as well as regional and bilateral programs. Through these three cross-border cooperation programs in Belarus, projects with a total budget of about 55.33 million euros were implemented in 2007-2013 (Политика Беларуси в области международной технической помощи). 71.6 million euros for programs and projects in the field of energy efficiency, ecology, standardization, medicine, regional development (Сотрудничество Беларусь – ЕС). In 2014-2020, it is planned to develop the ENP 15.433 billion euros (European Neighborhood Instrument). EU funding for the Poland-Belarus-Ukraine program for 2015-2024 will amount to 183 million euros (Европейский инструмент соседства: программа трансграничного сотрудничества «Польша – Беларусь – Украина» на 2014-2020 годы).

It should be noted that Euroregions of Belarus participate in EU cross-border cooperation programs: Bug (established in 1995), Neman (1997), Lake District (1998), Belovezhskaya Pushcha (2002)), "Dnepr" (2003). They are members of the program's governing bodies. The purpose of creating Euroregions and their inclusion in the agenda of cross-border cooperation is to search for possible ways of socio-economic development of border areas.

For three associate members (Moldova, Ukraine, Georgia), assistance was provided through 16 main types of EU financial assistance programmes. In 2007-2013 these were (The official portal for European data): European Neighborhood and Partnership Instrument (ENPI); Common fisheries policy and in the area of the law of the sea (Fisheries); Competitiveness and Innovation Framework Program (CIFP); Development Cooperation Instrument (DCI); energy;

Enterprise; European Instrument for Democracy and Human Rights (EIDHR); Framework Program for nuclear research and training activities (FpNRTA); Instrument for Nuclear Safety Cooperation (IfNSC); Instrument for Stability (IfS); Macro-Financial Assistance (MFA); Public Health, Research, Research: Framework program n°6 (completion) (F6); Research: Framework program n°7 (F7); Youth in Action (YiA).

And 16 Most frequent types of EU financial assistance programs in this countries in 2014-2020 (The official portal for European data): European Neighborhood Instrument (ENI), Competitiveness of enterprises and small and medium-sized enterprises (COSME), Creative Europe; Education, Training and Sport (Erasmus+); energy; Environment and climate action (LIFE); EU Aid Volunteers initiative (EUAV); Euratom Research and Training Program (EuroatomRTP); European Maritime and Fisheries Fund (EMFF); Food and Feed (FF); health; Horizon 2020; Instrument Contributing to Stability and Peace (IcSP); Instrument of Pre-Accession; Internal Security Fund (ISF); Union Civil Protection Mechanism (UCPM).

Relations with Russia are developing not through ENP, but through the European Neighborhood and Partnership Instrument (ENPI/ENI). Russia refused to participate in the ENP, referring, firstly, to the presence of other challenges, and, secondly, to the existence of the Partnership and Cooperation Agreement (Agreement on partnership and cooperation, 1994) – a mechanism for strategic partnership and institutional cooperation between Russia and the European Union (Горинчой, 2013). Within the framework of ENI, Russia participates in regional and cross-border cooperation programs co-financed with the EU (Kolarctic, Karelia, South-Eastern Finland-Russia, Russia-Estonia, Russia-Latvia, Russia-Lithuania) and "Russia-Poland"), and bilateral cooperation takes place within the framework of the new Partnership Instrument (Финансирование Европейского Союза для региона Соседства и России).

The initial goal of the European Neighborhood Policy in 2004 was to create a ring of friendly states (surrounding the EU with countries with a democratic model of governance). At the first stage of the implementation of the eastward cohesion policy, the EU envisaged not only the expansion of economic contacts with the eastern countries, but also broad democratization through external management (Lavenex, S. and Schimmelfennig F., 2011; Balfour, 2011). Europeanization meant institutional building at the level of the state and society.

The European Union expected relatively rapid adaptation of Eastern European countries to the EU through intensive economic contacts, supposedly promoting prosperity and well-being, as well as through the multitude of "side effects"—institutions that were useful both in the EU and for regional cooperation (Conference of Regional and Local Authorities for the Eastern Partnership (CORLEAP), Eastern Partnership Civil Society Forum (CSF), etc.).

In attempts to extend the cohesion policy to Eastern Europe, institutional transfer has been a dominant theme. This did not address the question of whether the new institutions would remain a mere formal legal façade or could become an active part of society. The original ENP action plan was not specific enough and not differentiated enough, both in relation to the East and the South, and within the East. Institutional reforms remained superficial and ineffective (Korosteleva, 2014: 34), since large national formal institutions would have to be based on many small local informal institutions that were absent in Eastern Europe. The emergence of a full democratic order would require a much longer process and a more favorable international environment.

This normative approach led to a clear crisis in the regulatory environment because the EU had no specific plans or projects to offer to the Eastern European states other than the prospect of joining the EU to promote structural reforms. This led to the proposal of Poland and Sweden to create the Eastern Partnership. To activate the goal of extending the cohesion policy to Eastern Europe, in 2009 a joint

declaration on the Eastern Partnership was signed in Prague with 6 Eastern partners – Azerbaijan, Armenia, Belarus, Georgia, Moldova and Ukraine – to promote closer cooperation and economic integration (Council of the European Union, Joint Declaration of the Prague Eastern Partnership Summit, 2009).

Belarus actively participated in the multilateral component of the Eastern Partnership: the participation of the Minister of Foreign Affairs of Belarus in the EaP summits. Belarus, represented by the Deputy Minister of Foreign Affairs, took part in the EaR virtual summit dedicated to the fight against the COVID-19 pandemic and the prospects for the development of the initiative. Belarus also regularly participated in the meetings of such EaR governing bodies as meetings of foreign ministers and meetings of senior EaR officials (Восточное партнерство. МИД Республики Беларусь).

Within the framework of the Eastern Partnership (EaP), Belarus participated in all four multilateral thematic platforms of the EaP ("Strengthening state institutions and good governance", "Economic development and market opportunities", "Connectivity, energy efficiency, environment and climate change", "Mobility and contacts between people"). Belarus is also connected to the activities of the flagship initiatives of the EaP on civil defense, integrated border management, development of small and medium enterprises, environmental management, and energy.

The Belarusian side took an active part in the development of EaR development priorities, incl. for the post-2020 period, focusing on promoting the non-confrontational nature of the initiative and its focus on pragmatic, understandable results of cooperation for ordinary citizens. Based on the importance of preventing new dividing lines in the region, the Republic of Belarus has consistently promoted the idea of «integration of integrations» in the EaR format, which in the future can serve as a basis for harmonizing integration processes within the European Union and the Eurasian Economic Union, as well as creating

a common economic and humanitarian space (Сотрудничество Беларусь – ЕС).

Belarus has suspended its participation in the project since June 28, 2021. The basis stated on its part is due to the inability to fulfill obligations under the conditions of sanctions and restrictions imposed by the European Union, and the "top-down" approach, focused on the EU and based on EU law and normative transfer, conflicts with the notion of partnership, which is based on mutual exchange and cooperation on issues of mutual interest (Заявление пресс-службы МИД Республики Беларусь; Коростелева, 2012).

The updated political program of the EaP was approved at the 2021 EaP Summit by representatives of the EU and EaP countries, as well as in their joint declaration (Joint Declaration of the Eastern Partnership Summit, 15 December 2021.) and includes five main objectives aimed at economic recovery, sustainable development and reform, namely:

- together towards reliable, sustainable and integrated economies;
- together towards institutional accountability, the rule of law and security;
- together towards environmental and climate sustainability;
- together towards sustainable digital transformation;
- together towards sustainable, just and inclusive societies.

Through this program, countries made a joint commitment to deliver tangible results for citizens across the region. This set of long-term political goals for the Eastern Partnership after 2020 (Recovery, resilience and reform: post 2020 Eastern Partnership priorities.) builds on the previous program and achieving 20 results by 2020 (EaP CSF Analysis of the EU Paper on 20 Eastern Partnership Deliverables for 2020). The new targets were proposed in March 2020 following consultations with interested partners and stakeholders and are set out

in the Joint Appeal "Strengthening resilience – an Eastern Partnership that benefits all".

Then in July 2021, the joint working paper "Recovery, resilience and reform: post 2020 Eastern Partnership priorities", created on the basis of these goals, set the agenda for addressing priorities and changes situation for citizens and businesses in the Eastern partner countries.

For 2021-2027, 5 goals and 10 priority tasks have been identified for the Eastern Partnership (Recovery, resilience and reform: post 2020 Eastern Partnership priorities); sustainable institutions (together for accountable institutions, rule of law and security); sustainable environment (together towards environmental and climate sustainability); sustainable digital space (together for sustainable digital transformation); sustainable society (together for a sustainable, fair and inclusive society).

Among the priority tasks are: competitive and innovative economy; the rule of law; security and cyber resilience; stable and intelligent connection; people and the knowledge society; Diversity of Societies and Strategic Communication; health sustainability; sustainable energy; digital transformation; environment and climate.

The EU external aid budget is constantly evolving, taking into account domestic, regional and international considerations and urgency. In 2018, the EU decided to change the multi-year budget line from "Global Europe" to "Neighbourhood and Peace". This change is accompanied by a simplification of financial instruments in order to increase the coherence, transparency, flexibility and effectiveness of the EU's foreign policy.

The new financial instrument, the Neighborhood, Development and International Cooperation Instrument (NDICI) combines most of the old instruments and is the main instrument for financing EU cooperation with partner countries, including the ENP countries. The NDICI replaces the European Neighborhood Instrument (ENI) that was in effect from 2014-2020. and in turn replaced the European

Neighborhood and Partnership Instrument (ENPI) in the period 2007-2014.

In 2020, EU decision makers reduced the originally planned Neighborhood and Peace budget from the €118.2 billion proposed in 2018 (Lilyanova, 2021), up to EUR 98.4 billion as set by the EU in July 2020 (European Council, 2020). If a budget of 58.7 billion euros was planned for 2014 for the Global Europe dimension –2020, then the budget of the "Neighborhood and Peace" dimension that replaced "Global Europe" is 98.4 billion euros for 2021–2027. billion euros This increase is due to the restructuring of existing instruments, rather than an increase in the amount of funding for EU foreign policy. Financial assistance is presented in the form of grants, loans, guarantees, subsidies.

