XV. International Balkan and Near Eastern Congress Series on Economics, Business and Management

Plovdiv / Bulgaria

May 29-30, 2021

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

# PROCEEDINGS

Editors
Prof.Dr. Mariana IVANOVA
Prof.Dr. Dimitar NIKOLOSKI
Prof.Dr. Rasim YILMAZ

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# FOREWORD

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

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

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

The Organization Committee
May 29-30, 2021

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| 92 | Rezear KOLAJ<br>Petar BORISOV<br>Adelida OSMANI ERGEN<br>Ekaterina ARABSKA | Bulgaria<br>Agricultural University of Tirana, Albania<br>Agricultural University Plovdiv, Bulgaria<br>Siirt University, Turkey<br>University of Agribusiness and Rural Development, Bulgaria | **Consumption of Domestic Products, Some Myths and Truths: Is It Yet a Safe Choice?** |
| 93 | Abla XHAFERI | Albania<br>European University of Tirana | **Civil Society and the State** |
| 94 | Vesela ANGELOVA<br>Petar PETKOV | Bulgaria<br>University of Agribusiness and Rural Development | **Some Aspects of the Bulgarian Anti-Crisis Policy Against COVID-19, with Emphasis on the Fiscal Policy** |
| 95 | Blendi LAMI<br>Roland LAMI | Bulgaria<br>University of Agribusiness and Rural Development | **Two Scenarios for the Future of Turkey** |
| 96 | Georgi P. GEORGIEV<br>Nikolina MAREVA<br>Orlin POPOV<br>Vladislava Y. GEORGIEVA | Bulgaria<br>University of Agribusiness and Rural Development | **Valuation of the Largest Chain of Restaurants in Bulgaria "Happy Bar & Grill" by DCF and Guideline Publicly Traded Company Methods** |
| 97 | Valentina MARINOVA | Bulgaria<br>University of Agribusiness and Rural Development | **Possibilities for Organic Agriculture and Production of Organic Products in the Territory of Tutrakan Sivo Pole LAG** |
| 98 | Mariana GEORGIEVA ASSENOVA<br>Georgi PETROV GEORGIEV | Bulgaria<br>University of Agribusiness and Rural Development | **Forecasting Bank Sales Through Stochastic Models in Support of Strategic Bank Marketing Management** |
| 99 | Katrin KRAHTOVA- | Bulgaria | **Modern Management in Healthcare System** |

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| | NASTEVA | University of Agribusiness and Rural Development | |
| 100 | Katrin KRAHTOVA-NASTEVA | Bulgaria<br>University of Agribusiness and Rural Development | **New Trends and Challenges in Training of Medical Specialists** |
| 101 | Katrin KRAHTOVA-NASTEVA | University of Agribusiness Rural Development Plovdiv, Bulgaria | **Motivation of Medical Professionals** |
| 102 | Plamen LAKOV<br>Ivanka SHOPOVA | Bulgaria<br>University of Agribusiness and Rural Development<br>Faculty of Economics and Management<br>Department of Regional Development and Tourism | **Ancient Roman Fortress Sostra as a Cultural and Historical Tourist Resource** |
| 103 | Tsvetana KERENCHEVA | Bulgaria<br>University of Agribusiness and Rural Development | **Study of the Dependence Between Expenditure Financial Flows in the Hospital Care in Bulgaria** |
| 104 | Veli BALDZA | Bulgaria<br>University of Agribusiness and Rural Development | **Retrospective Analysis of Expenditure in Bulgarian Healthcare System** |
| 105 | Rezear KOLAJ<br>Petar BORİSOV<br>Adelida OSMANI ERGEN<br>Ekaterina ARABSKA | Bulgaria<br>Agricultural University of Tirana, Albania<br>Agricultural University Plovdiv, Bulgaria<br>Siirt University, Turkey<br>University of Agribusiness and Rural Development, Bulgaria | **A socio–economic Thesis on Food Safety: More Consumption, Education or Religiousness?** |
| 106 | Elvan AKKURT<br>Nevin DEMİRBAŞ | Turkey<br>Ege University | **Türkiye'de Mısır Üretiminde Kendine Yeterliliğin Değerlendirilmesi** |
| 107 | Haktan Can KAYACAN<br>Nevin DEMİRBAŞ | Turkey<br>Ege University | **Tüketicilerin Yöresel Gıdalar İçin Gıda Güvenliği Algısı: Bir Literatür Araştırması** |
| 108 | Nevin DEMİRBAŞ | Turkey | **Yöresel/Yerel, Bölgesel ve Geleneksel Tarım ve** |

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| | | Ege University | **Gıda Ürünleri: Kavramlar ve Kapsamlar Üzerine Bir Değerlendirme** |
| 109 | Coşkun DOĞAN | Turkey<br>Trakya University | **Toplumsal Yıkıntının Edebiyata Yansıması** |
| 110 | Coşkun DOĞAN | Turkey<br>Trakya University | **Suç ve Vicdan** |
| 111 | Çağatay AKDOĞAN<br>Nevin ÜZEREM | Turkey<br>Trakya University | **Yerel Halkın Balkan Ülkelerinden Gelen Turistlere Yönelik Algısı: Edirne Örneği** |
| 112 | Nazlı Çağıl KÜÇÜKGÖKSEL<br>Hasan Selçuk ETİ | Turkey<br>Tekirdağ Namık Kemal University | **Dijital Dönüşüm Kapsamında Girişimci Pazarlamanın Geleceği** |
| 113 | İlknur ESKİN | Turkey<br>Trakya University | **UFRS Kapsamında Bitcoin Muhasebesinin Değerlendirilmesi** |
| 114 | Zafer CESUR<br>Salih MEMİŞ | Turkey<br>Kocaeli University<br>Giresun University | **İnternette Uygulanan Promosyon ve Fiyat İndirimlerinin Anlık Satın Alma Eğiliminin İnternette Anlık Satın Alma Davranışları Üzerindeki Etkileri** |
| 115 | Salih MEMİŞ<br>Zafer CESUR | Turkey<br>Kocaeli University<br>Giresun University | **Sosyal Etki (Influencer) Pazarlama Uygulamaları** |
| 116 | Tufan SARITAŞ | Turkey<br>Karamanoğlu Mehmetbey University | **Yolsuzluk ve Doğrudan Yabancı Yatırım İlişkisi Üzerine Ampirik Bir Değerlendirme: AB Örneği** |
| 117 | Hasan VURAL | Turkey<br>Bursa Uludağ University | **Organic Livestock Production and Marketing** |
| 118 | Hasan VURAL | Turkey<br>Bursa Uludağ University | **Türkiye'de Tohumculuk Sektörünün Gelişimi** |
| 119 | Nihan ŞENBURSA<br>Ali TEHCİ | Turkey<br>Ordu University | **CSR for Employees' and e-WOM Relationship: A Case Study in a Maritime Business Organization in Turkey** |
| 120 | Koray ÇETİNCELİ<br>Perihan TÜZÜN | Turkey<br>Isparta Uygulamalı Bilimler University | **Finans, Bankacılık ve Sigortacılık Bölümü Öğrencilerinin Akademik Başarı ile İşsizlik Kaygıları Arasındaki İlişkinin İncelenmesi** |
| 121 | Aykut SÖNMEZ | Turkey<br>Recep Tayyip Erdoğan University | **İnternetin Vergi Gelirleri Üzerindeki Etkisi** |

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| 122 | Gonca Reyhan AKKARTAL | Turkey<br>Medipol University<br>Business and Administrative Sciences Faculty<br>Logistics Management Department | **Role of Agility for Logistics Functions Efficiency** |
| 123 | Yusuf ESMER<br>Onur ŞAYLAN | Turkey<br>Bayburt University<br>Çanakkale Onsekiz Mart University | **Müşteri İlişkileri Yönetiminde Yeni Dijital Teknolojilerin Kullanımına Yönelik Bir Değerlendirme** |
| 124 | Fuat TÖREDİ | Turkey<br>Kırıkkale University | **Ar-Ge Faaliyetleri ve Vergi Gelirleri Arasındaki İlişkinin İncelenmesi: OECD Ülkelerinden Bir Örnek** |
| 125 | İrem DOĞAN<br>Nuri BALTACI | Turkey<br>Gümüşhane University | **Türkiye'de Savunma Sanayi Sorunları Üzerine Bir İnceleme** |
| 126 | Hikmet ASUTAY | Turkey<br>Trakya University | **Türk-Alman Şiirinde Göç Sonrası Yeni Kimlik Arayışı** |
| 127 | Ramazan ÇELİK<br>Nesrin NEZİR KÖSE | Turkey<br>Trakya University | **Türkiye-Yunanistan Sınırındaki Mülteci Krizinin Söylem Analizi Bağlamında Değerlendirilmesi: Hürriyet ve Kathimerini Gazetelerinin Karşılaştırmalı Örneği** |
| 128 | Kübra AYDINLI | Turkey<br>Kırıkkale Univesity | **Küreselleşme Sürecinde Geri Dönüşümü Olmayan Kredilerin Durumu: OECD Ülkeleri için Ampirik Bir Çalışma** |
| 129 | Utku ALTINÖZ | Turkey<br>Sinop University | **Kişi Başına Düşen Sağlık Harcamalarınının Kamu ve Özel Sağlık Harcamaları Yönünden Değerlendirilmesi: OECD Bölgesi için Panel Veri Analizi** |
| 130 | Şehnaz BAKIR YİĞİTBAŞ | Turkey<br>Çanakkale Onsekiz Mart University | **Stagflasyonunun Ortaya Çıkmasında İktisat Politikalarının Rolü ve Çözüm Önerileri** |
| 131 | Şehnaz BAKIR YİĞİTBAŞ | Turkey<br>Çanakkale Onsekiz Mart University | **Risk ve Belirsizlik Altında Karar Verme Davranışı ve Nöroekonomi** |
| 132 | Hikmet ASUTAY | Turkey<br>Trakya University | **J. D. Salinger ile E. Serbes'in Eserlerinin Ergen Roman Bağlamında Karşılaştırmalı İncelemesi** |
| 133 | Zeynep TAŞCI | Turkey | **Fen Bilimleri Dersi Öğretim Programındaki** |

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| | Murat DEMİRBAŞ | Kırıkkale University | **Yaşam Becerilerinin Ders Kitabındaki Yansımaları** |
| 134 | Veli Anıl ÇAKAN<br>Şule TURHAN | Turkey<br>Bursa Uludağ University | **Türkiye'nin Organik Tarım Potansiyeli** |
| 135 | Nuri BALTACİ<br>Derya YİĞİT<br>Büşra KAPLAN | Turkey<br>Gümüşhane University | **Savunma Sanayisinde Arge Yaklaşımları: Yivli/Yivsiz Tüfek/Tabanca Üreten Firmalar Örneği** |
| 136 | Nesrin ADA<br>Nurettin GÜRCAN | Turkey<br>Ege University | **Örgüt Kuramlarıyla Örgütsel Değişime Felsefi Yaklaşım; "Eleştirel Kuramın Hakkını Teslim Etmek** |
| 137 | Emel YILDIZ | Turkey<br>Trakya University | **Inclusive and Employment Generating Growth to Remove Inequality** |
| 138 | Ayla YAZICI | Turkey<br>Anadolu University | **Türkiye'deki İşletme Faaliyetlerinde Sürdürülebilir Finans Uygulamalarının Önemi** |
| 139 | Cüneyt KOYUNCU<br>Büşra KONUŞ | Turkey<br>Bilecik Şeyh Edebali University | **Dolaylı Vergiler ile İnsani Kalkınmışlık ve Yoksulluk Arasındaki İlişkinin Ampirik Analizi** |
| 140 | Yasemin KARATEKİN ALKOÇ | Turkey<br>Yüzüncü Yıl University | **Aile İşletmelerinde Yönetimin Devri Sürecinde Kız Çocuklarının Yeri** |
| 141 | Osman İNAN<br>Sema KONYALI | Turkey<br>Tekirdağ Namık Kemal University | **Köydes ve Kırdes Projelerinin Kırsal Kalkınma Açısından Değerlendirilmesi** |
| 142 | Sinem Pınar GÜREL | Turkey<br>Pamukkale Unıversity, Faculty of Business Administration and Economics, Department of Economics,<br>pgurel@pau.edu.tr | **Twin Deficit, Current Account Targeting or Ricardian Equivalence? Fresh Evidence from Fourier Toda-Yamamoto Causality Analysis** |
| 143 | Ali KABASAKAL<br>Mecit ARSLAN | Turkey<br>Sakarya University | **Geçmişten Günümüze Türkiye – İran İlişkileri ve İktisadi Yansımaları** |
| 144 | Hava YAŞBAY KOBAL<br>Savaş ŞİMŞEK | Turkey<br>Hakkari University | **Agresif Kişilik Yapısının Yapılan İş'e Etkisi: Taksi Şoförleri Üzerinde Bir Araştırma** |
| 145 | Raşit GÜLTEKİN | Turkey<br>Trakya University | **Gümrük Mevzuatında Mücbir Sebepler ve Covid-19 Pandemisinin Etkileri** |
| 146 | Cansu ERKEK<br>Dilek SÜREKÇİ YAMAÇLI | Turkey<br>Nuh Naci Yazgan University | **Kayseri İlinde İhracatın Yapısı ve Firmaların İthalata Bağımlılığı** |

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| 147 | Mürüvet SAÇÇIOĞLU<br>Dilek SÜREKÇİ YAMAÇLI | Turkey<br>Nuh Naci Yazgan University | **Covid-19 Pandemi Sürecinin İhracata Etkileri: Kayseri Ili Örneği** |
| 148 | Erdal ARSLAN<br>Ali BORA<br>Abdul Hasib AMANAT | Turkey<br>Selcuk University | **Impacts of Exchange Rate on Economic Growth of China** |
| 149 | Fatih KOÇ<br>Özge CEYLAN | Turkey<br>Kocaeli University | **Dijital Platformlarda Program Seçimini Etkileyen Faktörlerin İncelenmesi: Netflix Örneği** |
| 150 | Aytaç TOSUN | Turkey<br>Beykent University | **Muhasebe Denetimi ve Denetim Türleri** |
| 151 | Alper KARASOY | Turkey<br>Afyon Kocatepe University | **Doğrudan Yabancı ve Yurt İçi Özel Yatırımlar Türkiye'deki Enerji Güvensizliğini Uzun Dönemde Arttırıyor mu? 1980-2018 Dönemi için Ampirik Bir İnceleme** |
| 152 | Serkan KESKİN<br>Sadiye OKTAY | Turkey<br>Yildiz Technical University | **The Relationship between Independent Auditors' Perceptions of Communicating Key Audit Matters in the Audit Report and Their Relation with Demographic Characteristics: A Pilot Study** |
| 153 | Tuğçe KÖK<br>Fatih KOÇ | Turkey<br>Kocaeli University | **Z Kuşağı Tüketicilerinin Rasyonel ve Hedonik Marka Algılarının Marka Farkındalığı ve Marka Bağlılığı Üzerindeki Etkisi** |
| 154 | Selahattin GÜRİŞ<br>Ahmet KONCAK | Turkey<br>Marmara University<br>Bolu Abant İzzet Baysal University | **Dalgacık Dönüşümü Temelli Yeni Bir Kantil Birim Kök Testi Önerisi** |
| 155 | Şule ERKUŞ<br>İlknur BAYSAK<br>Tolga GÜNGÖR | Turkey<br>Ataşehir Adıgüzel MYO | **Dunning-Kruger Sendromu ve Imposter (Aşil) Sendromu Üzerine Kavramsal Bir Araştırma** |
| 156 | Ahmet KÂHİLOĞULLARI | Turkey<br>Çanakkale Onsekiz Mart University | **Kamu ve Özel Sektör Dış Borcunun Ekonomik Büyüme Üzerine Etkisi: Türkiye için Ampirik Bir Çalışma** |
| 157 | Emre CEYLAN GÜNEL<br>Derya DİNÇER GÜLTEKİN | Turkey<br>Kırklareli University<br>Tekirdağ Namık Kemal University | **KOBİ'lerin İnovasyon Stratejileri Ve İşbirliklerinin İhracat Performansına Etkileri Üzerine Nitel Bir Araştırma** |
| 158 | Tuğçe PAMUK | Turkey | **Mağaza Atmosferi Boyutlarının Satın Alma Niyeti** |

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| | Fatih KOÇ | Kocaeli University | **Üzerindeki Etkisi: Gratis Örneği** |
| 159 | Mehmet MAZAK<br>Fatma GÖKKAYA | Turkey<br>Süleyman Demirel Univeristy | **Sinema Salonu İşletmelerinin Finansal Sürdürülebilirliğinin Değerlendirilmesi** |
| 160 | Burçin HENDEN ŞOLT<br>Ayşegül Didem ÖZDEMİR | Turkey<br>Zonguldak Bülent Ecevit University | **Küresel Çöp Sorunu** |
| 161 | Revşan ASLAN<br>Şevki ÖZGENER | Turkey<br>Nevşehir Hacı Bektaş Veli University | **Örgütsel Farkındalık ve Örgütsel Politik Davranış Algılamalarının Davranışsal Bağlanma Göstergeleri Üzerindeki Etkileri: Konaklama İşletmeleri Örneği** |
| 162 | Erdal ARSLAN<br>Ali BORA | Turkey<br>Selçuk University | **Yatırım Bankalarının Ülke Ekonomisindeki Rolü ve Önemi** |
| 163 | Fatih GÜRSES<br>İbrahim ÇELİK<br>Erkan SUVEYDAS | Turkey<br>Bursa Uludağ University | **Türkiye'de Kamu Sendikalarının Sosyal Medyada Paydaşlarıyla Etkileşimi: Twitter Örneği** |
| 164 | Emre ÜNVER | Turkey | **İşletme Yönetiminde Kuantum Liderlik Davranışı** |
| 165 | Gizem SEYHAN<br>Adil OĞUZHAN | Turkey<br>Trakya University | **Bankacılık Ürünlerinin Bölgelere Göre Kullanımı: Türkiye Örneği** |
| 166 | Senem ERGAN | Turkey<br>Çanakkale Onsekiz Mart University | **Tüketici Sinizmi Konusunda Ulusal Pazarlama Alanyazınında Yayınlanmış Çalışmaların Bibliyometrik Analizi** |
| 167 | Ahmet Eren YILDIRIM | Turkey<br>Hitit University | **Finansal Gelişme, Sefalet Endeksi ve Ekonomik Büyüme: Türkiye'den Ampirik Bulgular** |
| 168 | M. Ozan YILDIRIM | Turkey<br>Pamukkale Univesity | **Parasal Aktarım Mekanizmasında Varlık Fiyatlarının Rolü: Türkiye'den Bulgular** |
| 169 | Derya DİNÇER GÜLTEKİN<br>Emre CEYLAN GÜNEL | Turkey<br>Tekirdağ Namık Kemal University<br>Kırıkkale University | **Covid-19 Pandemisinin Sağlık Ekonomisi Alanındaki Etkileri: Türkiye Örneği** |
| 170 | Nilgün DOĞAN<br>Hakan ADANACIOĞLU | Turkey<br>Gümüşhane University<br>Ege University | **Coğrafi İşaretli Ürünlerin Pazarlama Karması (4P) Analizi: Gümüşhane İli Kürtün Araköy Ekmeği Örneği** |
| 171 | Özgün ÜNAL | Turkey<br>Sakarya University | **Hastaların Hekim Memnuniyetinin Hastane Bağlılığına ve Hastaneyi Tavsiye Etme Niyetine** |

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| | | | **Etkisinde Hastaneden Memnuniyetin Aracı Rolü** |
| 172 | Seçil SÖNMEZ<br>Kenan TERZİOĞLU | Turkey<br>Trakya University | **Petrol Fiyat Endeksi Ve Gayrisafi Yurt İçi Hasıla Arasındaki Uzun Dönem Saklı Eşbütünleşme İlişkisi** |
| 173 | Remzi KAYGUSUZ | Turkey<br>Sabancı University | **Social Security and Household Labor Supply** |
| 174 | Esra DURCEYLAN | Turkey<br>Sabancı University | **Bir Aile Şirketi Ne Zaman Anonim Şirket Olur?** |
| 175 | Zeynep ŞENGÜL | Turkey<br>Trakya University | **Makine Öğrenmesi Tahmin Algoritmaları: Borsa İstanbul 100 Endeksi** |
| 176 | Jülide YALÇINKAYA KOYUNCU<br>Eda ÖZEN | Turkey<br>Bilecik Şeyh Edebali University | **Long-run Analysis of Human Capital and Labor Productivity in Turkey** |
| 177 | Rasim YILMAZ | Turkey<br>Tekirdağ Namık Kemal University | **Green Bonds in the World and Turkey** |
| 178 | Rasim YILMAZ | Turkey<br>Tekirdağ Namık Kemal University | **Sustainable Finance and Sustainable Banking** |
| 179 | Rasim YILMAZ | Turkey<br>Tekirdağ Namık Kemal University | **Paris Climate Agreement and Turkey** |
| 180 | Rasim YILMAZ | Turkey<br>Tekirdağ Namık Kemal University | **Green Economy and Sustainable Cities** |
| 181 | Bekir DEĞİRMENCİ | Turkey<br>Adıyaman University | **Çevreci Davranış Ölçeklerinin İncelenmesine Yönelik Literatür Araştırması** |
| 182 | Ahmet FİDANOĞLU<br>Mehmet AYTEKİN<br>Bekir DEĞİRMENCİ | Turkey<br>Hasan Kalyoncu University<br>Gaziantep University<br>Adıyaman University | **Kurumsal Sürdürülebilirliğin Kuramsal Bağlamda İncelenmesi** |
| 193 | Muhammed BENLİ<br>Yasin ACAR | Turkey<br>Bilecik Şeyh Edebali University | **Data-Driven Analysis of Causality Between Current Account, Exchange Rate, and Economic Growth** |
| 184 | Şafak KURT<br>Fatma ÖZCAN HAN | Turkey<br>Türk Hava Kurumu University<br>Dokuz Eylül University | **Değişim Yönetimi ve Performansa Etkisi: Özel İşletmeler Üzerinde Bir Araştırma** |
| 185 | Nafije SKENDERİ | Turkey | **Bankaların Sürdürülebilirlik Değerlendirmesi: Gri** |

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| | Kenan TERZİOĞLU | Trakya University | **İlişkisel Analiz Yöntemiyle** |
| 186 | Nevin AYDIN | Turkey<br>Artvin Çoruh University | **Yeşil Şehirler** |
| 187 | Nevin AYDIN | Turkey<br>Artvin Çoruh University | **Sürdürülebilir Giyilebilir Ürünler: İnsan Yaşam Kalitesini Artırmak için Giyilebilir Teknoloji** |
| 188 | Murat ÇETİN<br>Servet KAPÇAK | Turkey<br>Tekirdağ Namık Kemal University | **Türkiye Ekonomisinde Tarımsal Enerji Tüketimi-Ekonomik Büyüme İlişkisi: Bir Saklı Eşbütünleşme Analizi** |
| 189 | Murat ÇETİN<br>Aycan CAN | Turkey<br>Tekirdağ Namık Kemal University | **Ticarette Dışa Açıklığın Ekonomik Büyüme Üzerindeki Etkisi: Türkiye İçin Ampirik Bir Kanıt** |
| 190 | Minel KÖKEN<br>Kenan TERZİOĞLU | Turkey<br>Trakya University | **Gri İlişkisel Analiz Yöntemiyle Finansal Performans Değerlendirilmesi** |
| 191 | Havva ARABACI<br>Duygu YÜCEL | Turkey<br>Trakya University | **COVİD-19 Pandemisinin İşsizlik Üzerine Etkisi** |
| 192 | Havva ARABACI | Turkey<br>Trakya University | **Türkiye Cumhuriyet Merkez Bankası'nın Pandemi Sürecinde Kullandığı Para Politikası Araçları** |
| 193 | Nurcan ÖZKAN | Turkey<br>Trakya University | **An Overview of Environmental Education in Preschool Children** |
| 194 | Nurcan ÖZKAN | Turkey<br>Trakya University | **The Effect of Education Taken by Highly Talented Students in Science and Art Centers on Science Courses** |
| 195 | Can Burak NALBANTOĞLU | Turkey<br>İstanbul Ayvansaray University | **Covid 19 Sürecinin Dijital Dönüşüme Etkileri** |
| 196 | Bora GÜNDÜZYELİ | Turkey<br>İstanbul Ayvansaray University | **Dijital Pazarlama ile İşletmelere Sosyal Medya Etkisi** |
| 197 | Serkan VARSAK<br>Halit YALÇIN | Turkey<br>Bilecik Şeyh Edebali University | **Türk Bankacılık Sektörünün Finansal İstikrara Etkisi: Z Skor Analizi** |
| 198 | Serkan VARSAK | Turkey<br>Bilecik Şeyh Edebali University | **Türkiye'de Kamu Bankalarının Kurumsal Gelişiminin Makroekonomik Etkileri: Z Skor Analizi** |
| 199 | Yıldız ÖZKÖK<br>İbrahim ÇÜTÇÜ | Turkey<br>Hasan Kalyoncu University | **Kamu Borç Stoku İle Ekonomik Büyüme İlişkisi: ABD Örneği** |
| 200 | İbrahim TÜRKMEN<br>Şerafettin ERTEN | Turkey<br>Uşak University | **Sosyal Sermayenin Çalışanların İş Performansı Üzerine Etkisi** |

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| 201 | Oguzhan OZCELEBI<br>Elif ARSLAN | Turkey<br>İstanbul University | **Assessing the Impacts of Education and R&D Expenditures on the International Competitiveness: The Case of Turkey** |
| 202 | Nilüfer SERİNİKLİ | Turkey<br>Trakya University | **Salgın Sürecinde Çalışanların Örgütsel Destek Algıları, Covid 19 Korkuları ve Duygusal Tükenmişlikleri** |

## Program

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| 09:00 – 09:45 | Opening Ceremony | Hall 1 | Prof.Dr. Rasim YILMAZ, IBANESS<br>Prof.Dr. Tatjana SPASESKA, University St. Kliment Ohridski-Bitola, Macedonia<br>Prof.Dr. Maria IVANOVA, Rector, University of Agribusiness and Rural Development |
| 10:00 – 12:00 | Parallel Session I | Hall 1<br>Chair Person: Assoc.Prof. Dr. Igor ZDRAVKOSKI | |
| | | Angeliki TSAMETI<br>Kyriakos TSAMANTOURIDIS<br>Victoria-Maria BELLOU | **How Work-Related Effects of COVID-19 Affect Employees' Withdrawal: A Moderated Mediation Model** |
| | | Dolores Mensah HERVIE<br>Anna DUNAY | **The Impact of Covid-19 on Teaching and Learning: The African Perspective** |
| | | Dolores Mensah HERVIE<br>Csaba Bálint ILLÉS | **Challenges of the Coronavirus Crisis and HR Responses in Ghana** |
| | | Gerta GOGO<br>Shpresa ÇELA<br>Albana GJONI | **The Coronavirus Effects on the Unemployment Rate in Albania** |
| | | Georgios KARAPANAGIOTIDIS<br>Christos NIKAS | **Entrepreneurship in Times of Covid-19. Which Are the Relevant Challenges and Opportunities? The case of Greece** |
| | | Gentjan MEHMETI<br>Eda LUGA | **Consumer Behavior Towards Online Shopping for Food Products During the Covid-19** |
| | | Zlatina KARADZHOVA | **The Effect of The World Pandemic Covid-19 on Tourism in Bulgaria** |
| | | Eszter SOLT | **The Role of the Fiscal and Monetary Policies During the Covid-19 Crisis in Countries of High- and Lower Income** |
| 10:00 – 12:00 | Parallel Session I | Hall 2<br>Chair Person: Assoc.Prof.Dr. Katarína BELANOVÁ | |
| | | Marija MIDOVSKA PETKOSKA | **The impact of Covid 19 on the Companies in** |

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| | | Shiret ELEZI<br>Milena BOSHKOSKA KLISAROSKI | **North Macedonia** |
| | | Ilona BEİZİTERE<br>Biruta SLOKA<br>Ieva BRENCE | **Financial Needs of Micro-enterprises in the Period Before and During the COVID-19 Crisis** |
| | | Miljana XHAKOLLI | **Issues of Civil Aviation in Albania During the Pandemic** |
| | | Katarína BELANOVÁ | **Access of SMEs to Bank Loans During the Coronavirus Crisis: A Case of Slovakia** |
| | | Aristidis P. BITZENIS,<br>E. Livanis<br>A. Dolaptsi<br>C. Mamalis | **Seeking Incentives for a Successful Second and Third Business Opportunity after Bankruptcy in Times of Economic and Coronavirus Pandemic Crises** |
| | | Vesela ANGELOVA<br>Petar PETKOV | **Some Aspects of the Bulgarian Anti-Crisis Policy Against COVID-19, with Emphasis on the Fiscal Policy** |
| 10:00 – 12:00 | Parallel Session I | Hall 3<br>Chair Person: Prof.Dr. Ognyana STOICHKOVA | |
| | | Laura SIMSONE<br>Biruta SLOKA | **Employee Job Satisfaction after Changes Caused by the Covid-19 Pandemic among Local Governments of Pieriga Region** |
| | | Ondrej MİTAĽ | **The use of Social Media in the Time of Covid-19 Crisis: The Case of Slovak Local Self-Government** |
| | | Fanka RISTESKA<br>Aneta RISTESKA JANKULOSKA<br>Marjan ANGELESKI | **Non-Cash Payment Instruments and Their Acceptance by the North Macedonian Citizens during Covid19 Pandemic** |
| | | Ognyana STOICHKOVA | **The Pandemic Covid-19 and Macroeconomic Consequences** |
| | | Krasimir LEVKOV<br>Zlatka GRIGOROVA<br>Ivanka SHOPOVA | **Senior Tourism in Bulgaria in the Conditions of the COVID-19 Pandemic. Intermediate Results of the Survey** |
| | | Irena NIKOLOVA | **Impact of Covid Pandemic on Foreign Exchange Reserves** |

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| 10:00 – 12:00 | Parallel Session I | Hall 4<br>Chair Person: Assoc.Prof.Dr. Andrei MULIC | |
| | | Markou I. VASILIKI<br>Serdaris PANAGIOTIS | **Which Factors Affect the Attitude of Consumers to Use Intelligent Information Systems to Reduce the Ecological Footprint?** |
| | | Ildiko KOVACS<br>Judit BEKE<br>Marietta BALÁZSNÉ LENDVAI | **Sustainable Consumption Scales: Measuring Young Customers' Sustainable Food Consumption Behaviour** |
| | | Rezear KOLAJ<br>Petar BORISOV<br>Adelida OSMANI ERGEN<br>Ekaterina ARABSKA | **Consumption of Domestic Vegetables Produced in Greenhouses: A Socio–Demographic Profile of the Consumer** |
| | | Rezear KOLAJ<br>Petar BORISOV<br>Adelida OSMANI ERGEN<br>Ekaterina ARABSKA | **A socio–economic Thesis on Food Safety: More Consumption, Education or Religiousness?** |
| | | Sofia MANOUTZOPOULOU<br>Panagiotis SERDARIS | **Leadership and Ethics. A Systemic Approach of the Leadership Phenomenon in the Management of Changes** |
| | | Matanat RASULOVA<br>Parvana ASLANLI | **Leadership as an Adequate Management Tool of the Company** |
| 10:00 – 12:00 | Parallel Session I | Hall 5<br>Chair Person: Assoc.Prof.Dr. Ljupce MARKUSHESKI | |
| | | Veronica BULAT<br>Natalia ANTOCI | **The Development of Distribution Networks for Agrifood Products in Republic of Moldova** |
| | | Pjerin SHOSHI<br>Etleva DASHI | **Impact of Governmental Subsidies for Albanian Farmers** |
| | | Valentina MARINOVA | **Possibilities for Organic Agriculture and Production of Organic Products in the Territory of Tutrakan Sivo Pole LAG** |
| | | Pavlina DIMITROVA | **Current Issues Regarding the Insurance of Agricultural Crops in Bulgaria** |

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| | | Natalia STOYANOVA | **The Latest Trends and Future Prospects for the Main Agricultural Sectors** |
| | | Kitti SIMON<br>Viktor József VOJNICH | **Biological Plant Protection in Peppers (Capsicum Annuum L.)** |
| | | Rezear KOLAJ<br>Petar BORİSOV<br>Adelida OSMANİ ERGEN<br>Ekaterina ARABSKA | **Consumption of Imported Vegetables: A Socio–Economic Observation on Demand Factors** |
| | | Hasan VURAL | **Organic Livestock Production and Marketing** |
| 12:00 – 14:00 | Parallel Session II | Hall 1<br>Chair Person: Assoc.Prof.Dr. Ekaterina ARABSKA | |
| | | Veli BALDZA | **Retrospective Analysis of Expenditure in Bulgarian Healthcare System** |
| | | Tsvetana KERENCHEVA | Study of the Dependence Between Expenditure Financial Flows in the Hospital Care in Bulgaria |
| | | Katrin KRAHTOVA-NASTEVA | **Modern Management in Healthcare System** |
| | | Katrin KRAHTOVA-NASTEVA | **New Trends and Challenges in Training of Medical Specialists** |
| | | Katrin KRAHTOVA-NASTEVA | **Motivation of Medical Professionals** |
| 12:00 – 14:00 | Parallel Session II | Hall 2<br>Chair Person: Assoc.Prof.Dr. Veronica BULAT | |
| | | Plamen LAKOV<br>Ivanka SHOPOVA | **Ancient Roman Fortress Sostra as a Cultural and Historical Tourist Resource** |
| | | Georgi P. GEORGIEV<br>Nikolina MAREVA<br>Orlin POPOV<br>Vladislava Y. GEORGIEVA | **Valuation of the Largest Chain of Restaurants in Bulgaria "Happy Bar & Grill" by DCF and Guideline Publicly Traded Company Methods** |
| | | Arta KUCI | **Building Destination Image Through Events: The Impact of Events on City Image** |
| | | Kiril BORISOV | **Sports Tourism – Status and Significance** |

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| | | Dardan LAJÇİ<br>Durim HOXHA | **Potentials of Eco-Tourism Development in the Mountain Region of Rugova** |
| 12:00 – 14:00 | Parallel Session II | Hall 3<br>Chair Person: Assoc.Prof. Dr. Pavlina DIMITROVA | |
| | | Alma ZHILLA<br>Oriola THEODHORI | **The Impact of Tourist Guides on Increasing Tourists Satisfaction (Case study Korca Region, Albania)** |
| | | Esmeralda SHKIRA<br>Gerda KRESHOVA | **Tourists Perceptions Towards Destination Attractions Case Study Korca Region** |
| | | Konstantinos SPINTHIROPOULOS<br>Panagiotis SERDARIS<br>Kremena NIKOVSKA<br>Eleftheria PALLA | **Study of the Attitude of Potential Bulgarian Tourists Towards Wine Tourism in Greece and the Importance of Wine Marketing** |
| | | Assen PALOV | **Development and Features of the Residential Real Estate Market in Bulgaria** |
| 12:00 – 14:00 | Parallel Session II | Hall 4<br>Chair Person: Prof.Dr. Tatjana SPASESKA | |
| | | Mariana GEORGIEVA ASSENOVA<br>Georgi PETROV GEORGIEV | **Forecasting Bank Sales Through Stochastic Models in Support of Strategic Bank Marketing Management** |
| | | Fiqiri BAHOLLİ<br>Kledi KODRA<br>Edmond KADİU | **The Use of Econometric Analysis to Evaluate Factors That affect Albanian Bank's Liquidity** |
| | | Elton GUBERAJ<br>Aurora HOXHA | **Profitability Analysis of the Albanian Banking Sector** |
| | | Georgiana-Loredana SCHIPOR<br>Cristina DUHNEA | The Consumer Acceptance of the Digital Banking Services in Romania: An Empirical Investigation |
| | | Andrei MULIC<br>Chiril GAVLITCHI | Econometric Model for the Formation of the Optimal Structure of the Portfolio of Government Securities of Commercial Banks in the Republic of Moldova |
| | | Saska Pop-Dimitrijoska | **Perspectives of Investment Funds in the** |

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| | | TRENKOSKA<br>Tatjana SPASESKA | **Republic of North Macedonia** |
| 12:00 – 14:00 | Parallel Session II | Hall 5<br>Chair Person: Asst.Prof.Dr. Hysni TERZIU | |
| | | Shpresa ÇELA<br>Albana GJONI | **Impact of Simplified Profit Tax on the Increase of SMEs in Albania** |
| | | Ľubica LESÁKOVÁ<br>Miroslava VINCZEOVÁ | **Leasing as a Source of Financing Small and Medium-Sized Enterprises in the Slovak Republic – Empirical Analysis** |
| | | Selim COREKCIOGLU<br>Tahmina MUSAYEVA<br>Deniz HORUZ<br>Stefan RASKOVSKI | **The Impact of Syrian War on the Export of Companies in Hatay and the Mission of SME Development Organization** |
| | | Wael BRINSI | **Barriers of Circular Economy Implementation in the Hungarian SMEs** |
| | | Valdrin DERVISHAJ<br>Uran RRACI | **Skills Gap, Education and ICT: SMEs in Kosovo** |
| 14:00 – 16:00 | Parallel Session III | Hall 1<br>Chair Person: Prof.Dr. Margarita BOGDANOVA | |
| | | Cristina MIHAELA<br>Salcă ROTARU | **The Role of Sectoral Environmental Performance Indicators Developed Based on the EMAS Regulation in Waste Management** |
| | | Arta KUCI | **European Green Deal Policy for the Circular Economy: Opportunities and Challenges** |
| | | Rasim YILMAZ | **Green Bonds in the World and Turkey** |
| | | Rasim YILMAZ | **Sustainable Finance and Sustainable Banking** |
| | | Rasim YILMAZ | **Paris Climate Agreement and Turkey** |
| | | Rasim YILMAZ | **Green Economy and Sustainable Cities** |
| 14:00 – 16:00 | Parallel Session III | Hall 2<br>Chair Person: Assoc.Prof.Dr. Mirjana RISTOVSKA | |
| | | Mirjana RISTOVSKA | **The Principle of Confidentiality in International** |

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| | | | **Arbitration** |
| | | Gerti SQAPI | **The Missing Role of Civil Society in the Democratization Process of Albania** |
| | | Abla XHAFERI | **Civil Society and the State** |
| | | Klaudia LIPI | **For A New Culture of Responsibility and Its Insurance** |
| | | Blendi LAMI<br>Roland LAMI | **Two Scenarios for the Future of Turkey** |
| | | Irina Teodora MANOLESCU<br>Mihai TALMACIU | **The Involvement of Local Action Groups in Regional Sustainable Development – A Multi-Stakeholder Analysis** |
| 14:00 – 16:00 | Parallel Session III | Hall 3<br>Chair Person: Prof.Dr. Labros SDROLIAS | |
| | | Desislava STOILOVA | **Local Government Investment in Bulgaria: A Case Study** |
| | | Panagiotis SERDARIS<br>Konstantinos SPINTHIROPOULOS<br>Leonidas LYKOSTRATIS | **Investment in Product Innovation - A Driver for Business Growth and Resilience** |
| | | Jorida KOÇIBELLI<br>Eleni VANGJELI | **The Role of Public and Private Investments in Economic Growth: The Case of Albania** |
| | | Stefana RISTESKI<br>Margarita JANESKA | **Comparative Analysis and Mutual Relation between Dynamic Methods for Selection and Evaluation of Investment Projects** |
| 14:00 – 16:00 | Parallel Session III | Hall 4<br>Chair Person: Assoc.Prof.Dr. Béla PATAKİ | |
| | | Margarita BOGDANOVA<br>Diana HRİSTOVA | **Employer Branding as a Tool for Attracting and Hiring Employees in the IT Sector in Bulgaria** |
| | | Margarita BOGDANOVA<br>Andrey YORDANOV | **Escalation Management in IT Projects – Case Study** |
| | | Panagiota XANTHOPOULOU | **The Organizational Factors that Impact on Public Sector's Digital Transformation and on the** |

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| | | | **Creation of Social (Public) Value** |
| | | Diana Andreea FIRICAN | **Snapshot into How Cultural Dimensions Influence Individuals' Responses to Change in Organizations** |
| | | Aleksandra JOVANOSKA<br>Ljupce MARKUSHESKI<br>Igor ZDRAVKOSKI<br>Miroslav ANDONOVSKI | **Implementation of Knowledge Management Systems (KMS)** |
| | | Miroslav ANDONOVSKI<br>Igor ZDRAVKOSKI<br>Ljupce MARKUSHESKI | **Trademark Protection as an Instrument for Economic Valorization of Intellectual Property Rights** |
| | | Gergő SÁNDORFİ<br>Béla PATAKİ | **Definition of Innovation – A Quantitative Research** |
| 16:00 – 18:00 | Parallel Session IV | Hall 1<br>Chair Person: Assoc.Prof.Dr. Judit BEKE | |
| | | Rezear KOLAJ<br>Petar BORISOV<br>Adelida OSMANI ERGEN<br>Ekaterina ARABSKA | **Consumption of Domestic Products, Some Myths and Truths: Is It Yet a Safe Choice?** |
| | | Veronija NOLCHESKA | **Opening the Black Box or Confirming the Obvious?! A Review of the Most Significant Findings in Neuromarketing over the Last Decade** |
| | | Marietta LENDVAI<br>Judit BEKE<br>Ildiko KOVACS | **Consumer Motivational Factors for Buying Locavores from a Young Consumers' Perspective** |
| | | Emil KOTSEV | **Socio-Psychological Dimensions of Obedience and Subordination in Organizations** |
| | | Igor ZDRAVKOSKI<br>Ljupce MARKUSHESKI<br>Zoran VASILESKI<br>Pece NIKOLOVSKI<br>Miroslav ANDONOVSKI | **The Meaning, Determination and Management of Inventory** |

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| | | Aleksandra JOVANOSKA | |
| | | Nihan ŞENBURSA<br>Ali TEHCİ | **CSR for Employees' and e-WOM Relationship: A Case Study in a Maritime Business Organization in Turkey** |
| | | Gonca Reyhan AKKARTAL | **Role of Agility for Logistics Functions Efficiency** |
| 16:00 – 18:00 | Parallel Session IV | Hall 2<br>Chair Person: Assoc.Prof.Dr. Margarita BOGDANOVA | |
| | | Evangelos NTANOVASILIS<br>Labros SDROLIAS<br>Alexandros SAHINIDIS<br>Grigorios GIANNARAKIS<br>Dagmar ŠKODOVÁ-PARMOVÁ<br>Zuzana DVOŘÁKOVÁ-LÍŠKOVÁ | **Methodological Determination of the Effectiveness of Business Models in Greek Companies** |
| | | Ilze BRANTE<br>Biruta SLOKA | **Role of Employers in Work-Based Learning Realization** |
| | | Xhimi HYSA<br>Mikael TOSHI | **Conflict Management Style of Albanian Corporations Operating in the Construction Sector** |
| | | Bochoti STELLA | **Organizational Change – Definition, Handling, Good Practices** |
| | | Ljupce MARKUSHESKI<br>Aleksandra JOVANOSKA<br>Igor ZDRAVKOSKI<br>Miroslav ANDONOVSKI | **Business Process Modeling for Process Optimization** |
| | | Ranka JEKNIĆ | **Some Reflections on Legal Culture and International Business** |
| 16:00 – 18:00 | Parallel Session IV | Hall 3<br>Chair Person: Assoc.Prof.Dr. Muhammed BENLİ | |
| | | Edib SMOLO | **The Institutions-Finance-Growth Nexus: The Case Study of EU and European Transition Economies** |
| | | Athanasios TSAGKANOS | **Differences on Public Debt Between South and** |

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| | | Stavroula PANOUSAKI<br>Konstantinos SIRIROPOULOS | **North Euro Area** |
| | | Olivera KOSTOSKA | **Complexity and Economics: Do We Need Next-Generation Systems Analysis Models?** |
| | | Emel YILDIZ | **Inclusive and Employment Generating Growth to Remove Inequality** |
| | | Sinem Pınar GÜREL | **Twin Deficit, Current Account Targeting or Ricardian Equivalence? Fresh Evidence From Fourier Toda-Yamamoto Causality Analysis** |
| | | Yasin ACAR<br>Muhammed BENLİ | **Data-Driven Analysis of Causality Between Current Account, Exchange Rate, and Economic Growth** |
| 16:00 – 18:00 | Parallel Session IV | Hall 4<br>Chair Person: Prof.Dr. Jülide YALÇINKAYA KOYUNCU | |
| | | Fehmi KRASNIQI<br>Hysni TERZIU | **The Impact of Interest Rates on Reducing the Unemployment Rate in Kosovo** |
| | | Alenka KAVKLER | **Nonlinear Approach to The Analysis of Fiscal Policy in the United States** |
| | | Erdal ARSLAN<br>Ali BORA<br>Abdul Hasib AMANAT | **Impacts of Exchange Rate on Economic Growth of China** |
| | | Serkan KESKİN<br>Sadiye OKTAY | **The Relationship between Independent Auditors' Perceptions of Communicating Key Audit Matters in the Audit Report and their Relation with Demographic Characteristics: A Pilot Study** |
| | | Remzi KAYGUSUZ | **Social Security and Household Labor Supply** |
| | | Jülide YALÇINKAYA KOYUNCU<br>Eda ÖZEN | **Long-run Analysis of Human Capital and Labor Productivity in Turkey** |
| 16:00 – 18:00 | Parallel Session IV | Hall 5<br>Chair Person: Prof.Dr. Olivera KOSTOSKA | |
| | | Kalliopi DOUDOUKA<br>Labros SDROLIAS | The Impact of Mental Resilience on the Management of the Complex Work Object of Primary School Principals |

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| | | Panagiotis SERDARIS<br>Alexandros SAHINIDIS<br>Maria BALI<br>Vasilios KARAVAKAS | |
| | | Oguzhan OZCELEBI<br>Elif ARSLAN | Assessing the Impacts of Education and R&D Expenditures on the International Competitiveness: The Case of Turkey |
| | | Marina VEZOU<br>Spinthiropoulos KONSTANTINOS | The New Strategic Architecture and the Strategic Planning of the Greek Universities |
| | | Maria MASTOROGIANNI<br>Labros SDROLIAS<br>Ioannis PAPADIMOPOULOS<br>Vasilios KEFIS<br>Vasilios SPANOS | The Presence of the Working Woman in Positions of Responsibility in the Primary and Secondary Education of the Region of Thessaly, Greece |
| | | Irina Teodora MANOLESCU<br>Stanislav PERCIC | Implementing European Financing Programmes in Schools – Particularities and Barriers |
| | | Nurcan ÖZKAN | An Overview of Environmental Education in Preschool Children |
| | | Nurcan ÖZKAN | The Effect of Education Taken by Highly Talented Students in Science and Art Centers on Science Courses |

**Sunday Sessions**

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| 10:00 – 12:00 | Parallel Session I | Hall 1<br>Chair Person: | |
| | | Georgia BRONİ<br>Anastasia METSİOU<br>Athanasios ZİSOPOULOS | **Economic Life and Its Evolution: The Case of Aristotle** |
| | | Judit BEKE<br>András SCHLETT | **From Shining to Obscurity: 150 Years of the Hungarian Mill Industry** |
| | | Albana DEMI<br>Arjana KADIU | **Public and Private Social System in Albania** |

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| | | Mimoza AGOLLI | |
| | | Papaioannou KONSTANTINOS<br>Serdaris PANAGIOTIS | **The Importance of Human Resources Management on Public Sector the Case of Hellenic Coastguard** |
| | | Klementin MILE | **The Collective Memory of Albanians** |
| 10:00 – 12:00 | Parallel Session I | Hall 2<br>Chair Person: Assoc.Prof.Dr. Nuri BALTACI | |
| | | Vaskhanim ORUJOVA<br>Ulkar IMAMALIYEVA | **Uluslararası Gerilimin Artmasında Bir Faktör Olarak Silahlanma** |
| | | İrem DOĞAN<br>Nuri BALTACI | **Türkiye'de Savunma Sanayi Sorunları Üzerine Bir İnceleme** |
| | | Nuri BALTACİ<br>Derya YİĞİT<br>Büşra KAPLAN | **Savunma Sanayisinde Arge Yaklaşımları: Yivli/Yivsiz Tüfek/Tabanca Üreten Firmalar Örneği** |
| | | Mehpara MALIKOVA | **Azerbaycan Ekonomisi** |
| | | Ali KABASAKAL<br>Mecit ARSLAN | **Geçmişten Günümüze Türkiye – İran İlişkileri ve İktisadi Yansımaları** |
| 10:00 – 12:00 | Parallel Session I | Hall 3<br>Chair Person: Prof.Dr. Hikmet ASUTAY | |
| | | Ruhangiz ALIYEVA | **Azerbaycan'da Modernleşme Koşullarında Göç Süreçlerinin Düzenlenmesi** |
| | | Hikmet ASUTAY | **Türk-Alman Şiirinde Göç Sonrası Yeni Kimlik Arayışı** |
| | | Ramazan ÇELİK<br>Nesrin NEZİR KÖSE | **Türkiye-Yunanistan Sınırındaki Mülteci Krizinin Söylem Analizi Bağlamında Değerlendirilmesi: Hürriyet ve Kathimerini Gazetelerinin Karşılaştırmalı Örneği** |
| | | Hikmet ASUTAY | **J. D. Salinger ile E. Serbes'in Eserlerinin Ergen Roman Bağlamında Karşılaştırmalı İncelemesi** |
| | | Zeynep TAŞCI<br>Murat DEMİRBAŞ | **Fen Bilimleri Dersi Öğretim Programındaki Yaşam Becerilerinin Ders Kitabındaki Yansımaları** |

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| | | Coşkun DOĞAN | **Toplumsal Yıkıntının Edebiyata Yansıması** |
| | | Coşkun DOĞAN | **Suç ve Vicdan** |
| 10:00 – 12:00 | Parallel Session I | Hall 4<br>Chair Person: Prof.Dr. E. Recep ERBAY | |
| | | Can Burak NALBANTOĞLU | **Covid 19 Sürecinin Dijital Dönüşüme Etkileri** |
| | | Havva ARABACI<br>Duygu YÜCEL | **COVİD-19 Pandemisinin İşsizlik Üzerine Etkisi** |
| | | Derya DİNÇER GÜLTEKİN<br>Emre CEYLAN GÜNEL | **Covid-19 Pandemisinin Sağlık Ekonomisi Alanındaki Etkileri: Türkiye Örneği** |
| | | Mürüvet SAÇÇIOĞLU<br>Dilek SÜREKÇİ YAMAÇLI | **Covid-19 Pandemi Sürecinin Ihracata Etkileri: Kayseri Ili Örneği** |
| | | Raşit GÜLTEKİN | **Gümrük Mevzuatında Mücbir Sebepler ve Covid-19 Pandemisinin Etkileri** |
| | | Havva ARABACI | **Türkiye Cumhuriyet Merkez Bankası'nın Pandemi Sürecinde Kullandığı Para Politikası Araçları** |
| | | Nilüfer SERİNİKLİ | **Salgın Sürecinde Çalışanların Örgütsel Destek Algıları, Covid 19 Korkuları ve Duygusal Tükenmişlikleri** |
| 12:00 – 14:00 | Parallel Session II | Hall 1<br>Chair Person: Prof.Dr. Adil OĞUZHAN | |
| | | Serkan VARSAK<br>Halit Yalçın | **Türk Bankacılık Sektörünün Finansal İstikrara Etkisi: Z Skor Analizi** |
| | | Serkan VARSAK | **Türkiye'de Kamu Bankalarının Kurumsal Gelişiminin Makroekonomik Etkileri: Z Skor Analizi** |
| | | Erdal ARSLAN<br>Ali BORA | **Yatırım Bankalarının Ülke Ekonomisindeki Rolü ve Önemi** |
| | | Gizem SEYHAN<br>Adil OĞUZHAN | **Bankacılık Ürünlerinin Bölgelere Göre Kullanımı: Türkiye Örneği** |
| 12:00 – 14:00 | Parallel Session II | Hall 2<br>Chair Person: Prof.Dr. Nevin DEMİRBAŞ | |

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| | | Elvan AKKURT<br>Nevin DEMİRBAŞ | **Türkiye'de Mısır Üretiminde Kendine Yeterliliğin Değerlendirilmesi** |
| | | Haktan Can KAYACAN<br>Nevin DEMİRBAŞ | **Tüketicilerin Yöresel Gıdalar İçin Gıda Güvenliği Algısı: Bir Literatür Araştırması** |
| | | Nevin DEMİRBAŞ | **Yöresel/Yerel, Bölgesel ve Geleneksel Tarım ve Gıda Ürünleri: Kavramlar ve Kapsamlar Üzerine Bir Değerlendirme** |
| | | Hasan VURAL | **Türkiye'de Tohumculuk Sektörünün Gelişimi** |
| | | Veli Anıl ÇAKAN<br>Şule TURHAN | **Türkiye'nin Organik Tarım Potansiyeli** |
| | | Osman İNAN<br>Sema KONYALI | **Köydes ve Kırdes Projelerinin Kırsal Kalkınma Açısından Değerlendirilmesi** |
| | | Burçin HENDEN ŞOLT<br>Ayşegül Didem ÖZDEMİR | **Küresel Çöp Sorunu** |
| | | Nilgün DOĞAN<br>Hakan ADANACIOĞLU | **Coğrafi İşaretli Ürünlerin Pazarlama Karması (4P) Analizi: Gümüşhane İli Kürtün Araköy Ekmeği Örneği** |
| 12:00 – 14:00 | Parallel Session II | Hall 3<br>Chair Person: Prof.Dr. Dilek ALTAŞ | |
| | | Revşan ASLAN<br>Şevki ÖZGENER | **Örgütsel Farkındalık ve Örgütsel Politik Davranış Algılamalarının Davranışsal Bağlanma Göstergeleri Üzerindeki Etkileri: Konaklama İşletmeleri Örneği** |
| | | Emre ÜNVER | **İşletme Yönetiminde Kuantum Liderlik Davranışı** |
| | | Hava YAŞBAY KOBAL<br>Savaş ŞİMŞEK | **Agresif Kişilik Yapısının Yapılan İş'e Etkisi: Taksi Şoförleri Üzerinde Bir Araştırma** |
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# Civil Society and The State

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**Abstract**: The object of the article is civil society and the state, the relationship that exists between them. Its purpose is to show the concept of civil society, the relationship of the state with this society, with the intellectual elite and the laws that govern it. There is no unified position on the concept of civil society. Philosophers of antiquity by this term meant the unit that includes the state and political society. Philosophers of later periods saw it as the product of a social contract or as the relationship of individuals with different personal interests, as the basis of a society that establishes spaces of freedom between citizens and government. By the marxist philosophy it conceived as a mechanism of competition between individuals acting to pursue their private interests. With the new concept of the term, it was considered as a natural and necessary result of the economic organization and the organization of associations and other non-state and non-profit unions built on a voluntary basis. Civil society relationship with the state were evaluated based on respect for human rights by the state institutions, implementing the law. Civil society was assessed as the basic cell for building of the legal state, where laws are voluntarily obeyed. The relationships of the state with the intellectual elite is often contradictory, because the elites, after taking power, seek the longevity of a good state, seeing very often only the narrow interests of the individual and the clan that rely on it. The state and its leadership need reform elites, who will draft and implement only laws that serve the whole of society.