To support post-pandemic economic recovery, intra-regional cohesion and digital transformation and climate change in the region, the EU is offering less than €20 billion: €2.3 billion in grants and investments for the economic and investment plan and up to €17 billion public and private investment. In addition, the EU has agreed to open access to 1 billion euros in local currency for 500,000 SMEs from the Eastern Partnership countries. (Joint Declaration EU of the EaPSummit, 2021). The two main sources of funding will be European financial institutions (European Investment Bank and European Bank for Reconstruction and Development) and NDICI (for grants and blended finance).

According to "Post-2020 EaP priorities" (Recovery, resilience and reform: post 2020 Eastern Partnership priorities, 2021) for the following areas, 20 billion euros are provided for the following flagship goals:

- Transport connectivity – €4.5 billion;
- Support for SMEs – €1.5 billion (local currency) and €1.4 billion (by issuing green bonds);

- Strengthen competitiveness and integration in the EU value chain – €500 million;
- Digital transition – €1.5 billion;
- Sustainable energy – €3.4 billion;
- Climate resilience – €750 million;
- Health resilience – €600 million;
- Knowledge societies - €1.3 billion.

The most EU investments are consumed by «transport connectivity» (4.5 billion euros) and «sustainable energy» (3.4 billion euros), the least by «competitiveness and inclusion in value chains» (500 million euros), "health of sustainability" (600 million euros) and climate resilience» (750 million euros).

The distribution of funds between countries is based on a problem-based approach, taking into account the specific local needs of the country: to improve trade with the EU (Moldova, Belarus); in the transfer of agriculture to market rails (Ukraine); in economic recovery (Georgia). This principle, adapted for each country, indicates that both the EU and the host countries pay attention to the relevance of investments.

According to the Eastern Partnership budget for 2021-2027, Armenia will receive 1.6 billion euros, Azerbaijan – 140 million euros, Belarus – 870 million euros, Georgia – 1.175 billion euros, Moldova – 1.635 billion euros, Ukraine – 1.93 billion euros (Council Regulation 2020/2093) (Table 6.2).

Table 6.2: Indicative average contributions by country, 2014-2020, 2014-2017, 2018-2020, 2021-2027. million euros

Eastern Partnership countries	2014–2020	2014–2017	2018–2020
Azerbaijan	154	85.5	68.5
Armenia	280	155	125
Belarus	143.5	80	63.5
Georgia	678	372.5	305.5
Moldova	678	372.5	305.5
Ukraine	920.5	680	240.5

Source: European Parliament, Foreign Affairs Committee

At the same time, Moldova and Ukraine receive most of the financial assistance in the form of grants (Recovery, resilience and reform: post 2020 Eastern Partnership priorities, 2021), the rest of the Eastern Partnership countries will receive grant assistance as part of a blended financing that includes both lending and public and private investment.

Within the framework of the Neighborhood and Partnership Policy, two funding regimes have been established - hard and soft conditionality of obtaining financial support for reforms. Soft conditionality is applied in extraordinary circumstances and does not imply a strong correlation between the financing conditions achieved in the neighboring country. Under a strict conditionality regime, financial assistance for the Eastern Partnership countries should follow the logic of quality in reform implementation, and not only of their quantity or technical criteria (legal approximation, etc.) (Beley S., Zubel K. and K. Sidlo, 2022: 26).

Conclusion

Foreign policy is an indirect mechanism of Europeanization, based both on the active actions of the EU to promote its values, and on the process of "European" socialization of participants from the EaP. The Europeanization of the EaP region is the goal, and the EU cohesion

policy and its variation, the Eastern Partnership, have become the main instruments. Foreign policy has become highly relevant in the case of the Eastern Partnership countries after the expansion to the east and the extension of the cohesion policy to Eastern Europe. Today, a comprehensive cohesion policy, carried outside the EU, has become a substitute for enlargement. Since the Cohesion Policy has been extended to the East, it has acquired a specific legal and regulatory framework through financial transfers from the former European Neighborhood and Partnership Instrument (ENPI) and the current European Neighborhood Instrument (ENI). But the policy of cohesion of the EU in the EaP is a much more complex process than financial constructions. She worked mainly through intensive economic contacts, which in many respects were innovative in that they had a comprehensive institution-building program “attached” to them.

The Eastern Partnership, with its more realistic spirit, was a turning point in the EU's policy strategy for Eastern Europe, as it sought to correct the weaknesses of the original Neighborhood Policy. The emphasis on common values and such a pragmatic approach in cohesion politics signals a move away from easy harmonization through multilateral and bilateral agreements. The cohesion policy towards the Eastern Partnership countries is currently focused on expanding economic and/or trade relations through intensive trade (deep trade), which should lead to comprehensive economic and social transformation. The Deep and Comprehensive Free Trade Area (DCFTA) is expected to have strong indirect effects pushing for harmonization with the EU in many policy areas and across all EAR countries. Intense and growing trade relations will also bring about structural changes in some other policy areas, leading to a deepening of external Europeanization, primarily by improving the social environment for business, trade and investment.

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CHAPTER 7

**TRANSPARENCY AND ANTI -CORRUPTION TOOLS FOR
CORPORATE GOVERNMENTS**

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Introduction

The management of administrators in corporations are public or private, often present difficulties in their exercise due to the groups of interest that act in society. The context of an organization currently in the 21st century is competitive, dynamic and globalized, has evolved from historical industrial revolutions, and the directionality of power relations, proves their daily business decisions. This work explains the tools for the application of transparency and anticorruption in private sector organizations, taking into account that corruption costs. A political regime, subject to systemic corruption needs a context of anticorruption transparency tools in organizations, it works lists and details them. Management tools today highlight good corporate governance practices in the world. These experiences arise as a result of various crises in the private sector, caused by some light visions and lack of shareholder control, others by inconsistency in the application of local and international standards. These were resolved, for example like the mortgage crisis, which has resulted in numerous financial bankruptcies, bank nationalizations, and constant interventions by the central banks of the main developed economies, in addition to deep declines in stock prices and a deterioration of the economy. global real, which has led to the entry into recession of some of the most industrialized economies. It is not the objective of this work to analyze the historical processes of crisis in the private sector in the world, but these previously mentioned events made it necessary to examine auditing and corporate governance procedures, since some companies such as ENRON were examples in management books in the application of the benchmarking technique.²

This chapter will focus on the theory of corporate governance in the private sector, collecting these experiences, where the various governments promulgated regulations on corporate governance for

² Benchmarking consists of taking "comparators" or benchmarks to those products, services and work processes that belong to organizations that show the best practices in the area of interest, with the purpose of transferring the knowledge of the best practices and their application..

their companies, private or public, where the emphasis will be on the application of the concepts of corporate governance of private companies, in addition to the OECD (url-1) guidelines, what is remarkable about these standards is adding the relevant transparency and anti-corruption tools, so that these instructions do not remain a decalogue of good intentions to be applied.

Objectives

The objectives of this article are to analyze and suggest specific transparency and anti-corruption tools for the corporate governance of the private sector.

Academic Background

"The Modern Corporation and Private Property" book written by Adolf Berle and Gardiner Means (1932)³ continues to be one of the most cited works in business management studies, as a technical kick in the matter.

“The owner of property who invests in a modern society gives up so far his wealth to those in control of the corporation that has exchanged the position of independent owner for that in which he can become merely recipient of wages from the capital... [Such owners] have surrendered the right that the corporation should be operated in their sole interest...” (Campos and Pradhan, 2007).

³ The Modern Corporation and Private Property is a book by Adolf Berle and Gardiner Means published in 1932 regarding the foundations of United States corporate law. It explores the evolution of large corporations through a legal and economic lens, and argues that in the modern world those who legally own corporations have been severed from their control. The revised second edition was published in 1967. It serves as a foundational text on corporate governance, corporate law (company law), and institutional economics.

"The owners most emphatically will not be served by a benefit sought by the control group"

The implications of his work were clear. Berle and Means argued for embedded voting rights for all shareholders, greater transparency and accountability. However, with the release of the revised edition, Berle and Means also pointed to the disparity that existed between those who had holdings and those who did not. Military organizations have been structured with contemporary changes in the organization of private sector companies.

It is clear that the principles of administration have been born from the strategy and logistics of war, Military logistics is part of the science and art of war, and like it, it has been part of the history of humanity, with which it has evolved, and has been refined to become a science of application to different support processes for the Task Forces. In addition, the theory of corporate governance was influenced by the agency theory and has its origins in the approaches of Jensen and Meckling (1976) who define the agency relationship as a contract in which its owners (the principal) hire other people (agents) to carry out certain activities on their behalf that they cannot or do not want to carry out on their own, which implies delegation of a certain degree of power, legitimacy in the agent, as well as incurring agency costs. According to Ganga and Vera (2005), Companies are highly complex systems and are characterized by having a series of interrelationships between their various resources, especially with regard to people. The obvious and changing scenarios are affecting the way organizations should be managed; hence the need for highly effective governance and management systems has arisen. In this order of ideas, the issue of corporate governance (CG) has gained unusual relevance in recent years, partly driven by the need to share knowledge and accumulated experience, based on the events that have affected some iconic international companies.

Development

Corporate governance problems arose in the 1990s at companies such as Kodak (url-2) and IBM; Later, already in the 21st century, large corporations such as Enron from the United States in 2001, Parmalat from Italy in 2002. Corporate governance problems arose in the 1990s at companies such as Kodak and IBM (url-3); Later, already in the 21st century, large corporations such as Enron from the United States in 2001, Parmalat⁴ from Italy in 2002,

What would be the principles of good governance collected from the OECD (url-4), as an example for any organization in the private sector:

The Principles are the foundations under which the Guidelines are structured, so that in the event of any conflict of interpretation between the guidelines and between them and the principles, the latter shall prevail.

- The principles are Efficiency, Transparency, Integrity, Value Generation (Kroll Global Fraud & Risk Report, 2016/2017).

Business Standard, Shareholders' Interest, Corporate Social Responsibility

What are the guidelines of good governance. The guidelines constitute different aspects that shareholders understand are linked to good governance and company management. On the one hand, they establish good practices for the organization and operation of company boards and management, including practices for evaluating performance, transparency and integrity.

- On the other hand, they contain components related to specific audit and control policies, economic performance, purchasing and supply, and sustainability.

⁴ Parmalat is an Italian dairy and food company. It became the world's leading company in the production of UHT milk. It almost disappeared completely due to a financial fraud caused by the founder, Calisto Tanzi, in December 2003.

Each guideline contains main practical applications. These applications allow visualizing the practical implementation of the conceptual definition of each guideline, which will facilitate the design of specific policies by companies.

- Recommends the companies to publish a management report quarterly informing society about how they met the objectives and actions of the strategic plan.
- It also recommends the publication on the web page of the companies of information related to the composition, responsibilities and professional background of the members of the Board of Directors and main managers.

Principles of Good Governance (Monteverde, 2015):

- Efficiency
- Transparency
- Integrity
- Value Generation
- Shareholders interest
- Corporate social responsibility

As listed, they cover aspects from being efficient, transparent, and integrated, generating value, adopting Stock Exchange standards, and differentiating the roles of the state as a formulator of public policies and these are fulfilled.

Good Governance Guidelines (Monteverde, 2016):

- Guideline 1: Transparency
- Guideline 2: Integrity
- Guideline 4: Economic performance

- Guideline 3: Sustainability
- Guideline 5: Senior Management
- Guideline 6: Purchasing and Supply Policies
- Guideline 7: Audit and Control

As we can see, they cover the guidelines from the transparency and integrity of a company, its economic performance, sustainability, applying senior management specialized in the subject, the purchasing policy, a key factor, and auditing and control, all corporate governance guidelines suggested by the OECD in its report «Principle of corporate governance «OECD and G20 Corporate Governance Principle» (url-5) and «OECD Guidelines on Corporate Governance of Public Enterprises» (url-6).

Transparency and anti-corruption tools in the field of corporate governance

Corporate governance must be conceived as transparent and solid operation in accordance with market principles and day-to-day business, respecting the interest of all shareholders and interested parties (Stakeholders), and being accountable to the community, shareholders and investors, based on preventive actions, rather than running after the facts, which when they occur produce an economic impact, for the interested parties, but damage to the social fabric, in its ethical principles and social values.

Areas of corruption

To determine the exact tools in the analysis, we must divide corruption into the three national spheres of operation, given by the transactions of organizations through the national economic system of a country (Monteverde, 2019).

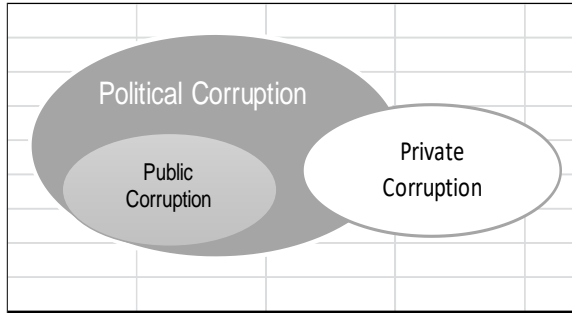


Figure 7.1: Areas of Corruption

Source: Created by the author.

As we see private corruption, it is related to the areas of political and public corruption. From there we can classify private corruption in transactional areas, which have to do with the transparency and anti-corruption tools to be used.

Table 7.1. Areas of private corruption

ORGANIZATIONS	AREAS OF CORRUPTION
Business Chambers with Companies Operating with the public sector	Private-public
Business Chambers with Companies that operate only in the private sector	Private
Private Companies with Operations with the Public Sector	Private-public
Private Companies without Operations with the public sector (include NGOs and other Social Organizations)	Private

Source: Created by the author (Monteverde, 2019)

Why this classification?

Transparency and anti-corruption tools are different for each area, and their application with different depth, but seen as a single body, they allow us to identify the chain of processes and those responsible for acts of corruption. These instruments allow us to prevent in principle, then

identify, investigate and prosecute corruption processes, not too long after they have occurred. The premise is prevention and the responsibility of institutions and people, in the face of the phenomenon of corruption in the private sphere.

List and explanation of transparency tools and prevention of corruption in the Private sector for corporate governments We detail and explain each of the transparency and anti-corruption tools:

1. Integrity plan (Monteverde2021).
2. Business Transparency Portals.
3. Preparation and publication of the value chain of corruption, at the level of business sectors.
4. Corruption risk maps, their preparation and dissemination.
5. Private sector transparency indices, by company, their preparation and publication
6. Channels for reporting acts of corruption
7. Full application of the ISO 26000 (url-7) standard of the private sector.
8. Full application of the ISO 37301(url-8) compliance standard.
9. Full application of the ISO 37001 (url-9)-Anti-bribery Standard.
10. Use of surveys, suppliers, consumers, customers, public, on ethical conduct of companies.
11. Private Corruption Law (Monteverde, 2020).

Integrity Plan

The Integrity Program has the following Corruption Prevention elements for the private sector:

- a) A code of ethics or behaviour applicable to the organization, its employees, authorities, suppliers and customers.
- b) Rules and procedures in the execution of administrative contracts or in any other interaction with the public sector;
- c) Periodically train the integrity program for directors, administrators and employees.

It may also contain the following elements:

- I. The periodic analysis of risks and the consequent adaptation of the integrity program;
- II. Visible and unequivocal support for the integrity program from senior leadership and management;
- III. The internal channels for reporting irregularities, open to third parties and properly disseminated;
- IV. A whistleblower protection policy against retaliation;
- V. An internal investigation system that respects the rights of those under investigation and imposes effective sanctions for violations of the code of ethics or conduct;
- VI. Procedures that verify the integrity and trajectory of third parties or business partners, including suppliers, distributors, service providers, agents and intermediaries, at the time of contracting their services during the commercial relationship;
- VII. Due diligence during the processes of corporate transformation and acquisitions, for the verification of irregularities, illegal acts or the existence of vulnerabilities in the legal entities involved;

- VII. Continuous monitoring and evaluation of the effectiveness of the integrity program;
- IX. An internal person in charge of the development, coordination and supervision of the Integrity Program;
- X. Compliance with the regulatory requirements issued on these programs by the respective authorities of the national, provincial, municipal or communal police power that govern the activity of the legal entity.

Business Transparency Portals

Based on the UN Global Compact (url-10), whose objectives companies, educational institutions and civil society organizations try to meet, where they commit to comply with ten principles to protect human rights, to guarantee the best labor standards, to preserve the environment and to fight corruption.

It is essential that Business Chambers (url-11), private sector organizations and companies (url-12), through their own websites, comply by informing about principle no. 10 of the global pact, and announce their anti-corruption policies, complaints, investigations, their projects and their investments, in addition to these communications, as applied by the ISO Standards, or any other information on business policy (url-13).

Preparation and publication of the value chain of corruption, at the level of business sectors

It is beneficial to use this management tool, in practice two instruments are developed, the value chain and the elaboration of strategies for its mitigation, as well as the corruption risk map, as a complete instrument.

How is a Corruption value chain created?

Corruption value chain:



Anti-corruption measures

As we see in the study techniques of the phenomenon, progress can be made in different ways, in the case of corruption prevention, corruption value chain diagrams can be made, by sensitive sectors, this is a technique developed by the World Bank (url-14), obtaining interesting results.

Table 7.2. Differences between the managerial value chain and the corruption value chain:

Differences between the managerial value chain and the corruption value chain:		
Porter's Value Chain	Corruption Value Chain	
Description of the value chain	Key Decision Points and Processes	Selected Strategies to alleviate corruption in the sector
Definition :	Definition:	Definition:
-Primary activities	-Macroprocesses	-Decision Points
-Support Activities	-Microprocesses	-Sectioned Strategies
-The margin	-Key Decision Points	-Feasibility
		-Term
-Analysis of the value chain as a management tool.	-Identification of Macroprocesses	-Identification of Decision Points.
-Identify those activities of the company that could provide a potential competitive advantage.	-Identification of Microprocesses.	-Identification of response strategies.
-Taking advantage of these opportunities depends on the capacity of the company to develop along the value chain and improve its activities with respect to its competitors, in those crucial activities.	-Identification of Decision Points.	selected
	-Identification of Types of activities prevailing corrupt.	-Identification of the level of feasibility.
	-Identification of vulnerabilities.	-Identification of the term.
	-Identification of incentives to corruption	
-Search and identification of the source(s) of competitive advantages.	Search for types of activities	Search for a remedial frame of reference

Source: Created by the author (Monteverde, 2019)

The Analysis of the Corruption Value Chain is a management tool to identify vulnerabilities, risks, feasibility of acts of corruption, areas of trust where the weakness of the regulations generates risks towards acts of corruption.

Through identifying these points, response and mitigation strategies are established.

Corruption value chain and response strategies:

This tool makes it possible to prevent, identify and combat corruption phenomena. This instrument is used to diagnose the risks of corruption throughout the necessary stages for the provision of a service/activity or task carried out in the political sector, and to identify measures practices that reduce its incidence.

Elements of the value chain:

They are defined:

- *Macro processes*: The major processes of the unit, area or sector.
- *Micro processes*: Units are disarmed, in areas or sectors and in smaller areas, their size depends on the risks of corruption in each of them.
- *Decision Points*: Decision points are defined as moments of decision, vulnerable to acts of corruption of any kind, for example obtaining an economic, and/or legal or regulatory benefit.
- *Predominant types of corrupt activities*: Probable acts of corruption are identified, be they economic, or legal and/or regulatory issues.
- *Vulnerabilities*: Within the macro processes and micro processes, at decision points and identifying probable acts of corruption, I determine the level of vulnerability and the area(s), and the incentives for corruption.

Vulnerabilities can be classified as: (Monteverde, 2020)

- Highly Vulnerable
- Probably Vulnerable
- Moderately Vulnerable
- Marginally Vulnerable
- Minimally Vulnerable
- Incentives to corruption: When defining vulnerabilities, I define who has incentives to corruption, for its mitigation and control.
- I identify predominant corrupt activities.

Elements of Selected Strategies to mitigate corruption, in the sector, area or unit:

- Decision Points: The decision points are defined as moments of decision, vulnerable to acts of corruption, of any kind, to obtain an economic, and/or legal or regulatory benefit.
- Response strategies: Based on the identified vulnerabilities, I determine the incentives for probable acts of corruption, and develop response strategies.
- Level of feasibility: I analyze the level of feasibility of acts of corruption.
- Period: I identify the periods of vulnerability, containment and response strategies, as well as the time of information, for the prevention of identified acts of corruption.