**Keywords:** civil society, state, power, intellectual elite, law, relation, organism

There is a conceptual division between the state and society. Many philosophers think that society is the totality of individuals and their groups who have personal interests, which they seek to fulfill at all costs. The state is the organism that acts impartially to meet the interests of its citizens, representing the general interest.

## 1. The concept of civil society

This concept has been understood in various ways and there is still no one-size-fits-all definition. Her origin is in the Aristotelian notion of political community and in many Latin terms (societas civilis, communitas civilis, communicatio, communio et coetus, etc.)[1]

By this term the ancient Greek philosophers meant a entity that included both the state and political society itself. Civil society referred to the collective interactions of the person with the state, as a citizen of the polis. This understanding of civil society continued to accompany him in later centuries.

The concept of civil society is closely linked to political culture. Hobbes (1588 - 1679) used the term "civil society" to denote the degree of civilization of society. He saw this society as the product of a social contract by which people voluntarily abandon their state of war,[2] giving their freedom to the state in exchange for their peace and security. The union achieved in this way, he considers the body of a state, a society, as well as a the civil person.[3] John Locke (1632 - 1704) by the term "civil society" meant "A political or civil society that exists only when a number of people unite, relinquishing all executive rights of natural law and assigning it to the public."[4]

1 Laudani, Rafaele, Aux origines de la société civile, Le Monde diplomatique, septembre, 2012, p. 7 https://www.monde-diplomatique.fr/2012/09/LAUDANI/48145

2 Hobs, Tomas. Leviatani, "ISP&DITA 2000," Tiranë, 2000, p.109

3 Hobs, Tomas, Le Citoyen (De Cive), Édition électronique (ePub, PDF) v.: 1,0: Les Échos du Maquis, novembre 2013, f. 73, https://philosophie.cegeptr.qc.ca/wp-content/documents/Le-Citoyen-De-Cive.pdf

https://philosophie.cegeptr.qc.ca/wp-content/documents/Le-Citoyen-De-Cive.pdf

4 Stuph, E. S. *Filozofia: Historia dhe probleme,* Shtëpia botuese "Toena", Tiranë, 1998, p. 129

The German philosopher Friedrich Hegel (1770 - 1831) also paid special attention to civil society, conceiving it as a relationship between individuals with different personal interests. The family (universal) opposes the special (individual). The family in this analysis serves to show the embodiment of the universal, while civil society represents the individual who sets his goals, independently of other family members. Hegel considers civil society to be the highest form of life, since, by realizing the connection of the family with the state, it aims at the connection and interaction of the individual with the state. The interest of the individual enters into relationships with others by cooperating with them. The individual becomes aware of being in society, as a result of education through civil society institutions. The history of civil society is the history of the education of individuals and social groups, which are put at the service of society itself.

According to Hegel, civil society in its activity includes the system of production related to the market, as well as classes, various social and religious institutions. Civil society is the arena where modern man legitimately fulfills his interests and develops individuality. However, in society he learns the value of acting and behaving in a group, social solidarity and the dependence of his well-being on others, who educate him about citizenship and prepare him for participation in the public sphere.

An important contribution to defining the values of civil society are the thoughts of Alexis De Tocqueville (1805 - 1859). He was impressed by the reality of free and equal society he knew in America and was encouraged to write about civil society as an important and essential element of Western civilization and the basis of a society that establishes spaces of freedom between government and citizens. In the universal freedom of American citizens, he found the idea of a civil society embodied. He was particularly attracted to the various forms of civic organization in order to achieve many works for the benefit of the community, which he would regard as the implementation in reality of a "living democracy."[5]

The observations he made served him who could go even deeper to the role of the state and society. Through them he was also able to define some spaces of action of society. The most important space, according to him, was the one that included the state, which is political representation through parliamentary assemblies, courts, bureaucracy, army and police. For this reason, Tocqueville would call civil society the arena of private interests and economic activities. He thought that society is nothing but the the art of accompanying together, and art of organization in the society and groupings.

Inspired by the model of American society, Tocqueville sought to highlight the qualities that should characterize civil society. He called for a society for citizens, represented by political organizations in a manner similar to local government bodies, political parties and public opinion. These requirements are valid even in today's society. Tokville describes civil society as a "school of democracy" that functions through associations and social organizations.

Marx (1818 - 1883) conceived of civil society as a competing mechanism between individuals who strive to pursue their own personal and private interests. He thinks that this society includes all the material relations between individuals within a period of development of the productive forces. Civil society as a social organization derives from trade and production, it forms the basis of the state and at the same time of the superstructure. According to Marx, the social structures of this society are scattered throughout the economic structure. Civil society, then, arises from the bourgeoisie, as this is the class which owns the means of production.

Marx regarded civil society as a bourgeois society, which was focused on the realization of private interests and steeped in corruption. G. Tushi underlines that "In his battle against civil society, Marx used as an additional weapon the idea that civil society is a society that alienates the common man, depriving him of property, identity and dignity."[6]

[5] Tushi, Gëzim. *Shoqëria civile*, Shtëpia botuese "Dudaj," Tiranë, 2007, p. 10

[6] Yes there, p. 60

So Marx regards civil society as an instrument in the hands of the bourgeoisie, which uses it to maintain its power, especially economic power. This society does not make man independent, on the contrary it alienates. He thought that building a communist society would be a paradise on earth.

Applying the teachings of Marx, during the monist system in Albania, the real role in civil society was not recognized and not accepted. In the system of the dictatorship of the proletariat, the Albanian one-party intellectual worldview inherited a mentality that responded to the interests of the party-state and its leading ideology. This is also the reason why appreciation for civil society was included in global definitions as "working masses" and for many mass organizations as "transmission belts", which conveyed party ideology or as "leverages" in the hands of the party. This mentality also accompanied the political elites who led the democratic processes in our country.

With the fall of communism in Eastern Europe and the Soviet Union, the concept of civil society attracted the attention of young scholars to explain the growth of democracy or its absence. Communist regimes had tried to override civil society and control almost everything.

When a totalitarian regime collapses, it leaves a vacuum, where a civil society must exist. Nothing works properly and law absence invade place. The Americans hoped that after communism Russia would soon become like them, but there was no civil society there and authoritarianism soon returned again. Even for Iraq, it was thought that after the fall of Saddam Hussein, would restore stable democracy a small civil society, but this degenerated into chaos.

A vibrant and developed civil society is the key or essence of democracy. Central Europe moved quickly towards democracy because it had a considerable amount of civil society. Without the latter, democracy cannot be established.

In the philosophers' treatment for the notion of civil society, an attempt is made to highlight the difference between the low and barbarian level of human society (including even the form of harsh governance and outside the legal requirements) and the level of a civil society led and governed by certain norms and laws accepted by all.

The term "civil society" over a long period of time has preserved in content and in form various nuances, which are closely related to the essence of society itself and the concept of the state.

Civil society would coexist with the state until its reconceptualization by the thinkers David Hume (1711 - 1776) and Adam Ferguson (1723 - 1816), for whom civil society is a historical product, a natural and necessary result of the economic organization of society. According to Ferguson, civil society, along with the state and the economic market, is the third constituent element of society.[7]

Like Ferguson, Jurgen Habermas thought that civil society constituted the third sphere, besides the state and the market, which is characterized by the public articulation of society's problems. For Habermas, the essence of civil society lies in the organization and active existence of various associations and other unions built on a voluntary, non-state and non-profit basis, which with their activity determine the structures of public communication in all components of the social life.

All democratic change in a country is closely linked to the presence, level and aspirations of civil society. As in the case when democratic changes go in the right direction, even in the case when they are realized only for the benefit of a group of people or clans with certain interests, it is spoken on behalf of the vital needs of society itself. This is because the very concepts of the theory and practice of democracy come from the people.

It is only the interests of the people that always justify the need for socio-economic, political and cultural upheavals of a society. The people are the true sovereign who must hold the spectrum of democracy in their hands. For this reason, building civil society remains a permanent ideal for building a developed democracy.

7 Ferguson, Adam. Essai sur l'histoire de la société civile, Traduction, introduction, notes et index par Patrick Vieu, ENS Éditions, 2013

In totalitarian and anti-democratic regimes the term "civil society" is used as a cosmetic ointment and mainly only in the propaganda aspect. Slogans emanating from Marxist-Leninist theses, such as: "Socialism is built by the masses, the party makes them conscious," it was taken out it from the very beginning "out of the game" not only as a notion, but also as really unnecessary existence of "civil society", even as a foreign concept and instrument with bourgeois influences.

It was argued that only in the bourgeois system could civil society organizations play a progressive role, such as trade unions, opposition, cultural and political organizations, which could oppose the capitalist state in defense of their truncated freedoms. In the socialist system the political program of the working class, as the most revolutionary class of society, guaranteed it all human freedoms, with the exception of the overthrown classes, already stripped of economic and political power.

The democratic processes in Albania threw light on the painful reality of the people's life and showed how far they had lived away from the dream of a free and democratic society. The need to build democracy also highlighted the role of civil society in reference to democratic values, the harmony, balance and control of powers, their independence and the functioning of the state of law.

Political parties are actually part of different groups in society and represent their interests, but they have certain ideologies and political programs. Their aim is to seize political power, and after seizing this power, they aim to protect the political and economic victories of a certain group and not of all sections of the population, by any means and at any cost. In this sense, we encounter the "abandonment" of the interests of the broad masses of the population by these political parties, even labeled leftists in their propaganda program.These sections of the population are "doomed" to always pay the costs of the mistakes of various political parties.

In all societies and political systems produced by human society, civil society serves as a mirror in which one can see the form and content of this society itself and the political system that governs the economic and political life of the country.

When it comes to the interests of civil society itself and its engagement in the socio-political life of the country, the situation is different. The role of this society in organizing citizens in a permanent war with the oppression exercised by the state and its representatives is irreplaceable. Experience has shown that, after taking power and dividing national wealth in favor of a certain clan group, the ruling political elites violate their promises with electoral effect, declaring their mission almost complete. Protecting the interests of society and the people for them turns into an open or disguised demagoguery. This phenomenon forms the dividing line between the interests and programs of political parties and clans, on the one hand, and the interests of civil society, on the other. Civil society is the only obstacle to not endangering the political and economic rights of the individual. Politicians see democracy as a commodity from which everything should benefit, while for civil society democracy contains the highest values of freedom and citizenship.

## 2. The relationship of the state with civil society

Analyzing the relationship between the state and society, Rousseau affirms the supremacy of the state, but not the supremacy until the degree of enslavement of the people to his orders. As an essential condition for the functioning of the state-society relationship, Rousseau emphasizes the respect of human rights by state institutions, as well as the functioning of institutions, respecting and enforcing the law. He emphasizes that a democratic state is not worthy of a people who would abuse its government. This means that a citizen who does not contribute to the good functioning of his state, can not claim to have good governance. An individual who corrupts civil servants cannot claim that corruption disappears. An individual who violates the rights of another individual cannot claim the existence of so-called "State of right".

Since the level of civil society plays the role of a barometer related to the level of economic - cultural development of a people, at the same time it remains a basic condition of the process of integration of our country in the European Union. This demand is one of the most acute challenges of the Albanian society during this decade, because its partnership carries a mutual interdependence between the civil society and the climate of a stable democracy.

But, on the other hand, its democratic qualities and features also produce the "necessary vital climate" between the individual, the state and the market, keeping under control and mitigating negative tendencies, stimulating and promoting social development, contemporary values and traditions.

A trend of recent times identifies the issue of civil society or pluralism as the main key to separating governances from each other. Every modern society consists of associations and organizations with different character, such as: economic, commercial, productive, cultural, religious, of veterans, of the militarys on release, workers' unions, industrial corporations, civil society organizations, political parties, mass media etc. We can classify governances based on estimates and the government support for these associations. In pluralistic systems, associations are favored by independence and freedom of action, and may even influence the governance of the country itself.

Civil society is characterized by civic initiatives for self-government. It requires cohesion, civic virtue, cooperation, tolerance, solidarity, commitment and participation in public affairs to prove itself as a free and democratic society. The characteristic that keeps civil society stable and active is the fact that it is linked to the processes and destiny of pluralistic democracy.

The work program of civil society is closely linked to many cardinal problems of society itself, such as: protection of human rights, development and spread of a culture of tolerance in society, building the rule of law, the rule of law and of stable institutions, which will serve as a guarantee for building a modern democratic state. A civil society characterized by these features remains a basic condition for building a sustainable democracy.

The methods and concepts of an active civil society for resolving conflict using tolerance, consensus and compromise instruments are well known. In closed societies the lack of tolerance and civic consensus will continue to produce conflicts and backwardness in the development of democracy in that country.

The polarization among the leading political elites remains "gangrene" that has been eroding Albanian society for decades. Such a diagnosis confirms Sartor's view, when he underlines: "Until a democracy has not yet managed to establish a solid basis for consensus, it is but a difficult and fragile democracy."[8] Albanian politics needs changes in its mentality, it must be reformed, becoming more democratic, more tolerant and more open to change.

There can be no consensual society without a set of values recognized and accepted as principles that govern its functioning. A contemporary civil society tends to resolve conflicts, agreements and compromises.

Parties and albanian political class continue to generate in its membership concepts such as: "The winner gets everything, while the loser loses everything"; "The opposition is the enemy," turning state posts and institutions in party "parcels or properties".

In his work "Social Contract" Rousseau argued the reasons for the abandonment of man from life in the free and wild natural state in the collective, ie civic. Community life is built on two main pillars, which are the rights of this individual and his duties. Community life raised the need to design a legal system, exercise the right to vote and take an interest in public affairs. But participation in social and civic activities dates back to ancient Greek civilization.

In the opinion of the eminent sociologist Ralph Dahrendorf, in ancient times "A citizen is the citizen, originally a resident of Athens in the fifth century BC."[9] It was exactly the 5th century BC the golden age of Pericles and Athens where the concepts "city", "citizen" and "citizenship" were first born. Of course these concepts are neither static nor immutable. These concepts changed and evolved in line with the progress of society.

[8] Sokoli, Lekë. *Demokracia dhe problemet sociale,* Shtëpia botuse "Isps&Rinia," Tiranë, 2002, p. 103

[9] Dahrendorf, Ralf. *Konflikti shoqëror modern,* Shtëpia botuese "Dituria," Tiranë, 1997, p. 45

Civil society is built and functions with the participation and involvement of citizens in community affairs. Ralph Dahrendorf underlines: "Citizenship is a range of rights and obligations ... Citizenship is a concrete social function."[10]

Citizens are the essence of creating social relations and, consequently, the creators of various social organizations. Establishing balanced relations between rights and duties is one of the duties and responsibilities of civil society. But what do we mean by obligations? According to him, one of the indisputable obligations of citizenship is respect for the law. This is the first obligation of citizenship. If the violation of the law is allowed to be tolerated by society, it is no longer a citizen society, on the contrary, it is an anarchic society, which is not ruled by law but by violence and as such, it loses its role as a society because it returns in a crowd.

From this point of view, civil society is the basic cell of building the rule of law, of a state in which the citizen voluntarily respects the laws and the rule of law. A citizen is one who voluntarily submits to the implementation of law, while a society that does not respect the law is a major obstacle to building of state and civil society.

The word "citizen", the sense of citizenship and civil society are closely related to each other, because without civic sense civil society can not be built and without a consolidated civil society its development is not realized. Citizenship is not a matter of personal will, but it is a social contract, which must be implemented by all members of society. There is no civil society without citizens, without people engaged in solving their problems but also of society. Citizens are able to take on the tasks and responsibilities that belong to them. The development of civil society is not a process that happens by itself, but it requires a great dedication and commitment. Civil society is a space that creates opportunities for citizens to become active democrats, makes citizens aware of their rights and obligations in society.

Civil society also makes an important contribution to the development of democratic structures and political cultures. The existence of a civil society is inevitably linked to the engagement of citizens and their participation in public life and affairs. Civil society is the only social instrument that affects the cultivation of civic responsibility, the sense of respect of every citizen for society and his state. Experience has shown that there can be no implementation of a good democratic politics and governance without citizens and a responsible society. `

The process of building a civil society is cohesive and interdependent on the level and socio-cultural environment of its citizens. Being also an important instrument in the service of strengthening freedom and democracy, we can say that, without an active and consolidated civil society, there can be no modern civilization. Civil society is the institution that organically unites civic visions and interests with the rights and responsibilities of everyone. Its existence provides the democratic system with a balanced concept of the highest responsibility for the citizen, for social groups and society itself, through the definition of rights and duties.

Even the democratic system itself cannot exist without the development of the space of thought and civic organization, which "feed it" with oxygen. Therefore, it remains a primary task for the present and the future of democracy, the functioning of strengthening civil society and the creation of a space where citizens feel themselves decision-makers. The process of European integration of our country can not be successful without the commitment of other social actors. As civic participation, the ability to self-organize, mobilize and volunteer are still at minimum levels, the very process of democracy and European integration have an insufficient pace, which does not match the goals of Albanian society. Civil society and political institutions resemble communication vessels, which enhance, nurture and empower each other.

[10] Yes there, p. 48

## 3. The relationship of the state with the intellectual elite

The rule of law is a product of the will of the citizens. The essence of its nature is related to the protection of the rights of citizens and their freedom, therefore it is also the legal-social guarantee of the state in the complex relations between state institutions, civil society, people with outstanding intellectual merits and ordinary people.

In modern societies, the state, being in the role of "regulator", also shows restrictions (up to obstacles) to the bold and progressive ideas of citizens and their elites. His relationships with the individual, in addition to common interests, is also characterized by contradiction. These contradictions and obstacles are also noticed in the relations that a new power seeks to build with the old power and the people themselves. Machiavelli, analyzing them in the circumstances of a ruling ruler, emphasizes that "the prince, who seeks to retain power, must learn not to be always good and act good or bad according to the need that will be presented to him ".[11] According to him, a new ruler in power is convinced that there is nothing more difficult to deal with and more dangerous to run than to become a ruler and try to introduce a new order. This is because a new ruler has opponents all those who have been privileged by the old power, but to some extent also those who seek to take advantage of the new power, who, as long as they do not see them new proposals are implemented, do not have full confidence and become not fully established supporters.[12]

Intellectual elites have progressive ideas and demand qualitative changes, seek the advancement of society and state institutions. But the latter prefer the status quo. Leaders of high state ranks in every country and at all times issue rules and laws to enjoy for the longest possible time privileges in relation to other strata of the population. Any change demanded by intellectual elites and ordinary people would jeopardize these privileges. For this reason, the leaders of state institutions are on the opposite side of the barricade, utilizing to the end the power of power, seeking to limit and control the activity of the people and the intellectual elites. When these contradictions are not resolved peacefully, fierce until fierce clashes or skirmishes can ensue. In order for this not to happen, it is necessary to elect in the state leadership people with high intellectual levels, reformist people.

Albania needs a reformist intellectual elite, which is going through a long period of transition also because the popular masses are disappointed by political parties of the entire political spectrum. The creation of a more efficient state apparatus would better reflect the demands of the time and would directly affect the advancement of the integration process in the European family. The basic criterion for the implementation of reforms would be the participation of the people in their design and implementation, as long as they are implemented for the benefit of the people. But this leaves much to be desired, because in practice the place of the people has been taken by their chosen ones, who do not in every case work for his interests.

## 4. The state and individual

An interesting point of view is Aristotle's worldview on the fact and circumstances of the conditioning of the universal by the individual. Such a view expresses the inseparable relationship of the state with the individual. And, just as a building is built on solid foundations, so the democracy of a society is consolidated when it guarantees the rights and freedoms of the individual. Regarding the provision of individual freedoms, much has been speculated in the former communist countries through the propaganda of the freedom of society all in all.

From time to time various observers conduct tests, which result in a "strange" fact: the people of the least developed countries are also the happiest people in the world. Thus, "these happy people" can be found in abundance in Latin America, Africa, the Far East or the backward countries of the Balkans, where the vital level per capita of the population is lower than that of the peoples living in the Nordic countries.

[11] Makiaveli, N. *Princi*, SHTËPIA BOTUESE ENCIKLOPEDIKE, Tiranë, 1992, p. 74

[12] Yes there, p. 83

In recent tests most European Union countries are dissatisfied with this union and their standard of living. Quite the opposite happens with the peoples of the countries of Southeast Europe, whose dream remains the European Union and the stad of their democracy. These two phenomena can be explained by the fact that the peoples of developed European countries demand higher living standards and are dissatisfied with their "status quo", while the peoples of Southeast European countries want to take advantage of the advantages provided by the political systems of a developed democracy.

Their dream remains to be accepted in the European Union, of the rule of law and of hearing the voice of the sovereign. In our country, the highest figure of the country, the President of the Republic, on whom all judicial power depends, he is elected according to the interests of a party group and the consequences are known: the judiciary is far from being a just power, where everyone is equal before the law.

Indeed, the state of the state-individual relationship is one of the most convincing and objective indicators that proves the level of democracy of a country. Consequently, the happiest, most self-realized and most prosperous people are those who live in the most developed and democratic countries.

Aristotle is one of the philosophers who points out the need and connection of the individual with the state, especially when he states: “He who is unable to live in a state, or he who does not need it because he is self-sufficient, must be or beast, or god.”[13] From this conclusion is self-evident the function of the state for the creation of material goods and human happiness to the highest degree.

The ideas put forward by Montesquieu on the obligations of citizens are quite current for the Albanian reality. Their non-implementation directly damages the democracy in the country and the proper functioning of state structures. Thus, the occupation of lands by party leaders, the exercise of the law of the strongest are gangrene problems of Albanian society for more than two decades. All these phenomena have essentially damaged democracy itself and the dream of the poor, who see no other way but to leave their homeland.

Democracy is the coexistence between philosophy and the concepts that guide human society to live free. Such a concept that reminds us of the sun, illuminates and gives life to all powers independent of each other: executive, legislature, judiciary, etc.

First of all, a political system is called democratic when a majority or a large number of people enjoy human freedoms and the right to vote. From this point of view it can be said that exactly the level of human rights and freedoms constitutes the essence of democracy of a developed society. A democratic state is based on the principle that the government is to serve the people, while the people are not to serve the government. In a democratic country, when citizens vote, they exercise their right and responsibility to decide who will lead them.

The citizens of a democratic country enjoy the right, that, at will, to participate freely in the political life of the society of which they belong. But, at the same time, the citizens must take into account the tasks arising from this participation. Thus they must be accustomed to how to deal with problems, show tolerance towards members of society who have opposing ideas, and, when it comes to common interests, compromise between them.

Citizenship in the above cases implies a broader definition of rights and duties, as two opposite sides of the same coin. The exercise of rights by an individual also implies the responsibility that he has for the protection and empowerment of these rights, for himself and for others. Citizens of countries with well-known traditions in the field of democracy often misunderstand this issue, taking advantage of their rights and neglecting to perform their duties and bear responsibility.

Democracy is understood as the rule of the majority, while rights are increasingly understood as the personal property of individuals and thus, as an opposition to the "dictatorship of the majority". The dialectical unity of rights and duties in a democratic society is expressed in the fact that, on the one hand, individuals enjoy the right to freedom of speech, assembly and freedom of religion, which testify

[13] Aristoteli, *Politika*, Shtëpia botuese “Plejad,” Tiranë, 2003, p. 12

to the level of a democratic society. Rights, on the other hand, are not the personal property of individuals, the means or "expression of freedom" to oppose the majority.

Democracy requires cooperation, compromise and tolerance among all citizens. After all, the highest sense of freedom is closely related to taking responsibility for the fate of the individual and the community where he lives, and not liberation from responsibility to them.

Democracy cannot turn all its citizens into exemplary citizens, as by touching a magic wand, but requires citizens to be all responsible for their rights and duties.

The essence of the democratic state depends on the establishment of a mutual relationship between the citizens and the state itself. The picture of these relations is characterized, on the one hand, by the democratic "spirit" and "climate", which guides the need of society for the establishment of democratic norms and laws. These norms and laws are best fulfilled by a rule of law that represents and fulfills the interests of the people.

On the other hand, it is characterized by the relations of citizens with the state, which can be identified with the right of the state to establish norms and laws, as well as the obligation of the citizens themselves to respect these norms.

In a state, true democracy rules only when the laws that govern it, are drafted by its citizens, based on the fact that the community of individuals constitutes society itself, where the inextricable unity and mutual dependence between the individual and society springs.

The distortion of these relations in various areas of a people's life, especially those in the economic field and in the field sharing of material goods, cause irreparable relations between society and the individual.

Lawmakers are generally people mandated by the people, but in many cases they are seduced by the idea of getting rich quick and the privileges they want to provide for themselves. Thus, it is noticed that, no matter how unfounded contradictions that the biggest political parties in Albania show, regarding the reforms in the legal or legislative field, when it comes to defining these privileges, they have always found a common language, surrounding themselves and their families with conditions that would be envied even by the chosen ones of the most developed countries of the world.

Exactly the Albanian democracy suffers from these distortions of relations between ordinary people and their elected representatives in all kinds of powers. Even the philosophers of antiquity had underlined the phenomenon of when the individual can disrupt order and the state, just as the state can harm the individual.

Therefore, Plato, in order to know the honest man and to understand what justice means in that state, advises as the best way to analyze the nature of his state. The historical epochs that man had to traverse in human society are faithfully carried by the history of the birth and development of the state, as a substantial component and cell. So Plato rightly pointed out: "The state is a man of great size."[14] Also, the state, according to him, is a natural institution, because it reflects the structure of human nature. The origin of the state is a reflection of human economic needs, as a state begins to exist because an individual is not self-sufficient.

## Conclusions

The above analysis leads us to the conclusion that the state as a political organization is in different relations with civil society and the leader elite. The concept of civil society, although it has evolved, to date does not have a single definition. In antiquity, within this concept, even the state itself was included. The development of society also brought about the evolution of this concept. Later philosophers conceived of it as the result of the union of people or a competing mechanism between individuals with vested interests. Its qualities and features and its role were embodied in American society. In totalitarian regimes they are never understood and recognized. Democratic change in a

[14] Sipas Lee Cameron McDonald, *Teoria politike perëndimore,* Shtëpia botuese "Ideart," Tiranë, 2006, p. 37

country is closely linked to the presence, level and aspirations of civil society, justified by the interests of the people. In any society and political system, civil society is the mirror where one can see the form and content of that society and the political system that governs the political and economic life of the country. Civil society is a citizen society, open, where everyone engages and participates in public and socio-economic life. Its level and activity are basic condition of integration processes.

The state's relations with its citizens and intellectual elites are not in all case agreed. This is explained by the fact that state leaders liked the status quo. the place of their ego for power, after taking this power, is occupied by the desire to run as long as possible and to benefit as much as possible from the power gained. For this, they use all the possibilities, and even draft laws compile according to their interests.

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# Public and Private Social System In Albania

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**Abstract:** The main objective of this paper is to bring a general view of the labor market, employment / unemployment rules and the economic development in Albania, considering the State Budget as a descriptive act that defines all revenue, expenditure and government investment lines in a year, as well as a reserve fund.

It is this study's purpose to focus on improving the current social insurance system through the operation of private pension funds. This would be considered as a first step to the complete privatization of this system. Through this extended study, which discusses several aspects of the matter, we aim to identify economic and social benefits from the existing Social Insurance System.

An analysis of the weak and strong points of the Albanian system compared to worldwide trends, as well as the necessity and importance of private pension funds will be also part of the study.

Taking into consideration the fact that a very large part of expenditures in the Albanian state budget goes for operating expenses (employee salaries or social security health care, among other expenses, which cover public investment spending – infrastructure improvements, investments in public facilities, etc.), we have chosen a study methodology based on surveys and empirical comparisons during the decade 2009 to 2019.

At the end of the research, beyond the results achieved, we aim to present recommendations that will lead to improvement of the existing system and social revenue management.

**Key words:** labor market, employment, unemployment, public, private, investment, budget, investments, revenue.

## 1. INTRODUCTION

The pension system is mostly beneficial for the welfare of the employees, their relatives, and the community but also fundamental to anticipate the risk for the future. The system as a whole has a special importance since it regulates and tries to minimize the difficulties for the future.

The pension scheme is structured to cover almost all predicted risks for citizens. Overall, this system works as a contract between the involved parties and also tries to include in the field most parts of society. Pension system is not only a daily discussion topic among economically active individuals and elderly, but also encourages and increases the labor force of a country.

A well-defined system indicates stability and consistency politically and socially. Theoretically speaking, the system offers nothing but benefits. Obviously, many questions arise in order to identify benefits, challenges and also doubts. Systems worldwide differ from one another, always aiming to get better.

This research study seeks to present the public and private pension schemes, reforms, and important moments that this system covers for most of the citizens. The authors, focused on themes and related research studies, aiming to answer and explain if the existing pension system needs a reformation and if it ready for challenges, instruments and technologies for the future.

The study on pension schemes analyzes the current system PAYG, private pension system and also the public and private institutions.

## 2. METHODOLOGY

The focus of this research study is directed toward Social Insurance schemes in Albania and it is also an effort to understand better both public and private sector. A detailed literature review was done in combination with a statistical analysis to gather open data.

Basically, this research is structured in a certain way that draws many conclusions and suggestions for improvement. This will contribute to analyze schemes and make sure if they provide a good choice for Albanian citizens.

The data collected in this research proved to be very beneficial and revealed many interesting results. The study is focused mostly on people that are in living and are already in a work relationship in Albania.

## 3. LITERATURE REVIEW

Pension is an issue which has an expanded interest among people. The trends are changing around the world and Albania has also embraced the latest tendency. Actually, we should face some of the major problematic worldwide such as: Pandemic situation, the use of new technologies, globalization, movement plan of mankind etc. In today's circumstances, where life expectancy is increasing day after day and birth rates decreasing, the retirees are increasing faster than labor force.

So, we are facing some big questions. Around the world there are many examples, how different countries have adapted their pension system in line with significant demographic changes they are experiencing. But not all good for a country can be good for another. Pension reforms must be in line with economic, political and social characteristics of any nation.

In the conditions when the Pay-As-You-Go system is failing day by day, the reform seems very urgent and indispensable. Pensions have long been one of the sharpest issues faced by all Albanian governments. They have been a source of criticism by international organizations and have costed the state budget more than 1% of GDP per year, thus preventing the realization of public investments necessary for infrastructure development and the Albanian economy.

Another concern are also the effects they have on creating distortions in the labor market, keeping high levels of informal economy, and so on.

In the literature reviewed (Primer, 2008) according to the World Bank is recommended a four column for the pension system. The first is often known as the zero pillar which means some support for the elderly no matter how much they have contributed, is a publicly administered mandatory pension, typically a definite benefit. The second pillar is an annuity, compulsory, privately managed and third pillar voluntary contribution. A "third-pillar" in voluntary take different forms such as: individuals can save for retirement, disability or death; employer sponsored; defined benefit or defined contribution etc, but essentially is flexible and discretionary in nature. Third pillars compensate for rigidities in the design of other systems but include similar risks as second pillars; and a "fourth pillar", non-financial that includes access to informal support for example family support, other formal social programs (such as health care and/or housing), and other individual financial and non-financial assets (such as home ownership and reverse mortgages where available).

## 4. RESEARCH DESIGN AND TECHNIQUES

According to the unemployed chronological data collected is included the period 2009-2020, analyzed not only by years and age groups, but also by gender. The main way an unemployed person finds a job for 2009 is asking friends or relatives and another form is by applying directly for another job and contacting the Public Employment Office.

For this period of years unemployment rate explain that male are much more active in the labour market.

Table 1: Unemployment rate by age groups

| YEAR | Unemployment rate 15-29 years old | | Unemployment rate 30-64 years old | | Unemployment rate 15-64 years old | |
|---|---|---|---|---|---|---|
| | Male | Female | Male | Female | Male | Female |
| 2009 | 26.2 | 28.3 | 9.6 | 13.4 | 12,2 | 15,9 |
| 2010 | 23.8 | 20.7 | 8.3 | 14,0 | 12.8 | 15.9 |
| 2011 | 25.4 | 20,9 | 9,7 | 11.9 | 13.9 | 14.1 |
| 2012 | 31.4 | 21.9 | 10.2 | 9.7 | 15 | 12.5 |
| 2013 | 32,5 | 26,1 | 10,9 | 13,1 | 14.5 | 17,0 |
| 2014 | 35,6 | 27,4 | 17,9 | 13,3 | 19,7 | 15,5 |
| 2015 | 32,3 | 34,7 | 12,5 | 13,9 | 17,5 | 17,4 |
| 2016 | 29,7 | 27,8 | 11,8 | 10.2 | 16,4 | 14,6 |
| 2017 | 27 | 24 | 10,8 | 8,6 | 18,5 | 16,7 |
| 2018 | 29,6 | 26,0 | 12,3 | 11.9 | 27.5 | 25,7 |
| 2019 | 29,7 | 26,1 | 15.8 | 13.5 | 29,4 | 28,3 |
| 2020 | 27,0 | 25,9 | 18.6 | 16.2 | 32.5 | 31.2 |

Source: Author's calculations

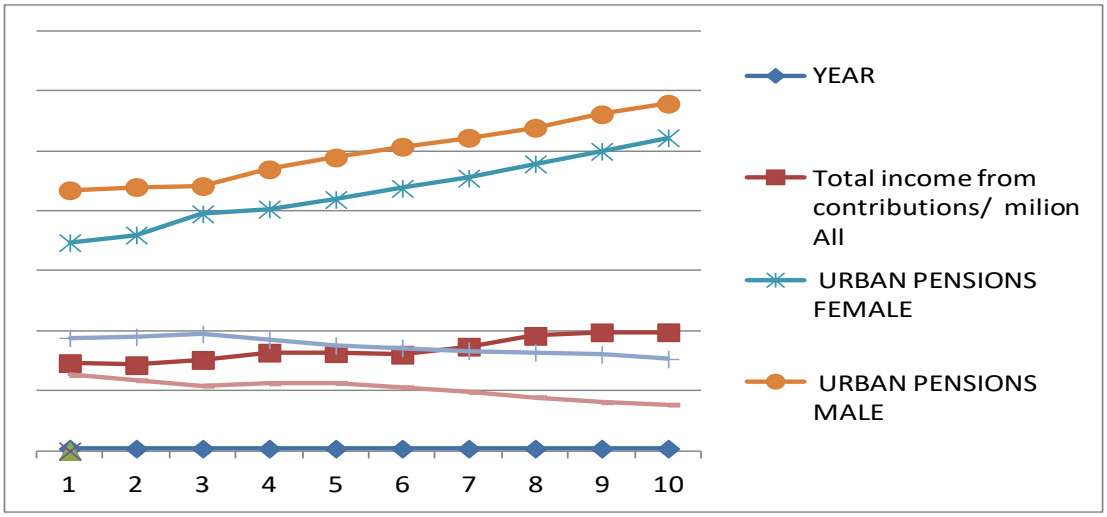
The public social system in Albania has been established since 1991. Social Insurance Institutions a public institution under the Ministry of Finance and Economy represents a consolidated system but still needs improvement as it is a fact that the benefits are smaller compared to the contributions.

Table:2 Income from contributors in Milion All & no. of urban and rural pensions per year

| YEAR | Total income from contributions/ milion All | URBAN PENSIONS | | RURAL PENSIONS | |
|---|---|---|---|---|---|
| | | FEMALE | MALE | FEMALE | MALE |
| 2011 | 73,276 | 173,663 | 217,293 | 94,339 | 63,320 |
| 2012 | 71,545 | 179,945 | 220,014 | 95,173 | 58,970 |
| 2013 | 75,887 | 197,630 | 220,769 | 97,524 | 54,500 |
| 2014 | 81,980 | 201,623 | 234,714 | 92,683 | 56,463 |
| 2015 | 81,524 | 209,561 | 244,602 | 87,942 | 56,827 |
| 2016 | 80,277 | 218,863 | 253,527 | 85,962 | 53,192 |
| 2017 | 86,957 | 227,396 | 261,012 | 83,485 | 49,293 |
| 2018 | 95,955 | 239,311 | 269,340 | 82,202 | 44,882 |
| 2019 | 98,906 | 249,755 | 280,576 | 80,539 | 40,669 |
| 2020 | 98,973 | 261,035 | 289,385 | 76,728 | 38,715 |

Source: Author's calculations

Chart:2 Income from contributors in Milion All & no. of urban and rural pensions per year




Source: Author's calculations

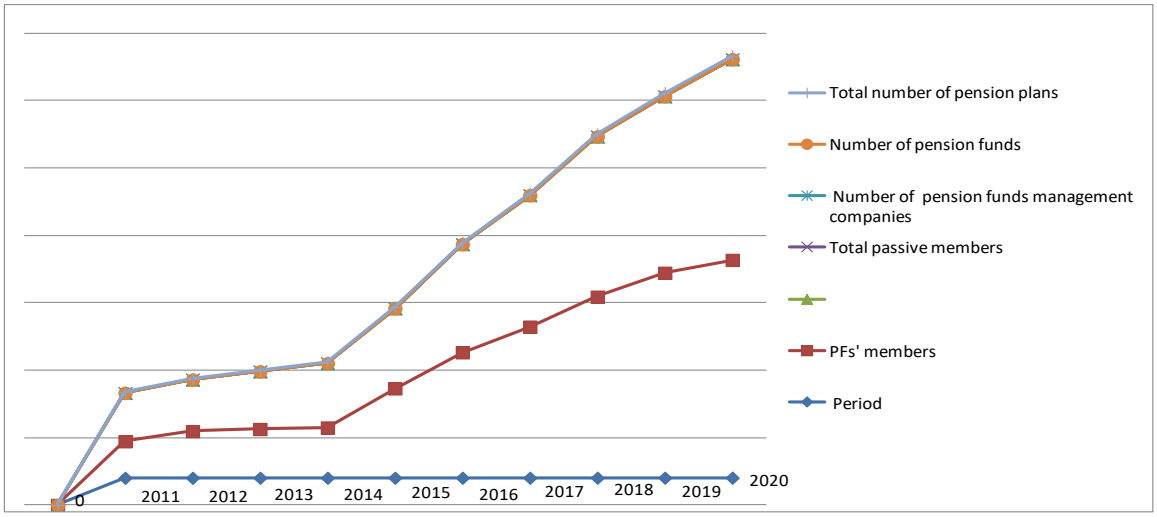
For the private sector companies like RAIFFEISEN INVEST, SIGAL – Life UNIQA GROUP AUSTRIA, CREDINS INVEST operate in the sector. Beginning in 2019 onwards the company ALBSIG INVEST started operating in the Albanian market, making that 4 companies operating in the private sector, and the research is expand until 2020. In the table below, characteristics of the private system for the period 2011 – 2020 have been gathered and analyzed.

Table:3 Key characteristics of PFs' Market

| Period | PFs' members | | Total passive members | Number of pension funds management companies | Number of pension funds | Total number of pension plans |
|---|---|---|---|---|---|---|
| | females | males | | | | |
| 2011 | 2,711 | 3,584 | 0 | 3 | 3 | 54 |
| 2012 | 3,460 | 3,821 | 0 | 3 | 3 | 65 |
| 2013 | 3,615 | 4,272 | 0 | 3 | 3 | 67 |
| 2014 | 3,727 | 4,764 | 0 | 3 | 3 | 76 |
| 2015 | 6,626 | 5,933 | 0 | 3 | 3 | 97 |
| 2016 | 9,301 | 8,016 | 0 | 3 | 3 | 107 |
| 2017 | 11,201 | 9,746 | 0 | 3 | 3 | 148 |
| 2018 | 13,422 | 11,876 | 0 | 3 | 3 | 182 |
| 2019 | 15,192 | 13,081 | 0 | 4 | 4 | 266 |
| 2020 | 16146 | 14874 | 0 | 4 | 4 | 238 |
| | 85,401 | 79,967 | | | | |

Source: Author's calculations

Chart: 3 Key characteristics of PFs' Market




Source: Author's calculations

Table 3 and Chart 3, present the number of members in private pension funds has increased for the period 2011-2020. Also, is noted that the total number of female contributors is 85,401 and the number of male contributors is 79,967.

## 5. DISCUSSIONS AND CONCLUSIONS

Pension reform should be conceived and designed based on the particular political, economic and social characteristics of a country. While a multi-generational system can undermine international competitive advantages, a very tight system can create social tensions.

The first column, despite the parametric reforms that have been made, continues to be problematic, especially because of the high transfers required by the state budget, the high contribution rates, the weak link between contributions and benefits, low ratios of substitution and high dependency ratios.

The government must continue its efforts to achieve its goals for a progressive in- crease in pensions with a higher percentage of rural pensions that seek to match the minimum level of urban pensions. If a fully funded system is established without first balancing the current system, this will bring the debt up to the current and the whole system will never work.

Transition costs will be totally unaffordable and the fully funded system will be forced to place all the money on government bonds to finance transition costs that will result in or reduce pension benefits in solidarity system, or cuts in other vital social programs, education and health.

PAYG system is indispensable because it is almost impossible to reject the rights acquired over time by the middle-aged or pre-retirement population, unemployment and maternity benefits, as they offer public goods serving general welfare and should be funded collectively, social protection for the elderly population cannot be exposed to the risk of creating a capital market etc.

Lastly, any reform will be judged by the assembly: well-crafted, timely well implemented with an immeasurable reform that, over time, loses its controversial boundary by becoming convincing and successful. By contrast, a badly drafted, not timely and improperly executed reform would speak of a deficient and irresponsible reform.

System dependency coefficient, which is the total number of beneficiaries in relation to the total number of contributors, shows that Albania has the highest ratio in the region and one of the highest in the world.

Social Insurance Institutions should assume their responsibilities to raise their level contributing to contributions. Regular controls of existing businesses in relation to their contracts and employees would help to avoid contributory evasion.

Designing and implementing some important parametric changes to the Social Insurance Scheme, would aim at making it as attractive to the general public as possible sustainable and financially sound.

Increasing the management capacity of the institution would have an impact on strengthening the organizational structure at the center and on the basis, with the aim of collecting contributions, minimizing contributory evasion and carrying out timely and quality customer service.

Increasing the level of income would have an impact on mitigating the problems in the compulsory scheme of insurance, providing for income individuals enough so that they take the initiative of contributing personally.

It is also important to provide complete information about the existence, the way of fixing and the advantages that accompanying the creation of Private Funds as an alternative to a solution and a secure future.

The government should create easier conditions for accepting the activation of the Private Institutes on the stock exchange, for the purpose of development and support of Private Funds in Albania.

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# Implementation of knowledge management systems (KMS)

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**Abstract:** New information systems enable the establishment of new management areas like knowledge management. Managing the knowledge, managers at different levels in the organization are allowed to successfully solve problems, using their knowledge and using all other expert knowledge.

Knowledge structuring enables efficient and effective problem solving, facilitates learning, contributes to strategic planning and decision making. Information technology that enables knowledge management in organizations is represented by knowledge management systems.

Knowledge management systems support networks of Knowledge Workers in creating, constructing, identifying, collecting, selecting, evaluating, organizing, linking, structuring, visualizing, distributing, retaining, maintaining, refining, developing, accessing, search and application of knowledge to support dynamic organizational learning and organizational effectiveness.

Information systems are designed to support and manage organizational knowledge that needs to be expanded to help improve the activities and knowledge of individuals as well as groups. To achieve this the information system needs to be rooted in the organization to understand the nature and type of organizational knowledge. Understanding knowledge from different perspectives is very important because it enables easy formation of management strategies and the role of information technology in knowledge management.

**Keywords:** knowledge, knowledge management, knowledge management systems.

## 1. INTRODUCTION

The last decade of the last century will be remembered for the rapid development of information technology. New information systems enable the emergence of new management areas, ie knowledge management. Managing the knowledge of managers at different levels in the organization allows them to successfully solve problems, using their own knowledge and using all other expert knowledge.

The main problem that managers face when setting up a knowledge management system is to motivate employees, to contribute, to make their knowledge available, to encourage them to use it freely without fear of sharing it with other colleagues in the organization.

It is necessary to develop a knowledge management system to use one's intellectual capital and the knowledge of employees.

Guided by the idea that "people know more than they think," the problem is how to turn that knowledge into a form that can be made available to other people. The solution to the problem is seen in the structuring of knowledge and the adaptation of that knowledge to be used by others.

## 2. APPLICATION OF THE KNOWLEDGE MAMAGEMENT SYSTEM

Knowledge structuring enables efficient and effective problem solving, facilitates learning, contributes to strategic planning and decision making. Information technology that enables knowledge management in organizations is represented by knowledge management systems (eng. Knowledge management systems).

The initiatives for the introduction of knowledge management systems are ranked according to the most important reasons:

- increase of profitability and income (67%);
- protection of talent and expertise (54%);
- improving services to customers and improving their satisfaction (52%);
- insurance of the organizational part of the market in the fight against the competition (44%);
- shorter time for the introduction of new products (39%);
- entry into new market segments (39%);
- cost reduction (38%);
- development of new products and services (35%);

Knowledge management systems support networks of Knowledge Workers in creating, constructing, identifying, collecting, selecting, evaluating, organizing, linking, structuring, visualizing, distributing, retaining, maintaining, refining, developing, accessing, search and application of knowledge to support dynamic organizational learning and organizational effectiveness.

When it comes to the application of the knowledge management system we need to process the technologies implemented in that system, its management strategies, its processes, and development steps.

Knowledge management strategies

Today we can identify two different knowledge management strategies: codification strategy and personalization strategy.

The codification strategy is most often used in companies that deal with the sale of relatively standardized products that meet the most common needs. According to this strategy, the knowledge is encoded and stored in knowledge repositories which according to their structure are databases from where the knowledge is delivered to the users of the company or the clients. The companies that will implement the personal strategy implicitly accept the model of data storage in the warehouses of knowledge management systems.

Most of the knowledge of enterprises, which has value, is quite explicit due to the standardization of products and services. An example is the companies that perform serial production of products and which did not need to change production techniques and technologies for a longer period.

Companies that have adopted the codification strategy can perform the task of preserving explicit knowledge with a high degree of efficiency, but they still receive very little benefit in trying to preserve explicit knowledge, which, if available, is not useful and has little significance. Despite these facts, larger companies such as Ernst & Young are investing in the codification strategy and system to increase the efficiency of the process itself.

A personalized strategy is accepted by companies that provide solutions to unique problems. In these companies, the knowledge is transferred through the mutual contacts of the employees which are assisted by the methods for collaborative computer work. The knowledge that exists in these enterprises is by nature implicit and as such it is difficult to present, preserve and manage, due to which they maximize the availability of explicit knowledge that shows the way we can reach certain implicit knowledge.

The challenge for companies that adopt the personalized strategy, and thus the network documentation model, is the development of methods that enable the conversion of implicit knowledge into explicit, its storage and transfer from knowledge repositories to knowledge management systems. Several large consulting firms have developed such methods, first storing indicators for experts in the knowledge management system and then advice, procedures, best practices in certain situations, and the contexts in which they have worked. These companies, in order to develop their personal strategies, have

invested in the construction of human networks, communication techniques, and technologies such as telephony, e-mail technology, and video conferencing.

Companies that tried to use both strategies simultaneously (50/50) in their knowledge management efforts generally failed. Companies that tried to implement only one of the two strategies were also unsuccessful. The best combination of these two strategies can be found in the ratio of 80/20%. If the personal strategy is mainly used, the company will need to provide codified knowledge in the warehouses, because in that case, the people in the companies will have access only to the knowledge that is of great importance to their workplace. In the case of using the codification strategy, there is a need for access to people who contribute to the creation of knowledge, due to additional tips and explanations.

Creating a "knowledge" strategy usually contains a methodology that consists of the following steps:

- Problem Identification - Corporate knowledge is often found in isolated systems called knowledge silos. The very way of access and the technological barriers that protect this knowledge lead to the distrust of the users regarding the quality and value of the knowledge that the company owns and keeps. Segments of knowledge need to be identified.
- Preparing for change - this refers to the conditions of business efforts, most often in the way of doing business.
- Team building - most of the companies that have successfully implemented the knowledge management system have created a knowledge management team at the corporate level, responsible for the implementation of pilot projects. This is achieved in situations in which the Chief Officer of Knowledge is appointed as the leader of the efforts undertaken in knowledge management;
- Knowledge mapping - represents the process in which knowledge is identified, finding its place, and finding the individual who needs that knowledge. When the knowledge map is clean, defined, and prioritized, the knowledge management system can be implemented through key features and appropriate identified technologies.
- Creating a feedback mechanism - indicates to the management the ways in which the system is used and notifies him of any difficulties.
- Defining building blocks - used for a knowledge management system. The basis of the structure of a knowledge management system should consist of knowledge repositories, knowledge retrieval and input processes, knowledge retrieval systems, knowledge directory, and satisfaction management.
- Integration of existing information systems - in order to contribute and preserve knowledge in an appropriate format.

When the "knowledge" strategy is set up, the system is developed. Most often in the process of developing a knowledge management system is used prototyping with small groups in pilot programs. If the prototype shows good results, the system is expanded by including employees in it.

Before starting any process of implementation and development of the knowledge management system, as part of the problem identification phase, there is a need to perform a process of revision of existing knowledge. The knowledge audit will show us the level of knowledge that the organization possesses, as well as the flow of knowledge through the company. Such an audit may indicate weaknesses, and thus necessary changes in the organization, organizational behavior, personal behavior, business processes, and technologies in order to use the knowledge to increase competitive advantage. The audit identifies the processes and individuals that act as a knowledge barrier and identifies and selects the actual information that individuals need, delivering it from the best sources. The biggest benefit of knowledge auditing is getting an answer to the question related to the social readiness of the enterprise for transformation into a knowledge organization.