Search for remedial actions and response strategies against the corruptive phenomenon.

Aspects to consider when developing these tools:

- One size does not fit all: it depends on the sector, area, or company, the type of vulnerability, and the types of acts of corruption to be prevented or mitigated.

- Significance of the control costs: Bear in mind that the control costs must be less than the costs of corruption to be avoided, here it is necessary to work with the “minimum to mitigate”, petty cash issues, or funds It depends on the amounts to be prevented.
- Remember “*it is impossible to bring corruption to zero*”, especially when these tools are applied for the first time.
- Mitigation activities must have a regulatory and legal counterweight in the areas, companies or sectors (ethics laws, business statutes, regulations...etc.), otherwise they will be mere statements...since there is no probability of detection and punishment.

What is the advantage of applying this tool especially by studying sectors, it would provide the basis for the construction of corruption risk maps in companies, the sensitive areas by activity would be determined, then the company would take these risks as a basis and would determine their own, business chambers, or organizations from different sectors, should focus on this issue, to develop this tool for the benefit of the sector and the community itself.

Corruption risk maps, their preparation and dissemination

The risk map is a true roadmap that presents the scheme of a sequential chain of activities or critical path of functions that characterize a sector, area, activity, or company. It is likely that the expression risk map is not the most appropriate for the study of a social fact or phenomenon such as corruption. Such a statement is used more regularly by disciplines whose object of study is, or has a direct relationship with, identification, interpretation and explanation of the characteristics that stand out from the physical spaces, and which in turn, are represented graphically in what we commonly call a map. In the expression "risk map" we mean the exercise through which it is possible to identify, glimpse or specify those spheres, aspects, instances, decisions, levels, management and/or procedures that stand out in a space of an organizational nature, not

physical, of a public or private entity or body, or business area, in which there is the possibility, probability or risk of behaviour prone to corruption.

Processes:

- Identification: here I detail processes, objectives, causes and scenarios of corruption risks.
- Analysis: here he evaluated the possibility of materializing the acts of corruption.
- Mitigation measures: here I manage the risks and establish the type of controls at entity and process level.
- Evaluation of the design and implementation of the risk map, determination of those responsible for the control processes.
- Follow-up: determine what actions must be carried out to mitigate, their schedule, the designation of those responsible, and control indicators.
- Integrate the risk map into the organization's corporate risk management program (Monteverde, 2021).

To prepare the risk map, it is most convenient to resort to any of the existing techniques for carrying out administrative diagnoses, taking into account that it is necessary to adapt the chosen method to the object of study, to the selected areas and to its purposes.

The diagnosis is preventive, it serves as a guide to work in the field of the areas, companies, or sectors, where we elaborate the map (Sunil, Atri & Subhash, 2019).

The risk map is a methodological instrument through which an ordered and flexible set of factors that can give

rise to acts of corruption is identified, the presence of the risk is qualified and its possible damages are foreseen, as well as the responses (Pozsgai-Alvarez, Pastor, 2021)

because it is subject to changes in internal processes (business reorganization, merger, association) and external processes (changes in markets, new, existing and their conditions), therefore a To see the risks measured, the map must be permanently updated in the organization and, if desirable, publish it on its website.

Private sector transparency indices, by company, their preparation and publication

As outstanding examples, let us analyze one of them, to see its complexity and methodology of preparation and tabulation, these are used by Transparency Colombia (url-15):

We analyze below its application technical sheet, where the components of the index are detailed:

«The dimension of the index, scope of application, dimension, formulas, variables of the indicator, name, unit of measurement and source of information, periodicity of measurement of the indicator, evaluation ranges, measurement of effectiveness, place of publication, responsible, management and considerations» (url-16).

We analyze below its application technical sheet, where the components of the index are detailed:

«the description of the indicator, objective, description, type of indicator, dimension, formulas, indicator variables, name, unit of measurement and source of information, indicator measurement frequency, evaluation ranges, effectiveness measurement, place of publication, responsible, management and considerations» (Daniel, Aart and Massimo, 2010).

As we can see, there is work to be done in the private sector, the application of this tool is suggested through business chambers and its measurement by sector, it is an index that can show rankings, business positions, for example in Spain (url-17), through its Business Transparency Index the ranking of the companies that participate in it is published.

Channels for reporting and investigating acts of corruption The role of whistleblowers (Monteverde, 2021).

What determines their willingness to speak or remain silent?

Business values constitute the basic principles that govern the individual and collective action of any private organization that pursues profit, outline behaviors and form the basis for achieving strategic objectives; they are a reliable map that helps the company to align each action with what has been previously defined.

One of the most used elements in recent times are the windows for reporting acts of corruption in companies, for example, reform of their codes of ethics and monitoring of business conduct. In addition, the law of repentance can be applied in the private sector (url-18) and they act through complaints windows in the corporate sphere.

In our country, Argentina, both the reporting of public-private corruption and corporate fraud do not usually occur by people who work in private companies. Are there no incentives to report corruption

in companies? (url-19), it is still perceived that neither material nor moral exist.

Despite the fact that four out of ten companies suffer from fraud according to the KPMG Corporate Fraud survey in 2016 (url-20) and in addition to the Kroll Global Report on Fraud and Risks 2016-2017 (url-21), where it explains that the world is exposed to risks, and a large number of companies reported incidents of fraud, cybercrime and security breaches.

Full application of the ISO 26000 (url-22) standard of the private sector

The ISO (url-23) standards are applicable worldwide, they are quality rules and have certification processes for them. The ISO 26000 standard deals with Corporate Social Responsibility, in the chapter on Fair Operating Practices, it mentions the regulation of anti-corruption policies by companies, an example of the ISO Implementation Guide (url-24)

Within the private sphere, we see it in the application of the ISO 26000 standards, according to which the standards of an organization should be based on the values of honesty, fairness and integrity.

ISO 26000 (url-25) is about.

What benefits can companies achieve by applying ISO 26000 (url-26):

- Competitive advantage.
- Reputation.
- The ability to attract and retain workers or members, customers and users.
- Maintaining employee morale, engagement and productivity.
- The perception of investors, owners, donors, sponsors and the financial community.

- Relations with companies, governments, the media, suppliers, colleagues, customers and the community in which it operates.

Fair operating practices:

- Anti-corruption.
- Responsible political participation.
- Fair competition.
- Promotion of social responsibility in the sphere of influence.
- Respect for property rights.

Obviously we are not innocent, companies move within a geopolitical and business environment, if corruption is generated in society, in a chain, there would be a breeding ground for institutional and organizational corruption. In a system of institutionalized corruption, a type of border morality is usually present, which is supposed to be inherent in the business world, and which presents the criminal act as an inevitable, generalized, known and tactically tolerated practice by all.

A characteristic of ISO standards in Argentina, for their certification, one must resort to the IRAM ([url-27](#)) (Argentine Institute for Standardization and Certification) ([url-28](#)), an entity authorized to certify ISO standards in the country, it should be added that ISO 26000, It is not certifiable, it is voluntary application.

Full application of the ISO 37301 compliance standard

The ISO 37301 ([url-29](#)) standard -Compliance management systems. Guidelines' ([url-30](#)), includes recommendations and good practices to help develop a management system that allows organizations to identify, control and comply with legal requirements and those with which they have voluntarily committed. The compliance function allows organizations to detect and manage the risks they face due to possible breaches of their obligations. The text of the standard itself recognizes that the scope with which the recommendations of the guide

must be applied depends on the size, structure, nature and complexity of each organization. Writing standards, controls, codes of conduct, and the compliance policy to implement these procedures benefits the business environment in anti-corruption policies. According to the regulations of each country, 37301 are partially certifiable by chapter, or totally as a compliance management system.

Full application of the ISO 37001-Anti-bribery standard

Bribery is simple: a person accepts remuneration to comply with an act due to their function or qualified if they receive a bribe to hinder the fulfillment of an act or not carry it out, whether or not said act constitutes a crime. The standard includes these measures include, among others:

- Adoption of an anti-bribery policy.
- Appointment of a position in charge of supervising the proper functioning of the anti-bribery management system to control its compliance.
- Assessment of risks and establishment of due diligence measures in projects, business partners and personnel.
- Application of financial and commercial controls.
- Commitment of the Governing Body (if any) and Senior Management.
- Identify the risks of bribery based on the reality and context of the entity and the expectations and needs of the interested parties.
- Assignment, from Senior Management, of an Anti-bribery Compliance Function, with the appropriate competence, position and independence.
- Establishment of controls in situations of risk of bribery.
- Introduce anti-bribery compliance into the organization's culture.

- Sensitization, training, information and establishment of controls for the organization's personnel.
- Identification and evaluation of the processes where there is a greater risk of bribery, taking the necessary measures and actions to eliminate or minimize them.
- Record of training and awareness actions against bribery.
- Establishment of financial controls (for example: requiring the signature of two different levels for the approval of a payment).
- Establishment of non-financial controls (for example: that in the selection of subcontractors there is a pre-selection system and established criteria).
- Registration and control of gifts, invitations, donations and similar benefits delivered and received.
- Establishment of due diligence procedures.
- Establishment of procedures and channels so that any suspicion or knowledge of corrupt action, at any level of the organization, can be communicated (for example: creation and management of a complaints channel).

The indicated actions are only examples. Any action to be carried out in an entity must be adapted to its reality and its specific needs.

The ISO 37001 standard can be implemented by any organization, as part of its Compliance Management System or separately. Since anti-bribery management is an essential practice at the international level, this standard is applicable to all types of companies, from the smallest to the largest, whether they are public, private and even non-profit sectors. It is especially recommended for companies that are related to governments and large corporations and for those organizations in which a scandal related to bribery can have such a strong media impact that the survival and/or reputation of the entity is put at risk. It should be added that ISO 37001 is certifiable, and most multinational companies in Argentina are adopting it as a compliance policy.

Use of surveys, suppliers, consumers, customers, public, on ethical conduct of companies

Sometimes through institutional campaigns of companies, which work on their image, using public surveys (url-31), on institutional image and corporate social responsibility, here there are different opinions about the usefulness of the survey and who ordered it and who paid for it, but it is one more tool to take into account, let's not discard available tools, the company must know how it sees itself in the mirror of society with respect to its values, ethics and other social relations.

Private Corruption Law

In the application of the International Conventions against corruption-United Nations Convention against Corruption-UNO (url-32), in the application chapters that correspond to the private sector.

The articles of the convention are:

Article 12. Private sector

Article 13. Participation of the company

Article 21. Bribery in the private sector

Conclusions

The eleven explained points of these transparency and anti-corruption tools would be instruments that assemble and dynamize as prevention elements. The guidelines of corporate governance, as mechanisms are listed and explained in detail, from the application in the business chambers grouping of second and third level of companies, such as the value chain of corruption, these tools point out the risks of corruption of the sector, subsectors and activities, where they can be grouped as factors common to companies. The normative orgy does not make

management efficient, but sometimes turns it into an empty shell, since sometimes the management of companies publish what they like, and does not commit them, especially following the principle of not disclosing controversial, so management is not discussed. So I firmly believe that these transparency and anti-corruption tools complement the guidelines and principles of corporate governance, as well as the decision to using them in whole or in part, will generate a dynamic of decisions and more transparent management; for companies, their employees and society itself, adding a high social value to management.

By improving business ethics, increasing the corporate social responsibility of companies, and maintaining a high value of corporate governance, we improve society as a whole.

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CHAPTER 8

**EXTERNAL BUSINESS ENVIRONMENT AND SMALL
BUSINESS PERFORMANCE IN SUB-SAHARAN AFRICA: A
CONCEPTUAL REVIEW**

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Introduction

This study sought to conceptualise the broad concepts of external business environment and MSMEs performance, through a review of extant literature. The study extensively discussed the concepts of micro, small and medium enterprise as well as business environment. This includes: economic, political, socio-cultural and technological, among others. The study concentrated on a thorough evaluation of the body of existing research on the topic. This was done to make the major ideas clearer and to suggest some potential future study topics. The results of the existing literature showed a variety of findings and conclusions. Studies on the effect of the external business environment on the performance of MSMEs in Sub-Saharan Africa have used a variety of factors. There were surprisingly few research that would have allowed for comparison across many countries or a regional bloc. The following research directions were recommended in light of the aforementioned: The focus of future study may be on assessing many facets of the external business environment, such as the competitive, political, legal, socio-cultural, and economic facets. Additionally, as most studies on the external business environment employed a quantitative research methodology, extra study might be done by conducting key participant interviews with a qualitative approach. From a regional viewpoint, a research on the external business environment (such as: ECOWAS, AU, MENA, BRICS, EU, etc.) might be taken into consideration.

Small enterprises are widely acknowledged to have the potential to propel Sub-Saharan African's broad economic growth and play a crucial role in the creation of wealth and jobs. Micro, small, and medium-sized enterprises (MSMEs) enable people in Sub-Saharan Africa to support both their immediate families and themselves. The external environment of an enterprise is made up of a range of components and affects the likelihood that an organization will continue to operate (Eze et al., 2019). Due to an unfavorable economic climate, more than 90% of new enterprises in Nigeria do not survive until their third anniversary (Eze et al., 2019). Due to their poor continued performance, micro,

small, and medium-sized businesses are stuck in the survival stage. Performance, according to Abraham (2021), is the ability of an organization to achieve business goals such as profitability, higher sales, market share, customers' satisfaction, employees' satisfaction, and growing shareholder value. The success of the business is measured by how well a manager utilises the resources of MSMEs to meet stakeholder needs and achieve business goals.

The external business environment's conditions herald potential and difficulties for MSMEs. These external business settings include, among others, the economic, political, socio-cultural, demographic, technical, competitive, international, legal, and ecological contexts (Eze *et al.*, 2019). Examining the external environment is necessary to comprehend the external elements that affect MSMEs. The performance of an organization may be favourably or adversely impacted by external variables. The many different categories of external environments include, among others: the legal environment, socio-cultural environment, economic environment, political environment and competitive environment. Additionally, there are chances in the outside business world that may be taken advantage of. According to Eze *et al.* (2019) and Ogunmuyiwa (2022), studies of the external environment aid in recognizing possible dangers that the organization may face and enable the organization to remove or reduce the hazard.

It is said that the external environment is made up of components that affect how it operates outside. These include economic dynamics, political atmosphere, governmental policies, social and cultural norms, and technical dynamics (Cui *et al.*, 2023). Ehlers and Laze (2011) called attention to the fact that the term "external environment" refers to environmental elements that have an influence on an organization's performance both directly and indirectly. According to Barrios (2013), lenders also take into account the general state of the economy as well as the business climate in the industry as well as any other sectors that could have an effect on the company. There is no doubting that the success of a firm is significantly influenced by its environment.

This study sought to conceptualise the broad concepts of external business environment and MSMEs performance, through a review of extant literature. The study will also provide suggestion for further studies. This study is divided into three components. The first portion contains the introduction details, which include background information on the concept of external business environment as well as small business performance. The second portion covers the conceptual clarification, which includes a conceptual, theoretical, and empirical examination. The third portion focuses on the study's summary and suggested research agenda.

Conceptual Clarification

Concept of Micro, Small and Medium Enterprises

Micro, small, and medium-sized enterprises (MSMEs) make significant economic contributions that are crucial to Nigeria's socio-economic development (Onuwa *et al.*, 2023). Micro enterprises make up the bulk of enterprises in Nigeria, which may be used to comprehend SMEs better. According to the NBS (2019), 59,647,954 employment in Nigeria, or around 86.3% of the labor force, are supported by Micro, Small, and Medium-Sized Enterprises (MSMEs). Different countries and organizations have utilized various metrics to define the concept of MSMEs. It has been defined by numerous countries in terms of asset, revenue, and employees, among other things. Several institutions in the Federal Republic of Nigeria largely use the Small and Medium Enterprises Development Agency of Nigeria [SMEDAN] (2015) model. SMEDAN (2015) defines micro businesses as enterprises having less than ten employees and having assets (less landed property) below ten million. Small businesses as having assets (less landed property) between ten million naira and less than one hundred-million-naira, medium businesses as having assets (less landed property) between one hundred million naira and less than one billion naira.

Table 8.1: SMEDAN's MSMEs Classification

	SIZE CATEGORY	EMPLOYMENT	ASSETS (N' million) (excluding land and buildings)
1	Micro enterprises	1-9	Less than 10
2	Small enterprises	10-49	10 to less than 100
3	Medium enterprises	50-199	100 to less than 1,000

Source: SMEDAN (2015)

According to 2017 joint research by NBS and SMEDAN, Nigeria had 41,543,028 micro, small, and medium-sized companies (MSMEs) as of December 2017. Of these, 41,469,947 were microenterprises, accounting for 99.8% of all MSMEs, while 73,081 were small and medium-sized enterprises (SME), accounting for 0.2%. Lagos State is where the bulk of MSMEs are found (NBS, 2019). According to NBS (2019), the five main economic sectors are manufacturing (9%), agriculture (21%), wholesale and retail commerce (42%), and other services (13%). MSMEs employ 59,647,954 individuals, including owner-managers, who as of December 2017 accounted for 86.3% of Nigeria's total labor force. The microbusiness sector contributed 95.1% of the total. The potential of microenterprises to create jobs, however, is rather limited, with 1.37 persons per enterprise, compared to 39.5 workers per small and medium firm (NBS, 2019).

Concept of External Business Environment

The components that affect an enterprise's activities outside are referred to as its external environment. These include economic dynamics, political atmosphere, governmental policies, social and cultural norms, and technical dynamics (Cui *et al.*, 2023; Pearce and Robinson, 2007). Ehlers and Laze (2011) called attention to the fact that the term

"external environment" refers to environmental elements that have an influence on an organization's performance both directly and indirectly. There is no doubting that the success of an enterprise is significantly influenced by its surroundings. Even when using a behavioural strategy, an entrepreneur's motivation, outlook, and personality are affected by their environment. There are many different components that make up the external environment. They include: socio-cultural, political, technical, and economic components. Alkali and Abu (2012) contend that the nature of the current economic system, which is determined by its operational status and by microeconomic as well as macroeconomic forces like exchange rates, rising inflation, the ongoing volume of both domestic and international economic activity, taxation levels, and purchasing power, also denotes the external environment of a company. Economic systems frequently experience phases of increasing and decreasing financial activity as well as fluctuating levels of interest rates and currency volatility.

MSMEs executives and owners should be aware that understanding their corporate environment may help them improve operational efficiency, boost competitiveness, and win the fight in the global economy (Ogundare, 2019).

Socio-cultural Environment

The socio-cultural environment, according to Wetherly and Otter (2011), covers everything outside of the institutions of politics and the economics. According to Wetherly and Otter (2011), a socio-cultural environment is made up of a variety of connections that individuals have in their personal and professional lives, including demographic factors like age, race, religion, beliefs, opinions, and lifestyles. In many cultures, these environmentally conscious acts give rise to distinctive cultural norms, some of which have an impact on the choice to start new firms. In contrast to political, social, technological, or economic conditions, culture has an influence on economic behaviour and firm

performance. Culture is described as "the software of the mind; a collective mental programming of the people". Through social and historical progress, man has produced a combination of material and spiritual wealth (Hofstede, 1998). Everyday actions like greeting others, eating, choosing whether to display emotion or not, interacting with others, or keeping one's body clean are all impacted by how one thinks, feels, and acts overall (Ogundare, 2019).

The processes through which one obtains meaning from how they interact with the world around them encompass culture, an individual's way of life, behaviors, and possessions in general. These factors all have a deep and long-lasting impact on a person's behavior in ways that are entirely beyond their control. Culture is the particular way that each person identifies with the built-up component of the environment, much as how language, gender, color, religion, location of residence, and employment all have an effect on interpersonal behavior. The way that individuals see laws, customs, roles, and values is also influenced by culture (Ogundare, 2019).

Technology Environment

The fastest rates of scientific and technological growth, known as "technology forces," have the capability to have a significant impact on society. Small company owners have trouble gaining access to new technology, which inhibits innovation as well as competitiveness in small businesses (Ogundare, 2019). Many MSMEs are becoming less competitive or able to satisfy customer demands as a result of the challenges. Businesses in the MSMEs sector need to understand the significance of technology advancement and the necessity to adapt in order to get a competitive edge. When making judgments on how to adapt, improve, or implement new technical processes, the desires and needs of the customer must be taken into account. Information technology has been identified as a key contributor to the innovation and competitiveness of SMEs, but according to the European Union

(EU), the full potential of IT will only be realized if the labor force has access to high-tech infrastructure and the appropriate training. However, many MSMEs in Nigeria lack the physical telecommunications and high-speed internet infrastructure required to compete globally (Dzisi, John, & Ofosu, 2014). Nigerian MSMEs face challenges while trying to grow from small, poorly organized cottage industries to larger companies with greater technical performance. There has been very little money spent on the identification, documenting, monitoring, and financial support of technological development and innovation in MSMEs. There are serious problems with technology management, and MSMEs and other sector players are not encouraged to share knowledge and innovate smartly since there are no mechanisms in place to support them. Inter-firm relationships would be one way to do this.