The biggest challenges in implementing enterprise knowledge management systems in practice are:

- Lack of understanding of knowledge management and its advantages

- Lack of time for employees to study knowledge management
- Lack of skills related to knowledge management techniques
- Failure of the organizational culture in encouraging the exchange of knowledge
- Lack of encouragement for knowledge exchange
- Lack of funding for knowledge management initiatives
- Lack of appropriate technology
- Lack of commitment to management.

To overcome these challenges, it is important that knowledge management is not considered a business, and the same process can succeed if the organization successfully follows the intended path of implementation.

In order to be able to successfully implement knowledge management systems, certain resources are needed. Their height will vary depending on the type of system to be installed. The company that will accept the personalized strategy and uses the network storage model will not have to use special tools in the implementation. In general, collaborative computer technologies of knowledge management systems can be operated by IT departments as part of their routine tasks. However, due to the fact that the best enterprise strategy is a combination of the two strategies in a ratio of 80/20%, companies for their knowledge management systems must create a dedicated team that will manage the repositories of knowledge. Companies that adopt the network storage model need minimal storage, which should be occasionally monitored. The contribution of knowledge can be managed with the help of experts working with knowledge.

The situation of the companies that will accept the codification strategy is very different, and thus the storage model. These companies need a team that will be dedicated to the development of the system, as well as the management and maintenance of knowledge repositories. To maintain such a knowledge management system, companies can have one knowledge center with 24-hour working hours throughout the week or several centers that would be geographically distant from each other, which would be reference libraries. Most teams consist of a manager and a knowledge specialist, whose task is to filter and sort knowledge in order to achieve consistency, accuracy, and speed in finding the necessary knowledge, thus helping their clients in finding knowledge. The knowledge specialist has knowledge of the organization of knowledge which minimizes the time for finding specific knowledge. It can send certain information to customers (users), whether they requested it or not.

One of the most common applications of knowledge management is benchmarking in order to convey best practices (KPMG 1998a). For example, An insurance company is facing competition and declining profits. By applying the current best internal practice, through the knowledge management system, the company moves to a more profitable market segment, and thus increases revenue.

Another common application of knowledge management systems is corporate directorate, known as directing internal experiences, potentially useful for application in knowledge management.

A third common application of knowledge management systems is the creation of knowledge networks. In this case, the knowledge management system is less focused on evaluation, ie it aims to gather individual experts from different fields to facilitate the sharing and application of knowledge. Online forums for interactive communication and discussion can form a knowledge network.

Information systems designed to support and manage organizational knowledge need to be expanded to help improve the activities and knowledge of individuals as well as groups. To achieve this the information system needs to be rooted in the organization to understand the very nature and type of organizational knowledge. Understanding knowledge from different perspectives is very important because it enables easy formation of management strategies, but also the role of information technology in knowledge management. In the field of information systems (IS) it is common to create systems based on codified, explicit knowledge. The reporting system, the decision support system, and the enforcement system are aimed at collecting and disseminating that type of knowledge.

## 3. MANAGEMENT OF KNOWLEDGE MANAGEMENT SYSTEMS

The basic question for management is - identifying the factors that lead to successful knowledge management. It also raises the question of determining the value of the intellectual property of the organization and the value of management knowledge.

Organizations that have successfully developed knowledge management systems can achieve the following benefits:

- reduction of the loss of intellectual capital;
- reducing costs by reducing the number of repetitions in case the organization is forced to solve the same problem and achieve economies of scale in obtaining information from external suppliers;
- reduction of redundant knowledge-based activities;
- increase productivity so that knowledge will be quickly and easily accessible;
- increasing employee satisfaction with the opportunity for personal development and advancement

The key factors that lead to the success of a knowledge management project are:

- connection with the economic value of the organization and demonstration of economic power;
- technical and organizational structure on which it will be built;
- standard and flexible knowledge structure that corresponds to the way the organization does its work and uses the knowledge;
- a culture that values knowledge and leads directly to customer support;
- clear purpose and language in order for the users to want to buy shares from the system;
- change in motivational practice to create a culture of knowledge to be shared;
- multipurpose systems for knowledge transfer;
- support of senior management, which is crucial for initiating projects, for providing funds to determine the necessary knowledge.

A big problem in top managers' decision-making for establishing knowledge management systems is the traditional way of financially measuring values because intellectual capital is not considered a tool. When valuing intangible resources, there are a number of new ways of looking at the capital, such as:

- external relations capital - how the organization connects with its partners, customers, suppliers, etc.,
- structural capital - systems and work processes that increase the advantage,
- human capital - individual ability, knowledge, skills, and other things that people possess,
- social capital - quality and value of relations with the wider social community,
- environmental capital - the value of relations with the environment.

Traditional bookkeeping estimates are insufficient to measure the value of knowledge management systems but are often used to quickly prove the validity of setting up knowledge management systems.

As more and more organizations develop their knowledge management methods, some basic rules become clearer. Success depends on clear strategic logics for sharing knowledge with others, choosing the appropriate infrastructure (technical or non-technical), and removing typical barriers: motivation to share knowledge with others, resources to master and consolidate organizational knowledge, and the ability to move forward the network of knowledge and finding the right people and data.

Organizations often opt for an assumption-based approach that knowledge is a tool when it comes to managing it or one that links knowledge to applications and business benefits. The first approach starts

from identifying intellectual assets, then directs the management's attention to their growing values. The other approach uses so-called balance sheets, where financial measures are balanced in terms of customers, processes, and innovation measures.

There is no system that is flawless. There are many cases of knowledge management failure. Knowledge management failure rates range from 50% to 70%, with failure being when all the main objectives have not been achieved. Failure occurs when knowledge management relies on technology rather than the question of whether the proposed system will meet the needs and goals of the organization and its individuals.

Most organizations do not want to sell knowledge unless it is their core business. The knowledge of an organization is an asset that has a competitive value, and if they leave the organization, it loses its competitive advantage. However, it is possible to determine the cost of knowledge and access to knowledge to pay the organization to sell them. Large consulting firms sell expertise. Their knowledge management efforts, emerging as internal systems, are evolving into value systems that their clients regularly use.

Organizational culture must be shifted to a culture of sharing. This is achieved with the help of strong leadership and provided knowledge management tools that improve human performance. Encouraging the use of systems depends on people being properly motivated to impart their knowledge in order to contribute to a successful business. People should be motivated to use knowledge from knowledge management systems so that it would be part of their work and upgrade mechanism.

## 4. METHODOLOGLY FOR THE INTRODUCTION OF KNOWLEDGE MANAGEMENT SYSTEMS

Knowledge management can be considered an important part of the process architecture in the organization, where the basic preconditions are regulated according to the business processes. For knowledge management to be more successful in the organization, it is necessary to establish organizational and information infrastructure, which would enable the search, creation, and exchange of knowledge in the organization.

Necessary steps and preconditions for knowledge management in the organization according to O'Dell:

- To conduct research where the source of knowledge is located, the flow of knowledge, and the needs for knowledge;
- Creating a strategy for introducing knowledge management;
- Connecting people, ie exchanging their implicit, declarative, and procedural knowledge;
- Understanding knowledge through learning, seminars, and demonstrations;
- Providing people with resources and infrastructure for further progress and discovery of new knowledge;
- Creating repositories of knowledge and providing access to resources that serve to recognize existing and new knowledge;
- Teaching people to exchange knowledge with each other;

Siemens' approach to introducing knowledge management systems in organizations:

- Establishing an interesting group for knowledge management to study other people's experiences;
- Identification and creation of repositories with knowledge (required support of top management and middle management);
- Creating application support for knowledge management;
- Knowledge management outside of ShareNet that includes: knowledge repositories, chat rooms, and search engine or Search Engine;
- Motivating the employees for mutual exchange of knowledge;

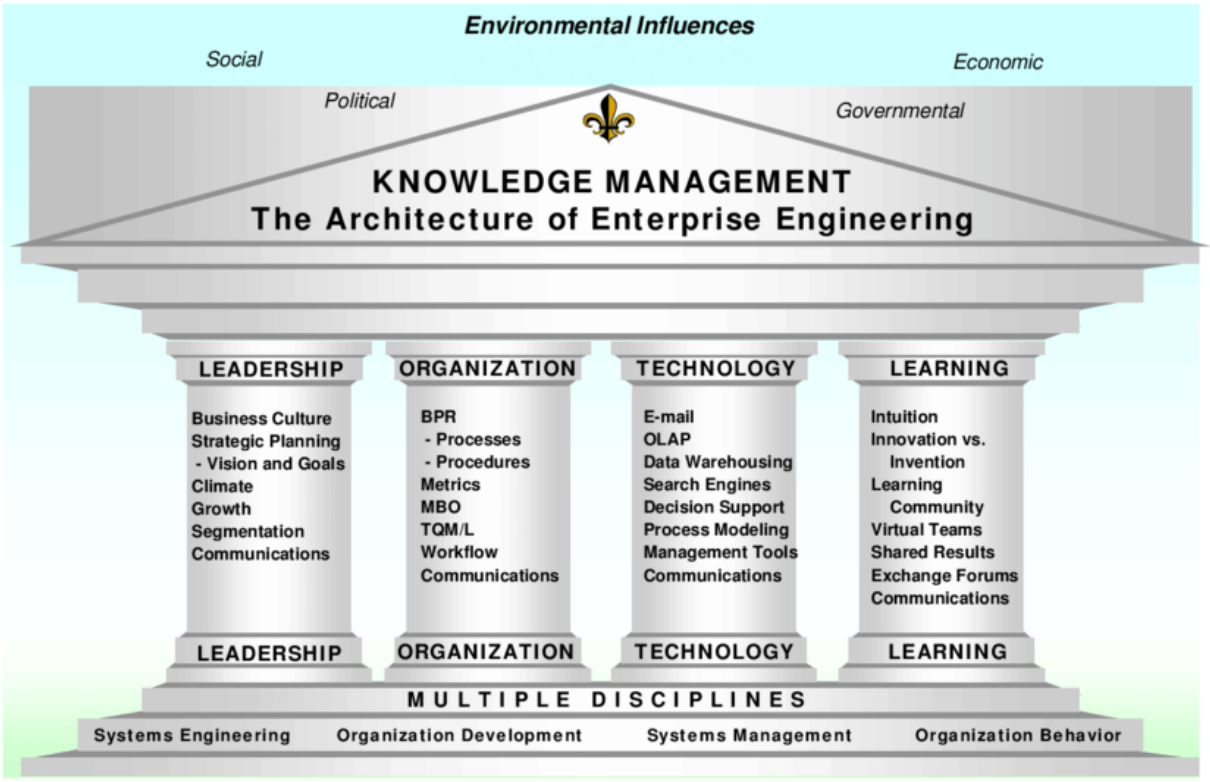
Methodology for introducing knowledge management systems in 12 steps.

The authors' Calabrese and Orlando in their papers give a brief description of the implementation of knowledge management systems based on a case simulation of the use of MS Access and Lotus Notes technologies.

As a result of practice and research we can determine that knowledge management requires four elements:

- leadership
- organization
- technology
- learning

These four elements are the result of every knowledge management system in the organization and from that point of view, we can define knowledge as a key resource for decision making, forecasting, design, planning, then analysis, evaluation, and intuitive judgment.




*The four pillars of Knowledge Management (Baldanza and Stankosky 1999)*

Knowledge management can be traced through four parts. Each department is responsible for the individual steps of introducing knowledge management systems in the organization. Although management is aware of the importance of knowledge and knowledge management in organizations, only recently have organizations recognized that knowledge should be systematically managed using knowledge management systems in order for knowledge to be a strategic resource and an important factor in the operation of organizations.

The main steps of the methodology for introducing knowledge management systems in 12 steps are:

*Part One – LEADERSHIP*

1. Identification of the key knowledge needed by the organization - the first step of the methodology that has the task to identify and inventory the sources of knowledge in the organization.

2. Conduct performance-oriented analysis - the analysis refers to:

a) User profiling:

- project manager
- system engineers
- test engineers
- configuration management

b) Products:

- configuration management portal
- reports
- education plan

c) Collaborators:

- project manager
- system engineers
- test engineers
- configuration management

d) Information

- CM Base (CM - Content Management)
- SRMR repositioning process
- project descriptions
- RM advertisers

e) Technology

- computer networks
- Lotus Notes
- MS Access

3. Proposing an action plan to the management - preparation of a study and an action plan for the introduction of knowledge management systems in the organization, which includes a list of activities, charts, actions, deadlines, goals, and resources.

*Part Two – ORGANIZATION*

4. Involvement of key people and entities - a key factor for success is the selection of a knowledge management team that includes the best people from different areas of work. The knowledge management team should include content analysts, system integrators, developers, testers, and RMO program managers. The team thus formed should be a community of practice (CoP).

5. Development of the model of the knowledge management process - the project aims to create a portal to the SM databases by managing the configuration and partitioning of disks, and thus the system user should not know where the documents and information are located. . Information should be searched using advanced search engines using taxonomy or CML ontology.

6. Identify critical differences in knowledge, opportunities, and risks.

7. Setting goals and priorities - primary goals of the project are:

a) Providing a reference catalog for the SM database

b) Providing access to basic documentation

c) Enabling unique access to control information

d) Preparation of reports

e) Enabling simple communication between analysts, configuration management, and users

f) Providing simple access to the users of the SM database and sharing the space.

8. Defining the needs and making a measurement plan - the goal is to turn implicit knowledge into explicit knowledge with the help of knowledge management systems. Guided by that idea, the goal is to define the needs so that users will have access to knowledge with three clicks on the portal. Also, this new portal should provide quick access to basic documentation and enable the movement of various reports.

Needs can be divided into:

a) Functional needs - construction of knowledge management systems around the central SM repository which contains basic documents, electronic links, plans, information on project control points.

b) Management needs - serves to support management processes and workflows

c) Performance needs - to the desired information through three clicks

d) Technical needs:

- use of the existing infrastructure
- use of Windows operating system
- use of MS Access as a restricted access portal
- Lotus Notes e-mail link

*Third part – TECHNOLOGY*

9. Determining a strategic approach - knowledge exists in two types: we know the subject knowledge ourselves or we know where to find information about it (Samuel Johnson). The steps consist of:

a) Formation of a Community of Practice

b) Building knowledge bases on the portal using configuration management resources

c) Providing education

d) Collecting feedback from the user with the help of a questionnaire or similar.

e) Learning from experiences and results, and especially from mistakes

10. Implementation of strategy, construction, and implementation of the solution of knowledge management systems - according to the defined strategy from step 9 can start with the implementation of the solution of knowledge management systems. The collected requests are analyzed and evaluated, and the implementation is divided into two phases. In the first phase, we are working on building a portal, while in the second, final phase, metrics, reporting, virtual checkpoints are added and user access is provided.

The role of the CoR community is focused on innovation, ie the introduction of a portal with links and search engines. It is very important how the entrance page of the portal is designed which must be intuitive and easily accessible.

11. Monitoring, measurement, and reporting according to metrics - a key function of the portal is to monitor the use of individual content. Such information is crucial for the SOR community to manage the further development of the portal and the knowledge management systems as a whole. New user requirements can also be tracked.

*Part Four – LEARNING*

12. Learning from results and experiences - a common situation in organizations is that there is no edited data on electronic content, and even evident books and other literature are incomplete. In-network conditions, the SM analyst must gather information in his own way and build a guide that will reference the electronic contents and documents. Implicit knowledge is welcome in systems development, but knowledge of SM databases and how to use the portal must be explicit, ie codified in catalogs.

## 5. SUMMARY

Of all the resources available to organizations, the most valuable in modern business today is knowledge, ie intellectual capital. Because it is obvious that people's knowledge is much greater than what is used in business, there is a need for effective knowledge management. The knowledge that people have can be properly measured and considered as part of the overall values of the organization. More specifically, in the Republic of Macedonia, knowledge is often stagnated or lost due to inappropriate treatment in order to further learning and increase competitiveness. As a rule, knowledge is lost when an individual leaves the business system, due to inadequate cooperation and documentation. The transition of developed countries and some developing countries to a "knowledge economy" has resulted in increased awareness of knowledge as a key indicator of the growth of the national economy.

Knowledge management through the application of the concept of business intelligence is a necessary element in the strategies for successful global business systems. The strategic needs of organizations to create new knowledge reach synergy through information processing with the help of advanced information and communication technologies and the use of innovative and creative capacities that are hidden in human society. The knowledge management process greatly facilitates the process of solving management problems.

Knowledge of modern trends and management tools, as well as their application, is necessary for development, and especially for gaining a competitive advantage, ie for the survival and advancement of business entities in the market.

The business entities that are found in the market today are surrounded by very strong competition and developed distribution channels, and there are many more products and services than necessary. In order to survive in such an environment, it is not enough to be average, but one should aim at the very top. That goes without saying knowledge of how to survive in such an environment. For a good operation of an organization, it is necessary to know how to use the knowledge it possesses and at the same time to know how to manage it in order to achieve a competitive advantage.

In the dynamic development of organizations in the world, it is necessary to keep up with events, and nowadays for organizations, it means mandatory implementation of the knowledge management process in order to increase the competitiveness and profitability of the organization itself.

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# The impact of tourist guides on increasing tourists satisfaction. (Case study Korca Region, Albania )

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**Abstract:** Tourism is a multidisciplinary industry and therefore involves many different stakeholders for its operational activities. An essential active stakeholders in this industry are the tourist guides .The tourist guides play a major role in the tourism industry since tourists need to have a clear picture of the country and its offerings, laws, rules and regulations and other expected behavioural patterns. Moreover, guides should have the ability to transform the tourist visit into an unforgettable experience. Studies on tourist guides in the world are few. In Albania, studies in this field are almost non-existent, because it is a profession developed in recent years. I conduct this survey to see the reaction of tourists on the role of travel guides in growing theirs satisfaction. This study gives in general, the ancient history of this profession as well as skills and qualities that a tourist guide should have. This research aims to ascertain the role played by tour guides on the satisfaction level of tourists participating in guided tours in Korca region .Another aim of this research is to determine the impact level of tour guides on the possible re-visit intention of tourists to the same destination. Based on 100 completed surveys from international tourists, the findings revealed a significant relationship between tourist satisfaction, re-visiting intention and tour guiding service. Following the evaluation of the findings, recommendations were developed for the tourism industry.

**Keywords:** tourist guide, tourism, destination, customer satisfaction, customer.

## 1.1 Introduction

In today's global economy, tourism is one of the world's largest industries. In the last few decades tourism has developed into a complex service industry. Local destinations have to offer only their best in order to satisfy tourists. In that respect, tourist guides represent an important part of the tourism industry. Historically, the tourist guide is one of the oldest activities in the world. Referring to the tourist literature, a tourist guide is the representative of a tourist destination, an "ambassador" in the eyes of tourists. The tourist guide is one of the important factors of the successful presentation of contemporary tourist destinations, influencing the economic and social benefits of the country, city or area where it operates. Local tourist guides should represent the local community and show the most important and the most interesting sights of a given destination. In order to become a tourist guide one must obtain proper education and an appropriate certificate. Taking into account the tourist market needs and incoming tourist groups, tourist guides should be adequately prepared. This paper aims to explain the impact that tour guides have on tourist satisfaction. In tourism studies, considerable attention has been paid to tourist satisfaction that depended on various factors, but relatively little attention has been paid to the effect that a tour guide may have on tourist satisfaction but also on his loyalty to a destination. From the above research there are relationships between tour guide and tourist satisfaction as well as between tourist satisfaction and tourist's intention to return to a destination. Understanding the factors affecting tour guide performance, and the relationship between tour guide performance and foreign tourist satisfaction is considered essential in order to increase competitiveness and develop the tourism sector.

## 1.2 Scope of the research

The main objective of this study is to identify specific attributes of tour guide performance for improving the foreign tourist satisfaction and destination loyalty in the context of Korca region in Albania . By building on industry, strategic human resource management and customer satisfaction studies, the research will focus on the impacts of tour guide performance on foreign tourists' satisfaction in the

Albaian tourism industry. The research model includes the factors of tour guide leading to gains in the level of satisfaction of tourists. As most of the research in the tourism sector has focused on the perception tour guide at tourist's approach, this study extends knowledge by examining tour guide performance at the various points of view from tourist to tour guide and tour manager in the Korca region tourism industry. The lack of understanding of impacts of tour guide performance on tourist satisfaction as well as the relationship between tourist satisfaction on tour guide performance and destination loyalty suggested that this investigation is timely in planning for future improvements in Albania tourism industry.

## 1.3 Research methodology

The research methodology model has a significant impact on the nature and quality of the research results as it affects the validity of the results to the extent that the results can be generalized to other settings. Quantitative research is a methodology that "seeks to quantify data" and "applies some form of statistical analysis", while qualitative research is an unstructured, research-based research methodology that provides small samples that provide knowledge and understanding of problem solving[1] .For the realization of this study for itself and the situation in which it was conducted, the analysis of the surveys conducted online was done. The survey contained 17 questions from the destination of the tourists to the age, the reason why they chose Korça, as well as the evaluation they had for the tourist guides and their importance.The materials used are mainly those found online. It should be noted that the information was difficult to find and was available in foreign languages.

## 1.4 Development of tourism industry

Tourism is one of the most important branches of the world economy. With the development of the aviation industry, with the development of technology as well as with the globalization, tourism only increases. An increasing number of destinations around the world have opened up, and invested in tourism, turning the tourism industry into a major driver of socio-economic progress. Over the past six decades, tourism has experienced continuous expansion, becoming one of the largest and fastest growing economic sectors in the world. With an average annual growth of 5.5%, tourism is the world activity with the highest economic growth. Tourism in 2019 provides 10.3% of total world GDP which translates to $ 8.9 trillion and there are 330 million people working in this sector. 1.4 billion people carry out tourism activity in 2019 according to the World Tourism Organization. All these figures make tourism the third most important economic branch in the world.[2] Even in Albania, tourism has received a great development in recent years. Albania has become one of the favorite destinations of foreign tourists, mainly those of Central Europe. According to INSTAT statistics in Albania, the number of foreign tourists is 6 million, a very high number that also brings great benefits that also according to INSTAT to be 45 billion ALL in 2018[3].But despite this high development, it is seen that the attention for the employees that enable this growth of tourism is low. Taking the case of the tourist guide, the tourist guide is quite important as he is evaluated as the representative of the respective state and destination. It is a "front line" in the tourism industry that greatly affects the satisfaction of the tourist but also the loyalty that the tourist will have to the respective destination. A quality tourist service is provided by the tourist guide. However, despite the importance of the tourist guide, it has always been left in the "shadow". Therefore in this study the tourist guide will be given the importance it deserves.

## 1.5 Position of the tour guide in tourism

The tourism industry in the 21st century has taken a very high development. The number of tourists has increased year after year with a number that goes up to 1 billion tourists. Tourism has become a way of

[1] (Malhotra, 2004, p.137).

[2] WTTC, online available : https://wttc.org/Research/Economic-Impact

[3] INSTAT : http://www.instat.gov.al

life for many people and as a sector that provides a good share of GDP for many countries. The number of employees in this sector worldwide is about 100 million. These figures show the importance of tourism today. As part of tourism is also a tourist guide. Along with other sectors such as: transport, accommodation units, food and beverage sector, entertainment sector, it is also a tourist guide. The tourist guide in recent years has taken on a high importance. Due to the fact that tourism is already developed more in groups than individually, and a tour guide is much needed. Another reason is the curiosity of tourists for the destination they are visiting, a tour guide would help them a lot in this regard. So the tour guide plays a not insignificant role in this industry. There are many people who appreciate this role and even a researcher has called the tourist guide as the "Cinderella" of tourism.[4] The position of the tourist guide in tourism is mostly seen in the pleasure that the tourist will receive during the trip, the performance that the guide will give and how likely it is that in the future the tourist will return to the same destination. There is a lot of disagreement about the impact that guide performance has on tourist satisfaction. In a study conducted by Geva and Goldman (1991) investigated about 15 tours in Israel, Europe and the United States, they concluded that in most cases the guide performance did not significantly affect tourist satisfaction during the trip. This study was beyond expectations, because it is widely accepted that the tour guide with the role it has in the development of the tour affects the satisfaction of tourists [5].The opposite was in the study conducted by Mossber (1996), in this study he found that the tour guide affects tourist satisfaction. To further support this we take the study of Wong (2001) who through surveys concluded that international tourists in Hong Kong are generally satisfied with the guides in terms of their professional skills, customer relations and communication[6].

## 1.6 The role of tour guide

According to The World Federation of Tourist Guide Associations (2003:1), a tour guide can be understood as a person who 'guides visitors in the language of their choice and interprets the cultural and natural heritage of an area', and who 'possesses an areaspecific qualification usually issued and/or recognized by the appropriate authority'. Tour guides are frontline employees in the tourism industry who play significant role in drawing tourists to a destination. Tour guiding service is the principal component of tour services offered by tourism companies. Whether tour guides can deliver quality service to tourists is not only necessary to the business success, but also critical to the image of the destination.[7] A review of some of the key published literature from 1985 to 2014 focusing on the roles of tour guides revealed ten main roles. As shown all eight of the studies identified the role of interpreter and information giver, suggesting that while tourists gain their information from a range of sources, for example signs and brochures, face-to-face interpretation is widely acknowledged in the literature as a key role of a tour guide. Roles mentioned by at least four authors, include navigator/protector, cultural broker/mediator, tour manager, public relations representative and facilitator of access to non-public area. There have been six themes identified in the tour guiding literature over the past 50 years, including (i) the multiple and complex roles and role dimensions of tour guiding, (ii) the role of the guide as communicator and interpreter, including performance, storytelling and intercultural communication, (iii) theory, research and practice relating to the guide's contribution to the sustainability, (iv) visitors' expectations of and satisfaction with their guides and guided experiences, (v) improving tour guide

4 Feray Iriguler, Mehmet Emre Guler, Tourist Guiding: "Cinderella" of the Tourism

5 Geva and Goldman (1991), Satisfaction measurement in guided tours, https://www.sciencedirect.com/science/article/abs/pii/0160738391900025

6 Hoang Le Nguyen, The Impacts Of Tour Guide Performance On Foreign Tourist Satisfaction And Destination Loyalty In Vietnam, 32

7 Huang et al., 2010

performance through training, education and professional development, and (vi) conceptualizing and fostering quality in tour guiding, especially through professional associations and guide certification .[8]

### 1.7 Service quality and customer satisfaction

Service quality has been widely researched, in most cases along with customer satisfaction, and in the fields of consumer behaviors and marketing. One of the most commonly applied theories regarding service quality is the SERVQUAL model [9].The authors promoted the model by conceptualizing service quality as a construct with five dimensions, including Tangibles, Reliability, Responsiveness, Assurance, and Empathy. The model has been applied to various service sectors, including tourism industry [10]. However, when applying this model to the service sector, these researchers seem to agree more on the multiple attribute nature of service quality than the five dimensions in the original model. Service quality has been generally accepted as one of the factors affecting tourist satisfaction [11]Also ,customer satisfaction has been broadly investigated by researchers and over the years. A number of methodological approaches to the measurement of customer satisfaction have been expanded, but no agreement has yet been proven as the best approach. The literature on customer satisfaction is generally divided into two schools of thought lead by Parasuraman et al. (1985) and Gronroos (1984). The first regarded customer satisfaction as a gap between customers' expectations and their perceptions of a product or service's performance, whereas the second considered customer satisfaction as 'an outcome of the actual quality of performance and its perception by consumers'[12] . Customer satisfaction is considered as an essential business goal because it is assumed that satisfied customers are more likely to be repeat customers. Ideally, organizations should attempt to go beyond simply satisfying customers and build customer loyalty.

### 1.8 Study area




Korca is known as the "cradle of Albanian culture" and is the largest city within the region. Historical documents refrencing the city date from the early medieval period - the first half of the XVth century - when Korca province was the property of Muzakajt, one of the feudal families of that time.The city has served as a very important trading market. Throughout the centuries Albanian caravans began their travels from here to Turkey, Greece, and Russia.In the second half of the 19th century, the city rose to be a very important economic, trade and cultural centre. Korca city today remains the most important economic and cultural center in the region. It exhibits eastern characteristics, along with traces of French influence in its urban scheme and grand architectural planning.The first Albanian language school, orignially for boys only, opened in 1887 and today it houses the National Education Museum. A separate school for females was opened in 1891. A French Lyceum opened in Korca in 1917 following independence.Korca patriots were well organized from 1906 - 1912, and took part actively in the movement to liberate the country from Ottoman occupation. One of the most famous Albanian

[8] Weiler, 2014.

[9] Parasuraman et al., 1988.

[10] Saleh and Ryan, 1991; Heung et al., 2000; Bhat, 2012

[11] Heung et al., 2002; Baloglu et al., 2003; Chan, 2004; Kuo et al., 2013.

[12]Kozak and Rimmington, 1999, p. 261.

sculptors, Odhise Paskal, immortalized the freedom movement with the monument “National Hero” depicting men descending from the mountains to liberate the city. Korca enjoyed a heightened period of prosperity in the interwar period when many of its characteristic cultural institutions, mansions and boulevards were built.The city of Korca continues to highlight its sophisticated and historic urban values by taking great pride in being a welcoming and accessible city. Visitors can experience this by walking through the city's many parks, clean streets and characteristic cobblestone walkways and roads.

### 1.9 Why to visit Korca region ?



Here, you will find a wonderfully harmonious combination of high mountains, hills, lakes, fields, culture, art, cooking and deep traditions.Tourist offerings are based mainly on the Korca culture and traditions, which are different from any other place, and are especially enjoyable with the special scenery found in this region.

The region welcomes everybody that loves adventure, nature, and magic. The people of the region have always taken their tradition of hospitability and entertainment seriously, while being committed to easiness and open-mindedness to their guests.Come and enjoy the atmosphere in the area most famous in all of Albania for serenades and carnivals!Come and taste an ideal combination of marvelous nature, lake beaches, sun, mountains and flowers. Take a break from the everyday routine and stress. Come and explore an unknown world!

Korce have many great museums but one of the most interesting is the museum of medieval art! This museum has over 7000 pieces of art and was started in 1980. Entry costs 700 ALL.One of the most important museums in Korca and Albania is the national education museum. If you want to learn more about the Albania culture and language then this is a great place to do so! This building was the first school in Albania which opened in 1887.This museum will show you the struggles of the Albanian language which is so complex and not similar to any other language in the world! Trust me, it’s hard as I am studying it right now!




While you’re a beer-drinking then you will notice on your time in Albania that you may have the beer called Korca, well that’s because it’s produced in Korce.There is a brewery in Korca which is popular however despite it being a great thing to do on paper, I do not recommend going there despite what all the guidebooks tell you. The service is very bad. I waited over 30 minutes at a table and was constantly ignored by all the waiters even after calling them several times and them acknowledging I was there. It seems this is a common theme reading the reviews online too. So, instead, I suggest going to a bar within the old bazaar and enjoying a cold glass of Korca while people watching.

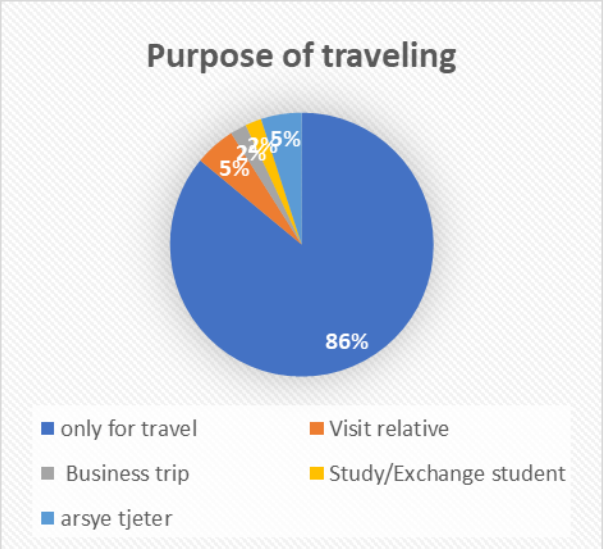
### 1.10 Tourist markets that visit Korça.

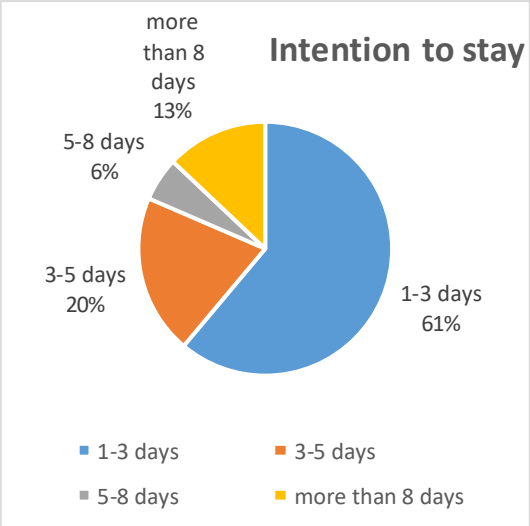
In recent years, the Korça region has become one of the most visited regions by tourists. This is thanks to the cultural and natural potential that this region possesses. In recent years the region has been internationalized with tourists coming from different countries. However, there is no proper study on the tourism market and their origin. This tourist market can be calculated through the investments of key informants such as: travel operators, people working in hotels, travel agents, tourist information offices, etc. Tourists visiting Korça would be divided into the following groups: The group of local

visitors, as the largest group of visitors, 5% of visitors) consists of all Albanians wherever they live in Albania, present not only in the summer season, but also in winter, ie all year round. Most of them come mainly from Tirana, Elbasan, Durrës, in the direction of the city of Pogradec (mainly in summer for holidays), Korça, Voskopoja and Dardha. This group of independent visitors stays in these areas for more than a day, attracted mainly by beach and nature tourism and partly to cultural objects. This group is also the largest number of visitors present at the beer festival and other celebrations during the year. Ethnic Albanian visitors, living in the diaspora (USA, Canada, Australia), are also a group of interesting visitors, with attractions to the birthplace or country of their ancestors. In their visits they are mainly attracted to cultural attractions and connection to spiritual culture. (traditions, customs, celebrations, etc.)The foreign tourist market is part of the group of foreign tourists visiting Albania. It consists of tourists coming from the Balkans, mainly Greeks and Macedonians; from Eastern Europe: Bulgarians, Poles, Czechs and tourists from Western Europe: French, English, German, Italian, Austrian. In most cases they visit Korça through travel agencies, as part of their tour through Albania. In addition to these main groups in the Korça region, there are also groups of tourists who visit the destination for other cultural motives, (seminars, conferences), business motives, etc. Likewise another group of visitors are groups of school students and university students. The latter in some cases are part of teaching expeditions from the country and beyond.

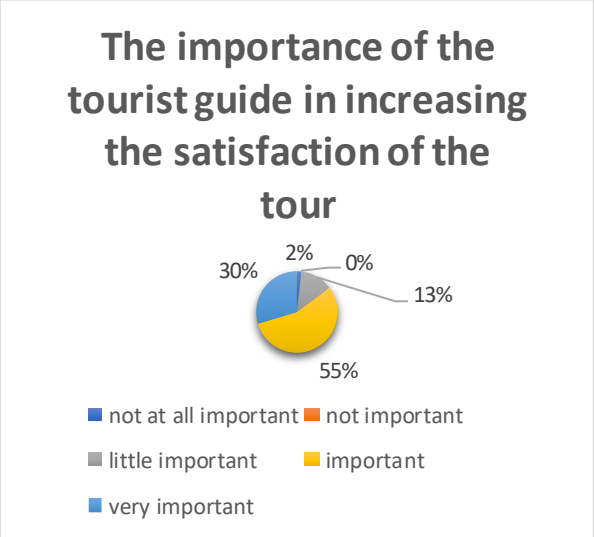
## 2.General data for the study

Korça region is one of the most visited regions by tourists in Albania. This developed tourism comes because of the nature and cultural heritage that this region has. In this developed tourism also the guide has an impact no matter how small this impact may be. Through this survey we will understand this. In the tourism sector the use of surveys is an efficient method for collecting statistical data and to test the veracity of issues raised in relation to the development of this sector. The results of the surveys have highlighted what this study requires, such as the motivation of tourists and their evaluation about guides.54 questionnaires have been developed, the number is low but the period we are going through is difficult, conducting a survey during this pandemic period was really difficult. I should point out that the questionnaires were not developed in the field but they were developed online. The questionnaires were addressed to persons who have visited Korça at least once, online. Through questions they have given their opinions also online.






According to the respondents, 40% of them will travel with the help of a guide, 19% will travel with the help of maps or GPS, while 34% will travel only without the help of a guide or maps.The surveyed tourists have evaluated the role of the guide in tourism, 85% of them have evaluated the guide as important and very important for increasing their enjoyment during the tour. These are interesting statistics that show the impact of a travel guide, how much impact it has on the tourist, on his satisfaction as well as on his loyalty to a destination.

## 3.Conclusione

Tourism in Albania is gradually turning into the primary economic sector. Investments in recent years are turning to tourism. Albania is a prosperous Mediterranean country where with a good strategic plan it would become the most visited country in the Western Balkans. As part of Albania, Korça has this potential as both natural and cultural. Korça is the second or third most visited city by tourists after Kruja or Gjirokastra. Tourism will develop even more if the appropriate policies for tour guides are followed.This study has confirmed the relationship among tour guide performance, foreign tourists' satisfaction, and destination loyalty of foreign tourists in a package tour in the context of Korca region . The positive image of tour guide performance is not only positively and significantly related to the satisfaction of tourists but also is one of the factors that determine the destination loyalty of customers. The study, moreover, has proposed a number of suggestions for both tour guide and tour manager/tour operator in order to identify the advantages and disadvantages of tour guide attributes in a tourism company, and then to foster and enhance the performance of employees to reach the higher level of customers' satisfaction as well as their destination loyalty. The suggestions, in addition, also help the policy makers in Albania to set up an innovative standard system of qualifications for inbound tour guide staff that appropriated worldwide standard in global perspective. Tour guide performance, in fact, is not only the factor affects the success of a package tour, but also plays an important role to build the image of the tourism industry in Korca region and more .

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# Trademark Protection As An Instrument For Economic Valorization Of Intellectual Property Rights

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**Abstract:** In the relationship between the manufacturer and the consumer, the trademark plays a central role, because it creates a relationship of trust between these entities.

From the very thought of having a large number of products on the market for which there are no signs of distinction, one can immediately understand the role that brands have in the daily smooth functioning of the market. Without a trademark there is no economic life for market participants. The consumer needs information about the properties of the product so that he can be convinced that this is what he really needs before making a decision to purchase a certain product. The trademark should be remembered and thus associated with the quality of what is required.

A trademark is the most important means by which companies influence consumers to make a choice from among the huge number of products and to opt for the product or service that possesses a special mark called a trademark.

At the same time, through this type of marking, the products receive additional value in relation to the products that are not marked. It is a special sign through which the products and services of one company differ from those of others.

The significance of these issues, as the subject of this paper, will be elaborated through a comprehensive analysis of the functions and types of the trademark, and especially its registration.

**Keywords:** product, trademark, protection.

## 1. INTRODUCTION

A trademark is a subjective right of industrial property which as a basis for protection has a mark with which the bearer of the trademark marks his product or service in commercial activities in order to distinguish from the same or similar goods or services of other entities.[1] A trademark protects a sign that can be displayed graphically and which is suitable for distinguishing the goods or services of one market participant from the goods and services of another participant. Words, letters, numbers, drawings, pictures, or combinations thereof can be used to mark a product. In some countries, even advertising slogans can be registered as trademarks before national registration authorities. Many countries allow the registration of trademarks in less traditional forms such as three-dimensional signs (Coca-Cola bottle). But it should also be noted that many countries have their own limitations in terms of what can be registered as a trademark, allowing the registration of only signs that are visually visible or can be represented graphically. In any case, the mark must be eligible for distinction, which would give goods or services a distinctive character compared to other similar goods or services.

## 2. FUNCTIONS OF THE TRADEMARK

If we look at the opinions of many authors who deal with the issue of the number and type of functions of the trademark, it will be concluded that among them there is no single position on how many and what are the functions of the trademark. However, we can say that they can be divided into two groups,

[1] Slobodan M. Markovići Dušan V. Popović, Intellectual Property Law, Faculty of Law, University of Belgrade, 2014, 2p.150.

historical functions - marking the origin of the product and a guarantee of quality and recent functions that have the ability to fulfill the emotional function of customers.[2]

2.1. The trademark for the purpose of product identification

According to this function, consumers should be enabled to distinguish the product or service from other identical or similar products and services. This is because consumers who are satisfied with a certain product will probably decide to buy it in the future, hence the need to distinguish such a product from other or similar products. The purpose of trademark protection finds its basis in facilitating and accelerating the ability of consumers to make decisions about which product to buy. If certain products do not have obvious differences, and consumers buy them more often, the trademark requires manufacturers to maintain the required quality in order to successfully survive in the market.

- origin of the product - by marking the product, the consumer should be informed about its origin, which can indicate to the consumer the safety of the product in terms of its quality.

-product quality- this feature should create an incentive for companies to invest in maintaining the quality or improving the quality of the product, so that the products retain a good reputation. Hence, the consumer's impression that the purchased product or the received service is appropriate for the declared properties of the product is especially important. At the same time, the expectations of the consumers are met, which is a motivation in the determination to buy a product with appropriate expected quality. The consumer makes the purchase based on his expectations that the product has those properties that are associated with the marked trademark and that that brand always offers the same quality.

-Marketing function-Within the advertising and marketing strategies of the companies, the trademarks have a key role. It should be noted that the well-known brands (Coca Cola) in themselves have a huge value, usually expressed in billions of dollars.

Given the importance that a trademark can have in terms of the success of a product, its proper protection is of particular importance.

- promotional function - as long as the trademark communicates in a positive way, it can greatly increase sales and total sales revenue and services of its holder.

The trademark can be used to market new products or reposition existing ones in a simpler way. The reluctance or at least the reserve of consumers to buy new products is due to the huge number of brands on the market. Introducing new products to the market requires a great deal of commitment to getting the brand recognizable. Therefore, often existing "old and verified" brands / brands that have a good reputation can be used to promote new products.[3] After promotional messages that include information about the quality of the product, its characteristics, distribution, operation, servicing and maintenance, only the trademark remains the common denominator for the multitude of product information, so only communication through the name of the famous trademark is sufficient.[4]

- the trademark as a status symbol - the emotional needs of consumers are often satisfied with the trademark, which as a symbol causes a feeling of satisfaction, while creating a sense of security and belonging to a certain group. For the last three decades, the functions of trademarks have undergone a historic transition, so the guarantee function is increasingly being replaced by the status function. The seller does not say "This is better" but the buyer says "This is me". [5] There are views that the

[2] Mateski Aleksandar, M.Sc., "Trademark registration and economic benefits for the business community in the Republic of Macedonia", doctoral dissertation, Faculty of Economics-Prilep, 2016. p.64

[3] Mateski Aleksandar, M.Sc., "Trademark registration and economic benefits for the business community in the Republic of Macedonia", doctoral dissertation, Faculty of Economics-Prilep, 2016. p 72-73

[4] Sofija Todorova "The trademark - an effective tool in business promotion", Yearbook of the Faculty of Law "Iustinian Law" in Skopje, volume 42 2006 page 436

[5] Prof. Dr. Vinka Filipovi ', Brand Management, Belgrade 2008 p. 8

replacement of the warranty function with status leads to unnatural demand creation and differentiation of products. Such views are aimed at the fact that through psychological suggestion and even manipulation, consumers are persuaded to buy products with overpriced value which can be found on the market at a much lower price and with the same quality. It is safe to say that today companies do not create value in products, but in brands. For example, the pharmaceutical industry spends more on marketing than on research.

## 3. DIVISION OF TRADEMARKS

Trademarks can be divided according to different criteria. Based on who their holder is, trademarks can be divided into individual, collective trademarks and certified trademarks. Holders of the collective mark are basically associations of business entities, where with the membership in the association and in accordance with the established rules, the right to use the trademark is acquired.

Certified marks are issued to meet defined standards. These trademarks can be used by anyone who meets the established standards, without requiring any membership.

According to the form, trade marks can be: verbal, musical, graphic, three-dimensional and complex.

National and international trademarks is a criterion according to territorial validity. National trademarks are recognized and protected in the territory of a particular country, while international trademarks are protected within a number of countries that are signatories to international instruments.

According to the type of good that is protected, there is a division of trademarks of products and services. Creating a brand is a critical step, as it can be an important element in a company's marketing strategy.

When creating a trademark, several aspects should be taken into account:

- the proposed trademark must meet the prescribed conditions in order to be registered.

-It is important to create a trademark that contains words that are easy to read, pronounce and remember.

-the trademark should not be confusing or similar to existing trademarks.

- when choosing one or more words for the trademark, the choice of words should be taken into account. Example of whether to use a coinage of words or fictional words. It describes the true meaning of the product or service, it can be easily protected, but on the other hand care should be taken if consumers can easily remember it. There are also arbitrarily chosen words for trademarks, which can be protected, but on the other hand can create problems for advertising, because it is difficult to create an association between and trademark and product or service. Choosing words that suggest product attributes or suggestive trademarks can also be considered as brand advertising.

However, the most important thing in creating a trademark is that it should not be an imitation of an existing trademark.

## 4. TRADEMARK REGISTRATION

The protection of the trademark is ensured through its registration. With the registration of the trademark of the company, it is given the exclusive right to use it. The trademark can be licensed or franchised to other companies, providing an additional source of revenue for the company.

Trademark registration allows:

- certainty that consumers will be able to distinguish between products,
- represents a marketing tool and basis for building the brand / reputation of the company,
- provides the opportunity for licensing, which is a source of income for the company,
- can be one of the basic components of franchise agreements,

- can be a significant business advantage,
- encourages companies to invest in product quality.

Trademark registration is a condition that gives a company the exclusive right to use it. The registration is done before the appropriate bodies in the national states. Regarding the procedure and conditions prescribed for trademark registration, there may be certain differences from country to country, but there are basically certain rules and conditions that apply in all countries, which must be met in order to be able to register the trademark. The first step is to submit an application that contains company information, a graphic representation or illustration of the trademark as well as a description of the goods or services for which trademark protection is sought. There are countries (USA, Canada) that as a condition for registration of the trademark require the previous use of the trademark for the purposes of the company.

After submitting the application, the competent body performs a formal examination, in terms of whether all the evidence has been submitted or whether the administrative fees have been paid. The essential examination as the next step in the registration procedure means checking whether the proposal for marking is eventually excluded from the registration, ie whether it is in the category of trademarks that cannot be registered, as well as whether there is already a registered trademark as stated in the application. Many countries envisage publication in the Official Gazette before official registration in order to give third-party interested parties the opportunity to object within a certain period of time. Once it is concluded that the prescribed conditions are met, the trademark is registered and a decision is issued, which is usually valid for 10 years. After the expiration of the determined term, the trademark can be extended for an indefinite period by collecting appropriate renewal fees. It should be noted that the trademark can be revoked if it is not used within a certain prescribed period of time (usually three to five years from the registration). This requirement is provided in order to ensure that the registration of the trademark is made for the purpose of actual use in the market, and not to impede its use by other entities.

Trademarks of goods and services are also used as parameters, ie criteria that consumers use in e-commerce. From the aspect that everyone, even on-line or web marketing is based on communication and messages, trademarks of goods and services are an indispensable part of the websites of business entities. When it comes to trademarks of goods and services, in conditions that are characterized by too much information, trademarks of goods and services are a marketing tool for easier navigation of the markets and making decisions to buy again. The offer is bigger, the products are more complex, life is faster, because of which consumers do not have time to collect and study the texts about the goods and services they are interested in. Therefore, they are aimed at certain abbreviations that represent sublimated market information such as the trademark of goods and services. The nature of symbols is especially evident in online marketing due to the reduced capacity of websites, in terms of the amount of information that can be presented to the public, which in marketing terms is still limited by the size of the screen, and now the display on a cell phone.[6]

From that aspect, the trademark of goods and services fully satisfies the needs for efficient economic research. The question that arises in connection with the use of the marks of goods and services on the website is a question of the legally relevant territorial effect of such a mark. All web sites are visible from all parts of the world. The territorial principle on which the trademark is based is the basis for the existence of two identical trademarks of goods and services registered in different countries by different entities-sellers for marking the same goods or services. In case the trademark of the goods and services has a legal effect of international character, then the holder of the right of these marks can request court protection due to violation of his rights. In other words, the international effect of these marks prevents the existence of the same marks which different sellers in different countries have registered

[6] J.Rowley, Online branding, *Online iformator review* No.2/2004,133.

for the marking of the same goods, in case these marks of the goods are displayed on the websites of their right holders.[7]

The trademark must be used in the commercial activities of the entities that have an exclusive right to it. Otherwise the trademark may be revoked. In a situation where the markings posted on the websites would be automatically recognized as having international legal effect, then that would be sufficient to preserve the rights over the mark in all the countries in which the trademark is recognized. But there are few real global trademarks of protected goods and services today, even when their rights holders intend to present them as global and international, yet they are far from that.[8] Many local brands cannot become international overnight, because real international trade activities are available to large multinational companies. That is why there is a generally accepted view in law that the mere use of labels for goods and services on websites does not in itself constitute the use of those labels in commerce.[9] However, this does not mean that any use of trademarks on websites is legally irrelevant. Whether the use of trademarks of goods and services on websites results in a commercial effect, ie the realization of a commercial activity or not, ie whether it can be considered the use of trademarks in terms of the existence of trademark rights, is a factual question and it is decided according to the circumstances of the particular case. In this regard, there is a generally accepted view that the display of the sign of goods and services on the website only separately is not considered the use of a protected trademark on the territory of a particular country in which the law is intended to be exercised or protected, which means that the examination of the circumstances of a particular case is in function of determining the connection between the sign of the goods and services displayed in the virtual space and the territory of the country in its essential material form.[10] The use of Internet tags is considered the use of tags within national borders only when there is a national connecting factor that exceeds the on-line visibility of the sign. The most reliable evidence for the connection of the trademark of the goods and services displayed on the website with the territory of the country, are the commercial activities of the entities on the created site on which the mark is displayed. The sign displayed on the website has the strongest connection with the territory of the country in which the owner of the site carries out commercial activities related to the goods and services for which the display of the signs serves. But the trademarks of the goods and services displayed on the website can have a commercial effect without publishing an activity on the territory of a certain country. The Internet enables businesses to provide uninterrupted reminders even without sales and thus build business success.

Circumstances that are important to determine in which countries commercial effect is achieved by displaying the sign of goods and services on the website, according to the WTO, are defined in four groups:

- the level and character of the business activities of the web site owner in relation to a certain country,
- -the connection between the offered goods and services on the web site with the respective country,
- the connection of the manner of use of the sign of the goods and services with the market of the respective state,
- the degree of compliance between the use of the markings on the website and the authorizations arising from the content of the recognized rights.

[7] S. Varga, Limited territorial effect of the use of a trademark or service mark on the Internet as a prerequisite for the protection or maintenance of rights, Proceedings, Faculty of Law in Belgrade, 2016, p.22

[8] M.Elsmore, "The implications of intellectual property law for and auditing and protection of national and internacinal brands: Part III. Brands in Europe", *Managerial Auditing Journal* No.5/2000, 222.

[9] L.Bentley, B.Sherman, *IntellectualProperty Law, Oxford* 2004, 893; H.MacQueen, C.Waelde, G.Laurie, *Contemporaty Intellectual Property, Law and Policy*, Oxford 2008, 687.

[10] S. Johnson, " Trademark Territoriality in Cyberspase: An Internet Framework for Common-Law Trademarks", *Berkley technology law journal* No.2/2014,1261.

The contents of the websites are globally visible. The trademarks of the goods and services displayed on the website are also globally visible. But their global ubiquity and visibility is not in itself a basis for concluding that they are commercially used in any country in the world. In order for the use of trademarks of goods and services on the World Wide Web to produce national legal effect, it is necessary for the use of the trademark of the goods and services to be sufficiently related to the appropriate jurisdiction-legal competence. The connection exists when with the tag displayed on the Internet commercial effect has been achieved on the territory of the respective state.

Whether an appropriate commercial effect or commercial activity has been achieved is a matter of fact and is assessed on a case-by-case basis. If we start from the two basic preconditions:

- that the use of the signs of the goods and services on the website and on the Internet in general is not in itself considered as the use of the signs in the trade of a certain country and
- the ability to use trademarks in the territory of the respective state to create an appropriate legal effect, is determined on the basis of positive state regulations, it can be concluded that in local-global contradictions of trademark rights and the Internet the principle "wins" of territoriality.[11]

## 6. CONCLUSION

Today, consumers are faced with the challenge of deciding when to choose a particular product or service. The tool, if not the most important means by which companies influence consumers in their choice is of course the trademark.

A trademark as a subjective right of industrial property as a basis for protection has a mark by which the holder of the mark marks his product or service in commercial activities for the purpose of distinguishing the same or similar goods or services of other market participants.

The determination for protection of trademarks by their holders finds its basis in facilitating and accelerating the possibility for consumers to decide which product to buy, and thus the right itself gets its economic valorization. Trademarks according to what was stated in the content of this paper can be divided based on different criteria. In order to ensure the economic value of the trademark, the holder of the trademark is required to provide its protection, which is achieved by its registration. With the registration of the company, it is given the exclusive right to use it. Additional economic valorization of the trademark can be provided through its licensing or franchising to other companies which provides an additional source of revenue for the right holder company, which is actually the main purpose of trademark registration.

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www.economy.gov.mk

# Econometric Model for the Formation of the Optimal Structure of the Portfolio of Government Securities of Commercial Banks in the Republic of Moldova

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**Abstract:** Actuality of the research topic is determined by the problems related to investments in government securities, namely, the formation of an optimal portfolio of government securities. State securities are one of the most attractive instruments both from the point of view of the issuer (government) and from the point of view of the investor.

The aim and objectives of the research is to develop the economic and mathematical model for the formation of an optimal portfolio of government securities in the context of the existence of risk of default and alternative investment preferences.

The methodological basis of the research was the works of domestic and foreign economists and practitioners dealing with the problems of government securities portfolio management and investment analysis.

The most relevant obtained results from the research: taking into account the situation on the government securities market in the Republic of Moldova, special attention is paid to the risk of default, methods for assessing the risk of stopping the flow of payments have been developed. The analysis of the factors influencing the structure of the optimal portfolio was carried out, and the main parameters that most fully meet the goals of the investor were determined. On the basis of the investigated information, a model of the optimal portfolio structure was created.

**Keywords:** investments, investment activity, state securities state securities market risks of bankruptcy (default) economic and mathematical model econometric model.

**JEL Classification:** C58, G11, G24

## 1. INTRODUCTION

Investment activity on the state securities market is a complex process that requires consideration of many factors in the modeling process. There are many models that solve the main objectives of investors, such as: forecasting the future value of a security, building a portfolio of the most attractive financial instruments, maximizing the return on the portfolio and minimizing risks.

The state securities market in the Republic of Moldova has a number of disadvantages. However, in a developed market economy, government securities have been and remain the most important financial instrument. Therefore, if the state intends to regulate the economy and influence the economic processes in the country, it will do so not only by creating and controlling the implementation of laws, but also as an active participant in the financial field through financial market interventions. This is fully achieved only after obtaining the status: state as a trusted borrower. Only in these conditions will the state securities market start to function at the required level.

Research is based on the development of the econometric model for the management of a portfolio of government securities, taking into account the new investment conditions in national and international financial markets.

It is therefore necessary to consider all possible events that may occur on the financial market. Therefore, investments in government securities are analyzed taking into account the risk of default, the risk of stopping the flow of payments. It is necessary to research various models of forming an optimal portfolio of government securities, depending on the different preferences of investors, in view of the

changes that have taken place in the world economy conditioned by the influence of the COVID 19 pandemic and previous government deficiencies in the state securities market.

## 2. LITERATURE REVIEW

Researchers of scientists such as F. Black, Braley, Myers, G. Markovitz, J. Tobin, M. Scholes, as well as economists Burenin A.N., Vatnik P.A., Kantorovich L.V., Lvov Y.A., Pervozvansky A.A, Chetyrkin E.M. are dedicated to risky investment issues.

Investors face the problems of assessing the value of assets, which in turn depends on their risk and return. According to research by Brayle, Mayers, a model is maintained in the market: the higher the potential risk, the higher the expected return. G. Markowitz, J. Tobin pointed out that each investor has his own predictions about market parameters [Markovitz H.M., 1959]. Pervozvansky A.A., Chetyrkin E.M. argues that the market is constantly moving towards a certain assessment of the balance of risk and return on assets. Possible deviations in estimates are primarily related to asymmetric information held by different investors. In well-developed market conditions, new information is quickly reflected in the market value of assets [Sharp W.F., 2003]. Therefore, for such conditions, it is possible to develop a model that optimally describes the relationship between risk and expected return on assets. This model was developed in the mid-1960s. by W. Sharp and J. Lintern and were named the Capital Asset Pricing Model (CAPM).

Therefore, no paper has been published on the issues of hedging investments in government securities through alternative investments in related assets, due to the fact that the issue has arisen very recently.

## 3. DATA SOURCES AND USED METHODS

The process of creating the model was preceded by an in-depth analysis of all internal and external factors affecting the efficiency and risk of portfolio investments in government securities. The methods of the theory of optimal portfolio, theory of risks, statistical methods and theoretical and probabilistic models were used as a research method. Formation of formulas, verification calculations and the formation of the relationship of factors and indicators were carried out using Excel on a personal computer.

## 4. THE RESULTS OF OWN RESEARCH AND DISCUSSIONS

In the securities market, government securities are no exception, there are two main types of financial market participants: first, they are organizations or individuals who act in the interest of the client, as intermediaries; the second type are entities that invest their own funds in securities. Therefore, nothing prevents the first group of people to work on the securities market with both the client's funds and their own financial resources.

In the process of managing an investment portfolio, it has to solve two problems. First, risk determination and projected return on the portfolio [Eeckhoudt, C.Collie, 1995]. To do this, he must find out the client's preferences in terms of risk and profitability parameters, tax regime, investment horizon, estimate transaction costs for portfolio formation and management, determine the expected risk and return on assets selected for inclusion in the portfolio. portfolio, the degree of correlation between their returns. Secondly, to determine the real dynamics of portfolio indicators in the process of managing it and, if necessary, to revise it, in the process of selling and buying assets.

In the process of elaborating the econometric model for the formation of the optimal structure of the portfolio, it is necessary to determine the investment horizon and to select the optimal structure in the hypothesis that the risk conditions are stationary within the time horizon. In the next step, when external conditions change, the portfolio structure needs to be revised. The basis of the proposed mechanism for forming a portfolio of government securities is the model for optimizing the portfolio structure.

Government bonds are short-term discount securities with zero coupon, for which the yield to maturity and the maturity date are known. The portfolio consists of different instruments (government securities with different maturities), as a result the flow of payments received is calculated with a known frequency (week, month). The amount of investment funds is denoted by Io and the time horizon of the investment is denoted by **T**. At times **t** = 1, 2, ..., T the securities will be redeemed at yield V and the financial resources received are reinvested in X proportions - in government securities, **1-X** in foreign currency.

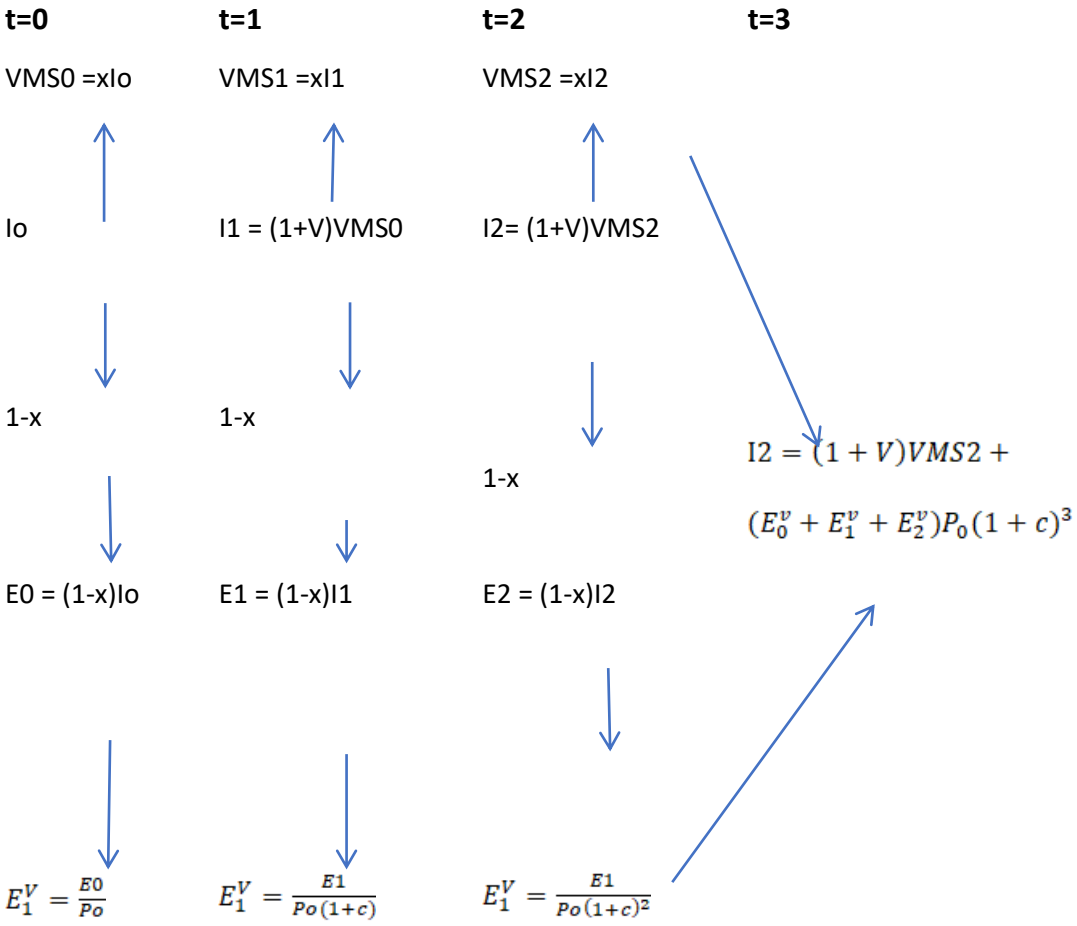
The final fixing of securities and foreign exchange earnings takes place at time **T**. The exchange rate changes with a growth rate noted by **C**.

The probability of default (**D**) for the period **t, t + 1** ... is determined based on the estimation of the expected time of default T and takes place mathematical expression: **D** = **1 / (T + 1)**

To determine the T value, the Expert Method can be used, but also data on the dynamics of macroeconomic indicators of the financial market: the ratio between the trend of government loans on the government securities market and the trend of the volume of interbank loans. After the non-fulfillment of obligations, the money previously allocated by investors for the purchase of government securities is transferred to the foreign exchange market, there is a sharp jump in the exchange rate. If bankruptcy and default occurs in the period **t, t + 1**, then the rate of increase of the exchange rate instead of **Ic = 1 + c** will be **Icd = (1 + c) (1 + cd).**

Based on the data on the volume of financial resources that suddenly appeared on the foreign exchange market and the volume of gold and foreign exchange reserves, the value of the cd is estimated - the increase of the rate in case of bankruptcy (default). **Figure 1** shows a diagram of the distribution process for investments in government securities **VMS** and currency **E** at time **T**.

Figure 1 Diagram of the investment allocation process for T = 3




Source: Developed by the authors

In case of default in the interval **t, t + 1** the income will come only from foreign exchange investments amounting to: $\sum_{t=0}^{t} E_t^V P_0(1+c)^{t+1}(1+cd)$

The solution to the problem is to build the dependence of the current expected value of income and the investment distribution policy, therefore from x, in the form **V (x)** and the choice **x / max V (x).**

Therefore, the fixing of income on securities takes place at time **T** only in the absence of bankruptcy, the alternative return for these receipts is the rate of increase of the exchange rate **C**. On the other hand, since foreign currency is a market asset with free transactions, the current price is equal to the present value of its future price at any time t under stationary market conditions:

$$P_0 = PV(P_t) = PV[P_0(1+c)^t]$$

Therefore, the present value of a certain amount of foreign currency $\boldsymbol{E^V}$, sold at time t is equal to $\boldsymbol{P_0 E^V}$ or formally with $PV[E^V P_0(1+c)^t] = \quad P_0 E^V$.

Therefore, we will develop the following scheme for calculating the expected value of the revenue stream (Table 1). This diagram describes the probability distribution of possible incomes, where q is the probability value.

Table 1 Scheme for calculating the expected value of the revenue flow

| | |
|---|---|
| D | $E_0(1+cd)$ |
| Dq | $(E_0+\frac{E_1}{1+c})(1+cd)$ |
| $Dq^2$ | $(E_0+\frac{E_1}{1+c}+\frac{E_2}{(1+c)^2})(1+cd)$ |
| $Dq^{T-1}$ | $(E_0+\frac{E_1}{1+c}+\frac{E_2}{(1+c)^2}\dots+\frac{E_{T-1}}{(1+c)^{T-1}})(1+cd)$ |
| $q^T$ | $E_0+\frac{E_1}{1+c}+\frac{E_2}{(1+c)^2}+\cdots+\frac{E_{T-1}}{(1+c)^{T-1}}+\frac{I_t}{(1+c)^T}$ |

Source: Developed by the authors

We will note $\frac{q}{1+c}=\frac{1}{1+r}$, where $r=\frac{D+c}{q}$ – expected rate of return (for an investor - neutral risk). Therefore, according to the given probability distribution, the mathematical expectation of today's income is equal to:

$$V_0=E_0+\frac{E_1}{1+c}+\frac{E_2}{(1+c)^2}+\cdots+\frac{E_{T-1}}{(1+c)^{T-1}}+\frac{I_t}{(1+c)^T}+\cdots+cd(1-q^TE_0+(1-q^{T-1})\frac{E_1}{1+c}+\cdots+(1-q)\frac{E_{T-1}}{(1+c)^{T-1}}$$

From the scheme of the process it is observed $E_t=E_0[x(1+V)]^t$, t=1,2…T-1

and $I_t=I_0[x(1+V)]^T$. Here the value x (1 + V) represents the growth rate (index). Therefore, taking into account $E_0=(1-x)I_0$,

$$(1-x)\left[1+\frac{x(1+V)}{1+r}+\left(\frac{x(1+V)}{1+r}\right)^2+\cdots+\left(\frac{x(1+V)}{1+r}\right)^{T-1}\right]+\left(\frac{x(1+V)}{1+r}\right)^T+\mathrm{V(x)}=I_0\quad cd(1-$$
$$x)[(1-q^T)+(1-q^{T-1})\frac{x(1+V)}{1+r}+(1-q^{T-2})\left(\frac{x(1+V)}{1+r}\right)^2+\quad\dots+(1-V)\left(\frac{x(1+V)}{1+r}\right)^{T-1}$$
]

=

$$I_0\left[(1-x)\sum_{t=1}^{T}\left(\frac{x(1+V)}{1+r}\right)^{t-1} + \left(\frac{x(1+V)}{1+r}\right)^{T} + cd(1-x)\sum_{t=1}^{T}(1-q^{T-t+1}\left(\frac{x(1+V)}{1+r}\right)^{t-1}\right] = I_0[H(x) + Jcd(x)]$$

Therefore, in the process of developing the model for the formation of an optimal portfolio structure using government securities, it is necessary to conduct research on the following expression:

$$\frac{\mathrm{dV(x)}}{\mathrm{dx}} = I_0\left[\frac{\mathrm{dH(x)}}{\mathrm{dx}} + cd\frac{\mathrm{dJ(x)}}{\mathrm{dx}}\right.$$

$$\frac{\mathrm{dH(x)}}{\mathrm{dx}} = -\left[1+\frac{x(1+V)}{1+r}+\left(\frac{x(1+V)}{1+r}\right)^{2}+\cdots+\left(\frac{x(1+V)}{1+r}\right)^{T-1}\right]+\cdots$$

$$+(1-x)\left[\frac{1+V}{1+r}+2\left(\frac{1+V}{1+r}\right)^{2}+\cdots+(T-1)x^{T-2}\left(\frac{1+V}{1+r}\right)^{T-1}\right]+Tx^{T-1}\left(\frac{1+V}{1+r}\right)^{T}$$

$$=$$

$$=\frac{1+V}{1+r}\left[1+2\frac{x(1+V)}{1+r}+3\left(\frac{x(1+V)}{1+r}\right)^{2}\ \ldots+T\left(\frac{x(1+V)}{1+r}\right)^{T-1}\right]-\cdots-[1$$

$$+2\frac{x(1+V)}{1+r}+3\left(\frac{x(1+V)}{1+r}\right)^{2}\ \ldots+T\left(\frac{x(1+V)}{1+r}\right)^{T-1}]$$

$$J(x)=(1-x)\left[(1-q^{T})+(1-q^{T-1})\frac{x(1+V)}{1+r}+(1-q^{T-2})\left(\frac{x(1+V)}{1+r}\right)^{2}+\quad\ldots\right.$$

$$\left.+(1-V)\left(\frac{x(1+V)}{1+r}\right)^{T-1}\right]$$

$$=(1-x)\left[1+\frac{x(1+V)}{1+r}+\left(\frac{x(1+V)}{1+r}\right)^{2}+\cdots+\left(\frac{x(1+V)}{1+r}\right)^{T-1}-q^{T}(1+\frac{x(1+V)}{1+r}\right.$$

$$\left.+\left(\frac{x(1+V)}{1+r}\right)^{2}+\cdots+\left(\frac{x(1+V)}{1+r}\right)^{T-1}\right]$$

$$\frac{dH(x)}{dx} = -\left[1+\frac{x(1+V)}{1+r}+\cdots+\left(\frac{x(1+V)}{1+r}\right)^{T-1} - q^T\left(1+\frac{x(1+V)}{1+r}+\cdots+\left(\frac{x(1+V)}{1+r}\right)^{T-1}\right]+\cdots$$

$$+(1-x)\left[\frac{1+V}{1+r}+2x\left(\frac{1+V}{1+r}\right)^2+3x^2\left(\frac{1+V}{1+r}\right)^3\ldots+(T-1)x^{T-2}\left(\frac{1+V}{1+r}\right)^{T-1}\right.$$

$$\left.-q^T\left(\frac{1+V}{1+r}+2x\left(\frac{1+V}{1+r}\right)^2+\cdots+(T-1)x^{T-2}\left(\frac{1+V}{1+r}\right)^{T-1}\right)\right]$$

$$=-\left[1+\frac{x(1+V)}{1+r}+\ \ldots+\left(\frac{x(1+V)}{1+r}\right)^{T-1}\right]$$

$$+q^T\left[1+\frac{x(1+V)}{1+r}+\ \ldots+\left(\frac{x(1+V)}{1+r}\right)^{T-1}\right]$$

$$+\frac{1+V}{1+r}\left[1+2x\frac{1+V}{1+r}+3\left(\frac{(1+V)^2}{1+r}\right)^1+\cdots+(T-1)x^{T-2}\left(\frac{1+V}{1+r}\right)^{T-2}\right.$$

$$\left.-\frac{1+V}{1+r}q^T\left(1+2x\frac{1+V}{1+r}+\ \ldots+(T-1)\left(\frac{x(1+V)}{1+r}\right)^{T-2}\right]\right.$$

$$-\left[\frac{x(1+V)}{1+r}+2\left(\frac{x(1+V)}{1+r}\right)^2+(r-1)\left(\frac{x(1+V)}{1+r}\right)^{T-1}\right]$$

$$+q^T\left[\frac{x(1+V)}{1+r}+2\left(\frac{x(1+V)}{1+r}\right)^2+(T-1)\left(\frac{x(1+V)}{1+r}\right)^{T-1}\right]$$

The development of the equations presented in subsequent research will make it possible to form an algorithm for forming the optimal structure of the investment portfolio of commercial banks. This algorithm will make it possible, with a high degree of probability, to determine the investment direction of financial funds for commercial banks, in terms of their distribution between government securities and foreign currency, which in this case presents hedging financial instrument for default risk

## 5. CONCLUSIONS

The analysis of the development and history of the state securities market in the Republic of Moldova shows that:

1. The market of state securities in the Republic of Moldova is not sufficiently stable.

2. In order to work effectively in the state securities market, it is necessary to be sure of the risk, ie the hedging method is used.

3. It is necessary to develop an effective method of minimizing the risks of investments in the portfolio of government securities.

After analyzing and researching portfolio investments in government securities, we can conclude:

1. Classical models (portfolio theory) are not suitable for a portfolio of government securities under modern conditions.

2. It is necessary to develop a special economic and mathematical model that takes into account the risks of bankruptcy (default), which have a force majeure character.

3. It is necessary to research the model of investment risks with force majeure.

4. In the modern conditions of the Republic of Moldova, the foreign currency can be used as a hedging element or insurance for the risk of bankruptcy.

5. The elaboration of the econometric model and of an algorithm for calculating the structure will allow maximizing the value of the investment portfolio for commercial banks.

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# Two scenarios for the future of Turkey

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**Abstract:** European Union is considered to be a closely connected network of countries that have an integrated cultural and social system. It has enabled several European countries to form a single economic region where they mutually work on economic and political stability of each other. These countries are interlinked through various means, financial, economic, political, cultural etc. Within the EU framework, they have created a strong self-defense and secured environment. The place of Turkey in this context is often unclear, but at the same time there is a tendency of both parties to strengthen ties. This underlies that there are pros and cons regarding Turkey's accession to EU. Amid the ongoing tensions, the too-often repeated phrase "Turkey needs Europe, Europe needs Turkey" is part of the rhetoric not only from Turkish politicians, but also from those Europeans showing support for Turkey's inclusion into Europe's architecture. Referring to these pros and cons, this paper tires to uncover the Turkey–EU relationship and make predictions for the future. It seems that Turkey is not going to be part of EU in the near future. Based on this assumption, two possible scenarios can be foreseen. EU and Turkey will become conflicting parties, or they will be inclined toward collaboration.

**Key words:** geopolitics, network, security, conflict, collaboration, rivalry

## Rivalry

Normally, rivalry is an act of competing, in which the parties lose trust. Without a common framework, the states do not have the guarantees for the implementation of the agreements between them. Only "regimes, in the form of international agreements stipulating rules and regulations of conduct and – at best – allowing for sanctions against those parties that do not comply with the understandings that have been made, can compensate for lack of trust" (Meerts, 2015, p. 55). Therefore, because the accession process has stopped, a new context will eventually lead to lack of cooperation and, worse, enmity.

Before exploring such enmity, we need to consider some hurdles Turkish - European rapport faces.

The major downside of Turkey is the Muslim affiliation it has, and the close connected borders with regions like Syria, Iran and Iraq. Turkey is prone to risky and illegal activities prevailing on the Asian end of the country. Depending on how Turkey conducts its foreign policy, this can also be an advantage. The European Union is analyzing this scenario and jotting down pluses and minuses (Balci, 2015, p. 72 - 91). However, this situation discourages the member states to make Turkey a part of the Europe region. Turkey is attractive from the strategic point of view, as it can use its geographical location, connecting Europe to Saudi Arabia, Iran, Iraq, Syria, Russia and Gulf States (Cohen, 2011, p. 220). These regions are extremely attractive to the world powers for economic development purposes. EU has the opportunity to make the maximum benefit out of integration with Turkey, but just the Islamic connections discourage the member states to accept it as a fellow member (Toci, 2007, p. 29). Therefore, the West's resentment for the country is mainly related to its Islamic affiliations, from which the EU states are threatened by (Aydin-Düzgit, 2012).

Turkey's close borders with the Middle East also make it the center of main security concerns by the EU. The close knitted borders makes it vulnerable to the illegal movement of drugs and humans, access to weapons that are used in terrorism and most generally open to terrorist territories (Morozov and Rumelili, 2012). EU has asked Turkey for support in any fight against terrorism. Its close affiliation with these vulnerable states in such a destabilized area makes it relatively less attractive for the EU region (Baştürk, 2013).

Turkey has been struggling since so many years to become a part of the EU. In efforts to be an active member of EU, it has also worked on resolving its disputed borders like Cyprus and Armenia. The process of normalizing relations with these two territories has been an absolute task for the country (Aydinli and Ozcan, 2011). The idea was to remove the old rifts and forget the past and collectively work on the mutual benefit of all parties. However, numerous efforts have been made, and due to continuous arguments amongst the governments, Turkey has not been able to resolve these matters (Aydin-Düzgit, 2012).

A big concern that the EU states had with Turkey was that if it could abide with EU's norms and if it could amalgamate into its Western values altogether. The perception about Turkey's religious affiliations and cultural bounds, make it unattractive for the rest of the EU states (Hale, 2012). The first and foremost rule for joining EU was that the country needs to have a stable political and democratic system. The political situation of the country is quite vulnerable and there are several incidences of terrorist and criminal activities reported over the past few years. In such circumstances, EU will never open its gates for such a vulnerable state (Aydin-Düzgit, 2012).

Another aspect for not considering Turkey as a member of EU is related to the stereotypical attitudes that the European people have towards Turkish. This can affect the overall functioning of EU altogether (Linden, et. al, 2012). As mentioned before, Turkey is one country that connects Europe and Asia. 99% of the population residing in the region is that of Muslims and the perception about Muslims that the West has created, is mostly negative. Turkey has been struggling enough to make a European identity in the world but its affiliation with the Asian side also compromises its standing in the world. Turkey's close borders with the Balkans, Middle East and the Mediterranean make it the center of main security concerns by the EU.

EU member states will also feel threatened by Turkey's accession to EU due to the problem of refugees coming from Middle East. It is well perceived that refugees tend to bring several fluctuations in the economic as well as the political structure of countries and therefore the influx of Syrian migrants will pose some threats to the countries already in the Europe region. It will give access to outsiders as well, which EU completely rejects (Aydinlin and Ozcan, 2011).

Furthermore, the Muslim majority can have an effect on the West culture as well. It has both, its pluses as well as negatives that will enable the European people to a changed setup altogether. It will get uncomfortable for the practices, traditions and values that are already being practiced in the European region. Toci (2007) argues that "particularly after the attacks on 11 September 2001, Turkey is frequently viewed both by supporters and opponents of its EU accession as a Muslim or 'Islamic' country . . . misperceiving Turkey primarily through the lens of 'Islam' means assuming that Turkey is the 'other'; an assumption which in the long-run could hinder Turkey's European integration" (p. 29).

The factors explained above have blocked Turkey' road toward EU. The situation in questions will lead – most likely - to rivalry, and will radically change Turkish foreign policy orientation. Actually, this approach has initiated. As Turkey was becoming aware of EU's stance, the process of foreign policy shift has already started. Keyman (2017) explains that Turkish foreign policy has changed since Davutoglu's departure. This is reflected – among other things – even in modifying "zero problems with neighbors" with "regaining friends and strategic alliances based on priority setting" (p 66). Keyman notes:

> The main principle of the 2002-2010 period – zero problems with neighbors – ended in 2015 and has been replaced by the policy of regaining friends. As new Prime Minister Binali Yıldırım announced at the end of 2015, "Turkey will make a significant effort to regain old friends and make new friends," and crucial steps were made to normalize relations with Israel and Russia. The government also made efforts to improve relations with the Gulf region starting with Saudi Arabia and, most recently, with the Trump administration. The bilateral relationship between with Russia seem to have gained momentum in 2017, which has contributed immensely to the success of Turkey's fight against ISIS and its effort to prevent cantonal state-like development in Syria (p. 64).

In this context, Turkey, facing the fact that full membership is unacceptable to the Europeans, will be looking for friends within EU. Most likely, Germany and France will be excluded from this list.

Considering the European friends, if Brexit succeeds, it will damage Turkey–BE relations, as Britain has shown support for Turkey's accession. Turkey seems also to have lost the support of Mediterranean countries - Italy, Spain, Malta and Portugal - which have also welcome Turkey's accession in the Union, due to domestic economic problems and change of focus from European enlargement ("Which countries are for or against", 2017). Furthermore, Turkey's allies in Eastern Europe have also diverted their foreign policy attention, as they try to avoid Russian influence and are in constant pressure by Germany and France to oppose Turkey's membership (Inal and Yegenoglu, 2005).

Lack of trust between the parties also implies that Turkey will act independently regarding deals with regional and global markets. In the economic domain, Turkey will be also free in choosing allies. Turning East, Turkey will strengthen ties with the near abroad, mainly Caucasus and Central Asia countries. At the same time, as Turkey will diminish relations with EU, partners like Russia and China – and even Iran - are inclined to join ranks with Turkey. For instance, Turkish President Erdogan has declared that he would like "to form a new alliance with China, Iran and Russia to resist economic pressures imposed by the Donald Trump administration" (Lo & Jehong-ho, 2018). This can also happen in a possible rift with EU. Such move weakens Europe, both politically and economically.

Relations with these countries will be mainly based on energy sector. Turkey is currently an energy hub (Winrow, 2006) and in the future could dictate energy policies toward Europe – in Russia's footsteps. Apart from Russia, Europe will have an additional competitor in Turkey.

Regarding security dimension, this scenario allows Turkey to pursue a unilateral policy with Europeans. With focus on East, Ankara will increasingly become involved in the Middle Eastern affairs (Larrabee, 2007). It is crucial for its own security. It is understandable that Turkey will create alliances in this area, as will try to expand its influence, will reduce the force of Kurds, and will contain Iran or Saudi Arabia in the contest for regional supremacy (Ibid). On the other hand, Europe will be skeptical and worried about Turkey's orientation. In the event of degradation of NATO's position, Europe's security border will be in Bulgaria and Greece, which cannot play Turkey's role as a "defensive fortresses" for Europe.

With the possible continuous chaos in the Middle East, the waves of immigration from Turkey to EU will increase. This situation is currently very alarming for the EU, which is dependent on Turkey's policy toward migration. Turkey may put pressure on Europe as it can serve as a transit country (Mortimer, 2016). The agreement of 2016 between the EU and Turkey - which helped limit the flux of migrants entering the EU through Turkey - may be canceled. In this case, Europe will surely face crises with heavy internal consequences.

Based on these assumptions, Kayman (2017) emphasizes that "Ahmet Davutoğlu's concept of strategic depth and his civilizational, realist thinking of regional and global relations, coupled with the EU anchor, defined the basic parameters of foreign policy" (p. 58). But there is a shift to such foreign policy. And Turkey is no longer a "Pivotal State with Strong EU Anchor", but a "Pivotal State without a Strong Anchor" (p. 66).

## Collaboration

Under a second possible scenario, the EU and Turkey will reach an agreement on cooperation, as both parties will have accepted the fact that Turkey will not be part of EU in the near future. This will pave the way for a framework, on which the parties could work to have trust and cooperate within another regime acceptable by both parties. For instance, according to Ciddi (2018), it would be better if Turkey and EU become only partners, noting that "partnership is better membership, because a transactional approach to bilateral relations — absent of values and wholly predicated on reciprocal demands — has become the new normal for Turkey and the European Union" (pp. 6).

So there is still room for collaboration and they will remain close allies. On Turkey's side, it will be like an admission to the formerly proposed "privileged partnership". Even in this state of affairs, Turkey will pursue an independent foreign policy - without the EU's pressure. At least in the near future, Turkey will have completed the centralization of the presidential powers at a greater level – similar to Putinism. This approach will further undermine the checks and balances system and the proper enforcement of the rule of law.

On one hand, the EU will continue to be concerned about key issues such as Kurdish rights, Cyprus issue, Turkey's role in the Middle East, and Turkey's alliances with the US, China and Russia. On the other hand, Turkey will continue to implement a foreign policy influenced by a combination of soft power – with principles promoted by Ahmet Davutoglu - and hard power – the stance of Erdogan and the radical wing of AKP. Kayman (2017) underlines that "since Davutoglu's departure, Turkish foreign policy has also undergone other modifications – such as "from soft power" to "hard power" and from "multilateralism" to "strategic alliances" (p. 66). In this context, the possible withdrawal of Great Britain

from EU and Trump's anti-NATO policies will set the tone of Turkish relations with the continental Western Europe.

However, despite their differences, since "the economic cooperation between Turkey and the European Union has seen substantial growth in the last decade with increasing investments and bilateral trade volume ("Growing economic cooperation", 2019), the collaboration between both parties is very likely. Being intertwined, the respective economies need further progress. Turkey is currently the fifth largest importer of European goods, and in addition to bilateral trade, Europe is also the biggest source of the foreign direct investment (FDI) Turkey attracts annually (Ibid).

There are several benefits attached with Turkey's rapprochement to the EU.

The attractive and extremely dense market of Turkey paves the way to excessive opportunities to several industries from any corner of the world (Fougner and Kurtoğlu, 2011, p. 353). Turkey has a total population of more than 70 million people and is exposed to extensive cultures of Asia and Europe. The barriers will be reduced and the opportunities will be increased, when catering to the diverse businesses of the Europe, since Turkey is one country which is vastly influenced by the culture of the West preferably (Börzel, 2016). This will be a great move towards extending the trade movement between Turkey and EU member states, and will be profitable for both these regions (Aydin-Düzgit, 2012).

People's mobility can also strengthen collaboration. Turkey has majority of its population in the younger age bracket. Its labor force is young and enthusiastic which can be another attractive aspect for the EU states. Majority of its population falls into the working age and it is most likely to rise in the coming years. Skilled labor specifically is required in all parts of the world. This can further help EU in expanding its workforce and can help in easing the pressures of the working industry overall (Aydinli and Ozcan, 2011).

Turkey has a lot of potential geographically when it comes to its integration with the European region. The aim for Turkey is to turn into a gas and petroleum hub between Asian and European regions. Major pipelines are installed in the country that makes it a centre of transportation of energy supplies between Asia and Europe (Winrow, 2000, p. 49 - 54). There are international organizations that want to decrease the influence of Russia in terms of energy supplies transfer and therefore more pipelines are likely to get installed to transfer energy from Iran, Iraq, and Azerbaijan etc. The main idea of including Turkey in the EU energy infrastructure is to pursue a common vision and work for strengthening the region economically and politically as well (Guzzini, 2012).

For instance, the Azerbaijan-Turkey-EU linkage will be successful through TANAP and TAP, though these lines partially meet EU energy demands. At the same time, as mentioned above, Turkey seeks to become an energy hub and the parties' needs will be mutual. Naturally, more investment in this sector implies less dependence from Russian gas. The Southern Gas Corridor - an initiative of the European Commission for European gas supply through Turkey - aims to reduce dependence on Russia and diversify sources of energy supply. This project "is a major component of EU energy policy. TAP's role in realizing that vision will not only provide economic benefits. It will also ensure that one of the continent's vital energy routes remains viable for decades to come" ("Southern Gas Corridor", 2019). Disruption of this project is of no interest to either side: Turkey would lose the status of an energy hub, while Europe would depend more on Russia.

The energy issue is thus crucial for both parties. But we have to emphasize that Turkey cannot become an energy hub without Europe's markets. As more than 70% percent of the worldwide oil and gas reserves are located in close proximity, Turkey holds a key position to exploit this advantage. Only through profitable contracts with Western European countries will Turkey be able to become an energy power.

When it comes to religion, Turkey's Islamic influence can help in opening the doors of the West for Islam. Ever since the 9/11 terrorist attack that happened in the U.S., it created a negative impression of Islam in the Western region (Morozov and Rumelili, 2012, p. 28 - 48). Turkey's collaboration with the EU can help in building positive affiliations with an Islamic region and change the perception about Islam and its people. This may also help in creating a positive image for Turkey. The extremist view has been exposed to the West, but it's time to see its moderate and well balanced side as well (Cohen, 2011, p.

217-227). And Turkey can take up the role as a facilitator between the different traditions. It can also help eradicate the misconception the European states have of Turkish culture and tradition. Furthermore, Turkey has been struggling enough to make a European identity in the world.

In this scenario, cooperation in the security field will increase. It can be anticipated that dialogue between the parties will be institutionalized even outside the NATO framework. Such policy would bring about bilateral benefits. Strategies in the field of security will serve for the fulfillment of reciprocal interests, mainly in their areas of influence and regions threatening their security.

On the other hand, EU is unsecure like never before. International system is constantly under attack by populist and nationalist forces. As other powers like Russia and China are becoming increasingly aggressive, Europeans' security environment is under threat. In addition, a report produced by European Council on Foreign Relations (ECFR) lists the following current perceptions of threats EU faces: cyber attacks, state collapse or civil war in the EU's neighborhood, external meddling in internal politics, uncontrolled emigration, terrorist attacks, divisions within EU, financial instability, climate change etc, (Denison et al, 2018). Although this report considers Turkey a threat, we have to note that this comes due to divisions within the EU. For instance, the report stresses that "ten countries consider Turkey to be no threat but two others (Greece and Cyprus) see as their top threat" (Ibid).

Following this logic, as U.S. President Donald Trump has shown little interest in the concerns across Europe and has "demonstrated a total disregard for the international agreements and norms that Europeans hold dear" (Denison et al, 2018), transatlantic relationship is changing. Euro-Atlantic Alliance (NATO) has faced criticism by Trump, who has labeled it "obsolete". In these circumstances, collective security is not guaranteed.

Furthermore, a critic voice of NATO's actual status is also Friedman (2019), who says that its mission is outdated and that "there will always be a need for security alliances . . . But NATO is an anachronism that has survived long past its original mission". If Americans pursue this policy, there will be transformation in the Europe's defense system (pp. 11) The first proposal came from French President Emmanuel Macron, who "has warned that Europeans cannot be protected without a 'true, European army'" (Marcus, 2018). In this regard, former Turkish deputy minister Sahin (2018) points out that the proposed European army is impossible without Turkish participation. He makes clear the Turkish standpoint, emphasizing that "European security is inextricably connected with Turkey, which serves as Europe's most important gateway to the east . . . " and " . . . without the participation of Turkey this initiative cannot be effectively pushed forward. Turkey is an integral part of Europe, both historically and culturally" ("Impossible without Turkish participation").

Turkey's strong defense and military power makes it quite attractive to the EU. Its large capacity can make a humongous contribution to the European Defense and Security Policies. Turkey has played a strong role in standing by the West in several wars, ever since the Soviet war, and has been a great ally to the West (Oğuzlu, 2012, p. 229).

Finally, it is worth emphasizing that the collaboration with Europe in the security field is Turkish official current position. According to the Turkish Ministry of Foreign Affairs website, "Turkey is a key regional security player in Europe . . . Turkey, as a founding member of the UN, member of NATO and all European leading institutions, and a negotiating country with the EU for full membership, has pursued a proactive foreign policy to develop friendship and cooperation in its region and beyond."

## Conclusion

Turkey, with its independent foreign policy, has openly declared that it is not interested in joining the EU. President Erdogan has declared that "we will not be the side which gives up. To tell the truth, we don't need EU membership any more" ("Turkey no longer needs EU", 2017). Currently, he has consolidated his power in a Putin-style leadership, and from this position he has got free hands on domestic or foreign policy. With current AKP' successes, the Turks do not see Europe anymore as the engine for country's development. Despite being affected by populism and erosion of democratic institutions, mainly after the constitutional amendment of 2016 (the parliamentary system was replaced by an executive presidency), Turkey "has turned from a marginal power into a significant regional

power" (Friedman, 2018, pp. 7). Therefore, the European states and Turkey, with no links in an organization such as EU, have no obligations to one another and can become conflicting parties, any time any crises arises.

However, on the other hand, the scenario of collaboration is indispensable for both Turkey and EU. Turkey is faced with many challenges such as multiplying security threats over a vast geography, refugee crisis of biblical proportions, the problem of ISIS, increased terrorist attacks targeting urban populations, and the mushrooming of "failed states" in the region as potential challenges and security threats, from which Turkey is not immune. In this framework, Turkey will need to align its foreign policy with powerful European countries, because such changes in the political landscape of the region are having a direct impact even in the security architecture of Europe. Therefore, such challenges need to be confronted with a common strategy.

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# Organizational Change – Definition, Handling, Good Practices

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**Abstract:** The proverbial phrase that characterizes the philosophy of Heraclitus: «Everything flows, nothing remains», is nowadays more relevant than ever before. Rapid technological developments, globalization, pandemic, conversions, and rearrangements in society are just some of the changes that are taking place in people's lives. In an environment that is constantly changing and transforming, organizations are called, if they want to survive and expand to adapt, by making the notion of change dominant, in their organizational culture. They have to make continuous primary and secondary changes, which will go across the entire structure and function of the organization.

The need for change is faced, not only by private but also by public institutions under the pressure of the growing number of challenges, posed by globalization, decentralization and the transformation of governance, under the increasing pressure of the economic crisis. And whereas, there is a common belief that public institutions, mainly because of their bureaucratic structure and the general perception and culture that regulates them, are negative about any change. However, this cannot continue, as societies are now more demanding and expect more in areas such as education, health, safety, environmental protection, tackling unemployment and many others that concern the modern individual - citizen.

Organizational change is a main factor for the survival and development of any organization, regardless of size, sector (private/ public) or purpose (for-profit/ non-for-profit). Moreover, the factors that trigger the change, can be located both in the inside and in the outside environment of the organization. The key to the successful implementation of change is the individual, who should be properly approached by the actors of change. It is found that every time the person is confronted with something new, without being informed about it, he responds to various forms of reaction.

In this paper are presented and analyzed the mechanisms of support and evaluation of organizational change and also are mentioned some good practices for the management and implementation of organizational change in national and international environment. Specifically, is developed the organization of the change support mechanism, the message of change as a tool of the Administration, the participatory monitoring of the transition plan, the management of change promotion actions, the management of the old culture and the diffusion of the new organizational culture, the evaluation criteria and procedures of change, its practical application. In addition, reference is made to good practices (individual, group, organizational level) in national and international experience. Finally, it is attempted a comparative evaluation of good practices, that leads to suggestions and conclusions.

**Keywords:** organizational change, good practices, evaluation, suggestions

## 1. INTRODUCTION

### 1.1. The Factors of Change

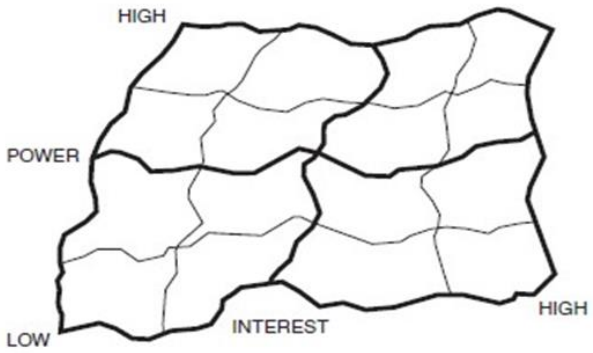
Plenty of researchers have written about the various factors that influence the implementation or processes of change. Thomas (2006), reported a number of variables that influenced the success of implementing a patient safety policy in the Canadian healthcare sector. Adequate resources, incentives for change advocates and persuasive arguments to curb the reactions of those who resist change, as well as incentives for the reactions of multiple stakeholders. In Australia, New Zealand and the UK, implementation units of change have been set up to ensure better execution of policy initiatives through different roles (through control, motivation, consulting, monitoring and performance assessment) (Böhlmark& Lindquist, 2006).

Whether change can be considered a success also depends on the definition of success. For instance, Weissert and Goggin (2002), after research found that the success of the implementation depends to a large extent on clear predetermined goals, such as cost reduction and compliance with change. They consider the satisfaction of stakeholders to be of minor importance and its implementation unsuccessful. A different anthropocentric view of successful change mentions that achieving this

requires more than just a new process, technology or policy. Successful change requires the involvement and participation of those affected. There are many categories of individuals who have portion in decisions about the success or failure of the organization. So, the handling of change, provides the framework for managing the human aspect of these changes.

It is important to determine the stakeholders who are interested in the change or will be affected by it either directly or indirectly. The purpose of their analysis is to be understood what they pursue from a change, what will be the benefits in its implementation, what are the consequences and finally the ways to deal with them. Recent researches lead to a combination of organizational change management tools with individual change management models aimed at effectively implementing any change. One demonstrative way that helps to properly represent those involved is the Power and interest matrix. The horizontal axis depicts the degree of positive attitude or interest with a rating from very positive to very negative while respectively, the vertical axis depicts their power. In this way we can have a complete picture of all those involved in the change.

Figure 2: Power and interest matrix




Source: Journal of Marketing Management, 23(1).

Although organizational change has been studied extensively in recent decades and a number of publications, tools, good practices and change management models have been provided, the results in practice are not particularly encouraging. According to Beer and Nohria (2000), 70% of change programs fail. The results of McKinsey's research, in 2006, showed that only 6% of change programs can be considered "absolutely successful" and 32% "relatively successful". In the same research, they also studied the feelings of employees in changing organizations:

Table 1: McKinsey's Research

| | **Successful projects** | **Failed projects** |
|---|---|---|
| | (%) | (%) |
| Anxiety | 44 | 51 |
| Confusion | 22 | 43 |
| Indignation | 23 | 44 |
| Fatigue | 24 | 34 |
| Resistance | 24 | 28 |

Source: Global survey of business executives research, 2006.

It is therefore clear, from the previous scheme that the change in an organization, disrupts the daily life of its employees. Another element of this research is that successful attempts of change it is possible to mitigate the negative emotions of employees, since there has been a better planning and implementation strategy of the program, focused on the goal but at the same time flexible when and if needed.

Worral and Cooper in a 2007 study, claimed that more than 90% of an organization's executives were significantly affected by a change in the organization. This percentage in the public sector reaches at 97%. Percentage of executives who believe that their change has negatively affected:

Table 2: Research by Worrall and Cooper

| **Percentage of executives who believe that their change has negatively affected in:** | |
|---|---|
| | (%) |
| Motivation for work | 51 |
| Sense of satisfaction at work | 48 |
| Loyalty | 47 |
| Morale | 61 |
| Sense of safety at work | 56 |

Source: European Journal of International Management 1 (1/2).

There are many factors that lead to the failure of an organization's change efforts, both individually and organizationally. To the main factors are integrated:

**Resistance to change**

Resistance to change can take many forms, either by lack of support for the change program or by hindering its implementation during the change process. Watson defines it as "the forces that contribute to the stability and maintenance of the existing system". Conner describes it as a normal reaction of those people, who do not want the current state, to be disturbed. Resistance to change is considered a natural reaction of employees, as it can occur due to fear of the unknown, fear of losing acquired rights, insecurity, focusing exclusively on daily work, fear of conflicts and tensions, conscious disagreement with the promoted change, suspicion etc. (Dunaetz, 2020). According to Schein (2004), there are two main sources of stress for employees who are facing a change: the anxiety for survival and the anxiety if they will be able to adapt to the new way of working. Through many studies, it has been found that resistance to change is the main factor in the failure of change programs.

Additional causes of resistance to change:

- Overturn of the existing balance within the organization
- The opinion that change is of secondary importance in relation to other issues
- The opinion that the proposed solution is not appropriate
- Disagreement with the way change is implemented
- Lack of trust to those responsible for carrying out the change process
- Lack of information and communication

**The sense of urgency is not created**

It is important to develop the feeling in employees that change is right, necessary and timely. The most important step for the success of a change is the Kotter 8-point model (Kotter, 1996; Pollack et al., 2014). If this does not happen, inaction and lack of mobilization of actors in change is possible, and as a result will greatly reduce the probability the forces in favor of change to form a strong alliance that will override those who resist it.

**Lack of commitment of leadership/ superior administration**

An inviolable term for the implementation of a successful promotional change is the commitment of the leadership. Leadership must support change at every step and every obstacle that may arise. If this is not occurred, it is possible the reform to be incomplete and informal or formal groups to try to take advantage of this new situation without the organization having any positive effect. It is also considered important that the commitment of the management for change being obvious to all employees, something that is lacking in the public sector and in countries such as Greece, where the Public Administration is characterized by a lack of administrative continuity.

**It is not created a vision that will inspire the effort to change**

Creating and promoting a clear vision that will provoke change is one of the key elements of the reform effort. Kotter (1996), specifically said: "When you can not describe, in five minutes or less, the vision which is responsible for the initiative of change, and you are receiving from others a reaction that shows understanding and interest in it, then you have a problem" (Pollack et al, 2014). Ingstrup and Crookall mentioned in 1998 that the above need fits much better in the public sector, where acceptance of a change will increase when it can be linked to a noble cause that serves the public interest and contributes to society.

**Failure to maintain a commitment to change**

It has been strongly observed, especially in the public sector, that many reform efforts, while starting with enthusiasm from politicians and public officials, end up stagnating. Most people, while at first show particular enthusiasm for a reform initiative and looking forward to a successful and happy ending, are unaware that their own hard work and dedication is mediating during this change. Kanter (2020), reports that usually in the "miserable middle" of a change effort, everything seems to have failed and employees are ready to give up. It is important during that time, to empower and encourage employees and focus on the change made by them, in order to greatly reduce failure rates. Concerning the public sector reform, the patience of the leadership team (political and service leadership) and the continued commitment to the goals of change are vital, as its results will be seen in the long run and the benefits they often promise often appear long after the end of the change process.

**Absence of a team to lead the change**

In order for a change to be completely successful, there must be a strong and guiding team. This team will be consisted of employees at different levels and sectors, who have a strong belief in the goals and purpose of the promoted change and who meet the necessary qualifications to inspire and guide other employees to address certain difficulties, challenges and problems that will arise during the implementation of the change.

**Neglecting changes in organizational culture**

Usually, the emphasis of the reform effort is given only to the hard core of change (i.e., the change of the structures and processes of the organization) and due to the particular difficulty of the intervention, the efforts to change the values, meanings and culture of the members of the organization are neglected, a concept that perhaps has occupied the scientists and analysts more than any other. According to Hofstede, a simple definition is "the common way of thinking that differentiates the members of one organization from another" or simply "the way things are done in here". Thus, since organizational culture determines the way people act, lead, behave, and work within the organization, if the change does not coincide with the necessary changes in the organization's culture, its failure seems more likely.

**Lack of required resources (ability to change)**

With the term "capacity" we refer to the availability of the resources required to implement change, i.e., time and money, material and human resources. First of all, the resources need to be defined and then, their usability needs to be ensured. A change based on estimates that do not correspond to reality, most likely will not be able to achieve and fulfill its goals, as it will face serious problems and difficulties during its execution.

**Deficient communication**

Very important is the communication strategy that will analyze why change is necessary, but also the benefits that will arise for each team and the individual separately. The absence of this factor, makes it very difficult to create a climate that will favor alliances in favor of change and will neutralize the forces that resist it. Good practices in Change Management shows that participation and communication, which focuses mainly on explaining the benefits of change, is the most successful strategy for tackling resistance to change. The previous points create interesting expansions for Human Resource Management:

**Education**

It is needed a coordinated education plan, organized according to the specific needs of each organization. Apart from knowledge issues, what employees need is coaching in issues of cooperation, teamwork, leadership, effective communication. Depending on the change program that an organization wants to implement, it must prepare its members properly for what will happen. Depending on the change program that an organization wants to implement, it must prepare its members properly for what will take place. Group workshops, interactive workshops and opportunities for continuing education, inside and outside the organization, will create a positive atmosphere and enhance the individual and group skills of the staff.

**Internal communication**

In most organizations the communication takes place "from above" to "below" and takes the form of announcements. The process becomes more difficult when there is a significant change in progress, as it is common for information to be lost, rumors to be circulated, misunderstandings and a bad climate to be created. Management knowledge will give the change agent all the tools to properly streamline the flow of information, take advantage of informal communication networks and save time and effort. Knowledge in management issues will give the change agent all the tools to properly streamline the flow of information, take advantage of informal communication networks and save time and effort.

**Selection and employee attraction**

Greek public organizations, do not select their employees. However, private organizations, have a numerous options for how they decide to work and with whom. Interviews, project samples, role playing, psychometric tests, all can be used, in such a way, that from the beginning employees, who are open to change, are preferred. One proposal would be the disposition towards change to become one of the criteria for selecting employees in public organizations. This will create a good "base" of employees - potential change carriers - for any future program that management will want to implement.

**Staff evaluation**

A well-established staff appraisal system will allow the leader or leadership team to understand the strengths and weaknesses of their people. Management will be able to gain a clear picture of the weaknesses that need improvement and set realistic change goals, tailored to the specific skills of the staff. And later, once the change program is implemented, the effective evaluation will appoint, what went well and what did not.

## 2. THE CARRIERS OF CHANGE

### 2.1. The Leader

A leadership that is effective, determined and flexible contributes significantly to the success of change. The leader, must create the passion and the attitude for change, to provide persuasion to increase the efficiency of the media involved, create alliances, be able to facilitate the changes that will occur in the organizational culture and identify who will be the winners and the losers after the change, in order to make, in advance, a study can be done in advance to address possible reactions during the implementation phase.

The leader must also find a way to combine two, perhaps contradictory, things: control and trust. He should have the ability to anticipate situations and determine the general direction that will define the context in which employees will move. The political leadership of public organizations is quite different from the leadership of private. Public sector leadership refers to administrative or bureaucratic procedures (Van Wart 2013, Trottier et al 2008). It is necessary in the public sector to support a reform by a competent political leadership, which will guide the change dynamically and effectively in a long run level.