Economic Environment

According to Omobolanle (2009), the economic environment is made up of all the factors that have an effect on how well small enterprises function, such as inflation, currency exchange rates, unemployment rates, and others. Omobolanle (2009) went on to note that the state of the economy affects every input needed by small-scale firms. Therefore, the economy has an effect on how small businesses operate. Alternatively, the term "economic environment" refers to those economic factors, such as the rate of inflation, the value of the local currency, the interest rate, the level of employment, etc., that either directly or indirectly affects the operations of small businesses in Nigeria. The exchange rate is the price at which the naira is converted into other global currencies, such as the US dollars.

The home currency and the foreign currency, which can be represented directly or indirectly, are the two halves of the exchange rate. The price is stated as a percentage of the local currency when a straight quotation of a fraction of another country's currency is given. According to Vincent,

Loraver, and Wilson (2012), the price of a unit of the country's currency is stated in terms of foreign currency. A sustained increase in the average price of goods in an economy is referred to as inflation. In turn, this indicates a loss in the economy's purchasing power per unit of money for both consumers and small businesses. In addition, examining an economy's inflation rate is one approach to assess its stability. A country with persistently low inflation indicates that its economy is strong enough to support the activities of regional small businesses. The fraction of a loan that the debtor is charged as interest is known as the interest rate. The proportion of the borrowing is, however, indicated annually. A percentage of the principle is also used to describe the interest rate that a lender charges a borrower for the use of resources. The market or monetary worth of all commodities and services generated in a nation during a certain time period is known as the gross domestic product, or GDP. Economic factors like GDP, interest rates, and inflation have an impact on businesses all across the world (Umeora, 2013).

Other External Business Environment

Other external business environmental factors include: the legal environment, which has to do with the laws in the nation that can either hinder or promote businesses. Some scholars perceived the legal environment as a subset of the political environment. The demographic environment refers to the demographic characteristics of the customers, which also have great implication for business decisions. The competitive environment refers to the state of competition in the industry.

External Business Environment and Performance of SMEs

Macro-environmental analysis can be used to categorize environmental impacts such as tax increases, new laws, trade restrictions, demographic factors, and changes in governmental policy. It divides a variety of issues into the political, economic, social, technological,

environmental, and legal categories. The level of government involvement in the economy is one political aspect. They include the products and services the government plans to offer, business subsidies, business aid goals, employee health and education, and infrastructure standards like road construction. Interest rates, tax law changes, and economic success are all considered economic issues. Employees may ask for more compensation as a result of higher interest and inflation rates, which would increase costs. Businesses may be able to provide more products to customers with incomes due to an increase in product demand caused by higher income performance. Social factors have an impact on both the availability and desire of individuals to work as well as the demand for a company's products. Businesses that deal with pension payments are losing money as a result of the aging population in some countries. With this kind of population, there is a greater demand for pharmaceuticals and other services associated with aging. As a result, MSMEs must take the target market into account while developing their goods (Ogundare, 2019).

Technology-related new components and actions are produced as a result of variables. For instance, mobile payment technology offers the ability to lower prices, boost quality, and promote innovation. Both consumers and businesses who sell things can gain from this. Environmental influences include the weather and climate change, for instance. Weather variations may have an impact on agriculture, tourism, and insurance, all of which can affect how well a firm performs. The move to more environmentally friendly goods and processes, as well as the increase in demand for environmental protection, are changing need patterns and opening up new economic opportunities. Legal concerns are those that relate to the regulatory environment in which firms operate.

Theoretical Review

The overarching hypothesis for this inquiry is the contingency theory. The contingency theory was developed by Lawrence and Lorsch in 1967. The contingency hypothesis states that there is no one best way

for firms to function. Depending on the situation, an organization's owners and management will have different environmental needs. How to tackle a management challenge will depend on how the environment affects the circumstance. Cui, Guo and Bian (2023) contend that improving performance necessitates regulating environmental and situational factors that have an impact on it. Performance may be enhanced by the environment's suitability for the scenario or conditions.

Summary and Suggested Research Agenda

This study conceptually examined the link between external business environment and MSMEs performance, from the perspective of Sub-Saharan Africa. The study focused on extensive review of extant literature on the subject matter. This was done to clarify the key concepts and fashion some future research directions. The findings of extant literature revealed diverse results and conclusion, which may be due to variations in the technique utilised, the variables analysed, and the period of the study. Various variables have been utilised in studies on the impact of the external business environment on the success of MSMEs in Sub-Saharan Africa. Very few studies were done across regional block or a combination of nations, which would have aided comparison. Given the foregoing, the following research directions are suggested: Further research may concentrate on evaluating diverse aspect of the external business environment, including the political, legal, socio-cultural, economic, demographic, and competitive aspects. Additionally, most of the studies on external business environment focused on quantitative research design. Therefore, further studies can be conducted using qualitative design, through key participant interviews. A study on external business environment can be considered from regional perspective (Such as: ECOWAS, AU, MENA, BRICS, EU, etc).

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CHAPTER 9
ANALYZING TEACHERS' VIEWS REGARDING SCHOOL
ADMINISTRATORS' SOCIAL JUSTICE LEADERSHIP
IMPLEMENTATIONS

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Introduction

With the ever-changing interpretation of organizations and the procedures led by the management within them, it is evident that there has become an evolutionary tendency towards contemporary leadership styles rather than the classical understanding of leading organizations. In that respect, the literature illustrates that social justice leadership has recently obtained a remarkable place in organizational management procedures. Social justice leadership can be expressed as an inclusive leadership style that enables equality in access to organizational services by supporting the minority in differentiating from the majority in terms of language, racial, religious, gender – based aspects and so on (Theoharis, 2007). In that respect, a social justice leader might be considered as the one who considers the differences as the source of the power in a whole sense within the management procedures no matter what the members of the organization carry as properties. That is, a school leader implementing social justice leadership within educational contexts probably focuses on the cultural diversity, unique characteristics, participative decision – making procedures, collaborative working environments and inclusive opportunities for all the stakeholders of the institution.

As for the identification of the social justice leadership, Warner (2020) emphasizes the fact that the implementation of focusing on the social justice with the preliminary target is what social justice leadership actually means and requires and adds that it aims to remove segregation depending on ethnical or socioeconomical positions by carrying out the just and equal applications for the education process. According to Fraser (2012), by the way, social justice leadership might be identified as a style of leadership which focuses on the efficiency of the leader in terms of the implementations so as to enable a better and more successful organization experienced by all the stakeholders even if they are in extreme despair.

Social justice leaders naturally assume and become aware of the current situation in terms of the inequalities in their organization and implement reflective decisions or actions regarding this situation (Doğan &

Yıldırım, 2022). When viewed from this aspect, social justice leadership is the most appropriate leadership to be exhibited so as to overcome the problems resulting from the inequalities and find out the strategic remedies to them (Furman, 2012). Regarding the requirement of the social justice leadership, Turhan (2010) emphasizes the fact that social justice is necessary to be guaranteed within the education and the various fields of everyday life as in the legal documents and laws consider it as the basic element of their essence as well as its significance within organizing and managing processes of the organizations.

As for the educational institutions that have the role and mission of improving and serving society via the output of individuals, social justice leadership implementations have key importance considering the fact that the stakeholders' behaviours and attitudes are directly affected by the school leaders' policies and strategies in terms of their understanding of justice (Demirel, 2009). In coherence with this, it is an irrefutable fact upon the accumulated knowledge via the literature that school leader's acting with sensitivity regarding social justice by enhancing justice-based implementations will have a positive impact based on teachers' commitment to the school, success and motivation as well as the school climate that influences all the stakeholders of the school (Küçükçene & Aydoğan, 2018). Establishing social justice within the educational institutions is correlated to the implementations of the management of the schools, including a wide range of differences within the students and teachers regarding the racial, ethnic and gender-founded factors; in that context, school leaders have a great responsibility in order to enable a school environment that attaches importance to the social justice within the institution regardless of the qualities of the stakeholders by implementing just and equal school build-up (Turhan, 2010). So as to enable social justice leadership within the educational institutions, it should be attached importance to the support of students' and staff's improvement, to the confrontation with the basic matters such as socio-economic situation, gender, ethnicity and disability and to the implementation of the required amendments within these contexts (Lumby & Coleman, 2007). Henceforth, schools might evolve into the teaching – learning – working environments in

which teachers, students, school administrators and auxiliary staff possibly feel themselves valuable, committed and motivated regardless of their cultural, social and economical differences.

Social justice leadership is conventionally a leadership style that illustrates the studies carried out with the aim of increasing the success rates of the disadvantaged groups feeling failure at schools (Marshall & Olivia, 2006). By the way, Skousen & Domenque (2020) focuses on the challenges of the social justice leadership in that schools can consist of the students who are deliberately or indeliberately in extreme ends due to the socioeconomic deficiencies they have, as a result of which the leaders of the school had better get the awareness of those extreme student groups and improve their leading skills so as to enable the social justice – based organization to function. Within the scope of educational aspects, social justice leadership includes certain wide categories such as ethical virtues, equality, respectful and careful attitudes or behaviours in a permanently significant place and getting the fundamental consciousness over the influence of racial, gender – based and disability – related conditions on educational institutions and student enhancement (Cameron – McCabe & McCarthy, 2005).

Bozkurt (2023) advocates that school climate is affected by the social justice leadership skills of the school administrators and this seems like a controversial issue due to the fact that enabling just implementations at institutions like schools focusing on education is not an easy thing to accomplish as for the building of the schools with the members having distinct properties and that schools carry the characteristic of a social entity.

When focusing on the literature regarding the negligence or deficiency of the social justice leadership implementations in educational institutions, it is evidently seen that this might lead to organizational conflict, professional burnout, isolation or anomie, dissent and cynicism that would be experienced by the stakeholders of the organization. Nevertheless, depending on analyzing the literature and the implementations at schools, social justice leadership contributes to the organization in that it enables stakeholders of the institution such as

parents, students, teachers and auxiliary staff to get through some negative impacts they feel related to the managerial processes and experience trust, commitment, motivation, collaboration, equality and inclusiveness within their organization more evidently, which helps them become an integrated component of the institution. According to Bilgi (2020), in order for school administrators to lead successfully and effectively, they have to create a non-problematic and tolerant interaction with the members of the organization. In that respect, the interaction between a school manager who exhibits social justice leadership implementations and the other stakeholders such as teachers, students and parents should rely on a feeling of trust (Furman, 2012). In line with this, it can be emphasized that school administrators who have social leadership skills target building a positive school climate (Gören, 2019). In their study focusing on social justice leadership in the context of school reform, Kutsyuruba & Walker (2013), also emphasize the fact that social justice leadership affects school climate positively in that it attaches importance to the notions of equality, justice and opportunity equality, which are so significant for a student to become more motivated and more successful.

Sleeter (2012) underlines the fact that the key concepts that establish equal and perfect educational institutions are professional development strategies and social justice leadership implementations. In the study, the thing that is specifically attributed significance is the role and responsibility of social justice leadership in enhancing just and inclusive learning and working conditions for all the stakeholders in the schools. On the other hand, Jaiswal & Dhar (2015) handle the concept of social justice leadership in that organizational commitment is reinforced by the implementation of social justice leadership, that is, in the context of schools, leaders create an environment based upon the virtues such as justice, equality and cooperation, and thus all the stakeholders feel themselves more committed to their organizations. In coherence with this, certain findings regarding the effect of social justice leadership on the organizational commitment of the employees emphasize the fact that leaders had better adopt social justice leadership within their practices so that the employees might become more content, committed and motivated towards their organizations (Liu et

al., 2016). In brief, it can be concluded from all these references that social justice leadership has interactions with some specific themes given in Figure 9.1.

Figure 9.1 illustrates the theoretical framework of the study with regard to the relevant themes:



Figure 9.1. Theoretical Framework of Social Justice Leadership

Source: Based on the literature, formed by Beytekin & Güler (2023), the authors of the present study

Social justice leadership, as illustrated in Figure 1 above, has some connections with certain themes such as trust, commitment, motivation, collaboration, equality and inclusiveness. As for trust, it can be said that the perception of trust at schools equals students and teachers' confidence in school. In that context, social justice leadership helps students and teachers increase their perception of trust at schools by reinforcing their feelings of justice and equality. In addition, leaders that promote social justice at their school might gain the trust of all the stakeholders by creating a fair environment and thus, this trust environment might contribute to the achievement of students and the better performance of the teachers as well (Colquitt et al., 2007). Within this scope, it might be concluded that there is a positive correlation between social justice leadership and the perception of trust at schools. Considering commitment at schools in terms of its relation to social

justice leadership, commitment to school might be regarded as an intensive emotional bond that the students and teachers feel for their institution. Social justice leadership might increase teachers and students' commitment to their schools with the help of school leaders' promoting justice and responding to the needs of everyone equally. A leadership environment where social justice is established, by improving the level of commitment at school, might also enable students to become successful and feel positive about their learning experience. In that respect, it would not be wrong to emphasize that there is a strong relationship between social justice leadership and commitment to school (Elovainio & Kivimäki, 2000). With regard to motivation and social justice leadership connection, firstly, it might be coherent to underline the fact that motivation enables individuals to exhibit target – oriented behaviours affected by the internal and external factors. In the meantime, social justice leadership might increase the staff and the students' motivation due to the fact that a just leadership environment assists the individuals feel themselves as valuable and important and hence, all the stakeholders might have a more self-confidence, trust in their capabilities and act with a desire for exhibiting a higher performance. In that context, social justice leaders implement award systems in a fair way, appreciate the achievements with no discrimination and show awareness for the needs of the stakeholders of the institution, which might lead to motivational increase and higher effort promotion within the organization. In addition to this, thanks to the leaders' objective and justified approach for the assessment of the teachers and students' performance, they feel the fact that their achievements are appreciated and they are exposed to an equal and fair assessment procedures, which might increase the motivation as well. In sum, it would not be wrong to emphasize the fact that there is a strong positive relationship between social justice leadership and motivation (Shirbagi & Malakooti, 2016). As for collaboration, it might be said that it enables individuals to have a greater effect on their organizations by combining their distinct talents and resources. A social justice leader might create an inclusive environment by considering the different perspectives of the organizational members and direct them towards a common goal. Also, social justice leadership carries the responsibility

and the role of leadership for ensuring justice and protecting the rights of the disadvantaged groups of the organization by promoting the collaboration. Hence, as for the school context, a social justice leader might contribute to the construction of a more equal, inclusive and sustainable school and society in the future by synthesizing the principles of collaboration and social justice, which also illustrates the positive relationship between social justice leadership and collaboration (Erskine, 2015). With respect to the equality and social justice leadership relationship at schools, the thing that must be attached importance to is the fact that social justice leadership at schools embody the leadership role that initializes the principles of equality and justice in all aspects and for all the stakeholders of the school. Hereby, social justice leaders build up the school policies and implementations in an equal manner and adopt an inclusive and fair approach in their acts so as to provide the students with equal opportunities for success by considering their distinct needs, learning styles and abilities. Moreover, social justice leadership, both at schools and in the society, aims to struggle against the existing inequalities and show awareness for social problems as well as conveying social justice values to the students. Social justice leadership at schools and the perception of equality are the factors that empower each other in that while social justice leaders shape policies and implementations based upon the perception of equality, the perception of equality is also the significant principle that social justice leadership relies on. Within this context, it might be underlined that there is an interrelated connection between social justice leadership and equality (Shields, 2009). As for inclusiveness, the nature of social justice leadership has crucial significance. That is, social justice leadership attaches importance to the establishment of the policies and the implementations in a fair and equal way, while inclusiveness, too, targets these policies and implementations to be designed in a way to include everyone and meet the needs of the various student groups. In that respect, inclusiveness means showing awareness of the requirements of the students that vary in terms of their language, culture, special education needs, or other specific differences. By the way, social justice leadership plays a crucial role in understanding and assessing these differences. This approach emphasizes equal

assessment procedures and supporting each student in terms of their individual properties, which illustrates an aspect of the social justice leadership's connection to inclusiveness. Social justice leadership enhances skills such as cultural awareness and empathy; likewise, inclusiveness accepts the distinct cultural contexts of the students and regards cultural diversity as richness. Those two concepts aim to build a more inclusive school environment by increasing consideration among students. These points illustrate the relationship between social justice leadership in schools and inclusiveness. Social justice leadership contributes to the establishment of a supportive and equal organization by improving the differences of each student and adopting inclusiveness (Shore et al., 2011).

Based upon the information provided above, it can be concluded that social justice leadership is correlated to some concepts such as trust, commitment, motivation, collaboration, equality and inclusiveness. To give a brief summary of this correlation, Figure 2 has been designed to draw a visual map with regard to the concepts:

Social Justice Leadership		
Trust	Motivation	Equality
<ul style="list-style-type: none"> • Feeling of equal treatment by the leaders • Protection of rights • A fair environment 	<ul style="list-style-type: none"> • A secure institution • Feeling more valuable • Participation and self-improvement opportunity 	<ul style="list-style-type: none"> • Equal opportunities • Fair implementations • Being valuable felt at equal degree
Commitment	Collaboration	Inclusiveness
<ul style="list-style-type: none"> • Feeling more supported • Perception of trust towards the institution • Feeling more accepted 	<ul style="list-style-type: none"> • Improving cooperation • Sharing ideas and working together • Supporting each other 	<ul style="list-style-type: none"> • Empathy for the differences • Accepting cultures • Feeling respected

Figure 9.2. Indicators of the Themes of Social Justice Leadership

Source: Inferred from the literature, formed by Beytekin & Güler (2023), the authors of the present study

Method

The study, which is essentially case research, has been carried out via the semi – structured interview technique which is one of the preliminary qualitative research methods. Herein, it is aimed to get a comprehensive and deep accumulation of knowledge related to the implementations of the school administrators by demanding both the views of the teachers’ and those of the school administrators.

Due to the fact that eight department chiefs in the school, which is basically a vocational and technical Anatolian high school, directly participate in the implementations (training process), and in that respect, they have a great deal of information on this process thanks to their active interactions with the students and their parents and the other teachers in different fields, they have been included in the study within the scope of the purposeful sampling pattern and on the basis of the criterion of at least two – year professional seniority, the views of the department chiefs have been asked via the semi – structural interview form.

In that respect, the questions of the form have been formed in accordance with the research problem and themes of the study. The answers obtained from the study group have been classified into categories related to the theoretical framework of the study and the recommendations have been made in the conclusion by making an overall assessment.

Within the study, it has been aimed to put forward how school administrators’ social justice leadership implementations are comprehended by the teachers. In that respect, the problem statement of the study is how the teachers comprehend the school administrators’ implementations in the context of social justice leadership. In line with the main context of the problem statement of the study, the sub-problems of the study, which focus on the situation in terms of parents, students, teachers, auxiliary staff and certain thematic indicators of social justice leadership are given as below:

-
- How are the school administrators' implementations towards parents in the context of social justice leadership? (How do the parents' socioeconomic positions / differences / identities (etnical – political – gender based, etc.) / cultures reflect on the school administrators' implementations towards them?)
 - How are the school administrators' implementations towards students in the context of social justice leadership? (How do the students' socioeconomic positions / differences / identities (etnical – political – gender based, etc.) / cultures reflect on the school administrators' implementations towards them?)
 - How are the school administrators' implementations towards teachers in the context of social justice leadership? (How do the teachers' socioeconomic positions / differences / identities (etnical – political – gender based, etc.) / cultures reflect on the school administrators' implementations towards them?)
 - How are the school administrators' implementations towards auxiliary staff in the context of social justice leadership? (How do the auxiliary staff's socioeconomic positions / differences / identities (etnical – political – gender based, etc.) / cultures reflect on the school administrators' implementations towards them?)
 - How are the reflections of the social justice leadership implemented by the shool administrators towards parents, students, teachers and auxiliary staff on trust, commitment, motivation, collaboration, equality and inclusiveness at school?