The OECD concludes that "leadership plays an important role in implementing public sector reforms, because it involves two of the key aspects of reform: change and people". Recognizing the important role of leadership in achieving the necessary public sector reforms, several OECD member countries (including the USA, France, Germany, Mexico, Sweden, New Zealand) have developed leadership development strategies for senior state employees.

Administrative leadership can be contrasted with political leadership. The last, concerns leadership activities, carried out by the political supervisors of public organization. Although, the largest piece of the public sector leadership bibliography, does not investigate organizational changes (Van Wart, 2013), some authors focus on the role of leadership in organizational changes. The notion that leadership is a key factor in organizational change processes appears in the bibliography regarding to organizational changes (Kotter, 1996). Leadership, is also considered in the bibliography as a major force of change in the public sector. For instance, Charlesworth et al. (2003), refers that "effective leadership is the key to ultimate effective change". Similarly, Christensen (2005), emphasizes the importance of political leadership and advisers in the process of organizational changes. In addition, Gabris et al. (2001), emphasizes that leadership must be credible and Kavanagh and Ashkanasy (2006), conclude that leaders must be competent and educated in the process of transforming organizations.

The leader is the one who understands when the organization needs to proceed with the change, plan it and implement it. The leader, within an organization, holds the highest hierarchical position, sets the goals of the organization and is responsible for its course (Χυτήρης, 2001; Σταφυλά, 1997). The role of leadership has proved crucial in the course to change. Businesses need a strong leadership presence to achieve maximum efficiency. When leaders are able to recognize and meet the ongoing challenges of the external environment and the changes, they have the ability to create a clear vision, a common goal while motivating all members of the organization to act on it.

### 2.1.1. How to lead with Organizational Culture as a guide

Lou Gerstner, CEO of IBM, led one of the most successful business transformations in history, saying the most important lesson, he learned from experience, was that "culture is everything." Modern entrepreneurs tend to recognize this and consider it an important point on which they can base their efforts for organizational change. In a survey conducted by the Katzembach Center, 84% identified as a critical point, the business culture, in the success of organizational change. The 64% ranked it in a more important position than that of the strategies of the management models. Several times, change leaders, fail to make good use of organizational culture, either because they neglect it or because they overuse it. Among respondents whose companies were unable to keep up with change over time, a staggering 76% said executives failed to take into account existing culture when planning the transformation effort.

How can a leader, given the widespread recognition of organizational culture, bypass it? Maybe this takes place, because change management designers see their company culture, as a legacy of the past from which they want to move forward. Another version of this question says that change leaders, focus on structural details and formal processes, and forget that people in the organization who have strong ties to this culture can establish behaviors that will lead to the success of change. They also assume that culture, because it is informal and not so strong will be quite adaptable, without requiring significant attention.

Culture is a factor of success or failure proportionally to whether it will show flexibility or inability to adapt to the ever-changing business environment. Organizational Culture is difficult to change, but when will change and adapt to external environmental conditions, it can enhance performance in the most appropriate way Kotter and Heskett (1992). Organizational change therefore means the "transition from one state of affairs to another or the transition from a set of conditions to a different one" (Χυτήρης, 2011), i.e., a process of adaptation and repositioning of human resources in a new environment, in order to be more efficient and its more effective operation.

## 2.2. The Message of Change as a tool of Management

Leaders, knowing the crucial role of Human Resources in the implementation of any change in the organization, take measures that will enable them to prepare the ground for the business of change to start with the right foundations. Aiming to facilitate change, they do not miss the opportunity to convey their views, beliefs and values around change. They promote and transmit the message of change at every opportunity such as meetings, assemblies, the media and wherever they are given the opportunity in general. They seek the message of change to be passed on to employees through their training, so that they are well and properly prepared.

Initially, they ensure that they have an ally and supporter of the effort to change the top administration. They ensure that there is an identification of views, ideas and beliefs that together everyone fight and strive for common goals and aspirations. To succeed, they configure the new vision of the organization, formulate clearly its new mission, proceed to the strategic planning of change, set long-term and short-term goals. To be more effective, they use examples, symbols and do not hesitate to strengthen and reward those who respond to the call and strive for change. The selection of staff that is flexible and easily adaptable, helps crucially, the quick adaptation of the organization, so that in a short time the signs of change are visible in its operation.

The leadership style that the leader will apply, should keep pace with the principles of change. The bureaucratic model does not conform with these principles, while it seems to be served by the models of Modern Administration, such as that of transformational and distributed leadership. In addition, because the roots of the old culture are deep, the leader's belief in changing the organizational culture, should be taken for granted for a long time and until it is achieved. The leader with clear, understandable, clear and well-prioritized goals ensures the transmission of the right information.

The leader with concrete, understandable, clear and well-prioritized goals, ensures the transmission of the right information. In order to achieve the goals, it is obvious that he will have to look for those incentives that will act proactively to the employees of the organization and push them to their commitment to change. The motivations for the leader, who knows the basic principles of management, are multiple and he is the one who must choose the appropriate ones and the ones he will use for each employee. When there is going to be a change that will affect the whole organization, something that involves a lot of time and allocation of several or even many resources, then it is good to apply the change in one area of the organization on a trial basis.

When there is going to be a change, that will affect the whole organization, something that involves a lot of time and allocation of several resources, then it is good to apply the change in one area of the organization, on a trial basis. The trial change, is based on the belief that in this trial phase, the employees of the specific sector working by implementing the change are better prepared for its implementation and have multiple benefits, such as being able to test their reactions before committing to the new situation, to be able to form their attitude and behavior towards change, based on real data, while overcoming the fear and the sense of threat from the impending change. The Management, also benefits significantly from the pilot change, as it has the ability to evaluate the change approach strategy and make the required changes, before proceeding with its general implementation. In addition, it can make a first and very important finding about the adequacy or lack of resources, required for the full implementation of the program.

In short, the message of change has clear goals, the implementation of which is evaluated on a daily basis. The leader of the organization, has a leading role, as well as the human force that through appropriate training, motivation and implementation of Modern Management is committed to serving change. After all, the process of change must be considered part of the overall strategy and policy of every organization and the human force must know and apply it.

## 2.3. The Creation of a Common Vision

The change must have a purpose that staff can define. The founder is the primary carrier of elements of the organization, such as vision, values and beliefs. In addition, it has the power to spread them and

make the other members of the organization embrace them. Creating a vision for the future and the consequent goals and values through a broad consensus process, is a very important step, in changing a system. It is necessary to have the support of all stakeholders from this stage. It will inspire and motivate them to take an active part in a discussion about how employees themselves envision the organization in the future. The main questions that need to be answered are:

- ✓ Where are we now?
- ✓ Where are we going?
- ✓ Where do we want to go?
- ✓ How do we get there?

Williams, Dobson and Walters report that "the founder has both a vision and power for the future. He gathers together people, who embrace his views and together create the organization. The common vision must be disseminated to all levels of the organization. Staff and other stakeholders, should feel connected to the vision and understand its usefulness for their own work. They also need to understand, how change will induce personal changes, as well as the workload of behavior differentiation, will serve a higher purpose. A "vision" to be effective must be: clear, unambiguous, relevant to each other's responsibilities, simple, "alive". The absence of a vision that will govern and surround change, linking it to a broader and deeper purpose, makes it very difficult to implement.

## 2.4. The Workforce

Workforce, is considered not only one of the greatest competitive advantages that an organization has, but also, is the main tool, aiming to achieve its goals. The staffing of the organizations with suitable employees is their main concern, as a result of which more and more attention is given to the adoption of ideal selection methods, for finding and placing the suitable candidates in the appropriate positions. However, the perceptions formed by the candidates about the methods of the selection process and the way they are carried out, have the potential to affect the reputation of the organization and its demand in job seekers.

This fact, is able to make it difficult for the organization, to attract talented candidates.

On the other hand, the involvement of the staff, from the beginning, reduces the reactions to any changes, since you create the belief that he is a participant in this change, he acquires an emotional commitment to the big idea. An additional advantage of such a process, is the dissemination of critical information and feedback, that helps to perfecting the change, during the application. A study by Booz Allen Hamilton, related to government change efforts, found that 75% of successful change leaders, use a collaborative approach to developing and implementing change, compared with 33% of unsuccessful change leaders.

## 2.5. The Developers of Change

They are the individuals, who turn the idea of change into action plans and programs, in which they state what needs to be done and in what way. These individuals, accurately examine and record the actions that need to be followed, in order for the change to take place successfully. These individuals, either work within the organization or are hired only to accomplish this purpose.

## 2.6. The Executors of the Change Programs

Executors are the people, who perform some tasks assigned to them by the developers. These people, are involved, in the practical part of change, and can be from any level of the organization.

## 2.7. The Supporters of Change

Supporters are the people, who support the organization financially, so that it can afford the costs of the change process, or inspire employees to understand how important change is and to support it. These individuals, may be within the organization itself, from another organization, or may be the management of the organization, that makes the change.

### 2.7.1. The Champions of Change VS the Opponents of Change

Champions of change, are the people who are supporters of change and willing to see it implemented. Whilst, opponents of change, are people who oppose change and may try to prevent its implementation. Organizations, should conduct research on stakeholders, relevant to the analysis and categorization of stakeholders, to identify the individuals and groups to whom the change affects and which exactly they are.

In an organization, there is diversity between employees and stakeholders in general, and therefore different approaches and reactions to change and its implementation. Two categories of stakeholders, are particularly important: the "champions" of change (also known as change factors) and the "opponents" of change. Individuals, in both categories, may come from all levels of the organization. The champions of change, are invaluable in propulsion and legitimation the initiative and team building. They are the ones, who can lead the change from zero to the top.

On the contrary, those who resist change have various reasons for doing so. The main sources of resistance to change, according to the bibliography, are the following:

Fear: Every change, leads to a new situation, which is more or less associated with uncertainty, as to its characteristics and consequences for individuals. This uncertainty, naturally causes to many people the feeling of fear, which makes them react negatively to change (Polychroniou, 2009).

Feeling of loss: In addition to uncertainty, in many cases of change, individuals feel that change, can lead to the loss of valuable satisfactions (such as power, value, utility, work content, prestige) they enjoy in the status quo (Polychroniou, 2009).

Habit: As we know habit leads to inaction, and therefore resistance to changes as it is associated with stereotypes and a sense of "comfort".

Lack of understanding of the usefulness of change: Often in large organizations, many employees, do not understand the direct or indirect usefulness of changes for themselves and more broadly, due to a lack of effective communication from change managers. Therefore, they have no reason to accept and support them (Polychroniou, 2009).

Different perceptions: Organizational changes, are usually the result of values, beliefs, subjective perceptions, assumptions, judgments, goals and choices. It is natural, that there are quite different perceptions regarding them. This certainly leads to denial, passive or active, of those who disagree with the content or the way changes are introduced (Polychroniou, 2009).

Reactions to the sector of change: Several times, the causes of negative attitudes, towards changes, are not the content and their consequences, but the individuals or groups that suggest and attempt changes. The lack of trust and credibility of those who suggest the changes, the symbolisms of the positions they hold, the style of administration, etc. can cause negative attitudes to changes (Polychroniou, 2009).

Table 3: Main sources of resistance to change

| | |
|---|---|
| 1. Habit | 8. Inconvenience or loss of freedom |
| 2. Interference with need fulfilment | 9. Lack of discipline and persistence |
| 3. Selective perception | 10. Organizational structure |
| 4. Economic implications | 11. Security in the past |

| | |
|---|---|
| 5. Threats to power or influence | 12. Fear of failure |
| 6. Knowledge and skill obsolescence | 13. Limited resources |
| 7. Fear of the unknown | 14. Lack of self - confidence |

Source: European Journal of Research on Education, 2013, 1(1).

## 3. CHANGE SUPPORT MECHANISMS

### 3.1. Motivations for desirable behavior towards Change

In order to achieve, stakeholder's involvement, they can also take into account, and not omit to provide incentives, in order to produce the desired behavior. The following procedures should be followed for staff and manager: descriptions, annual work schedules, and evaluations should reflect post-change activities and expectations. In addition to annual appraisals, cash prizes and recognition, can help promote the desired change behavior.

In a planned change, and after analyzing the forces that influence it, the sectors - leaders and the programmers of change should, in order to reduce and prevent the negative reaction, to be active and achieve the following points:

Analyze and describe the need for change: some in the organization, are likely to directly express their opposition to change. Their role should be reduced. And this, will be achieved, if on the one hand the need for change becomes clear to them, and on the other hand if they are not pressured to contribute to the planning or implementation of change. If the change, is described as successful, then these individuals will either gradually stop opposing or will want to contribute to the change (Sirkin et al., 200).

One technique, used to deal with these individuals, (usually lower middle managers), is to accept their desire to stay away from the early stages of change, but to be kept informed of its progress. It happens often, that there comes a time when they feel isolated from their colleagues and so they slowly find a way to participate in the program of change. They should ensure participation, in the planning, of those who will be affected by the change: The negative reaction to the change will be less, if those who are really affected by it or think that they will be affected, have some reason in planning it. Their participation, should take place early enough, i.e., before they get the impression that a change will be imposed on them unilaterally. In this way, the chances of compliance and participation in the change are increased.

Provide meaningful and complete information: this is needed to clear up cloudy and complex situations and reduce insecurity. When employees are not adequately informed by change leaders, then they turn to information channels of dubious credibility. The result will be the spread of false news, rumors that will spread fear, doubt and make it difficult or even impossible to implement change. In each beginning of change measures, information should be increased and disseminated both quantitatively and qualitatively. Plenty communication and information, are considered necessary, for the reactions and problems that arise, in the stages of beginning and implementation of change.

Providing the opportunity for objections to be heard: employee's freedom to express their objections, whatever they may be, must be guaranteed. This also contributes to creating a good climate, where employees feel that they can be heard and influence situations, in their favor.

To ensure a broad and active consensus. In the long run, this can be achieved through reward systems, specific policies and administrative practices. However, in the short term, active participation can be encouraged, if the importance of change for the survival of the organization and consequently the securing of jobs, are properly emphasized. Moreover, if a "common vision" is created for the organization, and the interest is focused on dealing with the "competitors" of the organization, to cultivate the feeling of trying to survive in the "market", trying to deal with the "enemy" together.

To take into account team standards and habits. Our well-known business culture, as mentioned above, is very important for the proper and successful outcome of the implementation of change. To do, as many changes, as needed. Everyone has a limit to accepting change, beyond which they react negatively, even if they do not see any negative effects on change. Every person, has a limit, in accepting changes, beyond that he reacts negatively, even if it does not discern negative effects on change. This will have the effect, that the person, will not be receptive to serious changes, if he is already tired of the insignificant ones.

To provide incentives. Change, is more easily accepted, when it gives people motivation to meet, some of their needs. Employee motivation theories, make it clear, that motivations are necessary for individuals to take action, in specific directions and to adopt the required behavior.
To handle time, properly. The appropriate time should be taken into account to enter the change. The appropriate time, is the period of time in which, the work climate, the availability of resources, and internal and external forces, help to achieve change. The effects of the change, are not immediately visible, nor is it considered appropriate to evaluate its effectiveness immediately after its beginning.

It takes time to achieve change. At first, there may be disappointments or even failures, even quite positive results may begin to appear, which are expected. That is why, those in charge of change, should not make hasty assessments, which will concern the difficulty of implementation or the low feasibility or even the final success of the change. They should monitor and control the implementation of the change, and wait for the final results to be visible. To make any necessary adjustments to maintain the change.

### 3.2. Communication at all Levels

Communication is one of the most important elements in the effort for a successful change, it predisposes employees positively, giving a tone of transparency and honesty. Proper communication can serve a large number of functions, including:

- conveying the vision, goals and motivations for change, exchanges information on organizational changes and provides stakeholders with details about nature, timing, and significance of the change,
- extracts participation and action in specific actions from stakeholders,
- provides the social support, needed to address problems, alleviate emerging fears, and establish support systems among employees,
- provides feedback to both employees regarding to their performance and the initiatives they take during the change process, as well as to the pioneers of the project (of change) regarding the strengths and weaknesses of the process.

Consistent communication is important for maintaining and enhancing key messages, which should be linked to achieving higher goals and a vision for change. Senior executives and "champions" of change, should act as intermediaries in enforcing these key messages. Furthermore, organizations can use in-person communication, where is possible, to build relationships with stakeholders. Communication, is also an effective method, to help people overcome their resistance to change. In conclusion, the communication should be repetitive and diffuse through multiple channels, include opportunities for questions and comments, to be adapted to specific recipients.

According to the results of the communication policy, pursued by Usaid Assist Project in various organizations in America, when communication is done through multiple and different internal and external channels, the maximum interaction is performed between the transmitter and the receiver, i.e., those who plan the change and those who can afford it. For example, the organization has used announcements, emails, websites, reports, presentations, face-to-face meetings, seminars, and informal discussions. The executive teams, worked on the communication protocols within the organization, so that the sender of the message and the target of the message, have a direct and fast result and maximize the effects of the message. The telecommunications implementation team, sent a message to all interested members, before installing the system, so that they know, in advance, that a big change

was going to happen. The communication continued, and after the implementation team left, asking users if they needed any help. The Usaid Assist, obtained the following important information: it is necessary to offer, to the interested parties, up-to-date and reasonably organized information, in order to obtain, the most of the communication.

The communication must be in a form in which the interested parties pay attention, and the message of the communication, should be such, that the interested parties identify and perform the best of their possibilities. The USAID experience, also reveals that efforts were ineffective, when senior executives distanced themselves from the messages they had to spread to the functional units.

### 3.3. Creation of the Infrastructures to Ensure Success

Differentiating a company's organizational patterns, attitudes, and culture is one of the most difficult aspects of managing change, but it is also one of the most important. The process of change, takes a long time and for this reason many synergies are needed that are oriented towards the same goal. Senior management and functional units, must work together to create the right environment and provide the tools needed to move the process forward, in the long run. Education is vital to familiarize stakeholders with the details of change and how they are applied in their work. Through learning, staff gain a deep understanding of how their behavior needs to change, the ultimate benefits to the organization, and the skills needed to effectively establish change.

Taking into account the diversity of stakeholder capabilities, organizational change efforts may require a significant investment in staffs and partner's education. Senior leaders need to take their qualifications seriously, in order to be committed and maintain their skills for a change, whose effects will begin to show, in the long run. This also includes the appropriate staff, the right amount of time, the space and required equipment, as well as ongoing funding. Failure of an organization to allocate sufficient resources, can prevent substantial change. Senior leadership, should also consider its ability to use resource management, in the process of change. External consultants or experienced people from within the business, may help the functional units to embrace the principles of change management in the design and implementation of the initiative. In conclusion, in order to enhance change, these three factors (three organizational structures) should contribute: Policies, Procedures, Systems.

### 3.4. New Technologies as Mechanisms to Support Change

The integration of e-government applications, is a key linchpin of initiatives to reduce administrative burdens and inventory administrative procedures. It focuses on two linchpins of intervention: the redesign and digitization of public administration support centers and the decentralized and integrated provision of services to citizens and businesses.

Hermes is the Central Internet Portal of the Greek public administration. It was designed with the aim of being the National Benchmark of the Greek e-Government and is expected to function as a comprehensive platform, which will provide information and electronic services to citizens and businesses through digital transaction and communication. The purpose of creating HERMES, is to become the "router" that will facilitate and direct, those interested, in the appropriate places. Thus, the existing public websites of public sectors, will not be abolished. They will retain their autonomy and content, and will simply need to be redesigned and connected to the HERMES National Portal. Operational barriers and the lack of interconnection of information systems should be replaced by the development of an undivided and interoperable information system for all public sectors, which will include codified and modeled support procedures such as staff status and payroll, internal and external correspondence, budget, expenditure and notifications, among others.

In Denmark and Finland, for the last five years, the interoperable homogenization of the existing information systems of public sectors and the modeling of the procedures - levels of control and provision of information and service, have been the basis of the broader administrative and reorganization programs. At the core of the strategy, should be the development of a common and standardized system of bidirectional communication, between citizens and businesses with stakeholders

and the provision of integrated digital services. Alternatively, for the central government, a joint e-government service hub could be developed, between the agency and the Ministry, and a policy or population group, a model that is gradually gaining ground with already successful applications, in countries such as Australia and Canada. For example, new social media and mobile devices, mobile phones and tablets, are helping by their use and furthermore with exciting new features, to enhance transparency and reduce bureaucracy.

The technology, serves the creation of virtual work environments, as employees will be able to work remotely and with flexible schedule. Employees, no longer need to work in the same workplace and at specific hours when not required, thus increasing their productivity. This way, employees will no longer have to live or reside in the same area as the service, but will be able to work even from abroad. In this way, the geographical range of people who can work grows, opening the borders to more capable and talented people.

It is considered necessary to systematically record data related to the operation of Citizen Service Center (CSC), which is a service for Greek citizens, such as the number of procedures they apply on an annual basis, the number of "customers" they serve, their operating hours, the ownership status of the property in which they are housed and the price of the rent if there is, the number, the employment relationship, the level of education and the language learning of the employed staff, the operating expenses of each CSC, as well as its payroll expenses and, finally, the potential population that each CSC serves. A multi-parametric evaluation of the CSC, that will take into account all the above parameters, is necessary to support the strategic decision-making on how the CSC evolves, especially after the requirements arise through the planning for a staff state, which predicts for the transfer of service responsibilities to other levels of administration from the central state.

In the Netherlands, the Citizen link service, is an online application that measures the degree of satisfaction of public service users, per sector, and evaluates their views on the impacts of the provision. A particularly innovative system is the digital "journey" of service delivery, according to which registered users in a digital simulation environment, evaluate specific qualitative and quantitative characteristics of the provided services. The effects of the changes which they propose, can then be assessed through the modeling capabilities provided by the simulation system. The results obtained are used in combination with the operational data of the services provided, in order to select their simplification actions and the development of the operating model of the competent body. The results that are obtained are used in combination with the operational data of the services provided, in order to select their simplification actions and the development of the operating model of the competent sector. This standard operating regulation, lists the requirements for receiving each service, the stages and distribution of responsibilities, the time of completion and the required forms, to be completed. The junction, also functions as a expedient of consulting on the quality of the provided services, evaluating simplification actions and recording proposals.

In the case of Greece, the problems and the absence of extroverted and interoperable planning of the existing information applications, creates the need for a radical reorganization of the policy, with a view to drastically reducing bureaucracy. But the most important problem of e-government policy, is the lack of interoperability, friendliness and extroversion of applications. In the Greek central public administration, there are over 350 ICT applications, a part of which concerns integrated information systems (OPS), and 3,084 servers with minimal to non-existent interoperability and technology of design of their applications.

### 3.5. Measuring Progress

Vital Questions, are the following:

- Who will collect and analyze the data?
- How and when are the data collected?
- How will the organization utilize the results?

Organizations need measurements to evaluate the results of the progress of the process and the change itself. Measurements and reports, provide useful information to organizational units, in order to understand whether stakeholders perform those tasks that contribute to change, as originally planned. This allows them to make corrections where they are needed. Evaluation and monitoring, should be continued, after the change is implemented to ensure that the organization has not succumbed to old mentalities. Finally, with the publication of the results throughout the organization, the change is consolidated and the messages towards the ultimate goal are strengthened.

### 3.6. Participatory Monitoring of the Transition Plan

The way an organization effectively combines its interconnected activities, is what determines its overall performance. The public organization, implements its mission and vision, through a clear strategy. Strategy translates into plans, aspirations and measurable goals. Planning and strategy, reflect the organization's approach to implementing organizational change. Creating and implementing a transition plan, is a prerequisite and is a concise roadmap with guidelines for smoothly managing the changes that inevitably arise from the beginning of operational flexibility and organizational innovation practices in an organization, with a view to reducing implementation uncertainty, taking into account the reduction of implementation uncertainty, the need for a framework to monitor the progress of the integration of new practices and ensure the final implementation of possible new organizational structures, processes and methods with the least possible impact on its operation organization. It should also include, a monitoring and self-assessment mechanism, that is likely to lead to reorientations.

Workforce, is one of the key factors in the implementation of a change plan and should be utilized in monitoring its implementation. The participants in the change, monitor, record, measure and in scheduled meetings evaluate, at regular intervals, the implementation of the transition plan. Participation, strengthens the belief in change, develops and releases all the skills of employees at the individual and organizational level, to support the strategy of change, its planning and the effective operation of its processes. Secondly, from the above arises the need to provide more freedom to employees, so that they are able to actively participate in the process of defining the goals, that they will be called to achieve. Third, the change extends deeper than a simple technological upgrade. Change, primarily, involves creating a new culture within the organization through new skills and attitudes. Fourth, practical application is a cornerstone of any change program.

Change plans are designed by the top management team of the organization but the implementation is the subject of employees in the middle and lower layers of the hierarchy. If there is a lack of alignment of all employees in the effort to achieve the goals of the change program this cannot be achieved. In addition, as discussed above, most change management models, suggest the design of specific tasks per employee for the most effective implementation of the change plan. In conclusion, these four elements have in common the involvement of a large number of employees with commitment and motivation in the change program (Θεοδωράτος, 2004).

In conclusion, the contribution of employees to the effective outcome of the attempted change is vital, from the initial stage of design to the final. At this point, it is important to emphasize that the commitment of employees to change is long-term until their departure from the organization.

### 3.7. Criteria and Procedure for Evaluating Change

One of the most important steps in the change process, is its evaluation. By evaluating change, the effectiveness of what was planned and implemented, is studied. Before the start of any change, it is a prerequisite for the existence or creation of a reliable and effective system for evaluating the expected results. The lack of such a system, is often the reason why a change fails. The evaluation process, often requires the cooperation of experts, who usually come from the external environment of the organization, so that the research is objective and the application of specific methods and quality standards (e.g., ISO 9000, Balance Scorecard, Six Sigma, etc.). It is a precondition for conducting these researches to observe the rules of research and ethics in accordance with the respective international and national contexts (Jones & Powers, 2004).

The evaluation of change, is done at specific and defined time points and requires the appropriate provision of evidence and data, which are collected through different means and ways, such as information systems within the organization, questionnaires or interviews with interested members (e.g., customers, employees) and other methods. In addition, effective evaluation of change, requires continuous and good communication, between management and all members of the organization involved in change. The client and the competition, play a decisive role, in the evaluation process. The modern business environment, is dominated by the effort of all organizations, to achieve maximum customer satisfaction by offering the best possible value proposition. Thus, the success of change, to a large extent, is determined by the customer response (Kotler, 2000).

Evaluation of change, must be done before, during and at the end of the implementation of a change plan. The action plan of the organization must be formulated, taking into account all available information about the competition and the customer database. This will ensure the selection of methods that can lead to the most effective achievement of the goals set by the change program. In the same context, the evaluation should be based on the monitoring of specific issues / factors that help in the comparison (Benchmarking), with competing organizations, but also show the discrepancies between the results and the initial goals in order to identify in time the points that need improvement (Brooks, 2009).

The goals, set by the initial action plan, are particularly important to be realistic and objective and to make their evaluation feasible and easy. The stages that the process of change evaluation goes through, and are analyzed below, are: the recording of the situation, control of implementation of the original design, and the future planning. Analytically:

- Record the situation

At this stage, all the data and indicators that will be analyzed are gathered, the way in which the evaluation will be done is defined and the time period in which it will take place, is determined. At this stage the quality, quantity and duration of the results are evaluated, as well as at the level of human resources - individual, team and organizational – and the possible reactions, related to the change, are examined and recorded. In cases, where there is a significant deviation, from expectations but also adherence to change processes and behaviors, then perhaps the revision of the change plan should be considered in order to intensify efforts (Χυτήρης, 2001).

- Application control of the original design

It is well known, that change plans, often have design problems associated with setting overly optimistic goals. At this stage, the evaluation focuses on verifying, whether the initial plan is achieved and whether the organization's resources are used effectively to achieve the goals of the change plan (Χυτήρης, 2001).

- Future planning

The evaluation, helps to determine the required future actions, based on the data / results from the implementation of the existing change plan. This helps to avoid mistakes in the future, as well as to identify and highlight the good practices, that have been successfully implemented, in the past. Therefore, at this stage the evaluation is the starting point for the redesign, where necessary, of the processes and operations of the organization. In this way, the future planning of the action plan goes through the evaluation of change with the ultimate goal of aligning with the vision of the organization (Χυτήρης, 2001).

### 3.7.1. Requirements for evaluating change

As mentioned earlier, the timing of change assessment is crucial for delivering reliable results. Early or delayed implementation of the assessment can lead to mistaken results (Huczynski & Buchanan, 2001). In addition, careful and organized evaluation, is necessary, especially in complex situations. Thus, for a proper evaluation, a plan must be created which will describe the purpose and goals of the evaluation, the measures and indicators for measuring the result, the sources of information and the ways of collecting the data, the methodology of analyzing the data and extracting conclusions. Finally, the

evaluation plan must describe the recipients of the final evaluation results and the time frame, in which the process will be completed (Huczynski & Buchanan, 2001).

In order to evaluate change, it is necessary to have goals that are clear, specific and measurable, but also a sufficient number of people, within the organization, should assess the results, in order to evaluate their involvement in the effort for change. Evaluation, as mentioned, is a complex and time-consuming process and therefore its implementation must be adequately funded. Finally, the evaluation should have as its ultimate goal the extraction of results, which aim at promoting the progress and improvement of the organization (Huczynski & Buchanan, 2001). Evaluating change, is a tool that helps the organization address significant challenges and problems. In particular, it helps management learn to handle and deal with any future changes that may occur. It also achieves the most efficient use of all available data / information, arising from the internal and external environment of the company, but also helps to integrate knowledge from past experiences. Finally, the evaluation of change helps to validly calculate the future performance of the organization (Huczynski & Buchanan, 2001).

## 4. OLD CULTURE

In the human capital of public administration, public power has been delegated and the responsibilities to exercise it have been delegated through regulations. In this sense, the civil service is part of the state power, belongs to the public sphere and operates according to the rules that govern it. As it is known, the Greek Public Administration is characterized by chronic problems and pathogens, which are based on the structural characteristics of the ruling bureaucratic administrative model, such as the strict hierarchical structure, the standardization of duties and responsibilities, the commitment to regulation, which were and still are, even today, the subject of intense controversy.

The result of such an administration is to develop a "civil service" mentality, which is characterized by inefficiency and alienation from its structural goal, which is to serve the citizen and businesses. Adherence to the exhaustively detailed rules that regulate, delimit and govern almost every aspect of organizational action, guarantees stability and predictability, the removal of uncertainties, the marginalization of deviations and arbitrary behavior and the rapid response to confrontation, especially known problems. The dedication of the action to the rule that regulates specific responsibilities and roles leads to, in theory, to the absolute depersonalization of the relations between the members of the organization. At the same time, predictability helps to create a sense of security in the external environment of the organization, which leads to a stagnation and devaluation of the organization itself and its fundamental goals. The executives, fortified behind a complex grid of formally defined responsibilities, roles, rights and obligations, do not gain a common understanding of the new situation, which they are called to face, nor an awareness of the connection of possible solutions-options with the mission of the organization. Instead, they "develop a particular type of bureaucratic personality", characterized by "secretive to fetishistic attachment to the process."

Their action is guided by the strict observance of the press, the avoidance of mistakes and not the conscious pursuit of success. They operate on the basis of "fragmented patterns of thought and action", which hinder learning processes and the reflection of functional rules and patterns. By adopting "defense routines", self-defense routines divert attention from the essence of the problems, shift or obscure responsibility and cultivate "a climate of extreme conservatism". Under these conditions, the vision and mission of the organization degrades and eventually loses its original meaning. The organization is unable to predict possible developments in the administrative field, to set precise and clear long-term goals and to define the stages, the means, the implementation schedule, as well as the methods of evaluating the effectiveness and efficiency of its action (Μαΐστρος, 2009).

In Greece, the ongoing devaluation of the body of civil servants, by both the media and the political system, makes it difficult to highlight the positive idiosyncrasies of the Greek civil servant, which can be the starting point for the reorganization of human capital, of the Greek public administration (European Union European Social Fund, "White Bible for Governance"). It is expected that the prevailing culture of the organization, will be an obstacle to those who try to impose some changes. Wherefore, the employees of the organization have made great efforts to adopt the culture that applies in the organization, they are opposed to make changes in this culture. An organization that wants to make

changes in its culture, should pay attention to the following (Θεοδωράτος, 2004): the form of leadership adopted by the organization, the structure and the history of the organization, the balance of power between different groups or individuals.

## 5. DIFFUSION OF THE NEW ORGANIZATIONAL CULTURE

During the first stages of planning and implementation of organizational change, organizational culture is researched and taken into account. The process of transition from the old to the new culture is laborious and long lasting, and requires strong leadership. The new culture, both in its entirety and in its individual elements, will be determined based on the general situation that prevails in the environment (internal or external) of the organization, the outlined strategy and policy followed by the company, some pre-existing elements of culture, that are characterized positively and finally based on the personal culture of the employees, mainly of the change leader and the senior management.

The following is a comparison of the current culture and the future desired, identifying the gap between them, as well as the required moves that need to be made to fill this. Based on the existing gap, the new elements of the new desired culture are formed. The elements of the new desired culture are the vision, the values, the principles, the beliefs, the convictions, the views, the way of acting, the attitudes. An important issue here is to identify (by the leader or leadership team), the new roles and values, as well as the new skills, practices and attitudes, that come from the new elements of the culture. The next and most important stage, after the identification of the new culture and the distribution of roles, are the actions and methods for the communication, dissemination and embracing of the new elements of the culture by the employees (Παπαλεξανδρή& Μπουραντάς, 2016).

In the best internal communication practices for the diffusion of the new corporate culture, dominate the frequent physical presence of the management, the meetings of executive teams at all hierarchical levels, the continuous training of the staff, the employee satisfaction surveys and perception of the prevailing culture and the utilization synergies and digital media (internal newsletter, intranet, management letters to all employees). Traditional media in combination with new media, are the best recipe for the successful promotion of the new image of the organization. Organizations have to project a human face and this is helped by Corporate Social Responsibility initiatives.

In all advertising activities, the message must be clear, communicated consistently and based on the truth. Advertising messages and slogans have no effect on sales, if they do not fully express the organization's processes and especially the "first line" service, that the customer will experience. The use of new media and social media is now essential, in order to reach a young audience. The great advantage of these, is the rapid dissemination of information while the threat is hidden in the fact that the organization ceases to have control over the information while it is acquired by the community. Therefore, at this stage the evaluation is the starting point for the redesign, where necessary, of the processes and procedures of the organization.

The determination, decisiveness, commitment and consistency of the management in designing the new identity and the new business plan, make it the orchestrator in the process of aligning and balancing different and often conflicting perceptions of the merging organizations. Success depends significantly on respect for employees' personalities, understanding of diversity, meritocratic and fair evaluation processes and the combination of different elements that will ultimately make up the new organization, the new unified and, above all, a commonly accepted, corporate culture. Commitment to the new work culture and the leader also play an important role in spreading the new culture. Important role in the in the diffusion of the new culture, play the commitment to the new work culture and the leader.

## 6. CREATING COMMITMENT TO A NEW ORGANIZATIONAL CULTURE

An extremely dedicated workforce, is 50% more productive than an indifferent and detached one. Employee commitment is a key driver of an alliance, between them and the organization that brings significant results to organizational success. Proper communication practice and the proper use of

change support mechanisms, create a new work culture, in which employees face new challenges. In these new challenges, they are willing to meet with dedication and zeal, and with different motivations beyond that of reward.

With the entry of new more specialized staff in the organization, the challenges for the existing staff become a reality. Commitment and productivity are increasing and the prospect of a new change is now essential. As already mentioned, loyalty is, to a large extent, the product of a strong leadership. Leaders who communicate effectively, provide constructive feedback, recognize and reward employee achievement, are able to create a strong culture of commitment. A crucial first step in leadership and guidance is to strengthen employee commitment and promote the motivation that leads to it.

Employees, very often, feel wronged and isolated from the central administration and the mission of the organization. That is why the leader, must create those conditions, in which new motivations will be created in the employee in order to contribute to the mission of change. These motivations may be the new technologies and skills required to use them, the range of responsibilities and their involvement in decision making. The leader must have the skills to contribute to the development and support of this new workforce, that you are creating. In addition, the leader has the ability to choose the right person for the right position. The result of such a process is to create a pool of manpower, with strong advantages and with an unparalleled commitment, to achieve the goals of the organization.

## 7. GOOD PRACTICES

At this point, case studies of organizations and companies, in the private and public sector, either in Greece or abroad, which have made significant changes, will be presented.

### 7.1. In Greece

The National Organization for the Provision of Health Services, is one of the few public organizations, which made significant changes with great benefits for it and for the insured.
An electronic platform was created, the system of electronic prescribing and referral of diagnostic examinations, which had the effect of minimizing the inconvenience of the insured and the doctors. In this way, they have the ability to access and monitor daily the cost of the body for medications and tests. This change created many reactions, mainly from the employees of the organization (contracted doctors). The reasons were many and several. Some of the doctors did not know about computers, so this change was difficult for them. While some others reacted, because they thought that in this way, the organization questioned their credibility and aimed to control them. Another change, implemented by the organization, resulted in savings of public money and also of the insured, when they called to make an appointment with doctors. It removed the existing line for telephone appointments and replace it with others. According to the organization, the new telephone service (after an open tender) is provided by four contractors (e-value, Newsphone, Callcenter, BPO-Vodafone), instead of an option resulting in increased competition. The cost of the call, is charged only by the caller and is not distributed to all citizens through the state budget. As for the previous line, for telephone appointments, it costed 9 million euros per year, while the total annual cost of telephone service, borne by the insured, is estimated to exceed 1,500,000 euros.

Another recent example of a public organization that has implemented organizational changes is the General Secretariat of Information Systems (http://www.gsis.gr/), the so-called taxis net. These changes have contributed to the management and processing of tax data of employees, businesses and retirees. The necessity of implementing these changes was contributed by the general situation of the economy where the focus on the increase of tax revenues due to the debt crisis, increased the pressure for the intersection of data concerning the incomes of individuals and companies. The General Secretariat of Information Systems, responded to these pressures by linking the files of taxpayers with those of insurance companies and banks. Although this possibility was available through the technology that existed for the last ten years, the change had not been successful, due to various reactions that existed internally (employees) and externally (unions - institutions - politicians) from the General Secretariat of Information Systems.

## 7.2. In Abroad

MIT, the Massachusetts Institute of Technology, which is one of the world's leading universities, is known for its research, which has offered it, many Nobel Prizes and worldwide acclaim. The university, wanting to respond to the rapidly changing global, technological and educational environment, has created a free computer learning platform called MITx (http://mitx.mit.edu/). This is now considered a huge innovation in the global higher education market and has now been imitated by other top universities.

Apple is now the most valuable company in the world (more than $ two trillion dollars). Apple has based its business model on the constant change of products and services it offers to its customers. The constant search for new technologies and the production of updated models from its successful devices (e.g., iPhone and iPad), are examples of effective change. Undoubtedly the impression of its customers, and not only, is that Apple is always at the forefront, with the products it introduces to the market and this basically refers to its ability to constantly change, even before it is demanded by customers or imposed by the competition.

The main reason for the implementation of Change Management practices by the BMW automaker was the initially high demand for the MINI (Watkins, 2003) at the beginning of the decade, which could not be met by the company's Oxford plant. For this reason, a group of specialized executives was invited, in order to improve the cooperation between the employees, in order to make them at the same time, more aware of the decision-making process in the company. Nine months after the team's intervention, the cost per car was reduced by more than 40%, thus making up for the subsequent low demand for the model. The main person in charge of the project was the Change Management and CIP manager of BMW Jeurgen Lubos, who in addition to coordinating the team of executives, which essentially functioned as coaches of employee's performance, also launched the Working in Groups (WINGS) program, which eventually boosted employee's morale and overall production at the Oxford plant.

The aim of the program was to create groups, in which each employee would exchange information and work experiences, and through them, ideas on improving production, would spring up. In this way, the real potentials of the employees came to the surface, essentially changing the way in which the latter think and cooperate as a team. A crucial component of WINGS 's success, was the fact that Jeurgen Lubos's coaches had the right to oversee co-operation between employees at all levels of the unit: from the manager to the last employee in the production chain. In the case of IBM CEO Samuel J. Palmisano (Hemp & Stewart, 2004), what was required was the collaboration of different parts of the company, in order to provide the company's customers with complete products (hardware, software, services, financial packages).

As a result, it asked 320,000 IBM employees in 17 different countries to connect to the company's internal network and discuss the company's new business values. The program was called "Values - Jam" and ran for 72 hours in July 2003 on the IBM intranet. Its results, were considered very positive and defined the new values of the company (Loyalty to the success of each customer - Innovation important for the business and society - Trust and personal responsibility in all relationships) with the consent of employees, while at the same time Palmisano gave flesh and blood to the effort to re-establish the business, directing it to the provision of integrated services.

## 7.3. Changes Recorded to Organizations of OECD Countries

OECD countries face a growing number of challenges posed by globalization, decentralization and diversification of governance. Societies expect more than one government, in areas such as education, health, safety, environmental protection, among others. The role of government has changed dramatically, as it has become part of a larger policy network, in which it has a role to play and participates in decision-making. Public service reform aims to improve human resource management, make better use of public resources, provide better public services and change the public service image as an employer.

Economic constraints, growing social demands, and increasing international dependence make reforms necessary if a government is to respond effectively to these challenges. The purpose of this section, is to examine the experience of the six OECD countries - Finland, France, Italy, Portugal, Spain and Switzerland - in managing the change brought about by the implementation of public administration reforms. In this sense, this section will present an overview of reform initiatives. It will highlight some of the factors that have led to civil service reform in these countries. Next, we will analyze how these OECD countries managed change based on the idea of receptivity.

### 7.3.1. The Experience of These Countries - An Overview

The design and achievement of the goals of the reform initiatives in these six OECD countries, are largely based on their own political, historical, social and economic conditions. Finland, France, Italy, Portugal, Spain and Switzerland have undergone significant changes in their administrative culture, as the procedures and the way they carry out their institutional arrangements conflict with national needs and priorities. The traditional work culture of their staff has proven to be less adaptable to new national and international challenges.

However, introducing change in the public service is in itself a challenge, as reform initiatives are generally resisted by civil servants and other members of society, who remain skeptical about their effectiveness and benefits. The planning and objectives of the reform initiative are based significantly on the general historical, social, political and economic context of these countries. However, it is worth noting that, despite their different backgrounds, reform programs generally show a willingness to improve the efficiency of public services to meet society's growing expectations, while reducing financial resources and political pressure. The Finnish Finwin program seeks to address deficiencies in leadership and public service communication. The success of the program depends almost entirely on its positive impact on change initiatives, such as regionalization programs and productivity.

The Finnish experience in trying to change the public administration shows the dangers of a lack of communication strategy and dedicated leadership. Policy making and planning a communication strategy are two closely linked processes required to make the change. However, it should be based on dialogue between all stakeholders and leadership. France has recently launched the Organic Law on Finance Law (LOLF), which establishes a new fiscal logic. LOLF aims to transform an old culture into a results-oriented (culture). The gradual implementation of LOLF, allowed the adaptation of the old culture to the new before its full implementation. Political support, dedicated leadership, a gradual implementation process, a communication strategy, training, and testing are the factors used by the French authorities to implement the change process brought about by the implementation of LOLF. The reforms carried out in our Italian public service show that the change in public administration is a long process that requires, among other things, political commitment, the ability to learn from the experiences of others, and a self-critical approach.

The implementation of the reforms, inspired by the principles of management, is expected to change the culture of the public service. Today, the Italian public administration is facing the challenge of consolidating the structural reforms that began ten years ago. To do this, the Italian authorities have adopted a self-critical approach to assessing their strengths and weaknesses, and in addition are drawing lessons from peers to improve their own reform process.

Portugal has recently begun the process of renewing and modernizing its public administration. Five reform programs were designed to introduce a new public sector culture, but implementation has been gradual, with only two of these reforms in place. The success of these reform measures depends on the successful change of mentality of the people. On the one hand, although the opinion of civil servants on these reforms is not favorable, on the other hand, the media and economic agents consider this change necessary in order to achieve economic growth. The Portuguese experience in managing change in the public sector shows the ease of a gradual reform and the need to maintain a steady pace in order to achieve the desired results.

Spain has recently implemented a general regulatory framework for civil servants at all levels of government. The Civil Servants Basic Law (EBEP) aims to provide coherence to different human resource

management practices in public administration. This new legislative framework is a radical shift from traditional management culture to the introduction of new public sector-oriented management practices. The Basic Law on Civil Servants (BLCS) aims to provide coherence to the various human resource management practices in public administration. This new legislative framework is a radical shift from traditional management culture to the introduction of new public sector-oriented management practices. The Spanish experience introduces the epitome of establishing dialogue and consultation with all stakeholders.

Contributes to the process of formulating a policy that can manage change more effectively. Consultations and dialogue enable the creation of a common vision, supported by the majority of political and social forces. Economic pressures, rigid and costly procedures, and declining labor market competitiveness have led the Swiss government to new reforms, including in its human resource management system. Two cross-cutting plans aim to optimize staff management, and simplify the legal framework and are expected to change the image of the public service from 2015. The Swiss experience reflects the need to create the vision of change. Frequent consultations and dialogue aim to create a common vision, which will be supported by the majority of the political world and all social forces.

### 7.3.2. Comparative Experience Analysis - Change Management in the countries implemented

The experiences of the six OECD countries differ in scope, timetable and cover various areas of administrative reform: such as, human resource management (HRM), budget issues, and leadership. However, using the concept of receptivity, it is possible to distinguish some common and some divergent views on the practice of change management in OECD countries.

The ideological vision refers to the existence of a strategic plan, defined according to the interests of a specific group within the organization, and provides solutions to a perceived problem and the culture of the organization. Indeed, case studies reveal that the creation of a common vision is of the utmost importance in order to give direction to the reform efforts. This was the case of Switzerland, France and Finland, where reforms are backed by a vision for the better and the desired situation. This vision must be shared by all members of the leadership team or leaders and must convey it to all stakeholders and actors affected by the proposed reforms. When the vision is absent, then the reform efforts turn into irreconcilable projects and confusion. As Liuksia places it: "a common vision tells us where we are going, what we want and where we will be in ten years."

The French LOLF is based on a vision for managing public finances in a more transparent and flexible way. LOLF supporters are also seen as its visionaries, who were able to create the need for change and explain the dangers of maintaining the status quo. The Swiss authorities have created a vision of the public service since 2015 and now any reform effort must point in that direction. Finland builds a vision of public service through discussions that took place during the seminars that are part of the Finwin program. The dialogue between managers allows the Finnish authorities to set out a general picture of the public service for the future.

The experience of Finland, France, Portugal and Switzerland reveals the need to disseminate the vision and exchange information with all possible actors involved or affected by the transformation process. Finland, for example, has struggled to implement regionalization and productivity programs because it has failed to consolidate and communicate the need and vision for this change. The cases of France, Italy, Portugal, Spain and Switzerland seek to establish or introduce public service management practices, which are expected to improve service delivery and make better use of human and financial resources.

**Leaders of change**

This factor of analysis, identifies decisions and analyzes the actions of leaders. Evidence presented in case studies shows that decision making is in politics and senior management. The consultation procedures, as in the case of Spain, are intended to justify or legitimize a decision that has already been taken. Reforms may undergo some modifications in their technical aspects, but the recognition of the problem, the need for reform, the approach to the solution, and the timing of their implementation are decided by the members of the political and management elites. The Treasury Department's leadership

role in the reforms analyzed reinforces the claim that administrative reforms are among the broader policy objectives. For example, the issues of Human Resource Management that are related to financial and economic policy are defined by the Ministry of Finance. Therefore, the Ministry plays a dominant role in the reform process. This is something beneficial, however, it runs the risk that administrative reform can be defined in terms of economic priorities rather than the real needs of public administration, which will make it more efficient and effective. The question that arises, here, is whether financial leaders are ready to lead change. There is no doubt that they are technically trained to implement a sophisticated reform proposal, such as the French LOLF, but whether they are willing to deal with the change produced by the reform is a different issue.

The fact that Finnish regionalization and productivity programs are difficult to implement was not due to a lack of technical knowledge, but to limited leadership skills and a lack of change management strategy. One possible explanation may be their educational profile, as they may not have been trained to be organizational leaders, but their training may have focused on technical issues, rather than how to manage the impact of their decisions. Finland, France, Spain and Switzerland need to look at executive leadership development as a key factor in mitigating difficulties on the road to change. This has a double meaning. First, it means that it does not matter how competent or dedicated civil servants are, because without a dedicated and credible leadership, reform efforts can prove unavailing. And second, managers must be able to act as leaders. Leaders are not just individuals, who take these positions, but the rest of the team also play an important role. It is the groups, that act as advocates for the need for reform, they create a vision, which they convey to all stakeholders, and thus gain and maintain social and political support. This claim has been proven by the six case studies.

**Institutional policy**

This factor aims to explain the importance of cooperative organizational networks. Indeed, dialogue, political support and social involvement in policy-making have proved important in creating the ownership and legitimacy of reform proposals. This suggests that the public service is closely linked to the expectations, pressures and unpredictability of the political world. In the six countries analyzed, decision making is at the top of the organizational hierarchy. This factor reflects the prevalence of a top-down approach in the policy-making process, where the political and management elites play a dominant role in the decision-making process.

**Implementation ability - Training**

This factor refers to the mechanisms used by leaders to shape and influence policy implementation and stakeholder behavior. Evidence from case studies shows that training of managers has been a widely used tool for managing change. In general, the training had two objectives: to explain the policy reform initiative and its technical details, and to encourage horizontal and vertical dialogue between managers. Some of the reform programs are extremely complex, and administrators, will need to be trained before and during the implementation of the initiative. The training courses also allow for dialogue and exchange of experiences between administrators, as in the case of Finland and France. Training courses are a forum for discussion, from which lessons can be learned to improve the reform initiative. One of the added values of training is that they allow to explain the necessity for change, in more detail, to people who are responsible for running the program. In Finland, the Finwin program, in addition to being a forum for the exchange of experiences, has the task of producing a sense of urgency for reform among managers at different administrative levels.

## 8. SUGGESTIONS

The comparative analysis of the experiences of the six OECD countries from their public sector reform effort, and the data provided by the bibliography review, led to suggestions. The OECD document proposes that a reform / change, in particular an administrative reform / change, should have the following characteristics in order to be manageable and more effective in achieving its objectives:

- It should be simple.

A reform proposal may not reflect the full complexity of public service. Reform proposals should reflect the principles or ideas of an improved situation, therefore detailed information on technical issues, should be avoided. When reform proposals are too complex, they are likely to generate misunderstandings and resistance.

- It should be consistent.

This means that reform must rely on an undivided sum of values and principles (Brunsson, 2006). This is particularly important as reform proposals tend to change the foundations of an organization's traditional culture. The messages that are transmitted, about the upcoming change, should focus on the solutions that will be given to the particular problems and pathogens that prevail so far in the organization. In addition, it is not possible or convenient for the organization, to proceed to several reforms, at the same time.

- It should be based on evidence.

Reform, should provide convincing arguments about a problem, now or in the future, and its solution. One way to do this is by drawing lessons from the experiences of others, both internal and external. This requires them to be involved in a process of education and training. However, it should be considered that successful experiences and settings, may not produce the same results, in other applications. The search for evidence must cover cases of success and failure, as it is possible to draw lessons from negative experiences, and examine cultural differences between countries.

- It should be realistic.

In general, reforms are based on a theoretical framework, in terms of their objectives and what can actually be achieved in a specific context and time frame. Reforms must be politically and technically viable. Thus, policymakers and decision-makers should ask themselves what can really be achieved, and in what time frame, taking into account the advantages and limitations of the reform proposal. This is vital, so that they do not lose support for reform by creating false expectations.

- It should consider a course of action, to address potential side effects.

Reforms are, to some extent, a gamble because they carry risks and can have side effects. A reform aspect of the administrative structure may have implications for other aspects. Performance appraisal, for example, can serve as a tool to increase efficiency in public administration, but it can create a patronage system, if appropriate measures are not taken to avoid it. Indeed, reforms have limitations and certainly cannot solve everything, and subsequently, reforms can lead to more reforms.

- Stare at the future.

The reform of public bodies is a long process and its results cannot be immediate. Perseverance and patience are key characteristics for a leader, because reforms must take place and changes must be achieved. This is due to the fact that reforms promise future benefits that are often visible in an even longer period of time (Brunsson, 2006). These features can also facilitate reform management and change management. This is because a reform that is simple, consistent, evidence-based, realistic, and proposes solutions to a long-term approach is relatively easy to explain and understand. These elements could be considered as common sense, which can distinguish a manageable reform from an unmanageable one, and can be used as a basis for defining the reform, thus reducing the levels of risk.

## 9. CONCLUSION

At this stage, it can be argued that change has been incorporated into budget processes, but it still needs more time to be fully integrated into the public service culture and people's minds. The conclusions that emerge for the management of change, may be summarized as follows:

- ✓ The necessity to create a vision and develop a strategy to achieve it.
- ✓ The need for political support, and the formation of a leadership coalition, which will lead the change effort.

- ✓ The need for a strong and dedicated leadership, with enough moral and legal authority to encourage coalition members to work together as a team.
- ✓ The ease of gradual implementation of the reform, as it facilitates the understanding, adaptation and creation of a sense of belonging.
- ✓ It takes a long time for people's "minds" to adapt to a new environment.
- ✓ The usage of different channels of communication, which will explain the reform and will share information, for example: the media, conferences, shapers of public and internet opinion.
- ✓ The use of education, as a tool to remove obstacles for reform. Thus, it will be able to develop the goals of the reform, in a more detailed way.
- ✓ The ease of controlling the initiative, which will encourage the creation of a learning system, through experiences, to improve the reform initiative.

Change in organizations, private and public, is not a simple and easy task. No one can guarantee its success with certainty. However, as we analyzed, there are mechanisms to support change that if the organization adopts them and imports them by applying appropriate methods and techniques, will achieve the desired change. Living in a constantly changing environment, organizations cannot but accept change, as an integral part of their culture. Even the survival of an organization, is judged, nowadays, by its ability to accept and implement change. The leader and the workforce of the organization, are the most important carriers of change. Aware of the importance of commitment to the idea and values of organizational change, employees have to accept that change is a necessary condition for the organization, which desires to continue to exist and create.

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# Economic life and its evolution: The case of Aristotle.

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## Introduction

According to Aristotle, man is not only a "political animal"1, but also an "economic". Particular scientific disciplines investigate these two basic properties. "Politics" deal with the status of man as a political animal2. The science that refers to the economic life of man has as special objects the "possessive" and mainly the "economic". The first includes the phenomena related to the finding of the necessities of life. The second, the phenomena that result from the use in the individual economies of the goods offered by the property.

## 1.Finance theory in Aristotle

Possession seems to be contrasted by Aristotle[3] in "simple possessive" to "financial possessive". The simple possessions belong to the productive branches, with which man acquires economic goods directly from nature, while financial corresponds to an advanced economic situation, in which the acquisition is mediated through trade, credit and especially money (Kraut, 2005).

Particularly: Simple possessiveness presupposes underdeveloped economic conditions and corresponds to the so-called "natural economy". In it, Aristotle distinguishes various economic "lives": the "nomadic", the "fishing" and the "agricultural". Not every financial life is really clearly and completely separate from the others. That is, it is not only nomadic but complex, nomadic, agricultural and fishery, etc. According to Aristotle, possessiveness is based on absolutely moral foundations without presenting anything inherent. It is "possessive in nature".

In more than one point in "Politics" the normality of its operation is excluded. "Possessive by nature" is characterized as "warlike", which, among other things, promotes the living organs of production, the slaves. By nature, he also considers financial goods by direct exchange and if the latter is done to replace self-sufficiency by nature(Goodman, 2007). Aristotle considers true wealth only that which arises directly from nature or after direct exchange.

1 Barker, op. cit., pp. 354-5. “Politics’ in the Greek is an adjectival form – as if we should say ‘the political’. What is the noun which it implies? Strictly, it is the noun ‘science’ (episteme). But sciences may be, in Aristotle’s view, practical as well as theoretical, and since the science of politics is largely practical, we may say that ‘the political’ implies the noun ‘art’ or ‘capacity’ (techne or dynamis) no less than it implies the noun ‘science’. In a word, it implies both. ‘Politics’ is the scientific study of the polis, and of all things political, with a view to political action or the proper exercise of the political ‘art’.”

2 Politics I, 2, 1094b 4-6 “ordains which of the sciences should be studied in a state (...) and we see even the most highly esteemed of capacities fall under this, e.g., strategy, economics, rhetoric; now since politics uses the rest of the sciences, and since, again, it legislates as to what we are to do and what we are to abstain from, the end of this science must include those of the others, so that this end must be the good for man.”

3 Aristotle, Politics, B 7, 1266b 29-31, 1267b 3-8.

Financial presupposes an expansion of the debt cycle of individuals and generally advanced economic conditions, which corresponds to the so-called "transactional" or "monetary economy". Finance is not like simple possessiveness by nature4 ("out of nature"), except for some exceptional cases of "intimate finance". This is unnatural, because it is insatiable: it leads to greed and seeks unlimited wealth. In that category is trade, money and faith, as well as "mistharnia", that is, the hiring of physical human labor, as well as the hiring of mental and spiritual services, such as the warrior, the teacher, etc. The latter is particularly reprehensible. Wealth acquired through finance is artificial wealth, wealth rather than nature and therefore despised.

## 2. About money.

Aristotle also tolerates money, as well as trade, when used solely to facilitate transactions(Goodman, 2007). Otherwise, money is to be despised when it is diverted from its destination and in particular when it facilitates speculation and greed. Aristotle deals with great interest and to a great extent in "Politics" about the origin of money and the economic need that gradually imposed it on the various societies. In trade, he says, an equation between unequal things must be sought and the means to that end is money (Kraut, 2005). Without it, neither exchange nor society is possible. Also, the evolution of money into currency is extensively mentioned, ie the money that the state introduces as a mandatory means of payment. This is related to the need to verify the amount of precious metal contained in the money.

Particularly: Aristotle seems to have knowledge of the various properties of money and in particular of the property of the common medium of exchange, the common measure of values and in a way the means of representation and preservation of values. According to Aristotle, money puts aside the difficulties of exchange due to the economic inequality of the species exchanged. Money is a product of a social condition. It does not work by nature, but by law, by agreement or custom. That is why it is called a currency. Aristotle has a clear understanding of the above properties of money. Nevertheless, he says that money itself has no value, but is a mere illusion. Therefore, it can be declared completely useless by the law that enacted it. In this way, money, and especially metal, would be turned into a simple symbol. So, if the property of money as a spare medium is removed, money has no value. Aristotle contributed greatly to the clarification of the concept of money and was the first to clearly articulate the concept of wealth and distinguish it from the concept of money.

Now, after a period of total separation between ethics and economics, the relationship has been restored giving relevance to the interconnections of economics with other aspects of life (Goodman, 2007). Such a position is in favour of Aristotle's ethical economic thought, whose relationship with other values is in tune with recent economic developments. Aristotle certainly expressed concepts and reflections which later developed in many directions; The world of the Greek *polis*[5] is one of the best instruments to understand the relationship between ethical, political and economic matters in the ancient world.

**Conclusion**

According to Aristotle, wealth is not allowed to be the purpose of human actions, but only the means to an end, which is the "good life", the good life. There is a limit to every art as far as the number of

4 Politics I, 9, 1258a 6-14, "each and every capacity in a way non consonant with its nature. The proper function of courage, for example, is not to produce money but to give confidence. The same is true of military and medical ability: neither has the function of producing money: the one has the function of producing victory, and the other that of producing health. But those of whom we are speaking turn all such capacities into forms of the art of acquisition, as though to make money were the one aim and everything else must contribute to that aim."

5 "It is clear, therefore, that a polis is not an association for residence on a common site, or for the sake of preventing mutual injustice and easing exchange. These are indeed conditions which must be present before a polis can exist; but the existence of all these conditions is not enough, in itself, to constitute a polis. What constitutes a polis is an association of households and clans in a good life (eû zên), for the sake of attaining a perfect and self-sufficing existence (autárkous)."

instruments is concerned for its exercise, so there must be a limit to the number of instruments for the exercise of the good life, which likens it to art. Given that the organs are the goods that consist wealth, it follows that wealth must have a limit.

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# The Development Of Distribution Networks For Agrifood Products In Republic Of Moldova

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**Abstract:** Distribution logistics management is nowadays, in the conditions of a competitive market, a major strategic stake for industrial and commercial enterprises. This represents an important potential for creating value for customer: quality of service, performance in terms of time and reactivity. It is also one of the main places where part of the entity's profitability is disputed, through rationalizing supply chain costs or by focusing on new distribution channels.

The research presented in this paper generalizes the theoretical and practical results on the conducted study, that reveals some deductions and measures, which, in our opinion, will contribute to improving the supply-delivery chain and the use of tools to measure market phenomena within the distribution of agrifood products on the market of the Republic of Moldova.

**Key-words:** logistics, marketing, agrifood, distribution network, profitability of entity, efficiency of distribution network.

## Introduction

The importance of logistics in the development of marketing research through the use of scales and methods is motivated by the role they play in marketing, especially in contemporary marketing of the agro-food field. It is well known that for a successful entrepreneurship you need to know your customer and the research scales are objective, comprehensive and easy to interpret methods that allow entities to outline the customer's profile, consumer preferences, attitude towards the entity and the competitors. The market economy contributes to the growth of the gross domestic product, based on the law of supply and demand, while the supply of enterprises with material resources cannot always be analyzed, as well as the factors of production. An analysis of the companies' costs of production highlights the importance of supplies for economic entities. It can be easily concluded that the most significant share in total sales of goods have the costs for supply. According to studies conducted by supply specialists, they can reach up to about 68% of total sales of goods.

## Materials and methods

The study analyzes the efficiency of the agri-food supply channels in the Republic of Moldova. The presented data are based on the concrete aspects taken from official sources placed on the website of the National Bureau of Statistics, based on which are analyzed in dynamics (2015-2020) the import-export volumes of agri-food products from the Republic of Moldova. To determine the economic efficiency of this area, were used the methods of analysis and synthesis, of comparison, statistical method. This topic is approached by many researchers from abroad (Olsen, P., Borit, M. (2012), Scharff, R. L. (2012), Zhang, M., Li, P. (2017)).

## Results and discussions

Distribution logistics exceeds the difference in space and time between the production and consumption of goods. According to the functions performed by the different categories of participants, there are two components of the distribution:

1. the procurement system;

2. the physical distribution system, respectively the distribution logistics.

The procurement system of the distribution means the monitoring of the distribution channels, respectively the structure of the legal, economic, informational and social relations between the members of the goods transfer systems. This system refers to the part of the sales which is based on the chain formed by the own sales compartments of the manufacturing company and the distribution intermediaries that intervene in the way of the producers towards the final buyer. In the center of this system is the transfer of ownership over the respective goods (distribution transaction function).

According to Reina U.M.L, (2012), the physical distribution system, respectively the distribution logistics, is oriented to agree the space and the time that separates the consumption production, through transport and storage. In addition to these two functions, there are also orders and their delivery.

A completely separated approach of the two systems presented above is not justified, given that procurement and logistics activities have a lot of contact points, they are only taken over in some cases by different distribution compartments. The efficiency of the entire distribution system can be enhanced when both areas of decision-making are considered simultaneously.

Distribution logistics is the set of means and operations that ensure the provision of goods and services to users or final consumers by manufacturing companies.

Distribution logistics aims to meet the needs of the demand created by marketers using minimal costs.

In view of the above terms, distribution logistics fulfills the following functions:

- determining market demand and organizing its satisfaction in a rational way;
- accumulation, sorting and optimized distribution of stocks of finished products;
- establishing the economic relations of continuous distribution of products and services;
- selection of rational forms, from a financial point of view, of organizing distribution networks.

Thus, the basic functions of distribution logistics refer to the planning, analysis, control and management of sales of products and services through distribution networks.

In a logistical channel, independent or dependent institutional components have common tasks, determined in a successive order. However, certain individual guidelines, legislative restrictions and some liability issues still lead to conflicts within the distribution channel, in particular the problem of coordination in a complex network of production and information flows. Agreements must be prepared between the institutional components of the distribution channel, for the cooperation, coordination and control of the service of companies (distribution intermediaries and auxiliaries), taking into account the mutual dependence of decisions on the form of logistics activity of distribution. Thereby, for example, small stocks in some cases lead to higher transport costs, or the requirement to reduce the risk of product damage leads to increased packaging costs.

The interaction of the elements of the distribution logistics is important, because each component of the distribution logistics does not necessarily need to be optimally structured, in order to receive the synergistic effect of the activity of all the components of the logistics chain.

Distribution is a major component of the marketing mix, which, in a unitary form, defines the process of bringing goods and services from producer to consumer. Most experts acknowledge that distribution cannot be limited to a simple circulation of products, so distribution is a much more complex process that begins when the product is ready to be launched on the market and ends with the consumption of the act. for sale to the final consumer. During this period (time and space), several logistical operations are carried out, along with many other specific activities of a financial and marketing nature, with the aim of satisfying, in conditions of maximum efficiency, the needs of consumers and / or users. Distribution refers both to the physical and economic circuit of goods, and to the system of relations between market agents, to the activities of a wide and heterogeneous mass of units belonging to several economic areas.

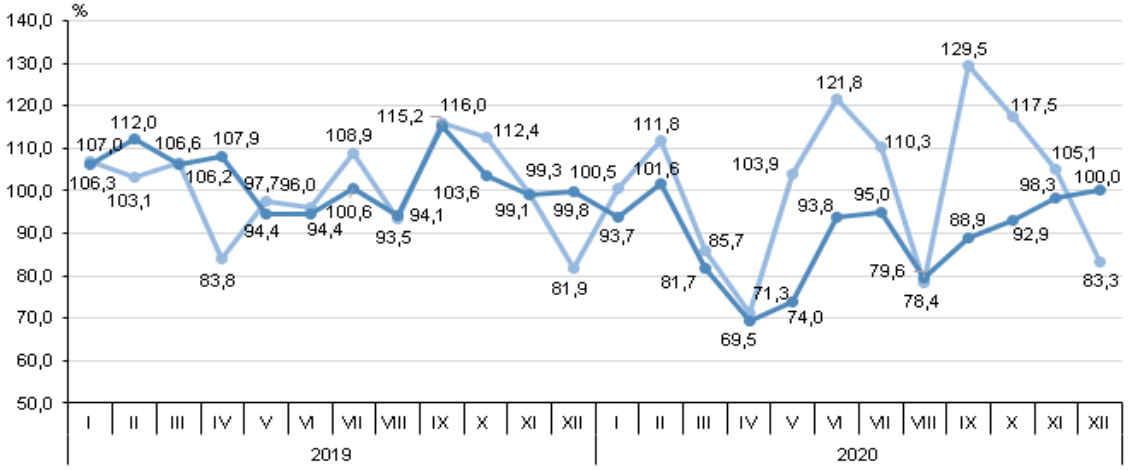
The increase in exports of agri-food production has a positive impact on consumption and income in the medium and long term, while also serving as a major stimulus to the non-agricultural economy in rural areas. However, the increase in exports depends on the ability of the Republic of Moldova to exploit its

comparative advantages and the ability to engage in the international trading system. A major barrier to trade of agri-food products are the underdeveloped and dispersed agricultural markets, which are a key factor in reducing incomes of agricultural producers. Local prices for agricultural producers are much lower than international prices, which affects the profitability of agriculture, which is currently lower compared to other sectors of the economy. The insufficiency of the own financial resources of many agricultural producers is caused by the reduced competitiveness of their production both on the internal and on the external market.

The low capacity of modernization of processing enterprises also has a negative influence. Most manufactures have outdated equipment and produce production that does not always meet the requirements of the European market. This situation creates conditions for underdevelopment: the quality of products decreases, which leads to low selling prices and limited market opportunities. At the same time, low sales revenues create obstacles for the process of modernization and, respectively, improving product quality.

The financial condition of most processing enterprises does not allow them to permanently credit agricultural enterprises on base of the next harvest. The country lacks vertically integrated systems, which bring together agricultural producers and processors of agricultural products. Agricultural entrepreneurs, in many cases, do not have information on standards, buyers, prices, etc. This situation creates an atmosphere of mistrust between producers and buyers. Paradoxically, the safest markets for farmers are low-value crop markets, such as cereals, corn, sunflowers. These crops, as a rule, do not require large investments. Relatively stable markets, traditional knowledge of cultivation techniques and low investment cost lead many farmers in the country to continue to grow these crops. The export of the mentioned agricultural products or of the products obtained by their processing does not bring considerable income to the producers. In this situation, the export potential can only be exploited by increasing the cultivated areas, obtaining significant quantities of one or more of the products in which the respective enterprises specialize.

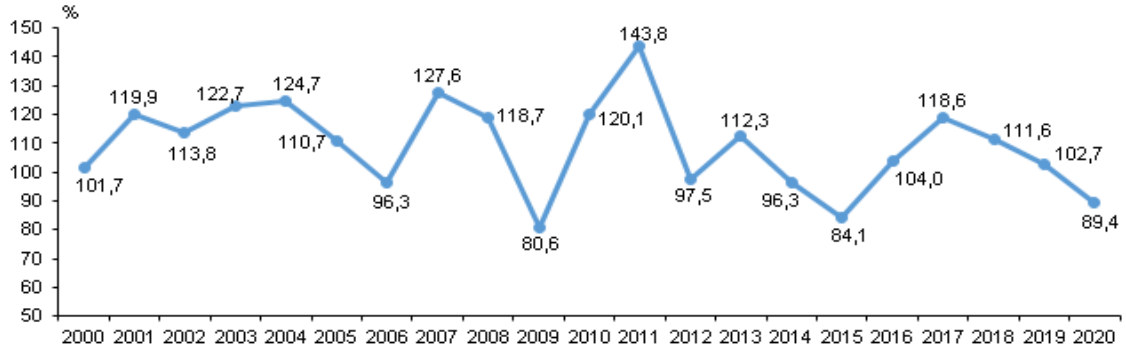
Fig. 1. Monthly evolution of value indices of exports of goods in the years 2019-2020 (%)




The National Bureau of Statistics informs that the exports of goods made in December 2020 had a value of 218.3 million US dollars, 16.7% lower compared to November 2020 and similar to that recorded in December 2019 (Fig.1.).

In 2020, exports of goods amounted to 2485.2 million US dollars (Figure 16), their value being 10.6% lower than in 2019.

Fig. 2. Evolution of value indices of exports of goods in the years 2000-2020.




The exports of local goods in 2020 amounted to 1905.2 million US dollars (76.7% of total exports), decreasing by 4.6% compared to 2019, thus influencing the decrease in the total value of exports by 3.3% (Fig. 2.).

Re-exports of foreign goods (after processing and classic) in 2020 amounted to 580.0 million US dollars (23.3% of total exports), or 25.8% less compared to 2019. This decrease contributed to the decrease in total exports by 7.3% (Tab.1).

Table 1. Evolution of trade in agri-food products in 2020.

| **The analyzed categories** | **Year 2020** | | **Structure, %** | | **The degree of influence of groups of goods on the increase (+), decrease (-)of exports,%** | |
|---|---|---|---|---|---|---|
| | **Thousand USD** | **in % compared to 2019** | **2019** | **2020** | **2019** | **2020** |
| **EXPORT - total from which:** | **2 485 159,94** | **89,42** | **100,00** | **100,00** | **2,70** | **-10,58** |
| Food products and live animals | 525 921,19 | 82,59 | 22,91 | 21,16 | 0,88 | -3,99 |
| Oils, fats and waxes of animal or vegetable origin | 103 447,72 | 147,84 | 2,52 | 4,16 | 0,12 | 1,20 |
| **IMPORT – total from which:** | **5 415 671,45** | **92,69** | **100,00** | **100,00** | **1,43** | **-7,31** |
| Food products and live animals | 658 539,04 | 107,86 | 10,45 | 12,16 | 0,85 | 0,82 |
| Oils, fats and waxes of animal or vegetable origin | 12 094,65 | 107,13 | 0,19 | 0,22 | -0,01 | 0,01 |
| **COMMERCIAL BALANCE** | **2019** | | **2020** | | **2020 in % compared to 2019** | |
| total, thousands USD from which: | -3 063 319,87 | | -2 930 511,51 | | 95,66 | |
| Food products and live animals | -132 617,85 | | -133 710,13 | | 99,15 | |
| Oils, fats and waxes of animal or vegetable origin | 26 190,88 | | -132 617,85 | | x | |

As an example for the analysis of the agri-food distribution market we propose the analysis of the sales market for each subsidiary of the METRO store, for which data are presented based on the

achievements in the previous year 2019 - "0" and the actual achievements marked with "1". We will perform market segmentation on three types of consumers:

Consumer I- final consumer;

Consumer II- reseller;

Consumer III- HoReCa.

Following the calculation of this issue, we aim to quantify the importance of each consumer category in the total sales of METRO Moldova.

Table 2: Data for sales in the Metro 1 store

| Market segment | Sales METRO 1 (thousand lei) | | Total sales METRO (thousand lei) | | Distribution share by consumer category | | Sales structure | | Recalculated share |
|---|---|---|---|---|---|---|---|---|---|
| | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 | |
| Consumer I | 300000 | 375000 | 928000 | 934000 | 32,328 | 40,150 | 35,352 | 34,427 | 11,129 |
| Consumer II | 250000 | 290000 | 898000 | 919000 | 27,840 | 31,556 | 34,210 | 33,874 | 9,430 |
| Consumer III | 260000 | 265000 | 799000 | 860000 | 32,541 | 30,814 | 30,438 | 31,699 | 10,315 |
| Total: | 810000 | 930000 | 2625000 | 2713000 | 30,903 | 34,279 | 100,000 | 100,000 | 30,875 |

Calculation formulas:

$C_{Dc} = \frac{V_{pi0}}{V_{i0}} \times 100$- calculating the data in the table presented below through this formula, we will find out the share of sales distributed by consumer category in the previous year.

$C_{Dc} = \frac{V_{pi1}}{V_{i1}} \times 100$- calculating the data in the table below through this formula, we will find the share of sales distributed by consumer category in the actual year.

$g_i = \frac{V_i}{\sum_{i=1}^{n} * V_i} \times 100\%$ - through this formula and the data presented in the following tables we will find out the sales structure by consumer category in the total sales for the METRO company.

$C_{r_{Dc}} = \frac{g_{i_1} \times C_{pi_0}}{100}$ – this formula allows us to recalculate the share by category of consumer in the actual year compared to the previous year.

Applying the factorial analysis to the sales market carried out under Metro 1:

$$C_{Dc} = \frac{V_{pi0}}{V_{i0}} \times 100 = \frac{300000}{928000} \times 100 = 32,328;$$

$$C_{Dc} = \frac{V_{pi1}}{V_{i1}} \times 100 = \frac{375000}{934000} \times 100 = 40,150;$$

$$g_i = \frac{V_i}{\sum_{i=1}^{n} * V_i} \times 100 = \frac{928000}{2625000} \times 100 = 35,352;$$

$$C_{r_{Dc}} = \frac{g_{i_1} \times C_{pi_0}}{100} = \frac{34,427 \times 32,328}{100} = 11,129;$$

$$\sum_{Cpi} Cdc = \frac{11,129 + 9,430 + 10,315}{3} = 30,875$$

Table 3. Data for sales recorded in the Metro 2 store

| Market segment Consumer category | Sales METRO 2 (thousand USD) | | Total sales METRO (thousand USD) | | Distribution share by consumer category | | Sales structure | | Recalculated share |
|---|---|---|---|---|---|---|---|---|---|
| | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 | |
| Consumer I | 325000 | 360000 | 928000 | 934000 | 35,022 | 38,544 | 35,352 | 34,427 | 12,057 |
| Consumer II | 290000 | 310000 | 898000 | 919000 | 32,294 | 33,732 | 34,210 | 33,874 | 10,939 |
| Consumer III | 301000 | 315000 | 799000 | 860000 | 37,672 | 36,628 | 30,438 | 31,699 | 11,942 |
| Total: | 916000 | 985000 | 2625000 | 2713000 | 34,996 | 36,307 | 100,000 | 100,000 | 34,938 |

From the analysis of the data from the exposed tables we notice that for Metro 1 the achievements on sales exceeded the values provided by 120 thousand USD.

$\Delta V_p = V_{p1} - V_{p0=930000-810000=120000}$;

For Metro 2, sales exceeded the forecast values by 69 thousand USD:

$\Delta V_p = V_{p1} - V_{p0=985000-916000=69000}$;

For Metro 3, sales exceeded by 32 thousand USD

$\Delta V_p = V_{p1} - V_{p0=771000-739000=32000}$.

Table 4. Data for sales recorded in the Metro store 3.

| Market segment Consumer category | Sales METRO 3 (thousand USD) | | Total sales METRO (thousand USD) | | Distribution share by consumer category | | Sales structure | | Recalculated share |
|---|---|---|---|---|---|---|---|---|---|
| | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 | |
| Consumer I | 269000 | 273000 | 928000 | 934000 | 28,987 | 29,229 | 35,352 | 34,427 | 9,979 |
| Consumer II | 250000 | 260000 | 898000 | 919000 | 27,840 | 28,292 | 34,210 | 33,874 | 9,430 |
| Consumer III | 220000 | 238000 | 799000 | 860000 | 27,534 | 27,674 | 30,438 | 31,699 | 8,728 |
| Total: | 739000 | 771000 | 2625000 | 2713000 | 28,120 | 28,419 | 100,000 | 100,000 | 28,138 |

According to the data presented in the tables we can perform a deeper factorial analysis based on the following criteria:

The influence of sales distributed in stores on the total sales recorded by the company.

$$\Delta V_p = [V_1 - V_0] \times \frac{C_{p0}}{100} = [2713000 - 2625000] \times \frac{30,903}{100} = 88000 \times 0,309 = 27194,64 \text{ th.m.u.}$$

The exceeding by 221000 thousand m. u. of the sales on stores than the ones actually realized, on the one hand, was caused by the increase of the total sales by 88000 m.u., and on the other hand it was influenced by the modification of the company's sales volume by increasing them by 27194.64 thousand m.u.

The influence of the structure by consumer categories on the company's sales.

$$\Delta V_p(g_i) = \sum_{i=1}^{n} V_1 \left[ \frac{\sum_{Crdc1} C}{100} - \frac{\sum_{Crd0} C}{100} \right] = 2713000 \left( \frac{31{,}317}{100} - \frac{31{,}340}{100} \right) = -623{,}99\ th.m.u.$$

Unfortunately, the positive influence from criterion 1 was annihilated due to the distribution of sales across the three consumer categories, different each year and per store. The company expects to increase turnover in the HoReCa category and resellers.

The influence of the market shares of each store.

Metro 1.

$$\Delta V_p(C_{pi}) = \sum_{i=1}^{n} V_{p_1} - \sum_{i=1}^{n} V_{i1} \times \frac{\sum_{i=1}^{n} * C_{rpi}}{100} = 930000 - 2713000 \times \frac{30{,}875}{100} = = 550501{,}25\ th.m.u.$$

Metro 2.

$$\Delta V_p(C_{pi}) = \sum_{i=1}^{n} V_{p_1} - \sum_{i=1}^{n} V_{i1} \times \frac{\sum_{i=1}^{n} * C_{rpi}}{100} = 985000 - 2713000 \times \frac{34{,}838}{100} == 602000{,}64\ th.m.u.$$

Metro 3.

$$\Delta V_p(C_{pi}) = \sum_{i=1}^{n} V_{p_1} - \sum_{i=1}^{n} V_{i1} \times \frac{\sum_{i=1}^{n} * C_{rpi}}{100} = 771000 - 2713000 \times \frac{28{,}138}{100} == 546439{,}96\ th.m.u.$$

Thereby, the negative influence in point 2 was offset by the positive influence determined by the market share of each store.

Following the calculations performed, we reach the following conclusion: METRO Moldova still has to work hard on covering with products as needed and advantageous prices for each category of consumers. Being a company with a policy that is mainly based on HoReCa customers and resellers, METRO should invest more in attracting these types of customers, which is very difficult to maintain due to fierce competition, but also other external factors created. state and business environment in the Republic of Moldova. The promotion, distribution and pricing policy allows it to maintain its current market share and also tries to expand on each customer segment.

## Conclusions:

Both market dynamics and high consumer demands on product quality and availability have profoundly influenced the way the current economy operates. Those requirements have contributed to the evolution of the supply process concept from pro-active operation, which focuses on a forecast of demand and standard material flow, to reactive operation. In such a way, the sub-compartments involved in the supply chain distribute real-time information to increase the visibility of demand and reduce inventory.

The implementation of the supply-delivery chain plays a well-defined role in the development of the entity, due to which the production process is maintained. The external environment influences the choice of a strategy. The perceptions of managers at all levels, as well as the culture and experience of the entity will influence the effectiveness of the strategies adopted.

Each type of customer plays an important role in the company's activity and objectives in the short and long term. Thus, marketing policies and strategies are developed in such a way as to have an effect on the target audience – final consumer, reseller and HoReCa customer.

The factorial analysis of the company's distribution market allowed us to estimate and calculate the impact of each type of consumer on sales per store and total METRO Moldova. From the calculations we noticed that the largest market share belongs to the final consumer, followed by resellers, and HoReCa customers constitute the lowest percentage without total sales. The company's strategy involves expanding the number of HoReCa customers, but it is influenced by external factors, such as state fiscal policy, competition, slow development of this type of business in the Republic of Moldova, etc.

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# Potentials of Eco-Tourism Development in The Mountain Region of Rugova

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**Abstract:** The values of the natural and socio-cultural heritage of Kosovo, respectively of the Rugova region are special both in terms of the importance of the studies and the value they contain. Nature has been generous with the virtues of this region reminding us of the quality and abundant amount of healing values that this place offers. Mountainous areas are opportunities for tourism development first for locals but also for other investors. The existing capacity building infrastructure for the production and processing of vegetation, forests, conservation and development of flora and fauna, studies and tourist promotion of caves, lakes, peaks up to 2403 m (Hajla), make for this area to continue scientific research and tourism interests. Almost daily participation in this terrain, direct observation of natural and cultural values, activities and attractions present, ski resort Boge, and many other events of socio-cultural nature of the local population as well as ongoing efforts by the side of the inhabitants for the construction of the capacities of the inns, the hotel, in addition to the more limited extent also the development of agriculture and livestock; we see opportunities for opening the socio-economic perspective. The tourism trend in the Rugova region is in the phase of transition and lack of construction of legal infrastructure, lack of spatial regulatory plan (non-issuance of construction permits) and restrictions on 4 areas of the park Bjeshkët e Nemuna and non-approval of residents' requests for withdrawal of timber damaged by strong winds as well as other requirements which would facilitate the well-being of the inhabitants.

**Keywords:** tourism, development, mountain, value, park, research.

## INTRODUCTION

The values of the natural and socio-cultural heritage of Kosovo, respectively of the Rugova region are special both in terms of the importance of the studies and the value they contain. Nature has been generous with the virtues of this region reminding us of the quality and abundant amount of healing values that this place offers. Mountainous areas are opportunities for tourism development first for locals but also for other investors. The infrastructure of the existing capacities for the production and processing of vegetation, forests, conservation and development of flora and fauna, studies and tourist promotion of caves, lakes, high peaks up to 2403m (Hajla), make for this area to continue research scientific and tourist interests. Almost daily participation in this terrain, direct observation of natural and cultural values, activities and attractions present, ski resort in Boga, and many other events of socio-cultural nature of the local population as well as ongoing efforts by the inhabitants for the construction of the capacities of the inns, the hotel, in addition to the more limited mass also the development of agriculture and livestock; we see opportunities for opening up the socio-economic perspective.

At the end of the twentieth century (1999) the concept of cultural heritage given by UNESCO and internationally accepted, includes tangible and intangible cultural heritage as well as the environment. In the 2003 UNESCO Convention, intangible heritage was defined as: "Practices, representations, expressions, knowledge, skills, as well as instruments, objects, cultural areas together with communities, groups and individuals as part of their cultural heritage . This intangible cultural heritage passed down from generation to generation has been created by communities responsible for their environment, as a link between nature and history, providing them with identity and continuity as well as promoting respect for cultural diversity and human creativity... "[1]

The tourism trend in the Rugova region is in the phase of transition and lack of construction of legal infrastructure, lack of spatial regulatory plan (non-issuance of construction permits) and restrictions on the four areas of the park Cursed Mountains and disapproval of residents' requests for withdrawal of

[1] UNESCO. Convention for the Safeguarding of the Intangible Cultural Heritage. 32nd Session of the General Conference, Paris, 2003. (cit. Prof. Dr. Jukka Jokilehto, On Definitions of Cultural Heritage, Heritage Theory Teoría sobre el Patrimonio, 2008, ICOMOS JURNAL, fq.21)

wood damaged by strong winds as well as other requirements which would facilitate the well-being of the inhabitants. Since identity is related to human beings and their position in society, it is related to how man sees himself in a society and how society sees him, even on this issue were taken authors of various disciplines of social sciences and of course this was approached from different aspects.[2] Rugova is the most frequented center of the Cursed Mountains massif. Activities that take place throughout the year are many: outdoor recreation, hunting, fishing, rural tourism, health tourism, rock climbing - mountaineering, mountain hiking, cave exploration, mountain biking, snowshoeing, skiing, camping , various adventures, day and weekend excursions, etc. Visits and stays take place in many localities, especially in Kuqishtë, Lakes, Shtupeq i Madh, Bogë, Lakes of the Lakes and some other localities.

At the entrance of the Rugova Gorge near the Patriarchate of Peja is the "Visitor Center", which offers services and information for tourists such as: maps, information brochures, traditional souvenirs and bicycles to visit the Rugova Gorge and the Cursed Mountains in general.[3] The main economic activities that take place in the Park are mainly related to: the use of wood (limited only for heating), the use of pastures, tourist-recreational activities, the cultivation of medicinal plants and the collection of small fruits. The current development trend is focused on tourism, new construction and the adoption of existing facilities. It is estimated that most of these activities were carried out spontaneously, without any prior plan.

Medicinal plants and small fruits The area of KP "Cursed Mountains" includes a very large territory and rich in aromatic medicinal plants (BMA) and wild fruit trees (PFE), which is a potential in economic terms. The Istog Mountains, the northern side of Rugova, are characterized by plant crops with medicinal properties such as lincuri, wrinkle and some types of mushrooms.



*4*

*Fig.1. Source: author, Primula veris (albanian. Aguliçe)*



*Fig.2. Hypericum perforatum – (alban. Kantarioni)*

***Primula veris - (Albanian: Aguliche)*** in the Rugova area known as the lizard. The herbaceous perennial plant which belongs to the Primulaceae family, is among the flowers that attracts the most bees. Primula veris grows in mountainous areas about 1500 m above sea level and is an autochthonous plant of the Albanian Alps which has a length ranging from 15-20cm of the hemicryptophyte type. The stalk

[2] Lumnije Kadriu, *Globalization - ethnocultural perceptions*, Albanological Institute of Prishtina, Prishtina, 2009, p. 28.

[3] Spatial Plan - Cursed Mountains National Park, Ministry of Environment and Spatial Planning, Kosovo Environmental Protection Agency, Institute for Spatial Planning, Prishtina, February 2015, p.38.

[4] The photos of medicinal plants were taken in August 2020 in the village of Pepaj in Rugova.

leans towards the sun as the species is sun-loving and is found in relatively acidic soils. Properties and use

- Used against colds

- Against whooping cough;

- Against emphysema of the lungs and bronchitis (palentological condition of the lungs)

- Against neuralgic pain;

- Like tea

***Hypericum perforatum - (St. Cantarion)*** is used to treat cuts, burns, hemorrhoids, urinary tract, wound healing and as an antiseptic (external use), as well as liver disease, stomach pain and diarrhea (internal use) . The leaves and flowers of the plant have excellent healing properties for the body. They are mainly used to treat anxiety and sleep problems as well.



[5]

Fig.3. Source: author, Raspberry

Raspberries are widespread in the Rugova region and along the roads that connect the villages of this region we can find the Raspberry fruit. Raspberries contain amounts of iron and vitamin C. Its leaves and roots have medicinal properties. Tourists in the national park who are mostly local tourists are more focused on staying on weekends. The number of foreign visitors is smaller who come in an organized manner according to tourist offers.

The natural resources of the Rugova mountains determine the recreational and economic functioning of them, the ecology of natural structures can be taken as a sound basis for qualitative expansion and quantitative attractiveness that are in the function of tourism and for maintaining the progress of this natural environment. Only through tourism and thanks to it can the necessary tools be realized for protection.[6] Small wooden houses have already started to be built, which are rented out to visitors who are thinking of spending the day or day and night. Summer tourism is enriched with the collection of

[5] Photo taken at the raspberry cultivation plantation in the village of Drelaj, by farmer Dritan Shala, special field visit, September 2020.

[6] Zeqir Veselaj “Cursed Mountains - Natural Pearl of Kosovo”, Prishtina, April 2010, p. 38

plants which serve for the best functioning of health. Along the roads leading to the villages of Rugova, tourists can find blueberries, strawberries, mushrooms, berries, as well as teas that serve to cure various diseases.

***Livestock*** - The development of the extensive livestock sector as a seasonal activity, is a tradition that is cultivated in the hilly mountainous area (mountains) inside and in the area of influence by using the meadows and free outdoor pastures that are closer to the settlements. The people of Rugova have a tradition in the development of this activity which was once one of the most important sources of livelihood for them. Being a mountainous area, residents have already started expanding the construction of livestock stables. Undoubtedly, this trend of affirmation of tourism increasingly increases the interest of citizens to have private property in Rugova.

Agriculture and agricultural production is oriented towards animal feed products. The people of Rugova obtain white cereals and vegetables from their lands in the Dukagjini Plain. Today, in Rugova, barley, oats, rye and potatoes are cultivated in small areas.The processing of technical wood in recent years has begun to intensify. Rugovas, in addition to tables, agricultural tools and musical instruments, have begun to deal with even more carpentry (work of windows, doors, floorboards, etc.).

A part of the population, mainly women, whose labor is in demand in the market of Peja and beyond, are known for embroidering and sewing Rugova national clothes as well as processing carpets and indigenous handicraft items. Also, this activity is one of the sources of income of the Rugova area.[7] Rugova gorge is rich in water resources such as the place called Black water, The springs of the tunnel (5th kilometer), Gurra e Sali Rama, The springs of the martyrs of Rugova, small waterfalls that promote not only the development of flora and fauna in this area but what is lately more interesting and arouses curiosity for researchers is the evident presence of wild goats and especially foxes.

The discovery of the Balkan lynx in Rugova (discovered in winter 2015) is one of the top successful achievements of Kosovo, in terms of wildlife, a special commitment of the environmental organization, "Era".[8]

Why should the law on the Cursed Mountains National Park be reviewed and amended?

A democratic, pluralistic society must always create the conditions for building a process of what it was, to always take into account the concerns of the inhabitants so that the energies it possesses are directed where they should be. In the situation we are in, it would be in the interest of all for this law to be returned for reconsideration, to the Assembly of Kosovo and the whole society should encourage, encourage, but also impose governance, that within the policies for the decentralization of the management of natural resources, to legalize the rights for properties denied in the past, which are numerous in this area, full and clear rights, for owners and users, as a universal right deriving from the card of human rights.

One of these very important actors is the Municipality which should have no obstacles to coordinate, direct and administer natural resources. Denial of property rights, spontaneous use, poverty, all these affect the damage to forests, but despite all this there is no willingness to give rights to owners.

And finally, after the recent reaction of residents, owners and addressing their requests once again for the highest bodies of the state of Kosovo is right and it is appropriate that once again this law be returned to the Assembly of Kosovo and the fair, reasonable requests of the inhabitants of Rugova are taken into account that the inhabited area and the cadastral zone of Rugova remain an area of economic development, an area which would be managed with the best possible laws, outside the National Park, but with the implementation of other necessary laws and in close cooperation with state, local bodies and the Rugova community. The economic development of the Rugova region is preceded by the idea of creating an eco-municipality which could contribute to the well-being of the inhabitants

[7] Selman Lajçi "Economy of Rugova - Directions of development in the future", Gurra 8 magazine, June 1993.

[8] Interview with Fatos Lajçi - environmentalist, leader of the Era organization, conducted on 16.12.2020

and encourage new investment projects. So societies create the mechanism of maintaining the strong position of national culture.[9]

After the end of the war in 1999, the opportunity was created for a deeper knowledge of the natural and cultural values of Kosovo, in this area of the mountainous region of Rugova.

PHPK Strategic Priorities "Cursed Mountains":

- Protection of environmental elements (air, water and soil) from pollution and degradation

- Protection of all types of forest vegetation from their degradation and illegal logging

- Protection from natural and man-made disasters

- Development of traditional agriculture, livestock and beekeeping for economic benefit and development of ecotourism

- Creating the image of the park and promoting tourism

- Provision of road infrastructure and transport

- Provision of electricity infrastructure

- Provision of water infrastructure

However, the field practice of implementing these priorities is poor. The difficulties and the impossibility to obtain a permit for the construction of stables and inns on their private properties shows the lack of seriousness of the work of the relevant institutions towards the inhabitants and farmers of these mountains. The issue of the Park should therefore be re-evaluated, re-studied in full compliance with other applicable laws. The numerous restrictions imposed by the law on the Cursed Mountains Park run counter to human and property rights and inheritance. In this region the inhabitants are still born, grow and die and are buried. This indigenous Kelmendas country known and inhabited for more than three centuries requires a more reasonable approach to the treatment and importance of using private property.

***Some of the natural and cultural values of the Rugova region:***

Caves - Caves have high tourist and study values.

"Gryka e Madhe" Cave - is located in the third kilometer of Rugova Gorge. The entrance of the cave is located at an altitude of 637m. The length of the corridors and the passable gallery is about 13,450 m ".[10] Gryka e Madhe Cave, with the shapes created by the rocks, presents shapes that have a bright glow. So, it possesses rare natural, scientific, tourist values, first of all because it presents a special labyrinth and is of special importance for the realization of research of scientific nature but especially for the development of tourism.

[9] Ibrahim Berisha, Cultural Networks - Closings and Openings in Kosovo, Prishtina, 2020, p. 276.

[10] Zeqir Veselaj "Cursed Mountains-natural pearl of Kosovo", Prishtina, April 2010, p.31.


[11]

Fig. 4. Gryka e Madhe - Cave

Queen Shpresa Cave is located in the third kilometer of the Rugova Gorge. There are many myths about this cave. Unfortunately this cave has not yet been explored. This cave does not even appear on the tourist maps of Kosovo.[12]


[13]

Fig.5. Queen Hope - Cave

This is not only the property of Rugova, there are other caves as natural monuments in one and along the gorge we distinguish: Karamakaz cave, Radac cave, cave along Gërle e Koshutanit, cave near Gurra e Rujs and on the opposite slope in Drelaj. At the fifth kilometer are the caves of Jerina, and a little further down, the cave of Demaj.[14] The national park "Cursed Mountains" for eight years now since the adoption of the law on this park lacks a zonal map and a detailed regulatory plan for the villages of this region.

11 https://www.albinfo.ch/shpella-gryka-e-madhe-e-rugoves-hapet-per-vizitore/ (taken from the internet on 30.4.2021)

12 http://infoglobi.info/pamje-nga-shpella-e-mbretereshes/ (taken on 04.06.2015)

13 http://www.zemrashqiptare.net/news/33123/sejdi-berisha-shpella-e-mbretereshes.html (taken from the internet on 30.4.2021)

14 https://kk.rks-gov.net/peje/Assemble-5.aspx (retrieved from the internet on 04.06.2015)

Therefore, in this whole part inhabited mainly by autochthonous inhabitants, in the absence of timely non-planning of the regulatory plan, the inhabitants face difficulties, obstacles to the use of private property such as: limitation of the possibility of building inns, restaurants, houses. Even the forests damaged by the winds on their private properties are not allowed to be used as a result of the negligence and irresponsibility of the relevant institutions in assessing the actual condition of the trees.

The mountainous geographical environment made the people here build tools by which they would be served for their needs. Particularly valuable are the various objects with artistic wood carvings, such as house objects or public and religious objects in this mountainous region.[15]

The mountains and rural areas of Peja with the surrounding towns are the starting point of the Via Dinarica trails, constitute the main roads of the National Park "Cursed Mountains", which covers 90% of the trails. Established by the Assembly of Kosovo in December 2012, it is the largest protected area in Kosovo.[16]

***Deforestation and degradation***

The activity of illegal logging is a well-known phenomenon in Rugova, but this logging is characterized by a number of factors which in a way are related to the socio-economic life of Rugova residents. Historically, the maintenance of life, in addition to beneficial animals, by the Rugovas has been done by cutting down forests to meet their needs, because the houses of the Rugovas have mainly been, and continue to be, made of wood material. But, apart from this fact, the residents there have used this illegal logging activity for material benefits, which is contrary to the laws on forests. Of course, the amount of deforestation is alarming and carries serious consequences. "Apart from the loss of timber that takes decades to regenerate, they also reflect ecosystem disruption, landscape degradation, and wildlife disturbance. "Such degradation of forests is being followed by a marked erosion of forest lands." An extraordinary threat is the burning of forests.



Fig.6. Source: author. Deforestation in Rugova

***Manifestation Traditional games of Rugova*** - are popular games of the Rugova region that have the character of a continuous presentation of the customary tradition of a variety that according to the content are: Games of physical and combat skills of men, humorous and fun games, songs, dances and rites. The games have an early origin that are usually held and are held in August immediately after the mowing of the meadows and are held in the northern part of the Albanian-Rugova ethnicity. So far they have been held in Qafë Hajlë, Bogë and now in Kuqishtë. The gathering is open, known to the public, attended by all the villages of Rugova and the surrounding area, Peja and other neighboring

[15] Mark Tirta, *Albanian Ethnoculture - doctrinal law*, Academy of Sciences of Albania, Tirana, 2016, p. 275.

[16] *Via Dinarica*, hiking guide for the cross-border area of Montenegro and Kosovo, bot. Center for Sustainable Tourism Initiatives, Community Development Fund - CDF, Peja Kosovo; Podgorica, 2017, p. 124.

municipalities and is always growing and taking on the character of a rural Olympics of the Albanian Alps. The traditional games are under the patronage of the Mayor and are organized by the Municipality of Peja, the community, the Albanological Institute, the Association of Traditional Sports and Games-Rugova, the Folklore Ensemble "Rugova" and the Territorial Community of Rugova. The traditional games of Rugova are a precious treasure of Rugova culture in particular, but also of the Albanian ethnicity in general. These games have been preserved from generation to generation, despite the difficulties they have survived and today are preserved and developed by the inhabitants of Rugova. Traditional games began to be organized for the public around the 90s, by a group of intellectuals. "Organizing council of these games were: Mr.sc.Selman Lajçi (martyr), Ymer Neziri, Vesel Nikçi, Shaban Lulaj, Ali Daci, Fazli Muriqi, Sylë Nikçi etc."[17]

However, the indigenous games of this area have been played by shepherds and residents continuously, in early times and periods, but not in an organized way for the masses. Throughout memory but even now games are a form of physical and spiritual activity. Nowadays, the traditional games of Rugova are supplemented with other disciplines and the interest for them is always growing. Traditionally, early emigrants from this region, such as the Kelmendis of Mitrovica and those of Sibovc, who from a sociological point of view are seen as a kind of rapprochement, socialization among themselves, which preserves the sense of common origin, and this in addition to participation is also manifested by cultural dots. In the 2013 edition of the traditional games, for the 21st time in a row, there were participants from Albania, from the Vuthaj of Montenegro, the Albanian Highlands of Rozhaja, the Kelmendas of Mitrovica and those of Sibovc, each in their own way have revealed their cultural and historical heritage. So, the traditional games of Rugova are still being held and the interest of people to be in this manifestation is growing. The period of organization of these games is usually the month of August, This is also due to the great desire of the emigrants to enjoy them up close. Also, at the end of the event, cups and gratitude are distributed to the winners of the games.

***Results from the questionnaire for collecting information for the scientific paper "Potentials of Eco-Tourism Development in the Mountain Region of Rugova" conducted with respondents in March-April 2020.***

*200 (two hundred) respondents participated in the questionnaire, of which 158 or (79%) were male and 42 or (21%) were female.*

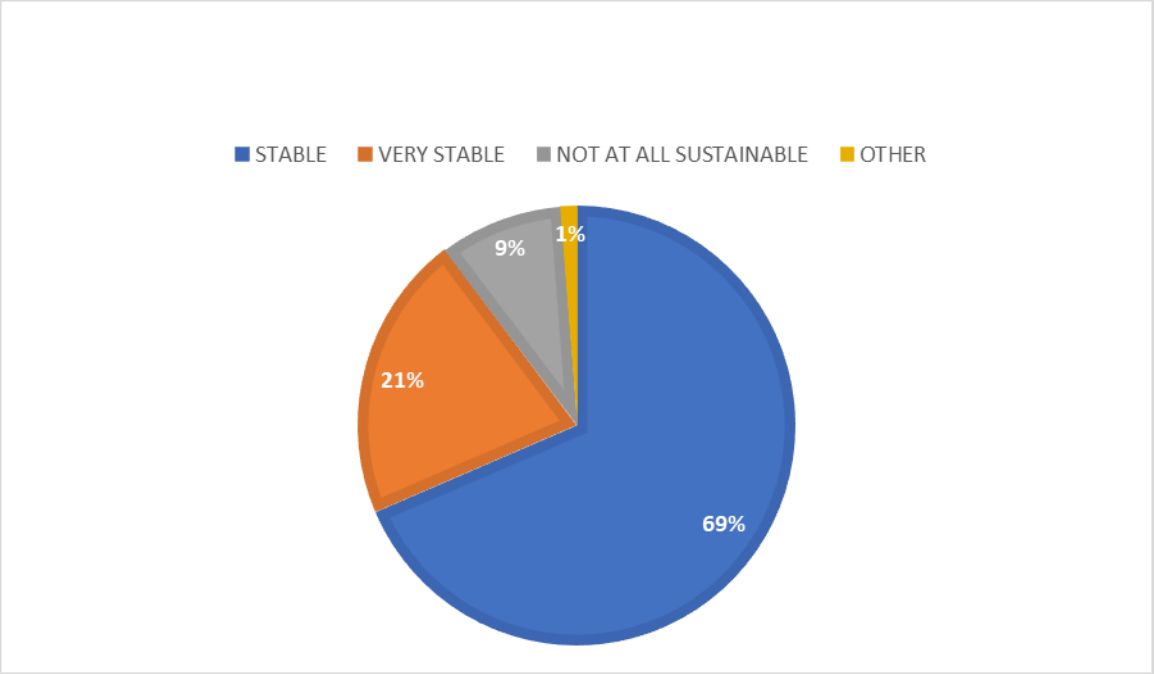
*The age of the participating respondents is mainly young age. This shows mainly their opinions that constitute the structure of recognizing the answers from this age category that leads with 45% or 91 respondents that make up the age between 26-35 years. Also, the data in this questionnaire are as a result of the participation of respondents of this age and the judgment derived from this results, presents the position of about half of the respondents who responded to the questionnaire. The participation of young people aged 18-25 is 25% or 50 respondents, which is also given by young people.*

*The education of the respondents participating in the research is mainly with higher education. Their opinions undoubtedly show the possibility to be more informed about the topics addressed in relation to those of secondary and primary education. So, 78.5% or 157 respondents are with higher education. 20.5% or 41 respondents with secondary education and 1% or 2 respondents with primary education.*

*Employment - Out of 200 respondents who have been part of the research on their employment issue, they are almost not far from the employed and unemployed. Thus, 56.5% or 113 respondents are declared employed and 43.5% or 87 respondents are unemployed.*

[17] Temporary magazine "Gurra" of Rugova schools, November 1994, Drelaj, p.14

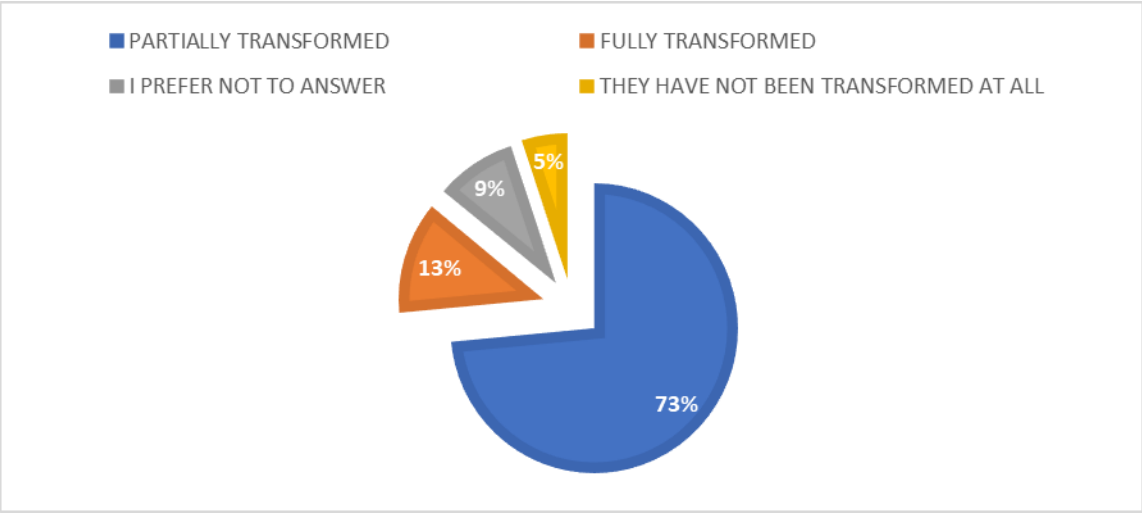
1. **How do you assess the Rugova Cultural Identity from the point of view of preserving and cultivating socio-cultural values today?**




How do you assess the Rugova Cultural Identity from the point of view of preserving and cultivating socio-cultural values today? Respondents' answers are as follows:

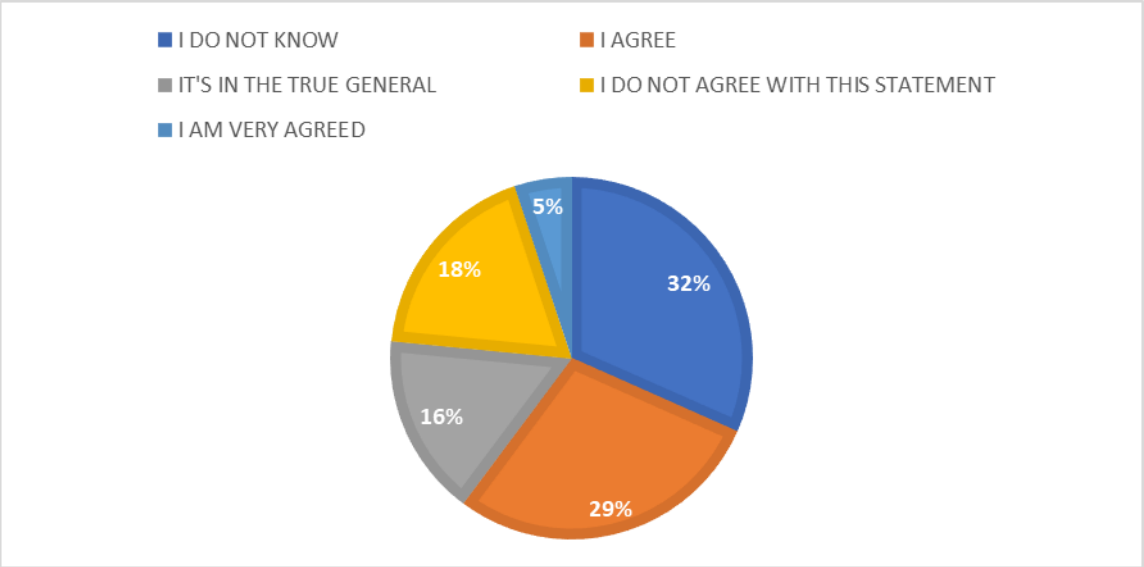
68% or 136 of the persons answered "Stable". 21% or 42 of the persons answered "very consistent". 9% or 18 people answered "not at all stable". 2% or 4 people answered "Other".