Table 9.1 illustrates the information regarding the demograhic variables of the participants:

Table 9.1. Demographic variables of the participants

Participants	Gender	Age	Institution	Professional Seniority	Educational Status	Career Title	Field	Occupation
P1	Male	31 – 40	6 years and over	11 – 20 years	B.A.	Specialist Teacher	Food and Beverage Services	Field Chief
P2	Male	31 – 40	6 years and over	11 – 20 years	B.A.	Specialist Teacher	Food and Beverage Services	Department Chief
P3	Male	31 – 40	6 years and over	11 – 20 years	B.A.	Teacher	Food and Beverage Services	Department Chief
P4	Male	31 – 40	0 – 2 years	11 – 20 years	M.A.	Specialist Teacher	Food and Beverage Services	Department Chief
P5	Female	41 – 50	3 – 5 years	21 years and over	B.A.	Specialist Teacher	Accommodation and Transportation Services	Field Chief
P6	Female	31 – 40	6 years and over	6 – 10 years	B.A.	Teacher	Accommodation and Transportation Services	Department Chief
P7	Male	31 – 40	0 – 2 years	6 – 10 years	B.A.	Teacher	Accommodation and Transportation Services	Department Chief
P8	Female	30 years and below	0 – 2 years	0 – 5 years	B.A.	Teacher	Accommodation and Transportation Services	Department Chief

Source: Formed by Beytekin & Güler (2023), the authors of the present study

As seen in Table 9.1, while half of the teachers are field and department chiefs working at the Food and Beverage Services Department, the other half consists of those working at Accommodation and Transportation Services. It is also seen that four of the participants are specialist teachers -a title brought by the Ministry for those who have ten years of experience, pass the proficiency exam or a graduate degree- while four of them are not, due to the low experience period. In addition, only one of the participants has a graduate degree and only two of the participants are field chiefs responsible for all the procedures.

Table 9.2. Participants’ replies regarding the sub-problems of the study

Sub-Problems	Some Replies of the Participants Regarding the Questions for the Sub – Problems
School administrators’ implementations towards parents in the context of social justice leadership	<p>P1 says “In our school, it is seen that administrative staff does not exhibit an inclusive and integrative approach towards parents in terms of political power, social status, economical power and official status.”</p> <p>P2 says “I think that parents’ socioeconomic situation is effective within the decisions of the school administrators in our school and parents who are economically powerful or close to the politicians can make what they want realized more easily than the others.”</p>
School administrators’ implementations towards students in the context of social justice leadership	<p>P3 says “The school administration approaches the students equally without making any discrimination regarding socioeconomic terms, language, religion or gender; however, for the activities that are organized in and outside the school, the students who have tight ties with the school administration are selected. Those who are introvert, cannot express themselves explicitly but who are academically successful and do not have any discipline problems might not utilize the school activities or school projects.”</p> <p>P4 says “The school administration, as for the students, gives moral and material support they need to them who have socioeconomic problems and cares about the students having family problems. They act more tolerantly in terms of appearance and clothes. They enable the students to equally utilize the school facilities regardless of the ethnical origins of the students.”</p>
School administrators’ implementations towards teachers in the context of social justice leadership	<p>P5 says “The school administration does not explicitly exhibit discriminative acts towards teachers; however, they share information and ideas related to the school management and planning more often with the teachers they feel close to them politically and as gender.”</p> <p>P6 says “The implementations of the school administrators do not vary towards teachers’ ethnic, politic or gender-based properties and everyone is approached equally.”</p>
School administrators’ implementations towards auxiliary personnel in the context of social justice leadership	<p>P7 says “In our school, as the auxiliary personnel are generally selected from the acquaintance in the cities the school administrators reside in, the personnel are those who do not reject anything, do not have any problems, do not have a stable political thought and whom the school management can even be transferred at some points.</p> <p>P8 says “In our school, regardless of any factors, implementations are equally realized.”</p>
Reflections of social justice leadership implemented by school administrators towards parents, students, teachers and auxiliary staff	<p>P1 says “School administrators’ social justice leadership towards parents are not completely realized in terms of the reflections on the trust, commitment, motivation, cooperation, equality and inclusiveness at the school. It is seen that activities integrating parents and the school are not adequately organized, no activities other than the economical based meetings made in the cooperation by school – family union exist; there is no trust towards all of the teachers, adequate attitude and behaviours to enable the motivation for a better working performance are not exhibited while speeches towards students enabling morale and motivation are occasionally made during ceremonies and meetings. Short – time talks with the auxiliary personnel and close care and motivating sayings for them can be said towards improving the feeling of the commitment and enabling the motivation.</p> <p>P2 says “In line with the views I have previously indicated, I don’ have positive ideas regarding trust, commitment and motivation at our school. I think that the majority of the problems experienced at our school stems from the staff’s unconfidence in the institution and the administrators.</p>

Source: Formed by Beytekin & Güler (2023), the authors of the present study

Findings and Discussion

Table 9.2 illustrates the selection of the participants' replies regarding the sub-problems.

As illustrated in Table 9.2, the replies of the participants regarding school administrators' social justice leadership implementations towards parents, students, teachers and auxiliary staff and towards reflections of social justice leadership in terms of trust, commitment, motivation, cooperation, equality and inclusiveness are given in the coding system of the participants as P1, P2, P3, and so on. Hereby, it might be concluded that the replies of the participants in the study have been given in a broad and exemplified manner, which helps the conclusive analysis of the findings in a better way.

In accordance with the data obtained from the views of the eight teachers, in our case – the department chiefs, it might be emphasized that the reflections of the social justice leadership implemented by the school administrators in the school might be commented as having some problems or deficiencies in terms of inclusiveness, motivation, trust, commitment, equality and collaboration. As for finding out the current situation related to the social justice leadership implementations towards parents, students, teachers and auxiliary staff, the participants mostly underline the fact that the equal and just practice of the managerial actions is not efficient and effective while a minority of the participants advocate the vice versa. From this point of view, the data illustrate the fact that the school administrators have way to get through regarding their social justice leadership implementations, due to the fact that the existing reflection of the case is not mostly welcomed by the participants of our research. In that respect, the school leaders had better pay attention to the phenomenon of social justice leadership and improve their leadership styles or strategies by implementing social justice leadership more evidently and efficiently if they are to enable an organization structure where all the stakeholders feel accepted and motivated as well as feeling more respected and valuable.

Considering the demographic variables of the participants, the data illustrate that gender, term time in the institution, career title, occupation and educational status have no significance in terms of differentiating the views of the participants regarding the social justice leadership implementations of the school administrators. To broaden this finding, it might be said that the participants, regardless of gender, term time in the institution, career title, occupation and educational status, experience certain deficiencies related to the social justice leadership implemented at their schools. However, age and professional seniority are significant in that the participant who is 30 years old and below and who has 0 – 5 years of experience thinks differently from the other ones as advocating that all the dimensions of the social justice leadership implementations of the school administrators are well – organized and there is no problem at school. With regard to this difference, it might be emphasized that the participant might not have so adequate working experience as to analyze social justice leadership in a deep and detailed way or might have hesitations or reply to the questions of the study in accordance with social desirability.

Conclusion

It might be concluded based upon the findings of the study that the majority of the participants have some concerns or dissatisfaction with the current situation that they experience with regard to the social justice leadership implementations carried out by the school administrators. The literature, too, as underlined in the introduction part of the study, emphasizes the fact that the stakeholders of schools might feel more motivated, committed, inclusive and valuable on the condition that school leaders do not ignore the significance of social justice leadership and apply the concept within their organizational decision – taking procedures. Hence, it would not be wrong to illustrate that social justice leadership might be beneficial in an educational context consisting of the diverse and unique characteristics and backgrounds of the members of the organization.

As for the recommendations; it can be focused on the fact that based on all the existing preliminary studies besides the present study in addition to the practices and the literature, policy – makers and practitioners had better raise awareness of the vitality of social justice leadership at educational institutions. In that context, various workshops, seminars or webinars by the school administrators might be organized that attach importance to the social justice leadership and its connections and relations to the other significant concepts as well as those emphasized in the study as following:

- a positive school climate
- a collaborative teacher's work
- an inclusive environment
- organizational trust
- organizational commitment
- professional motivation by the stakeholders
- supportive leadership style
- significance of cultural diversity
- respecting differences
- organizational value
- self – esteem and improvement
- participation opportunities
- achieving together
- excluding discrimination
- sharing and exchanging ideas

In addition to this, experimental studies or pivotal implementations at defined schools might be carried out so as to experience and grasp the necessity and efficiency of social justice leadership as for the provision of qualified and equal teaching – learning environments for teachers and students and working conditions for the other stakeholders of the organizations.

Regarding the limitations and further research, it would not be incoherent to stress the fact that a mixed method case study or quantitative studies with a high population of participants might yield a more comprehensive and elaborate results towards the comprehension of the notion of social justice leadership implemented at schools. Due to the fact that the present study is a case one making use of the semi – structured interview form, which is a main technique within the qualitative research methods, it relies on the interviews carried out with eight participants upon their views regarding social justice leadership implementations at their schools in five sub – problems given in the part of research and findings. For that reason, as for the further research, a combination of qualitative and quantitative methods, which is obviously the mixed research model, in a wide – range of participants might possibly enable a more systematic and intensive deduction to be obtained in the end of the studies (Creswell & Plano Clark, 2011).

To make a final point, in the case of our research; if the school administrators apply social justice leadership in a more comprehensive and inclusive manner regardless of any difference, they might easily improve their organization and realize the organizational aims. Nevertheless, in the event that social justice leadership is implemented in an inadequate and unorganized manner, this might probably cause the stakeholders of the organization to feel unmotivated, less committed to their work, insecure for their organization, alienated from themselves and isolated from their working environment. To sum up, school leaders might benefit from the contribution of social justice leadership at their organizations in order to build up a well – established, inclusive, participative, equal, motivating, collaborative and trustworthy educational context for all the stakeholders. Thus, they might achieve their organizational targets or aims more easily and effectively compared to the conditions where the classically rigid and disciplined styles of managing the organization are preferred and implemented with no specific attribution and significance to diversity, equality, justice and inclusiveness within the educational context.

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