2. **How much have the Rugova traditions, customs, customs and social norms been transformed after the last war in 1999?**



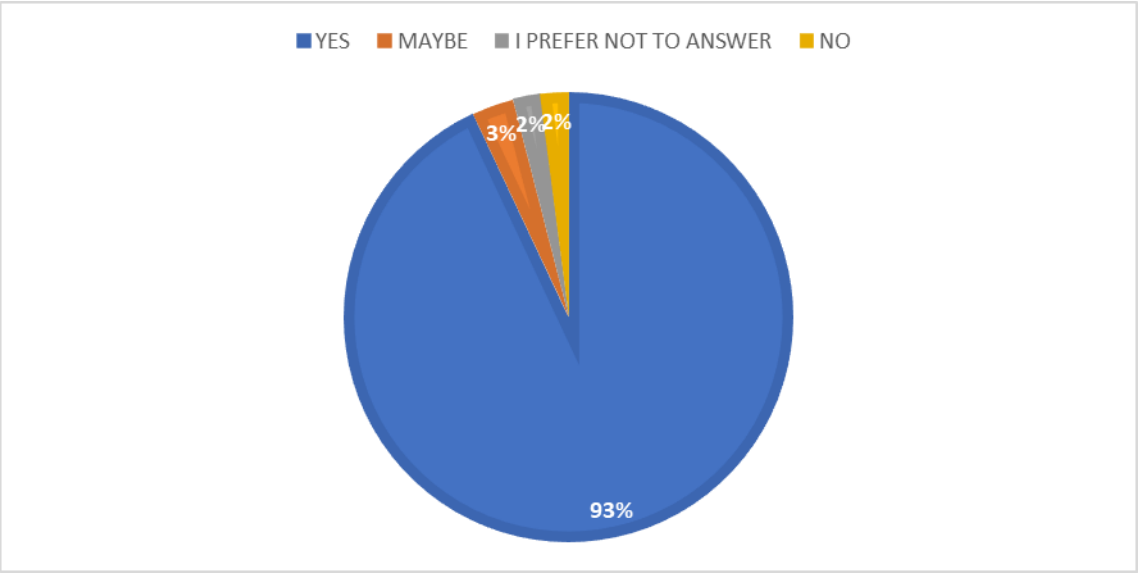

How much have the traditions, customs, customs and social norms of Rugova been transformed after the last war in 1999? Respondents' answers are as follows: 73.5% or 147 respondents answered Partially transformed, 12.5% or 25 respondents answered Completely transformed, 9% or 18 respondents Prefer not to answer, 5% or 10 respondents answered Not at all transformed.

**3. What do you think, is Cultural Tourism preserving the cultural originality of the local population?**



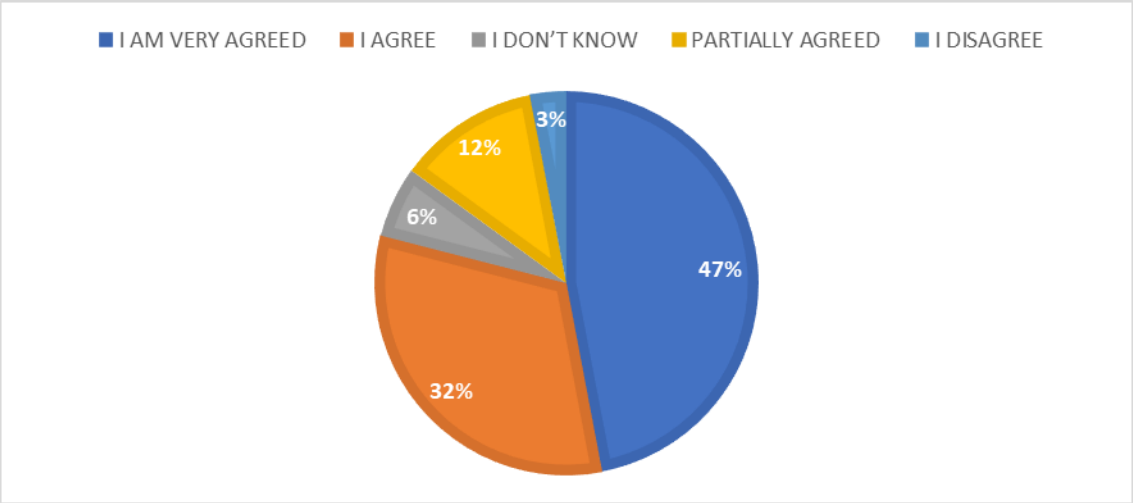

What do you think, is Cultural Tourism preserving the cultural originality of the local population? The answers are as follows: 31% or 63 respondents answered "I do not know". 38.5% or 57 respondents answered "I agree". 18.5 or 37 respondents answered "I do not agree with this statement". 16% or 32 respondents answered "It is generally true". 5.5% or 11 respondents answered "I strongly agree".

**4. Do you think that the traditional Rugova Games and the folk ensemble "Rugova" are a special value of Albanian culture?**



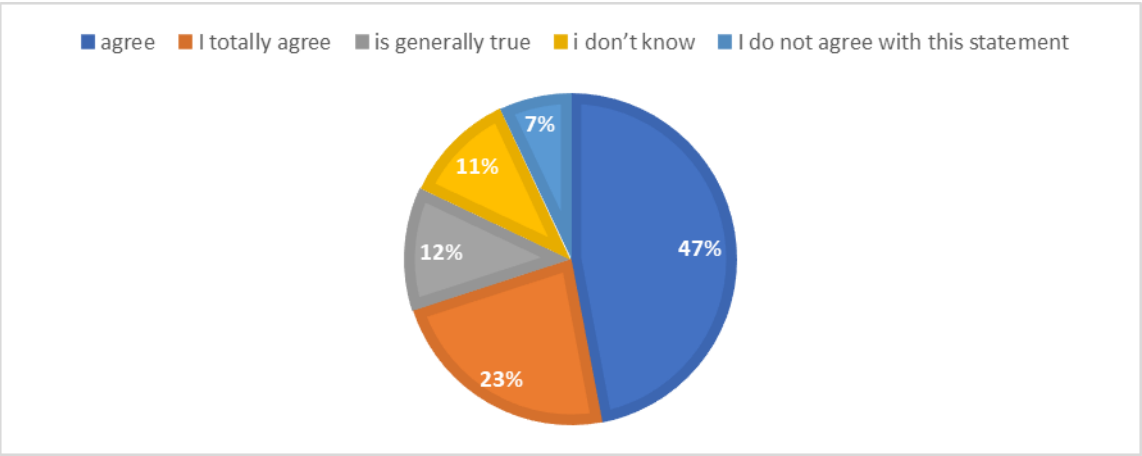

Do you think that the traditional Rugova Games and the Folklore Ensemble "Rugova" are a special value of Albanian culture? The answers are as follows: 93.5% or 187 respondents answered "YES". 3% or 6 respondents answered "Maybe". 1.5% or 3 respondents with "I prefer not to answer". 1% or 2 respondents answered "NO" and 1% or 2 respondents answered "I do not know".

**5. Do you agree to develop businesses for tourism in Rugova?**



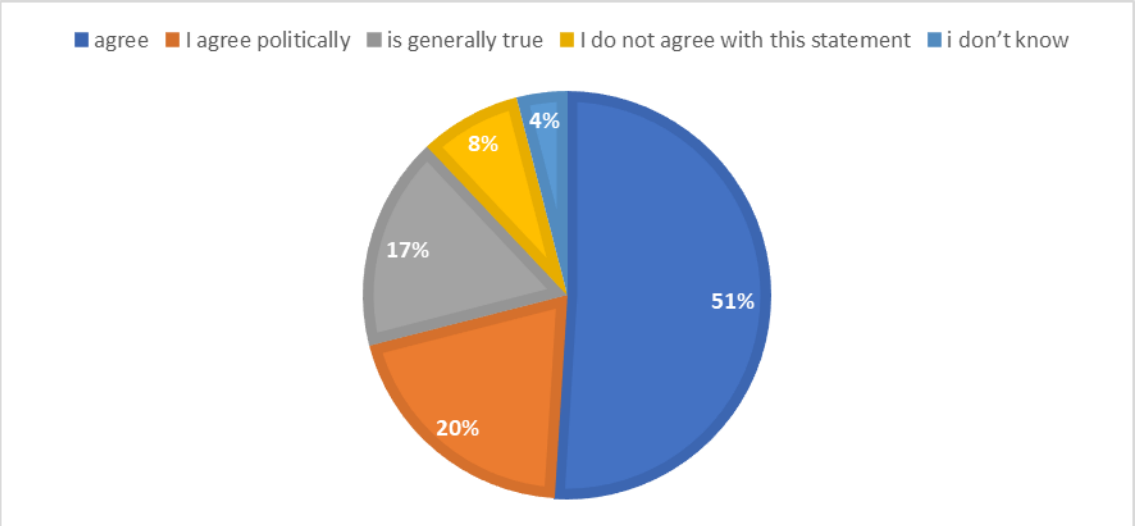

Do you agree to develop businesses for tourism in Rugova? The answers were given as follows: 47% or 94 respondents answered "I agree". 32% or 64 respondents answered "I strongly agree". 12.5% or 25 respondents answered "Partially agree". 6% or 12 respondents answered "I do not know". While 2.5% or 5 respondents answered "I do not agree".

**6. Will tourism development help preserve cultural heritage?**




The answers were given as follows: 47.5% or 95 respondents answered "I agree". 23% or 46 respondents answered "I completely agree". 12% or 24 respondents answered "It is generally true". 10.5% or 21 respondents answered "I do not know". While 7% or 14 respondents answered "I do not agree with this statement".

**7. Has tourism improved the life of the area community?**




Has tourism improved the life of the area community? Answers: 51% or 102 respondents answered "I agree". 20% or 40 respondents answered "I completely agree". 17.5% or 35 respondents answered "It is generally true". 8% or 16 respondents answered "I do not know". While 3.5% or 7 respondents "I no longer agree with this statement."

## CONCLUSION

Rugova, a small mountainous province which lies in the foothills of the Albanian Alps, is one of the prominent provinces. This region is rich in natural, cultural and spiritual riches. The inhabitants of Rugova are known for their hospitality. In the chain of tradition over the centuries they preserved the culture, customs and traditions, heroic songs, white scarf, traditional games, folk costumes and a variety of assets, always being faithful to the autochthonous homeland of Kelmendi. Rugova in its natural, cultural and spiritual treasury has a lot of wealth and as such is thought to be in the future an ecological municipality with a tendency to develop tourism and economy. The Rugova region offers many opportunities throughout the seasons, becoming known for its landscape features, caves, waterfalls and lakes, flora and fauna. Undoubtedly, the cultural and spiritual values of Rugova represent a typical mountain culture with rich features, such as the heroic songs, which were the inspiration of patriotism for many generations, lahuta as a personification of their own along with the traditional dress. Dress, dance, games, weddings, etc. are a special presentation of the Rugova highlanders. While today, the autochthonous folk ensemble "Rugova" has a role in promoting the Rugova tradition.

However, Rugova is being seen as a place of attraction for tourists and investors, being awarded the "Balkan Peaks" prize by the World Tourism and Travel Council. This is a priority for Rugova as well as for the promotion of its natural resources. So, this region offers many opportunities for recreational and sports activities, which requires new investments in this field. Hiking trails, lakes, waterfalls and wells make Rugova an attractive tourist center.

However, the people of Rugova continue to face difficulties such as: Lack of health care center, lack of road infrastructure, lack of internet access, dissatisfaction with the national park "Cursed Mountains", ownership issues and the border with Montenegro. The challenge for the conservation of biodiversity in Rugova is also the wild hunting, the pollution of the environment and the degradation of the forests for which more work remains to be done. Also, Rugova lacks economies, which would alleviate the economic and social situation of the inhabitants, except for some households that are mainly restaurants and two existing factories: "Water Rugove" and "Cheese Rugove". However, the natural and cultural values of Rugova are assets which every day more and more are taking the form of recognition at the international level.

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# Snapshot into How Cultural Dimensions Influence Individuals' Responses to Change in Organizations

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***Abstract:*** Resistance to change is considered one of the biggest challenges that change initiatives face within organizations and one of the main reasons for organizational change failure. Resistance to change is perceived as a given and change management models account for it unanimously. However, the change management models suggest the same approach, irrespective of the characteristic of the change, the organizational context or the organizational culture within which the change is initiated. The change management models do not account for the fact that the attitudes towards change of the individuals affected by it can be substantially different based on the change characteristics, such as magnitude or timing, the context, such as the moment in the organizational life cycle, respectively the culture, which can manifest different levels of openness to change. Thus, in order to successfully reduce resistance and increase readiness for change, the approach needs to be tailored every time to the specific situation where the change is initiated. Scholars have observed different potential reactions of individuals in the face of change, from enthusiastic acceptance to active opposition. Additionally, researchers have created cultural models that identify several dimensions to define an organization's culture. This paper focuses on how culture affects the response of the change recipients when confronted with a change initiative, which will help change initiators tailor their change management approaches, thus increasing their chances to reduce change resistance and implement change successfully.

**Keywords:** Change management, resistance to change, organizational culture, cultural dimensions, types of resistance.

## 1. INTRODUCTION

Organizational change, whether spontaneous or planned, is a constant in organizations' life cycles. Some scholars state that 70% of the change initiatives fail (Beer and Noria, 2000a), while others argue whether this estimate is indeed accurate, questioning the methodology employed in the studies that yield these results and the way failure was defined (Hughes, 2011). Nevertheless, irrespective of the failure rate and even though individuals can also have a positive attitude towards change, most scholars agree that one of the biggest challenges faced by change initiative is the occurrence of resistance to change of the individuals expected to accept, understand, internalize, act upon and ultimately live with the respective change (Lewin, 1951, cited by Hussein, 2018). While processes, technology or organizational structure can be managed, individuals have a mind of their own and a multitude of factors influence their attitude towards change. Thus, the field of change management has emerged to address what Hiatt (2003) has defined as the people side of change. The factors affecting the resistance to change can emerge intrinsically or extrinsically, and only some can be influence to some degree by change initiators, respectively change agents, while others are not within their ability to change.

Various change management models, such as Lewin's from 1951 (cited by Hussain, 2018), Satir from 1985 (cited by Woods, 1984), Kotter's (1996) or Hiatt's (2006), have addressed resistance to change with the purpose of reducing it. A consensus across these models has been that the following aspects, when employed successfully, can increase affect individual's readiness for change positively: (a) communication about the change, (b) knowledge on how to be successful during the change, as well as in the future state, and (c) rewards when the desired behaviors are elicited. These models, however, suggest the same approaches, irrespective of the context and do not take the cultural aspect into consideration.

Rafferty (2012) introduces the concept that change resistance occurs at individual, group, respectively organizational level and on each of these levels there are a multitude of potential factors influencing an individual's attitude towards change. Culture stems from a personal level, but also from being part of a group or organization. As Harzing and Hofstede (1996) mention, "Resistance to change has a universal, a

cultural and a personal aspect" (p. 312). This paper will focus on the resistance that is observed at the level of the group or organization that is affected by the change.

## 2. LITERATURE REVIEW

Organizational culture is "the set of shared, taken-for granted implicit assumptions that a group holds and that determines how it perceives, thinks about and reacts to its various environments" (Schein, 1996, p. 236). According to Barrett (2008), culture is overarching, influencing the organization as a whole: "Culture permeates every aspect of our company. It is our essence, our DNA, our present, and our future" (p. 6). Similarly, in their study analyzing 121 cultural models, Taras et al. (2009), concluded that the vastly used definition of culture is a "group's shared set of distinct basic assumptions, values, practices, and artifacts that are formed and retained over a long period of time" (p. 359). Hofstede (1980) states that it is harder to change culture short-term, because it has been created over a longer period of time.

The culture stems from the individual, i.e. their personal national background, group level, i.e. the cultural within the department, organizational level, i.e. the cultural of the organization at large and the national level, i.e. the culture of the country they are part of. It is hard to distinguish between the above, however they add up to the cultural context in which the change takes place. The most common means of assessing culture proposed by literature has been to conduct a survey within the group affected by the change, even though this approach has been criticized by Taras et al. (2009).

From a change management perspective, Erdogan et al. (2006) believe that a change management approach should take organizational culture into consideration to increase its chances of success. Carlström and Ekman (2012) reiterate that culture is formed through a combination of values, assumptions, beliefs and behaviors, and that they influence change, individuals and their performance. Abdulla et al. (2017) agree that these cultural dimensions dictate to some degree the attitude individuals have towards change. Schein (1990, p. 111) states that "culture is what a group learns over a period of time as that group solves its problems of survival in an external environment and its problems of internal integration", which also includes changes, whether generated from the inside or by a force external to the organization.

Taras et al. (2009) gathered that it is hard to create a model that covers comprehensively all aspects of the complexity of culture. In the attempt to improve this, the number of the dimensions per cultural model has increased throughout the years, which, in turn, has made the models more difficult to employ: from the original four to the current six dimensions of Hofstede's model (1980), to the seven of Trompenaar's model (1993), to ten offered by Schartz (1994), to six tri-dimensional constructs by Maznevski and DiStefano (1995), to eighteen of the GLOBE model of culture (House et al., 2004). While Hofstede (1980) believes that the dimensions are universal and apply to every culture, Taras et al. consider that a tailored approach would be more suitable, suggesting that different dimensions are of significance from organization to organization.

## 3. RESEARCH METHOD

For the purpose of this paper, qualitative research methodology has been employed in the form of literature review through which multiple articles have been reviewed and critically analyzed. The discussions presented in this paper have their foundations in a thorough study of the academic literature that deals with change resistance and with culture. The pool of data used for research has been gathered through extensive searches over the Internet of web pages and articles published in the English language containing the following keywords: Change management, resistance to change, organizational culture, cultural dimensions, types of resistance. Thus, the findings of this article present a picture of the English-speaking landscape in which the concepts have originated and where they have attracted the most attention.

The information gathered from these various sources is pieced together to trace the cultural aspects impacting individuals and group's resistance to change. The aspects have been separated into categories

that could potentially help change initiators assess the resistance prior to a change initiative based and identify measures that could be employed to reduce it. In the end, suggestions have been made for further research.

## 4. ANALYSIS

Hofstede (2011) identifies six dimensions to describe culture: power distance, uncertainty avoidance, individualism vs. collectivism, masculinity vs. femininity, long vs. short term orientation, and indulgence vs. restraint. The dimensions are defined below.

(1) Power distance, small vs. large: The "degree of inequality" (p. 304) between managers and their employees.

(2) Individualism vs. Collectivism: The "degree to which people in a country prefer to act as individuals rather than as members of groups" (p. 304).

(3) Masculinity vs. Femininity: The degree to which people value "assertiveness, performance, success, and competition" (associated with the masculine) versus "quality of life, maintaining warm relationships, service, care for the weak, and solidarity" (associated with the feminine) (p. 304).

(4) Uncertainty avoidance: The degree to which people prefer structure and rules to guide their reactions and behavior in given situations.

(5) Long-term versus short-term normative orientation: The degree to which people welcome change and plan for the future.

(6) Indulgence vs. restraint: The degree to which having fun and enjoying life is perceived as acceptable.

Hofstede's dimensions a widely used to describe national, as well as organizational cultures. Taras et. al (2009) performed a comprehensive literature review of all the cultural models emerging between 1952 and 2009. They concluded that the majority of models (97.5%) contain at least some measures that are covered by Hofstede's model, even though labeled different. For example, in the other models, individualism vs. collectivism is alternatively labeled as "self vs. group interest", "teamwork and cooperation" or "social responsibility", masculinity vs. femininity is labeled as "assertiveness" or "gender equality", etc. A few dimensions, such as "relationship to environment" or "determinism vs. fate" are unique measures and are not covered by Hofstede's model. Taras et. al believe that these measure can be useful in specific situations and that the dimensions should be adapted to the respective contexts.

Since the analysis of Taras et. al (2009), a newer model had emerged. Meyer (2014) identified 8 scales that define a culture, specifically in the professional environment: communicating, evaluating, persuading, leading, deciding, trusting, disagreeing, scheduling. The scales are defined below.

(1) Communicating: Ranges from low-context, i.e. "precise, simple and clear", to high-context, i.e. "sophisticated, nuanced, and layered", where messages are "read between the lines" (p. 39).

(2) Evaluating: Ranges from direct negative feedback, i.e. provided "frankly, bluntly, honestly", without "softened by positive" messages, to indirect negative feedback, i.e. provided "softly, subtly, diplomatically", with positive messages wrapped around negative ones (p.69).

(3) Persuading: Ranges from principles-first, i.e. with primary emphasis on theoretical framework, to application-first, i.e. with primary emphasis on the practical and concrete application.

(4) Leading: Ranges from egalitarian, i.e. low distance between manager and employees and flat organizational structures, to hierarchical, i.e. high distance between manager and employees and high importance of status.

(5) Deciding: Ranges from consensual, i.e. decision made through unanimous agreement, to top-down, i.e. decision are made by the manager.

(6) Trusting: Ranges from task-based, i.e. "trust is built through business-related activities" and relationships change "based on the practicality of the situation", to relationship-based, i.e. trust is built through sharing meals, evening drinks, and visits at the coffee machine, while "relationships build up slowly over the long term" (p. 171)

(7) Disagreeing: Ranges from confrontational, i.e. disagreements, debates and open confrontation are seem as constructive, to avoiding confrontation, where the above are perceived as inappropriate, having a negative for the team or organization.

(8) Scheduling: Ranges from linear-time, i.e. project steps are completed in a linear sequence, without interruption with focus on the deadline, to flexible-time, i.e. project steps are completed in a fluid manner, adapting and changing as external factors arise, while interruption as accepted.

These aspects affect how individuals lead, think and behave in their professional lives in different countries and emphasizes that, in order to be successful and get things done in a certain culture, it is important to play by that culture's rules.

A resemblance can be observed between Hofstede's dimensions and Meyer's scales, however, each model contains aspects that are not covered by the other. The table below highlights the similarities and differences. Please note that this is an approximation, rather than a straight forward parallel.

Figure 1: Similarities and differences between Hofstede's (2011) and Meyer's (2014) models.

| **Geert Hofstede's Cultural Dimensions** | **Erin Meyer's Eight Scale Culture Model** |
|---|---|
| Power Distance (small vs. large) | Leading (egalitarian vs. hierarchical) |
| | Disagreeing (allowing vs. avoiding confrontation) |
| Individualism vs. Collectivism | Deciding (consensual vs. top-down) |
| | Trusting (task-based vs. relationship-based) |
| Masculinity vs. Femininity | Evaluating (direct vs. indirect negative feedback) |
| | Disagreeing (allowing vs. avoiding confrontation) |
| Uncertainty Avoidance | - |
| Long vs. Short Term Orientation | Scheduling (linear vs. flexible time) |
| Indulgence vs. Restraint | - |
| - | Persuading (principles vs. application first) |
| - | Communicating (high vs. low context) |

Source: Author's own analysis.

As previously mentioned, a variety of factors affect individuals' attitude towards change, among them culture. While culture is harder to change short-term, because it has been created and has evolved over a longer period of time, it is valuable to understand it, in order increase the chances of success of a change initiative. Furthermore, understanding culture will provide insight into a change management plan that best suites the existing culture.

Scholars observed different reactions individuals have in face of change. Coghlan (1993) recognized seven different degrees of acceptance of change: (1) enthusiastic acceptance, (2) cooperation, (3) passive resignation, (4) indifference, (5) apathy (6) passive resistance or (7) active and open opposition. Bennis, as quoted by (Coghlan, 1993), identifies six types of responses the individuals may have to change: (1) oppose, (2) resist, (3) tolerate, (4) accept, (5) support or (6) embrace. These reactions are influenced by culture, meaning that culture can have a mediating role in reducing change resistance, thus opening an individual towards change (Abdulla et al., 2017). Although it is hard to anticipate the exact reaction people will elicit in response to a change initiative, Harzing and Hofstede (1996) were

able to suggest, based on an empirical study, how the cultural dimensions could predict individuals' expected resistance to change.

## 5. DISCUSSION

From the existing dimensions, the authors concluded that power distance, individualism, uncertainty avoidance and time orientation affect individuals' attitude towards change, as follows:

- The higher the power distance, where the leader is perceived as owning the truth, the lower the resistance to change from the employees will be.
- The higher the individualism, meaning the individual's independence from the group, the lower the resistance, while the collectivistic cultures tend to hold onto tradition and their ways.
- The higher the uncertainty avoidance within a culture, the higher the change resistance.
- The higher the long-term orientation, the lower the change resistance.

Through the parallel created between the two models presented in the table, it could be roughly assumed that following scales affect resistance negatively, meaning the more tendency towards following ends of the spectrum are expected to lead to lower levels of resistance:

- Hierarchical culture.
- Top-down deciding.
- Task-based trusting.
- Confrontation avoidance.

For the rest of Meyer's scales, it is inconclusive if and how they affect individuals' attitude towards change at this point and more research is needed for conclusions to be drawn with regards to this.

A combination between Meyer's Eight Scale Model and Hofstede's Dimensions could a helpful in designing the successful change management plan. As aforementioned, most change management models deem as important following aspects: communication about the change, knowledge on how to be successful during the change, as well as in the future state, and rewards when the desired behaviors are elicited.

As Meyer states, the scale that potentially influences change management initiatives the most is Persuading. Knowing which to bring forward first, the principles or the applications, is important in convincing employees for the needs for change. Meyer suggest alternating between the two. Furthermore, the change initiators can anticipate the level of confrontation when Disagreeing, thus preparing with arguments and rationales to bring the employees on board with the change.

Although Meyer recommends a low context Communicating in most of the cases, in order for the change initiative to be understood clearly, it might be that in some organizations, based on the culture, the nuances and sophistications of the Communicating style need to also be taken into consideration.

In high Power Distance cultures or hierarchical Leading style, when potentially the Deciding is top-down, it could be assumed that the change agents need to the higher ranked managers. Even though Hiatt (2006) suggests that change agents can be selected based on their informal role in the organization or with in their teams, the above-mentioned cultures will probably not respond as desired if this strategy is used. Furthermore, if they position and influence is important, the change initiators could put more emphasis on preparation and training, to provide the individuals affected by change with the required skills and knowledge to be successful in the future state.

Being aware of whether relationships or traditions, or both, i.e. the Individualism dimension and the Trusting scale, are important to the individuals affected by change, helps in creating a change management plan that takes this into account. The plan will need to maintain or sustain these two components of people's lives, find ways to compensate for them or provide support, as well as acknowledge it openly as a consequence of the change.

An important impact on individuals' attitude towards change is the uncertainty avoidance from Hofstede's model. A high uncertainty avoidance requires a thorough analysis of what individuals are

challenged by the most and provide them with the needed reassurance, tools and ongoing support for them to become more comfortable with and more open towards the change.

From a time perspective, change initiators should account for modifications, adjustments and need for tolerance for the change that might occur to the change management plan in a flexible-time or short-term oriented culture. They could either find counter-measures or simply expect those modifications and respond as they occur.

Lastly, in order to reinforce desired behavior, change management scholars suggest rewards and celebration of successes. For this, Evaluating is important. Meyer recommends indirect negative feedback, especially because change can be challenging for individuals, however, in some cultures, in order for the message to be received, it could be more effective to be more direct in giving feedback.

## 6. CONCLUSION

For a project or change initiative to be successful, a change management plan needs to be in place. Several change management models have been created throughout time. Their common denominators are creating a an effective communication plan, provide employees with the necessary knowledge and skills to be confident and successful in future state, and have a rewards system in place to encourage individuals when they elicit the desires behavior.

The models, however, suggest the same approach, without specifically taking culture into account. Failing to account for the characteristic of the respective organizational culture, might affect negatively the success of the change initiative. Several model have been create with the purpose of assessing culture. Potentially the most popular and widely used model is the Hofstede Six Dimensions Model. The reasons are that (1) the Hofstede model was one of the first cultural models, (2) the dimensions cover largely the dimensions of the other models, and (3) the models with more dimensions become too complex to employ in practical situations.

More recently, Meyer developed a cultural model, consisting of eight scales that are mostly applicable to the professional environment. A combination between the two models helps change initiators to (a) assess the existing culture, and so the expected attitude towards change, as well as (b) create a change management plan that accounts for the respective context, thus identify the right strategies and tools that are appropriate for it.

Further research is needed in order to validate empirically the influence of Meyer's scales on individual's attitude towards change, as well as to come up with concrete suggestions of change management strategies and tools that would be appropriate for the different cultural context.

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# The Impact of Covid-19 on Teaching and Learning: The African Perspective

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**Abstract:** The outbreak of the novel coronavirus caused deaths, economic disruptions, and serious consequence on livelihood in over 216 countries with 132,573, 627 confirmed cases and a death toll of 2,876,412 as of April 06, 2021. South Africa (1,552,416) has the highest recorded cases in Africa. This study investigates the impact of the COVID-19 pandemic on teaching and learning, its transformation of traditional method of education in Africa into digital and technological learning management information systems. The study was based on secondary information sourced from published articles, international organizations' reports (WHO, UNESCO, WORLD BANK, etc.), journals and web portals. It was revealed that the impact of the pandemic on education was both positive and negative. Negatively, most educational institutions across Africa had to close irrespective of the extent of work done in the term. With no prior efficient training in teaching through digitization some institutions resorted to online teaching to prevent the virus from spreading. Positively, it is improving the digital infrastructure since schools resolved to teaching and learning on digital platforms while government assisted primary and secondary schools adopted televised and radio broadcast. Furthermore, teachers and students who were not prepared to apply ICT suddenly could learn several software.

**Key Words:** COVID-19, Teaching, Learning, Africa, Technology

## 1. INTRODUCTION

The impact of the novel coronavirus code named COVID-19 was felt in all facets of life particularly the socio-economic. The educational sector was one of the hardest hits by this pandemic due to social distancing. As of mid-April 2020, as a measure to prevent the spread of the coronavirus,195 countries had closed their school system including institutions of higher learning which affected approximately 1.3 billion students across the globe (UNESCO Monitoring Report, 2020).

COVID-19 was first discovered in late December 2019 as a virus in a market in China, Wuhan, Hubei Province and was declared a pandemic by the World Health Organization (WHO) on March 11, 2020. The novel coronavirus called "COVID-19" is a different virus linked to the same family of viruses as severe acute respiratory syndrome (SARS) and certain kinds of common cold (Bender, 2020). It is spread through direct contact with respirational drops of an infected person (either by coughing or sneezing). One could also be contaminated by touching virus-infected surfaces and in turn touching their face (e.g., eyes, nose, mouth) (Bender, 2020).

As of April 06, 2021, the coronavirus has spread to 216 countries and territories with 132,573, 627 confirmed cases and a death toll of 2,876,412. The trend of the first three countries with highest confirmed cases in the world and in Africa: The United States has the highest confirmed cases in the world (31,499,322), followed by Brazil (13,023,189), India (12,695,493) by way of listing. South Africa (1,552,416) has the highest recorded cases in Africa followed by Morocco (499,025) and Tunisia (263,043) (Worldometers, 2021).

Educational institutions ranging right from nursery/kindergarten to tertiary education had their teaching and learning disrupted. Governments had to shut down schools that are one aspect of public gatherings to contain the spread of the virus and to protect the lives of future generations. South Africa declared its national state of disaster on March 15, 2020 Mhlanga and Moloi (2020), closing kindergarten, primary, secondary and institutions of higher learning other sectors of the economy. Ghana closed its schools and imposed lockdown to two of its regions, namely Accra and Kumasi on March 30 and later extended it to the rest of the country (GardaWorld. com, 2020). Kenaya, Nigeria, Benin, Uganda, Cote d'Ivoire, Rwanda and other African countries did the same between March and April 2020. In addition to the

closure of schools, African governments designed and implemented extraordinary policies like the restriction of public gatherings, wearing of face mask, social distancing and good hygiene practices as advised by WHO to decelerate the growth rate of infections (Hsiang et al., 2020; Rutayisire et al. and Atuguba, 2020). So far, Africa accounts for a total of 4, 324,953 confirmed COVID-19 cases, approximately 3.3% of the world confirmed cases as April 06, 2021(Galal, 2021).

According to (UNESCO, 2020), about 40 million teachers, 1.3 billion students and youth worldwide were affected by the closure of schools due to COVID-19 pandemic. Teachers are learning effective and innovative online teaching mechanisms and strategies, while students also adjust to having online classes, interactions, instructions and examinations. The aim of this study is to investigate the impact of the COVID-19 pandemic on teaching and learning, how it has transformed the traditional method of education in the world particularly, Africa into digital and technological learning management information systems.

This paper is prearranged in the following format. Next is the description of the research method used for this work, followed by discussion and findings. Lastly, conclusions and recommendations for tackling the impact of COVID-19 are offered.

## 2. MATERIALS AND METHODS

The study was based on secondary information sourced from published articles and international organizations' reports (WHO, UNESCO, UNICEF AND WORLD BANK etc.), online journals and web portals. Journal searches were conducted through Google Scholar. An analysis of the literature review involved collection, sorting out relevant data, the discussion of results and conclusion.

According to (Windle, 2010), secondary data analysis is cost effective, efficient, convenient and time saving compared to primary data collection. Moreover, existing data contain the substance of significance to the researcher and other interested parties than responding to new research questions. Hence, secondary analysis was desirable (particularly when there is a time constraint).

## 3. RESULTS AND DİSCUSSİONS

Studies showed that teaching and learning were severely affected by the pandemic taking into account challenges, limitations, complexities faced by governments, educational institutions and their stakeholders across the world (Atuguba, 2020; Assunção Flores and Gago, 2020; Zhang et al. 2020; Judd et al. 2020). Again, reviewing literature on this issue revealed several initiatives taken by African governments to ensure continuity in teaching and learning. These were decisions taken based on stakeholder engagements to alleviate the impact of COVID-19 on education not only in some parts of Africa but the entire globe (Assunção Flores and Gago, 2020). Policies adapted (examples: washing of hands, checking of temperature and wearing of face masks) unearthed certain challenges in teaching and learning as well as opportunities for improvement. These policies gave an indication that, teaching and learning are skewed majorly toward one direction: face-to-face contact with less investment in ICT infrastructure.

### 3.1 Challenges on Teaching and Learning in Africa

African countries are facing numerous challenges whenever it comes to teaching and learning before the inception of COVID-19. Some of these problems are scarcity of relevant textbooks, instructional materials, asymmetrical in-service training, blend of ICT into teaching methods, and quality-teaching environment to mention but a few.

To prevent the continued spread of the novel coronavirus through the educational institutions, and to protect children as well as the youth from contracting the virus, governments ordered the closure of all schools. 53 out of the 54 African countries either completely or partially closed their schools. Kenya, Uganda and Nigeria closed all public schools till early 2021. However, other African countries like Ghana and Liberia educational system partially. Institutions at the tertiary level-adopted teaching and learning

online. Some private primary and secondary schools also did the same to complete the term. Other government institutions scheduled re-opening of schools based on the class level to complete the term.

### 3.1.1 Online Teaching and Learning

Teachers and students used technological tools such as smartphones, tablets, laptops and desktops to access online platforms (Google classroom, Zoom, Microsoft Teams, YouTube, WhatsApp and Skype). The University of Ghana for instance is using Sakai Learning Management Systems for teaching and examining students' performance. Accra Technical University, on the other hand, created a virtual classroom with registered courses and lecturers uploaded learning materials for students. In addition to that, lecturers taught on the Zoom platform. In the University of Development Studies (Ghana), on one of their campuses, (Wa campus) they used WhatsApp for lectures (The universities website, July 2020). In South Africa, during the early stages of the pandemic, some institutions of higher learning like University of Johannesburg, Fort Hare, Wits and Cape Town ceased having direct physical classes and others like Stellenbosch, Rhodes, and Witwatersrand postponed impending graduation ceremonies (Crawford et. al., 2020). Furthermore, the Ministry of Education banned teachers and students from travelling unless it was necessary. Symposia and conferences were constricted and those held used different arrangements to avoid close contact. Whilst the government urged universities in the country to develop diminution plans, measures were taken to evacuate South African students studying abroad (Crawford et al., 2020). South African National Skills Fund supported the South African Broadband Education Networks (SABEN) to provide connectivity to Technical and Vocational Education and Training (TVET) through its Campus Connectivity program (Nyoh, 2020).

According to World Bank Report (2020), Côte D'Ivoire introduced distance learning programs on its online tutoring platform, which accommodated educational resources for nursery, elementary, middle and high school students, arranged by category. It also made provision for technical education and professional training level, all accessible by short message service (SMS). The program was a collaboration between the government and UNICEF with funding from Global Partnership for Education grant of US$70,000. Ethiopia developed a COVID-19 Education Sector Emergency Response Plan, offering education services via radio broadcasts for primary and digital technology for secondary and tertiary education. Radio courses for primary schools in different regions and TV programs for secondary schools (World Bank Report, 2020). Most African countries took similar initiatives to ensure continuity in teaching and learning.

Other African countries such as Liberia, Ghana, Uganda, Madagascar, and Mauritius also organized lessons of all courses offered at primary, junior and senior high school levels on dedicated radio and television channels for students (World Bank Report, 2020). A tech entrepreneur, Twahir Hussein Kassim sponsored primary schools' teachers in a county in Kenya to acquire digital skills for online teaching (Nyoh, 2020).

However, online teaching and learning brought its own wave of challenges. As Parmar (2017) posited "the integration of mobile technology in classrooms is no longer just a nice-to-have option in teaching and learning. Indeed, it has now become part of the educational process for the 21st century generation." Teachers who were used to the traditional face-to-face teaching have now been asked to teach, deliver course materials, and interact with students online. Educational institutions hold Webinar sessions across the globe (including Africa) to equip teachers with soft skills.

The major hurdles were firstly, how teachers could quickly adjust to incorporating technology into their teaching practices and learning objectives, as well as how students could integrate technology into their learning experience. The cost of bandwidth or internet connectivity was very expensive for an average to poor African and internet coverage in Africa was not comprehensive with poor connectivity challenges. Most towns and communities were not having the telecommunications networks, let alone connect to the internet. Students in such communities found it difficult or could not access online education and may be excluded from the learning process.

Furthermore, there were problems with online assessments. For instance, during assessment, it was difficult to transition from one question to the other and sometimes, the system automatically restarts

by itself, meaning that the student had to start answering the multiple-choice questions all over again. There were ethical concerns too. Without adequate monitoring, students might easily cheat during exams because they have access to their reading materials, lecture notes and older siblings who may be knowledgeable to solve some questions for the student who completes the task by only copying and submission of answers.

Another challenge peculiar to Africa is the erratic supply of electricity. This inadvertently has a direct impact on online teaching and learning since the Internet depends on a constant and reliable supply of power to function effectively.

Some teachers and students were not computer literate, they were trained on how to use digital platforms for instructional purposes. Again, some apps or digital communication channels had no built-in security systems and in a worst-case scenario, intruders usurped the system. Some of the online tools were not user friendly (example, wiki technology) considering the computer literacy level of the user. Meanwhile, some laptops used by students during online studies either had no cameras or the students inadvertently turned off their cameras, making interaction with teachers or professors difficult. Some entrenched old professors complained of not feeling fulfilled after class sessions due to lack of physical contact, which has been the norm for them. Finally, courses like Physical Education, Computer Software and Home Economics are difficult to teach online.

Last but not least, not all students could afford laptops, smartphones, tablets or even buy data to connect to the Internet. These students may be excluded of digital education altogether if positive steps are not taken to ensure they are included.

### 3.2 The Positive side of the Pandemic

Parents had close long contact with children to understand the hectic nature of classwork and could monitor the activities of the latter.

The COVID-19 pandemic has led to the surge in the usage of information and communication technologies (ICT), which are the drivers of the fourth industrial revolution. Worldwide, teaching and learning have experienced significant change from the conventional classroom style to the present online and melded delivery to prevent the further spread of the virus in educational institutions. Advancements in ICT is a major contributor to this revolution (Isaacs, 2020). He further stated that open and distance learning (ODL), is offering access to education across Africa and even the world at large.

In taking measures to boost access to education, enhance the quality of teacher – student relationship, commitment and learning, educational establishments are progressing from the use of penned, verbal communication, stationary, televised media to collaborative, networked media and technologies (Bates, 2016).

Goh and Sandars (2020), in their study of technology in the field of medicine after the pandemic, emphasized the relevance of the usage of emerging technology to expand teaching and learning across the range of medical education. They argued that technology presents new possibilities for certain categories of students like increasing access, involvement in part-time students and offering shortened courses for brilliant students. According to the World Economic Forum (2020), education technology has highly been accepted and adopted globally with global EdTech (educational initiative) investments reaching US$18.66 billion in 2019 and the overall market for online education projected to reach $350 billion by 2025, even before the inception of the coronavirus. However, the utilization of educational technological tools like e-learning, Microsoft Teams, Moodle, Zoom, WhatsApp etc. have increased during this pandemic as mentioned. In addition, several webinar series were held across Africa to share laudable ideas and strategies in effective teaching and learning tools.

In Egypt, some private institutions of higher learning; The British and American Universities in Cairo are using Moodle, Microsoft Class Notes, and Microsoft Teams software, Blackboard, email, and Zoom (Crawford et al., 2020). In Botswana, Botho University offers blended and distance learning programs. This same University offered online methodologies to 25 thousand to government teachers (Botho University website, October 10, 2020). In Ghana, the University of Ghana and other universities had

liaised with telecommunication companies to offer cheap service to their students and lecturers. This allowed both teachers and students easy and affordable access to internet services.

**4. Conclusion and Recommendation**

As COVID-19 pandemic persists, educational institutions across the world and especially in Africa are required to integrate digital teaching approach, technology and learning management information systems into their educational curricula, which now form important characteristics of the 21st Century educational system. Governments throughout Africa should focus on digital teaching and learning programs to increase the technological literacy level of both teachers and learners. Moreover, like the Chinese educational system, Africa should adopt and use a framework or guideline for open educational resources (OER) and open educational practices (OEP), suitable for the African context to boost teaching and learning experience during and after COVID-19 pandemic (Huang et al., 2020). This, in turn, would help sustain or improve the number of future graduates and teachers who would be technologically sophisticated enough to keep pace with the existing changes and bring Africa in the limelight of the advanced economy.

UNICEF Ghana, for instance, funded Ghana's educational ministry to create a 'COVID-19 Education Sector Response Plan, which is a component of the USD15 million 'Global Partnership for Education (GPE) Accelerated Funds', overseen by the World Bank in aid of the education segment. UNICEF is also helping the educational sector to develop instructional materials to expand teacher capability for curriculum distribution through a radio broadcast, particularly for primary schools (UNICEF, 2020). This could be replicated in most African countries.

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# Profitability Analysis of the Albanian Banking Sector

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**Abstract:** The Albanian banking system has undergone an extraordinary transformation after the political and economic changes that took place in the early 1990s. The development and reform of the banking system, especially in transition economies, plays a crucial role in economic development. In addition, existing research has shown that the effectiveness of financial intermediation can significantly impact economic growth Levine (1996).

In recent years, the Albanian banking sector has experienced a remarkable expansion mainly due to the entry of a large number of foreign banks. The banking system is the most important part of the Albanian financial sector, because its assets account for almost 97 percent of the financial sector assets. In Albania, banks act as the main actors in channelling funds from lenders to borrowers, and therefore it is important that their intermediary role is performed at the lowest possible cost in order to achieve higher social welfare. The evolution and control of the banking system thus becomes a problem of interest, especially for a country that is constantly undergoing transformations.

The purpose of this study is to investigate the current situation of the banking system in Albania and in particular to examine the determinants of profitability of commercial banks during the period 2010 - 2020 using the regression analysis panel.

The existing literature divides the determinants of bank profitability into two groups, internal or specific banking factors and external or macroeconomic factors. In addition, the literature uses as a measure of profitability two main indicators, which are return on assets (ROA) and return on equity (ROE).

Furthermore, this study will provide more detailed information about the determinants of Banking profit in Albania, and what will be interesting to investigate is whether the results are differentiated, when the analysis is based only on data from one country, and when it is based on a number of countries with similar economic and political characteristics. The analysis will provide important information for the Albanian banking sector and the relevant policy implications that will follow from the results of the study.

**Specific objectives and goals of the study.**

This study aims to:

1. Create a historical summary regarding the performance of the banking sector in Albania over the years.
2. Analyse all performance indicators of the Albanian banking system.
3. Investigate and presentation of profitability determinants of the Albanian banking sector.
4. Demonstrate the close link between banking sector efficiency, monetary policy and macroeconomic elements that assist commercial banks in defining strategies for achieving their final objectives.

**Research questions**.

1. What are the main determinants of bank profitability?

2. To what extent do these determinants affect bank profitability?

3. How is the efficiency situation of the Albanian banking sector?

4. What are the implications for banking management?

5. What are the further improvements that should be suggested for the banking sector based on the discussions on the study findings?

**Keywords:** Albanian economy, Albanian financial sector, Profitability

## Introduction

The Albanian banking system has undergone an extraordinary transformation after the political and economic changes that took place in the early 1990s. The development and reform of the banking

system, especially in transition economies, plays a crucial role in economic development. In addition, existing research has shown that the effectiveness of financial intermediation can significantly impact economic growth Levine (1996).

In recent years, the economy is recovering and the banking sector has experienced a remarkable expansion mainly due to the entry of a large number of foreign banks. The banking system is the most important part of the Albanian financial sector, because its assets account for almost 97 percent of the financial sector assets. In Albania, banks act as key actors in channelling funds from lenders to borrowers, and it is therefore important that their intermediary role be performed at the lowest possible cost in order to achieve higher social welfare. The evolution and control of the banking system thus becomes a problem of interest, especially for a country that is constantly undergoing transformations.

The purpose of this study is to investigate the current situation of the banking system in Albania and in particular to examine the determinants of profitability of commercial banks during the period 2010 - 2020 using the regression analysis panel.

The banking industry is the most important segment of the Albanian financial system and as such, requires greater attention when it comes to its financial analysis. This dissertation deals theoretically and analytically, indicators of return, efficiency and profitability, and for the first time, presents the methodology of calculating a correlation to help determine the efficiency and profitability of the Albanian banking system. The purpose of this paper is not simply to analyse financial or performance reports, but above all suggest some indicators and an index, which can be used by managers and banking supervisors during their work.

Multiple regression in the constructed model has been further used to examine the relationships between variables in terms of the relative importance of the independent variables and the predicted values of the dependent variables (Saunders et al, 2003). For the initial construction of the model a research study was conducted through browsing the available literature to identify potentially accurate components to be placed in the model. Summarizing previous studies, and analysing in detail the Albanian banking system, it was decided to include as explanatory variables in the model, Bank size (logTA), Capital (EA): capital to assets ratio, Credit risk (CR), Liquidity Ratio (LR): Assets Lending Ratio, Inflation Rate (INF), Long-Term Interest Rates (INT).

## 1. Literature review.

The study is based on secondary quantitative data, which are taken from banks' financial statements and public data of the Banking Association and the Central Bank. Various researchers state that the advantage of using secondary data includes: a) higher quality data compared to primary data collected by the researchers themselves (Stewart and Kamins, 1993); b) a data source that is permanent, more open to public scrutiny, and available in a form that can be relatively easily controlled by others. This increases the reliability of the data used (Denscombe, 1998)

The existing literature presented is categorized according to the places where the studies were conducted. The conclusions of previous research regarding the factors that affect banking profitability are of high importance only for comparison purposes, given that no such studies have been conducted on the Albanian economy and the Albanian banking system in particular. Reflecting the importance of the banking sector in the financial sector and in the economy in general, a voluminous literature has emerged over the last decades in the field of finding determinants of banking profitability. In general, these factors can be divided into two categories: internal and external (Athanasoglou et al, 2006.). Internal factors include the specific factors of each bank, such as the elements that are reported in the financial statements of a bank, as well as factors related to the quality of the bank's management. In contrast, external factors refer to industry-specific indicators, as well as macroeconomic and legal factors of the environment in which the bank operates. The number of explanatory variables varies based on the goals of each study.

However, the most commonly used internal variables are,

1) liquidity measure.
2) credit risk.
3) bank size.
4) capital adequacy, etc.,

While external factors include:
1) Long-term interest rates.
2) Inflation rate.
3) Value of gross domestic product (GDP)

As well as industry specific variables such as:
1) Ownership structure.
2) Measures of concentration within the industry and within the market.
3) Size of industry.

Moreover, among the most typical indicators used to express banking profitability are:
1) Return on Assets (ROA).
2) Return on equity (ROE).

## 2. Data analysis and research methodology on the determinants of profitability of the Albanian banking sector.

This study will assess the determinants of profitability of the banking sector in Albania for the period 2010-2020. Annual data for this purpose are obtained from the Bank of Albania, the Albanian Banking Association and from the websites of individual banks. The financial statements will be withdrawn from the financial statements of commercial banks during the aforementioned period. Data related to macroeconomic variables are obtained from the Bank of Albania. This study will employ 6 variables.

These include dependent variables:

1. Return on assets (ROA),

2. Return on equity (ROE),

Independent variables:

1. Logarithm of total assets (log AT),

2. Capital ratio on assets (EA),

3. Credit ratio on assets (LR),

4. Provision ratio to total loans (CR).

***The hypotheses raised for this study are***;
*H01 -Total assets will have a positive impact on profitability.*

*H02 -The growing capital of shareholders has a positive impact on profitability.*

*H03 -High credit risk will have a negative impact on the profitability of commercial banks.*

*H04 -High bank liquidity has a positive impact on profitability.*

*H05 -There is a positive correlation between inflation and bank profitability.*

*H06 - Long-term interest rates which include inflation expectations have a positive impact on profitability.*

## 2.1 Dependent variables

The two most widely used determinants of a bank's profitability are the ratio: return on assets (ROA) and return on equity (ROE).

ROA shows how effective the bank is in managing its assets.

ROA is calculated as the ratio of pre-tax income to total assets. A disadvantage in using (ROA) as a measure of profitability is that it does not take into account off-balance sheet data thus causing a positive bias towards the bank's valuation.

Return on equity (ROE) indicates the return to shareholders for each unit of monetary capital they have invested. ROE is calculated as the ratio of pre-tax income to total capital. The main disadvantage of ROE is that this ratio will be higher for banks with lower capital levels. These banks will be associated with a higher level of risk due to the high level of leverage. In addition, in many countries the degree of capitalization is established by the monetary authorities. For these reasons the literature refers to ROA as the most appropriate measure of benefit (Golin 2001; Athanasoglou et al 2008).

## 2.2 Explanatory variables and their expectations.

Explanatory variables that have been used can be divided into two categories:

1. Specific for each Bank (internal), factors related to the characteristics of each bank, such as bank size, capital ratio, liquidity and credit risk ratio and,
2. External factors related to the macroeconomic environment in which banks operate, such as long-term interest rates and inflation.

More specifically, the explanatory variables and their expected effect according to the existing theory and literature are analysed as follows:

1. Bank Size (logTA) (logarithm of total assets): The total assets consisting of the current assets and long-term assets of an entity. For banks, the most important assets are loans because through loans banks generate the highest percentage of their income. In the analysed literature the value of total assets determines the size of a bank. For analytical purposes we use the logarithm of total assets since all other variables are in ratios. It is expected that total assets will have a positive impact on profitability. Studies such as Bourke (1989) and Goddard et al, (2004) show that the effect of size on profitability is positive. However, other researchers suggest that if the size of the bank increases too much, the size effect will be negative since very little expense can be reduced by increasing the size of a bank beyond a certain point (Berger et al 1987. Athanasoglou et al, 2006).

2. Capital (EA): capital to assets ratio (EA) is used as a variable of capital. We expect a positive impact of capital on profitability. The positive impact may be due to the fact that capital refers to the amount of its own funds that the bank could use to support its activities, and therefore capital provides collateral in the event of adverse conditions (Athanasoglou et al., 2006).).

3. Credit risk (CR): According to Athanasoglou et al. (2006) the provision ratio to total loans will serve as an indicator of credit risk. According to the theory, high credit risk will have a negative impact on the bank's profitability. This can be further explained by the fact that high accumulation of outstanding loans will bring low income for a bank. Banks, therefore, can improve profitability by using improved credit risk review and monitoring methods.

4. Liquidity ratio (LR): Assets Loans ratio measures the liquidity of bank assets related to bank loans. The higher this ratio the lower the liquidity for a bank. Since interest on loans are the main source of income for a bank we expect a positive ratio in the liquidity variable as more loans show more income.

5. Inflation rate (INF): is one of the variables widely used to capture the effects of the macroeconomic environment. Most studies have found a positive correlation between inflation and bank profitability (Bourke, 1989; Molyneux and Thornton, 1992). However, as Revell (1979) explains, the outcome will depend on whether inflation is projected or unpredictable or whether banks' wages and other operating

expenses grow at a faster rate than inflation or not. Projected inflation means that the bank will have adjusted interest rates in order to increase their income faster than their costs and thus earn higher profits. The opposite results will come if inflation comes suddenly.

6. Long-term interest rates (INT): which include inflation-related expectations are expected to have the same impact as inflation. Both macroeconomic factors will be highly dependent on the maturity of the economy being analysed, so that inflation (and as a result, future interest rates) can be accurately predicted

## 3. Empirical analysis.

To test the relationship between banking profitability and specific banking variables and those of the macroeconomic environment we have modelled the following form of the linear regression model:

$$\Pi it = c + \sum_{k=1}^{K} \beta k \, Xitk + \varepsilon it$$

Where Πit is the profitability of the bank i at time t, with i = 1 ..... N; t = 1 ..... T, (c) is a constant term and X are the explanatory variables mentioned above.

The general model when we divide the variables into two groups is:

$$\Pi it = c + \sum_{j=1}^{J} \beta j \, Xitj + \sum_{l=1}^{L} \beta j \, Xitl + \varepsilon it$$

Where Πit is the profitability of the bank i at time t, with i = 1 ..... N; t = 1 ..... T, c is a constant term and X are the explanatory variables grouped into the Bank's specific internal variables (denoted by J) and the specific macroeconomic environment variables (denoted by L).

This analysis will use panel data as it combines time series with cross-sectoral data. The Regress-Panel method is the most widely used method in the literature. In addition, panel analysis provides a very good method for analysing dynamic changes in small time series data samples (Coakley et al. 2008). As a result, a regression panel was considered more appropriate for this study given the small data sample (2010 - 2020).

## 4. Results of empirical analysis.

This section presents the results achieved by regression analysis. Using the equation and variables we explained earlier, and the models we will examine are as follows:

Model 1: ROA

$ROAjt = \beta 1 * \log (AT) JT + \beta 2 * EA JT + \beta 3 * CR JT + \beta 4 * LR JT + \beta 5 * INTt + \beta 6 * INFt + \varepsilon t$

Model 2: ROE

$ROEjt = \beta 1 * \log (AT) JT + \beta 2 * EA JT + \beta 3 * CR JT + \beta 4 * LR JT + \beta 5 * INTt + \beta 6 * INFt + \varepsilon t$

where ROA(jt) is the return on assets for bank j at time t,

ROE(jt) is the return on equity for bank j at time t,

log (at) jt, is the size of the bank j at time t,

EA (jt)is the capital ratio of bank j at time t,

CR (jt) is the credit risk for bank j at time t,

LR (jt) is the liquidity ratio of bank j at time t,

INTt is the interest rate at time t and

INFt is the inflation rate at time t,

βi represent the coefficients of each equation and εt is the error term.

Table 1: Determinants of bank profitability

| Eq. | Prof. Measure | Log(TA) | EA | CR | LR | INT | INF | R2 | F |
|---|---|---|---|---|---|---|---|---|---|
| 1 | ROA | 0.020660* | 0.083632* | -0.163254 | 0.001800** | -0.007043 | -0.001800 | 0.780291 | 3.505048* |
| | | (3.804068) | (2.288266) | (-3.57523) | (1.996453) | (-1.374232) | (-1.996453) | | |
| 2 | ROE | 0.012676 | 0.092982* | -0.235641 | 0.001354* | -0.004139 | -0.001354 | 0.795313 | 2.184477** |
| | | (2.824819) | (3.171569) | (-2.57896) | (2.081047) | (-1.205789) | (-2.081047) | | |
| 3 | ROA | 0.010447 | 0.027060 | -0.123587 | 0.003169* | -0.012616* | -0.003169 | 0.755876 | 4.126335 |
| | | (2.119405) | (0.683353) | (-3.45892) | (3.387133) | (-2.008074) | (-3.387133) | | |
| 4 | ROE | 0.007440 | 0.035729 | -0.159632 | 0.002243* | 0.009144 | -0.002243* | 0.604666 | 3.087999* |
| | | (1.552912) | (0.959617) | (-4.635253) | (2.646233) | (-1.645707) | (-2.646233) | | |
| 5 | ROA | | -0.006176 | -0.098631 | 0.001987* | -0.008229 | -0.001987* | 0.97860 | 1.193223 |
| | | | (-0.207836) | (-1.326584) | (2.053989) | (-1.472227) | (-2.053898) | | |
| 6 | ROE | | 0.036474 | -2.258463 | 0.001350** | -0.004626 | -0.001350** | 0.081864 | 0.980797 |
| | | | (1.619188) | (-1.235868) | (1.985075) | (-1.256023) | (-1.985075) | | |
| 7 | ROA | 0.019124* | 0.056122** | -0.098762 | 0.001233 | -0.056122** | -0.001233 | 0.737362 | 3.423614* |
| | | (3.638054) | (0.0971) | (-0.23567) | (1.450292) | (-0.0971) | (-1.450292) | | |
| 8 | ROE | 0.011638* | 0.071330 | -0.092113 | 0.000809 | -0.071330* | -0.000809 | 0.118572 | 1.479750 |
| | | (2.649096) | (2.56543) | (-0.035287) | (1.301732) | (-2.565443) | (-1.301732) | | |
| 9 | ROA | 0.012844* | | -1.235682 | 0.001144 | | -0.001144 | 0.725639 | 3.20561* |
| | | (3.078212) | | (-0.002579) | (1.286130) | | (-1.286130) | | |
| 10 | ROE | 0.003605 | | | 0.000625 | | -0.000625 | 0.059824 | 0.699941 |
| | | (1.048291) | | | (0.958809) | | (-0.958809) | | |

*Author calculations Note: The numbers in parentheses represent t-statistics *, ** Represent statistical significance at 5% and 10% respectively*

However, from the equations presented in Table 1 only six of them show to be statistically significant based on the F-test. These equations are shown in the Table below.

Table 2: Determinants of bank profitability

| Eq. | Prof. Measure | Log(TA) | EA | CR | LR | INT | INF | R2 | F |
|---|---|---|---|---|---|---|---|---|---|
| 1 | ROA | 0.020660* | 0.083632* | -0.163254 | 0.001800** | -0.007043 | -0.001800 | 0.780291 | 3.505048* |
| | | (3.804068) | (2.288266) | (-3.57523) | (1.996453) | (-1.374232) | (-1.996453) | | |
| 2 | ROE | 0.012676* | 0.092982* | -0.235641 | 0.001354* | -0.004139 | -0.001354 | 0.795313 | 2.184477** |
| | | (2.824819) | (3.171569) | (-2.57896) | (2.081047) | (-1.205789) | (-2.081047) | | |
| 3 | ROA | 0.010447* | 0.027060 | -0.123587 | 0.003169* | -0.012616* | -0.003169 | 0.755876 | 4.126335 |
| | | (2.119405) | (0.683353) | (-3.45892) | (3.387133) | (-2.008074) | (-3.387133) | | |
| 4 | ROE | 0.007440* | 0.035729 | -0.159632 | 0.002243* | 0.009144 | -0.002243* | 0.604666 | 3.087999* |
| | | (1.552912) | (0.959617) | (-4.635253) | (2.646233) | (-1.645707) | (-2.646233) | | |
| 5 | ROA | 0.019124* | 0.056122** | -0.098762 | 0.001233 | -0.056122** | -0.001233 | 0.737362 | 3.423614* |
| | | (3.638054) | (0.0971) | (-0.23567) | (1.450292) | (-0.0971) | (-1.450292) | | |
| 6 | ROA | 0.012844* | | -1.235682 | 0.001144 | | -0.001144 | 0.725639 | 3.20561* |
| | | (3.078212) | | (-0.002579) | (1.286130) | | (-1.286130) | | |

*Author calculations Note: The numbers in parentheses represent t-statistics *, ** Represent statistical significance at 5% and 10% respectively*

As can be seen the estimated coefficients seem to fit the panel very well based on the R2 criterion. In addition, all coefficients are considered to be quite stable between the two alternative models.

In general, the obtained results are in line with our expectations based on economic theory and previous studies.

## 5. Research findings and interpretations.

Based on the results presented above the coefficient of the size variable is positive and statistically significant in 5 of the evaluated equations (equations 1, 2, 3, 5 and 6) implying that bank size and profitability have positive relationships. In addition, the coefficients for the variable "size" do not change significantly when the benefit measure is ROA (equations 1, 3 and 5) and when this measure is represented by ROE (equations 2 and 6). This result is a testament to economies of scale. This result is expected to weaken further in the future because over time banks will not have the same opportunities to exploit economies of scale.

The coefficient of the variable “capital” (EA) is positive and statistically significant in equations 1, 2 and 5 (in equation 5 at the 10% significance level). The coefficients do not differ significantly between the two alternative profitability measures. This finding is consistent with previous literature findings in SEE countries. (Athanasoglou et al, 2006; Kosak and Cok 2008). This means that the higher the capitalization the greater the benefit and the lower the risk of bankruptcy for a bank. Referring to the Albanian banking system, the larger the bank and the higher the capital adequacy, the greater the effects on the banking profit, as people expect banks to maintain high levels of capital, especially after the crisis of schemes. pyramid in 1997 and that of deposits in 2002. By maintaining the high level of capital of banks in Albania aims to increase public confidence, to reduce the cost of financial inconvenience and stress.

The credit risk variable (CR) coefficient is significantly negative in the five equations (equations 1,2,3,4 and 6). The size of the coefficient does not change significantly when the benefit variables differ from ROA to ROE except in equation 6, where the benefit measure is ROE and the credit risk coefficient is above one. These results are consistent with the findings of Athanasoglou et al. (2006) in a number of SEE countries. As mentioned in this study, banks in Albania and in the region in general need to pay more attention to credit risk management using advanced risk monitoring and forecasting techniques.

The liquidity ratio (LR) coefficient appears to be positive and statistically significant in the four estimated equations (equations 1,2, 3 and 4). In addition, the sizes of the coefficients do not appear to differ significantly between the two models. Thus we can conclude that the liquidity ratio is positively related to profitability. The results are consistent with the findings of Athanasoglou et al. (2006) regarding the coefficient sign however, contrary to our results of this study report statistically insignificant coefficients. As stated earlier, the higher the level of credit the higher the income a bank can generate and thus the higher the profits.

Furthermore, empirical analysis shows that inflation is negatively related to bank profitability. More specifically, the coefficient on inflation is negative and statistically significant in equations 1,2,3 and 4. Again, the magnitudes of the coefficients do not differ significantly between different profit measures. This contradicts the results of previous studies like Athanasoglou et al. (2006) which report very significant positive inflation coefficient. As explained above, this can be seen as a failure of the Albanian banking system to make an accurate inflation forecast.

Finally, as expected, the analysis reports a negative interest rate coefficient. However, the interest rate coefficient seems to be significant only in equation 3.

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# Socio-Psychological Dimensions of Obedience and Subordination in Organizations

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***Abstract:*** The paper studies obedience and subordination in the organization as independent socio-psychological categories. The aim is to distinguish them from compliance and conformity, to discuss different approaches to their interpretation, and to suggest clear quidance for future research. Using the content analysis method, two forms of obedience are defined and explored – formal and informal. Basic characteristics of formal obedience are identified: sociality, hierarchy, determinism, and targetability. Each of them is analyzed in terms of individual and organizational context. Informal obedience peculiarities are also discussed and the term "obedience threshold" is defined. In informal obedience, it is determined by social attitudes and readiness of both parties in the leader-follower relationship (specific for each situation), while in formal obedience the threshold depends mainly on the resources (financial, human, material and information) available to each of the sides. Subordination as a separate category is defined as a dynamic process of interaction in which a member or members of the organization change their behavior in an organizational context as a result of formal authority exercised by a superior in the hierarchy. On this basis, the peculiarities of organizational subordination are discussed. It is concluded that subordination is a special kind of obedience in which informal elements are missing. Subordination is always formal, unlike obedience, which can also be informal.

**Keywords:** Obedience, subordination, formal and informal authority.

## 1. INTRODUCTION

The attention that social psychology has paid to issues of power in recent decades naturally leads researchers' interest to the problems of obedience and subordination. Their relative neglect at the expense of power and leadership does not call into question their significance. Specialists have long perceived power and subordination as interdependent elements of a whole. As early as the end of the 19th century, Simmel (1896) considered superiority and subordination as a subject of sociology, and a hundred years later the interest in the relationship between the varieties of these categories (authority, leadership, supremacy, obedience, followership, etc.) did not decrease (Zimbardo, 1974; Baird & Kram, 1983; Hamilton & Biggart, 1985; Elangovan & Xie, 1999). Theories that try to explain the mutual influence between the subjects of power and subordination naturally appear. One of the concepts that summarizes the views of experts in the beginning is the vertical dyad linkage theory (Dansereau et al., 1975). Later, the ideas embedded in it evolved and became the basis of the leader-member exchange theory (Dienesch. & Liden, 1986), which subsequently gained widespread popularity (Graen & Uhl-Bien, 1995; Liden et al., 1997).

The presence of a connection between leadership and subordination is unconditional. But in order to reveal the specifics of each category, it is necessary to consider it independently. With greater or lesser success, attempts to study obedience and subordination have been made (Milgram, 1963; Milgram 1974; Meeus & Raaijmakers, 1995), but most of them have received critical comments from other researchers (Baumrind, 1964; Miller et al., 1995). Over the last decade, experts' interest in obedience and subordination seems to be reviving. Some of them consider the mutual exchange between the subjects of power and subordination within the organization (Schyns & Day, 2010; Jiang, 2019; Wang & Ye, 2014). Others focus on changes in subordinate behavior (Arbaiza & Guillen, 2016; Albrecht & Andreetta, 2011; Yelamanchili, 2018) and their impact on organizational performance (Idowu et al., 2017; Schaubroeck et al., 2017). All of them have their indisputable contribution to a better understanding of the human factor influence on organizational results. But a common weakness in most studies is the insufficient correctness of terminology. There is often no clear semantic distinction between obedience and subordination in an organizational context, and terms such as employee, subordinate, follower, and worker are used to describe identical subjects. This complicates their objective study and calls into question the conclusions reached by researchers.

The aim of this paper is to present an alternative understanding of obedience and subordination in organizations and thus to distinguish them from other similar categories, to discuss different approaches to their interpretation, and to suggest clear guidance for future research.

## 2. APPROACHES TO INTERPRETING OBEDIENCE

At first glance, the study of obedience should not be a particular problem – it is all around us and in each of us. From the earliest years, people get used to obeying. As Zimbardo (1974, p.66) correctly points out, the main lesson taught in education systems is the need to obey trivial, inappropriate rules and to follow protocol, while respecting authority because of its existence. Other authors are even more extreme in their analysis, defending the thesis that obedience becomes an unconditional operational norm in countless organizations and institutions, many of which are endowed with extremely high cultural status – such as the army, hospitals, etc. (Miller et al., 1995, p.11). Thus, the conclusion is that the discovery of an object of study should not be a problem in a world that has perceived obedience as a norm of behavior.

However, two additional factors make the study of obedience as a separate category a difficult task. First, it is hampered by the close association of obedience as a social process with compliance and conformity – sometimes distinguishing the three forms of social influence in practice is almost impossible. Generally, compliance involves an adaptation of one's actions to another's wishes or rules, while conformity describes a change in attitudes and behavior due to unshared but implied intentions of people we care about (no need to agree with them, only to trust them).

Second, the question arises as to whether it is ethical to conduct studies of obedience if they require the issuance of orders that are unacceptable to participants in the experiment. A question that does not have an unambiguous answer, as evidenced by the many scientific debates on this topic. The discussion between Milgram and Baumrind, which erupted in the mid-1960s from the pages of some scientific journals, seems to be a textbook example in this regard (Milgram, 1963; Baumrind, 1964; Milgram, 1964).

In general, obedience can be observed when the individual changes his or her behavior in order to carry out the direct orders of legitimate authority. In other words, the will and desire of one are transformed into the actions of another (in contrast to conformity, where the object adopts the will and desire of the subject). Obedience is the act of following orders without question (in contrast to compliance, where rational persuasion or inspiration is involved). A balance between obedience and noncompliance is often needed (Martin, 2013, p.106)

From this point of view, at least two approaches to interpreting obedience can be distinguished.

By the first, obedience is seen as *a characteristic of the implementation role*. In this sense, it derives from the place occupied by the individual in the organizational structure. Each position in the management hierarchy has certain tasks to perform. Usually, a higher position is associated with the ability to perform activities that are characterized by more versatility, creativity, and diversity. The lower in the hierarchy the respective position is, the more specialized, routine, and homogeneous the activity of the doer becomes. Irrespective of whether the peculiarities of the assigned task correspond to the personal preferences of the individual, the superior can make it happen by exercising her formal power to demand from the subordinate the execution of the order. The change in the behavior of the object of influence as a result of the use of formal power could be defined as *formal obedience*. It could be characterized by the following characteristics:

- Sociality;

Formal obedience is a particular form of social connectivity in which some organizational members are in dominant-submissive positions with each other. Generally, it has relative stability and involves organizational members from different, yet adjacent management levels. Structurally, it can be considered as a relationship between two subjects (individual or collective), one of which is the contracting authority and the other – the executor of a particular task. The communication between the

two parties does not have to be one-way, but for information exchange mainly preliminary regulated communication channels are used.

- Hierarchy;

Formal obedience is a hierarchical relationship based on the subordination of the subjects involved. The different positions in the organizational structure are vertically connected in stages, which predetermines the different obedience degrees of the object of influence.

- Determinism;

Formal obedience is determined by the organizational structure. This means that it is not determined by the personalities of the leader and the subordinate, but by the positions they hold. In this aspect, it is not influenced by the dynamics of career growth – in exceptional circumstances or for a sufficiently long period of time, the roles can change and the former subordinate can become superior to his former mentor. But the subordination of one structural-organizational post to another will be preserved, together with the obedience of those occupying it at a given moment. In this sense, the superior-subordinate relations are clearly and precisely constructed.

- Targetability;

As a result of the formal obedience in the organization, targeted actions are performed to maintain or expand its economic activity. The tasks that the members of the organization perform derive from the goals and targets set in the strategic, tactical, and operational organizational plans.

The work of each subordinate is evaluated depending on the extent of goal achievement. This assessment can be highly motivating or demotivating, unlike the individual's self-esteem. According to Vichev (1996, p.97), self-esteem could be defined as "the tendency of the ego to be enriched with a certain value and to seek recognition of that value". In formal obedience relations, self-esteem doesn't count. Organizational members obey mostly to receive a higher grade from the bearer/subject of power, and not to enrich themselves with a specific value.

According to the second approach, obedience is perceived as *a characteristic of the personality*. It is a relatively voluntary form of behavior chosen by the individual, which does not depend on the position held in the organizational structure. It is determined by personal qualities and the desire to follow the instructions of the chosen leader. The voluntary nature of the "leader-follower" relationship is determined by its informal nature. The change (as well as the readiness for change) in the behavior of the individual as a result of the use of informal authority could be called *informal obedience*.

Informal obedience can be seen as a relation of voluntary dependence. Accepting the superiority of another individual, the subject of obedience puts himself/herself in a one-sided dependent position with the leader. This action can be explained by the personality's need for affiliation, which some authors consider to be fundamental, along with the needs for achievement and power (McClelland, 1961). It encourages the individual to seek recognition of his own worth through the successful execution of other people's orders. The leader's assessment is important, but when obedience is seen as a personality characteristic, the follower's self-esteem is decisive. For example, if the leader's behavior reflects some doubt about the value of the follower (which is not shared by the follower herself), a refusal to carry out orders is possible. In case of frequent discrepancies in the leader's and follower's appraisals, the subject of informal obedience may decide to break the relationship of dependence. This stems from people's tendency to value their self-esteem and is "something like an innate sense of justice" (Vichev, 1996, p.97). It contradicts the need for affiliation and is the cause of the internal dichotomy in the individual. An innate sense of justice can lead to a reassessment of an existing relationship and redirect the individual to another object of interaction.

Followers can make a similar decision if their subjective perception of the scope of the leader's power does not correspond to her perception of the limits of influence on them. Such circumstances lead to the conclusion that there is a threshold of obedience, after which the individual ceases to obey.

Milgram's research on the limits of human obedience is remarkable for its depth (Milgram, 1963). Although some aspects of his methodology have been criticized (Baumrind, 1964), his research is seen

by many authors as a "classic contribution to social psychology" (Moscovici, 1998). Analyzing the conditions under which people obey authority, he considers two mental states – autonomy and agent. In a state of autonomy, the subject feels responsible for her actions and her own value system guides her behavior. When a person perceives himself as an agent, she loses her individuality and feels part of a hierarchical structure in which another person (the authority) is responsible for her actions and directs her activity. Milgram's contribution is not only that he identifies the factors that help an individual move from one mental state to another. Much more serious is the conclusion he draws about the relative influence of external and internal factors on obedience. According to him, people tend to underestimate the role of external (social pressure, distance in space) and overestimate the importance of internal factors (personality, value system). Thus, the conclusion is formed that the obedience threshold of one and the same individual is not a constant, but a variable that varies depending on the operation of certain situational factors.

The obedience threshold is a characteristic of both informal and formal obedience. In informal obedience, it is determined by the social attitude of both parties in the leader-follower relationship for each specific situation. Andreeva (1983) defines the attitude as an overall dynamic state of the subject, a state of readiness for a certain activity, a state that is determined by two factors: the need of the subject and the corresponding objective situation. Frequent changes in attitudes increase the likelihood that a follower's behavior will not correspond to the leader's expectations. In such cases, the obedience threshold becomes unstable and the relationship between both parties is uncertain.

In formal obedience situations, the obedience threshold mainly depends on the resources (financial, human, material, and information) available to superiors and subordinates. With insignificant differences in resources, the possibilities for the bearer/subject of authority to influence the subordinate are very limited. The executor has relatively greater freedom to deny the authority, respectively the order. In such cases, a low obedience threshold is observed. Where differences in the quantity and quality of available resources are significant, having the power to allocate them, the superior may raise the obedience threshold by extending the scope of tasks assigned to the subordinate.

## 3. ORGANIZATIONAL FOUNDATIONS OF SUBORDINATION

There is no sign of equality between the categories of *obedience* and *subordination*. However, careful analysis requires their differentiation. A brief review of the research on the problem shows that there is still much to be desired to refine the meaning given by specialists of the term *subordination*. It derives from the Latin words *sub* (under) and *ordinatio* (arrangement) and is most often associated with "the placement in a lower class, rank, or position: the act or process of subordinating someone or something or the state of being subordinated" (Merriam-Webster Dictionary). Obviously, this definition brings subordination and formal obedience closer together, but it is too crude and general for any serious analyst.

Without contradicting the above, in this paper the following definition is suggested:

*Subordination in the organization is a dynamic process of interaction in which a member or members of the organization change their behavior in an organizational context as a result of formal authority exercised by their immediate supervisor*.

Several points need a close look in this definition:

- Subordination is *a dynamic process* that is influenced by the nature of the task to be performed, the characteristics of the organization or group, and the individual features of its members. Or, like in the situational leadership theory where there is no single best style, there is no best way to be a subordinate, either. Each employee must be able to choose and apply such behavior that contributes to the highest degree of organizational efficiency.
- Subordination is a process of *interaction*, as it involves a bilateral exchange of information and joint achievement of common (group or organizational) goals. In this sense, it is not a process of unilateral influence, as is commonly perceived.

- In subordination, the change in the individual behavior in *an organizational context* is important. In other words, any interaction between members of the organization on matters not related to its activities should be considered as a personal choice and not as a form of organizational (formal or informal) obedience.
- The change of behavior in subordination is due to the *exercise of formal authority*. In a formal group, such as a production department, it is normal for the goals and specific tasks to be set by the head of the department. Subordination requires subordinates to follow instructions, and thus the organizational management is settled. Unlike formal obedience, in which all orders of the formal authority are followed, subordination concerns only issues directly related to organizational activities.
- The role of formal authority in subordination is always exercised by the *immediate supervisor*. This is the other difference from formal obedience – in it, the number of hierarchical levels between the interacting parties does not matter. For example, the CEO of a company may require formal obedience from all staff, while subordination reflects only the interaction with her immediate/direct subordinates.

Based on the above, it can be assumed that subordination is *a specific kind of obedience in which there are no informal elements*. Subordination is always formal, unlike obedience, which can also be informal.

Historically, there have always been contradictions and tensions between superiors and subordinates. Robert Sieger, an employment expert and professor of history at the University of Florida, explains this antagonism by saying that these are relationships based solely on strength (Weinstein, 1998). He traces their development over the last hundred years and concludes that the barrier separating superiors and subordinates, the barrier that keeps them on a constant fight, has not been removed and will never be removed.

The development of the theory and practice of organizational behavior and human resource management in recent decades does not confirm this categorical (at first glance) opinion. Efforts are aimed at improving the quality of working life of employees at all levels and their inclusion in the decision-making process. The leading companies purposefully follow principles for diversification of work, for building and maintaining mutual trust, for equal treatment and empathy. The teamwork principle is already recognized in societies with a pronounced tendency towards individualism (such as the Bulgarian one).

When analyzing the subordination in modern organizations, it is useful to consider several conceptual categories – delegation, chain of command, and span of control.

As is well known, *delegation* is the process of assigning authority and distributing work from superiors to subordinates who take responsibility to carry out specific activities. This is done to increase the total volume of work done. The superior assigns to subordinates the responsibility for performing a certain job, transferring to them the necessary authority. In turn, the subordinate is responsible to the superior for the successful completion of the task.

Some authors consider delegation as a form of higher trust and recognition of the qualities and capabilities of subordinates, which creates strong moral incentives for higher proactivity and creativity in work (Kanchev, 1986, p.98). However, this statement is quite debatable, as not all subordinates willingly accept delegated authority and corresponding responsibilities. Many of them show indifference, lack of motivation, and (most of all) fear of accepting additional power. Some of the reasons for the subordinates' concerns are related to the changes in the dyad decision-making process. According to Liden and Graen (1980, p.453), dyadic decision-making involves a manager and subordinate working together to reach a decision. In the general case, the decision is made by a democratic process in which alternatives are discussed, accepted, or rejected. The discussion process shares the power between the two parties in a certain ratio. Delegation changes this relationship. Although through it the subordinate acquires a certain autonomy, power is no longer shared. Benjamin Schneider (1986 as cited in Pringle et al., 1988, p.214) notes that the manager, alone, determines what decisions the manager will make and which ones will be delegated to the subordinate. Previously

existed social relationship between manager and subordinate is altered. The effect of delegation in the new situation is that subordinates can no longer be “just one of the group" (Leana, 1986, p.760). The feeling of satisfaction from being part of a group disappears.

Another concept directly related to delegation is *chain of command*. As a formal channel predetermining the authority, responsibility, and communication in the organization, it can be considered as an "infrastructure" of subordination. Under normal circumstances, each organizational member must comply with the defined chain of command, accepting and executing orders of no more than one superior (principle of unity of command).

In practice, however, strict adherence to this principle is impossible. In most organizations, there is a certain flexibility of the chain of command, which can be explained by the influence of certain forces on organizational performance. For example, the requirements for accuracy and speed of communication support a more "plastic" chain of command. A similar situation is observed when a need to bypass the chain in exceptional circumstances occurs. Sometimes in such cases, it is useful for subordinates to be able to make direct contact with different superiors without using official channels (of course, with circumstances approved in advance by the immediate superiors allowing such "crossings").

Among the main issues affecting subordination is the problem of the *span of control*. Some experts call it "norm of controllability" (Mishin, 2006). The number of direct subordinates of a leader has been the subject of scientific debates for most of the past century. Among the proposed concepts, the Graicunas’ formula is particularly original (but also highly criticized), according to which managerial activity increases in a geometric progression, and the number of immediate subordinates in an arithmetic one. So far, however, there is no objectively proven formula for finding the optimal span of control for each management level. Only adherence to some basic principles can help managers in practice to some extent:

- The more routine the tasks to be performed in a particular unit (department), the wider the scope of control can be.
- The closer the individual operations and activities are performed in space, the wider the span of control can be.
- The fewer non-managerial responsibilities assigned to the manager, the wider her span of control can be.
- The more similar the positions that are subject to management, the wider the span of control can be.
- The more competent the manager and her subordinates, the wider the span of control can be.

In addition to competence, there are other factors related to subordinates that affect the span of control in each case. For example, the more of the so-called "difficult" subordinates there are in a team, the more clear will be the need to reduce the number of team members. Depending on the nature of the problems, difficult employees in organizations can be categorized as follows:

Category 1. Employees whose work is unsatisfactory in terms of quality and quantity due to insufficient training, skills, or motivation.

Category 2. Employees who leave personal problems to affect their performance. These problems include alcoholism, drug addiction, family relationships.

Category 3. Employees who violate the law by their behavior in the organization. Examples of culpable conduct include misappropriation of property (organizational or other members’), abuse of colleagues, etc.

Category 4. Employees who systematically violate company rules and do not adequately respond to the reactions of superiors.

For each of these categories, specialists offer specific management methods, but they are not the subject of this study. It is more important to note that the ideas presented in this paper refer to

subordinates who do not fall into the above categorization. They are intended and can be useful only to employees who, firstly, accept Drucker's thesis (1985, p.166) that the executive owes effectiveness to the organization in which he works and secondly, have the ability and sincerely want to increase their own efficiency in following and achieving organizational goals.

## 4. CONCLUSION

As a result of the above considerations, several conclusions can be drawn:

First, at least two approaches can be used to objectively interpret subordination – as a characteristic of the executive role and as a characteristic of the personality. Depending on the approach used, we can distinguish formal from informal subordination. There is an obedience threshold that limits the influence of the superior. It is concluded that the obedience threshold of one and the same individual is not a constant, but a variable that varies depending on the action of certain situational factors.

Second, subordination in organizations is a specific type of obedience, which can be defined as a dynamic process of interaction in which a member or members of the organization change their behavior in an organizational context as a result of formal authority exercised by their immediate supervisor. The successful flow of this process needs to take into account the influence of basic organizational mechanisms such as delegation, chain of command, and the span of control

Third, the above considerations point to the main conclusion in this report, namely that to achieve organizational goals, subordinates must realize their key role in the dyad linkage with the superior. As a direction for future research, the internal and external sources of subordinates' influence on the immediate supervisor would be of interest, as well as the specific situational factors on which the style of subordinates depends. Considering them not only as objects but also as subjects of influence in the organization could highlight some not quite clear aspects of employees' work. A particularly favorable object for research could be the middle manager, whose position in the organizational hierarchy presupposes the presence of an immediate superior and direct subordinates. Studying the different combinations of leadership and subordination styles in these three levels can reveal additional opportunities to improve organizational effectiveness.

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# Tourists Perceptions Towards Destination Attractions Case Study Korca Regıon

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**Abstract:** The tourism industry is one of the fastest growing industries in the world, as a result many new destinations are being created not only in developed countries but also in developing countries. The increase of the number of tourist destinations all over the world,development of information of technology and the spread of internet worldwide has created a stong global competition between tourist destinations.To face this competition, tourist destinations are creating competitive advantages focused on the diversification of tourist attractions, the creation of unique attractions and a positive image. The image of a tourist destination is an important element in choosing a travel destination,which is created not only by the quality of the products, services and attractions but also by tourists perceptions. This study develops a research framework based on measuring tourists perceptions about the attractions of a destination. The methodology of this study is focused on empirical data, data collected through surveillance and observation of touristic areas in the Korça region, and also there is conducted a comparative analysis between the areas to compare the image level with the attractiveness level.

**Key words:** tourism industry, tourist destinations, attractions, tourists perceptions

## 1. INTRODUCTION

Tourism before the '90s was vital for many countries that offered natural and cultural attractions but today it is becoming an important factor in supporting the economy of many countries which although do not offer powerful attractions created by nature have created attractions and are developing alternative forms of tourism to attract tourist flows. The growing role of tourism in the economy of different countries was confirmed once again today where the economy of all countries were hit hard by the pandemic (Covid '19) and are easing the restrictive rules for the movement of people to give a breath to tourism and put in motion the gears of economy. Competition to attract the attention of tourists has pitted destinations around the world, orienting them towards product diversification, quality improvement and the creation of multiple forms of communication, the essence of which is the projection of an identity through image. Also in a strong competition are tourism businesses which are relying on creating better relationships with customers, creating customer satisfaction to increase positive perceptions. a competitive tourism business, customer satisfaction is seen as the main differentiator and increasingly becomes the key element of business strategy (Kotler et al., 2010). According to Lamb et al. (2014), perception is the processes by which people select, organize, and interpret stimulate into a meaningful and coherent picture.So all the destinations are focused in researches for finding the best ways to which customers will create good perceptions,get satisfied and spread a good image.It is very importante to understand how tourists process and destination image perceptions are created because these images and perceptions play a key role in tourists' destination-decision-making processes. As we know tourism products can not be tasted and the destination can not be experienced before, so decision making is largely based on information throwgh internet and the feelings and emotions tourists associate with each destination (Dias, F.; Cardoso, L. (2017), Tavares, J.M.; Tran, X.; Pennington-Grey, L( 2020). Also there are other variables that affect within the process—e.g., costs, distance of regions, attitudes, knowledge, technology, and trust—are equivalent among the available alternatives Stern, P.C2000, Paunovi´c, I.; Jovanovi´c, V. 2019. Nowadays when destinations offer the same stanard of these variables the success of a destination lies in the ability to offer experiences that exceed tourists' expectations Jetter, L.G.; Chen, R.J. 2011. It is very important to understand tourists' perceptions in the current digital-oriented world, and where reservations are almost online ( Fernández-Gámez, M.A.; Bendodo-Benasayag, B.; Sánchez-Serrano, J.R.; Pestana, M.H, 2020). Lin and Huang 2009, said that tourists describe destinations where they had positive experiences with attributes related to sensorial experiences.Acording to Huang & Sarigöllü (2008) the core and secondary factors of the destination affect the tourists' satisfaction. The core factors are the fun & sun, ecotourism, outdoor adventure, sea sport and entertainment.The destination attributes affect the

perceived quality of tourist offerings and those factors are positively related to the tourists satisfaction and their behavioral intentions also confirmed that there is a positive relationship between the tourists' satisfaction and the behavioral intentions (Zabkar et al., 2010).Thompson & Schofield (2007) identify factors related to the public transport system of the destination i.e. ease of use, efficiency and safety, and good parking affect for the tourists satisfaction.

## 2.TOURISM AND ATTRACTIONS OF KORCA REGION

Tourism in this region is focused in some important villages and often frequented by tourists. Korca region offers three natural parks and lakes. In addition to the mountain climate, dense pine and fir forests, and the presence of an impressive landscape, tourists can find parts of the history and heritage of the Albanian people starting from the period of Byzantine rule. Korça offers many cultural activities, festivals and fairs that would make your stay in this city even more enjoyable.Events like Easter, Christmas, Carnivals or The Beer Festival are also very interesting, marking the largest number of visitors in the city. National Museum of Medieval Art, Archaeological Museum, John Mili Museum of Photography, National Museum of Education, Bratko Museum, Old Bazaar, Cathedral of the Resurrection of Christ. One of the villages, Voskopoja has a considerable number of Orthodox churches and monasteries belonging to this period. During the winter offer ski slopes for the visitors. Another attractive place is Selca, there are five ancient monumental tombs dating from the IV century, which are part of the ancient colony of Pelion where the Illyrian king Klit, lived. Objects dating back to the Bronze Age around the middle of the 6th century, including Ionic treasures, bronze and ceramic objects, weapons and gold items. Golik Bridge Golik Bridge crosses the Shkumbin River and dates from the 17th century. This bridge has an old stone structure and is part of the Egnatia road near the village of Golik.

Kolonjais anothr interesting place,it has many natural resources such as the coal resources of Bezhan, the thermal springs with curative values of Vromoner, Sarandopor, the unstudied sulfur gases of Postenan. The town of Leskovik is mentioned in written documents from the 15th century. In the center of the city there is a great 300 year old tree.

Devolli, a country with precious natural and social resources. Offering rare and well-known historical values, such as the Tren cave and the Trojan castle, it is known as one of the earliest settlements of the Albanian ancestors, the Illyrians. Around this cultural monument, there are several other monuments such as Trajan Castle, Moku Wall, Ventrok Castle, Spile Cave, Gradishta e Shuecit and other mounds near it, which constitute an archeological site Pelioni.

Korça is famous for its traditional cooking and delicious dishes. The famous "byrek" or "lakror në saç" should be mentioned, also the cooking of Karp fish which is found in Lake Prespa,or the tasty 'cironka" as well as the cooking of red meat with a wonderful taste. The characteristic dishes of Korça are: 'petanik'made with beans, 'lakror', 'përvëlak', 'lakror' made with milk and let's not forget about 'kërncka', etc. Vithkuqi is famous for its nuts and green tea, for roasted meat and dairy. You can try and taste pears, snails, countryside mushrooms and 'lakror' with corn flour. Korça,is the country that offered the first beer in Albania.

## 3. RESULTS ABOUT TOURISTS' PERCEPTIONS OF THE KORCA REGION

## ATTRACTIONS

This study was conducted on the basis of a survey conducted with 72 domestic and foreign tourists. The survey was conducted through a questionnaire designed to find out how tourists feel about the attractions offered by the Korça region. The total number of correspondents in this study was 72, of which 42 are local (58.3%), 6 are American tourists (8.33%), 5 French tourists (6.94%), 5 Italian tourists (6.945%), 3 Chinese tourists ( 4.167%), 4 Dutch tourists (5.556%), 4 German tourists (5.556%) and (4.167%) 3 Turkish tourists. Reasons to visit 45% recreation, 12% visits to friends, education 21%, business 3%, other reasons 19%. We also note that the importance that tourists give to the attributes of the Korça Region is influenced by the nature of the purpose of an individual's trip. Asked about the

reason for their visit to Korça (Recreation, vacation, sports / business / education / visit to friends / others), almost a half of the tourists asked, gave as a reason for their visit to Korça “Recreation , holidays, sports ”(45.84% n = 33); 12.5% of them (n = 9), had come to Korça for a "Visit to friends"; 20.83% n = 15 education while 18.06% of tourists (n = 13) gave different reasons such as climate and natural beauty that Korca offers, while only two tourists (2.778% n = 2) gave as reason "Business".Gender 37.5% n = 27 females and 62.5% = 45 males. Age15-24 ( 5.56% n = 4), 25-34( 16.67%, n = 12); 35-44 (25% n = 18), 45-44 (27.8% n = 20), 55-64 (16.6% n = 12), over 64 years (8.34% n = 6). This study also explores what motivates tourists in choosing Korça as their holiday destination. 63.9% of survey respondents wanted to experience a culture different from their own and 36.1% of those who wanted emotions and experiences.

Nearly 26.4% of tourists talked after their experience on the way back. Tourists who come on vacation, value accommodation more, those who come for business value natural factors more (natural beauty, water, outdoor activities), tourists who follow health value medicine / health services; those who come for educational purposes consider the most important energy / water supply, sewerage, services (4.73%); those who come to visit friends value transportation and services as the most important, while others value natural beauties. The assessment given to natural factors is 41.7% very attractive; 36.1% extremely attractive and 1.4% quite attractive. Cultural factors 41.7% of tourists rated it as extremely attractive; 30.6% very attractive, 25% attractive and 2.8 quite attractive. Commercial and recreational facilities are rated 2.8% extremely attractive; 43.1% attractive; 30.6 quite attractive; 18.1% very attractive; 5.6% not attractive. Accessibility in the region is rated on average. Services are rated on average. In terms of cost and prices tourists have rated below average.

According to the perceptions of tourists, natural beauties occupy an extremely important place. Architectural and artistic characteristics occupy an important part being valued at 49.3%; extremely very important with 28%; very important with 15.3% and slightly important with 26.4%. Historical and ancient ruins are estimated as important with 29.2%; slightly significant by 22.2%; extremely very important with 26.4% and very important with 22.2% .. Carnivals and festivals as one of the activities that Korça is visited, is assessed as extremely very important with 23.6%; very important with 47.2%; important with 23.6% and slightly important with 5.6% .. Local distinctive features were assessed as extremely important with 29.2%; very important with 13.8%; significant by 20.8%; slightly important with 23.1% and not at all important with 13.1% ..Religion occupies a not at all important% with 45.8%; very important with 16.7%; important 6.9% and slightly important with 30.6% .Food attribute that is rated as extremely very important with 75%; very important with 18%; important with 2.8%; not at all important with 4.2% .Outdoor activities are extremely very good occupying 38.9%; 20.8% good and very good 40.3% .Objects that follow health extremely much significant with 43.1% very good 38.9%; good with 12.5% and a little good with 5.5%. Information centers, interpreting and language services are rated with 27.8%; 19.4% very good; 41.7% good and 11.1% a little good. Community attitudes towards tourists occupy 18.1% as extremely very important; 36.2% very important; 31.9% important; 6.9% little important and not at all important 6.9%. When asked how much they intend to visit Korça again in the future, 87.5% of the tourists who participated in our study expressed themselves positively. By studying in more detail the perception that tourists have of the attractions of the Korça Region and from the answers received we notice that they generally appreciate more natural and cultural factors (averages 4.13 and 4.11 respectively) and less recreational commercial facilities and infrastructure (m = 2.82 and m = 2.79 respectively.) However we note that tourists residing in different countries of origin differ significantly in their perceptions of the overall attraction of a tourist destination. Suffice it to refer to the second table and note that Albanian tourists value natural factors more (m = 4.21, std = 0.982); Italians value services more (m = 4.20, std = 0.847); the Chinese value cultural factors more (m = 4.89, std = 0.943); the French (m = 3.50, std = 0.871) and the Germans (m = 4.00, std = 0.856) value cultural factors more, while the Turks value natural factors (m = 4.71 std = 0.985). So we found that tourists value as more attributes important 'natural factors' and 'cultural characteristics', while less other elements such as superstructure (recreational and commercial facilities), infrastructure and reception, services, cost / price.

Another important factor that affects the perceived importance of the attributes of the Korça Region is the connections with the income of tourists. The majority of tourists participating in the study (34.72%,

n = 25) are with their annual family income below $ 20,000; 31.94% of them (n = 23), with annual income of $ 60,000 - $ 80,000 (13.88%, n = 10); 19.44% of tourists (n = 14) with $ 20,000- $ 60,000. From the results of the questionnaire it was noticed that tourists with incomes below $ 20,000, consider food as the most important (m = 4.92); those with incomes of $ 20,001- $ 40,000 energy / water supply and sewerage services (m = 4.78); tourists with income $ 40 001 - $ 60 000 energy supply / water sewerage services, medicine / health services, natural beauties (m = 4.58); and those with incomes of $ 60001- $ 8000 rate cultural attractions and services as the most important (m = 4.70).

In contest of proving how important is the relationship between tourist perceptions, image and origin of tourists some hypotheses have been put forward.

Hypotheses

Hypothesis 1: Tourists residing in different countries of origin differ significantly in their perceptions of the overall attraction of a tourist destination.

Hypothesis 2: There is a stronger perceived importance of destination attributes among foreign tourists in certain primary tourism products such as "Natural Factors", and Korca 'Cultural Characteristics', while western visitors will give more importance to secondary tourism products such as 'Recreation and Shopping Facilities,' 'Infrastructure,' 'Access,' 'Reception,' 'Services', and 'Cost / Price'.

Hypothesis 3: The highest perceived overall attractiveness of the destination will be positively related to the likelihood of reviewing the destination.

H 1: Tourists residing in different countries of origin differ significantly in their perceptions of the overall attraction of a tourist destination.(Table1,2)

Table 1:General Attraction * Citizenship Crosstabulation \

Count

| | | Albanian | Italian | Chinese | French | American | Dutch | Gjerman | Turkish | |
|---|---|---|---|---|---|---|---|---|---|---|
| General Attraction | Attractive enough | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 2 |
| | Attractive | 19 | 1 | 0 | 2 | 3 | 2 | 3 | 0 | 30 |
| | Very attractive | 18 | 3 | 2 | 3 | 2 | 2 | 1 | 2 | 33 |
| | Extremely attractive | 3 | 1 | 1 | 0 | 1 | 0 | 0 | 1 | 7 |
| Total | | 42 | 5 | 3 | 5 | 6 | 4 | 4 | 3 | 72 |

Table 2:Chi-Square Tests

| | Value | df | Asymp. Sig. (2-sided) |
|---|---|---|---|
| Pearson Chi-Square | 13.376[a] | 21 | .008 |
| Likelihood Ratio | 16.274 | 21 | .754 |
| Linear-by-Linear Association | .571 | 1 | .450 |
| N of Valid Cases | 72 | | |

a. 30 cells (93.8%) have expected count less than 5. The minimum expecte count is .08.

While $\chi$ (21) = 13.376, p = .008, we say that tourists coming from different countries have different opinions about the general attraction of Korça.

H 2: There is a stronger perceived importance of destination attributes among foreign tourists in certain tourism products, such as "Natural Factors", and 'Cultural Features' of Korca, while western visitors will give 'Objective' 'Access,' 'Reception,' 'Services', and' Cost / Price ''(table 3,4)

Table 3:Perceptions of tourists on tourist attractions of Korca region/Crosstabulation

| | | | Citizenship | | | | | | | | Total |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Albanian | Italian | Chinese | French | American | Dutch | German | Turkish | |
| Natural atttractions | | Attractive enough | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 1 |
| | | Attractive | 6 | 1 | 1 | 2 | 1 | 1 | 3 | 0 | 15 |
| | | Very attractive | 21 | 1 | 1 | 2 | 2 | 2 | 1 | 0 | 30 |
| | | Extremely attractive | 15 | 2 | 1 | 1 | 3 | 1 | 0 | 3 | 26 |
| Total | | | 42 | 5 | 3 | 5 | 6 | 4 | 4 | 3 | 72 |
| Cultural factors | | Attractive enough | 1 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 2 |
| | | Attractive | 13 | 1 | 0 | 0 | 2 | 1 | 1 | 0 | 18 |
| | | Very attractive | 8 | 3 | 0 | 5 | 2 | 1 | 1 | 2 | 22 |
| | | Extremely attractive | 20 | 1 | 3 | 0 | 2 | 2 | 1 | 1 | 30 |
| Total | | | 42 | 5 | 3 | 5 | 6 | 4 | 4 | 3 | 72 |
| Recreative and trade objects | Not attractive | | 2 | 0 | 0 | 0 | 1 | 0 | 1 | 0 | 4 |
| | Attractive enough | | 15 | 1 | 0 | 1 | 0 | 2 | 2 | 1 | 22 |
| | Attractive | | 17 | 3 | 2 | 2 | 4 | 1 | 1 | 1 | 31 |
| | Very attractive | | 7 | 1 | 1 | 2 | 1 | 1 | 0 | 0 | 13 |
| | Extremely attractive | | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 2 |
| Total | | | 42 | 5 | 3 | 5 | 6 | 4 | 4 | 3 | 72 |
| Infrastructure | Not attractive | | 7 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 9 |
| | Attractive enough | | 12 | 2 | 1 | 2 | 2 | 2 | 2 | 1 | 24 |
| | Attractive | | 13 | 0 | 1 | 1 | 1 | 2 | 1 | 1 | 20 |
| | Very attractive | | 5 | 1 | 0 | 1 | 2 | 0 | 1 | 1 | 11 |
| | Extremely attractive | | 5 | 1 | 1 | 0 | 1 | 0 | 0 | 0 | 8 |
| Total | | | 42 | 5 | 3 | 5 | 6 | 4 | 4 | 3 | 72 |
| Acess | Not attractive | | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 2 |
| | Attractive enough | | 12 | 0 | 0 | 0 | 2 | 1 | 2 | 0 | 17 |
| | Attractive | | 14 | 2 | 0 | 3 | 1 | 3 | 2 | 1 | 26 |
| | Very attractive | | 12 | 2 | 3 | 1 | 3 | 0 | 0 | 2 | 23 |
| | Extremely attractive | | 2 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 4 |
| Total | | | 42 | 5 | 3 | 5 | 6 | 4 | 4 | 3 | 72 |
| Rezervation | Not attractive | | 2 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 3 |
| | Attractive enough | | 4 | 0 | 0 | 1 | 0 | 1 | 0 | 0 | 6 |
| | Attractive | | 12 | 1 | 0 | 1 | 2 | 0 | 2 | 0 | 18 |

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Very attractive | 18 | 3 | 1 | 1 | 4 | 2 | 2 | 1 | 32 |
| | Extremely attractive | 6 | 1 | 2 | 2 | 0 | 0 | 0 | 2 | 13 |
| Total | | 42 | 5 | 3 | 5 | 6 | 4 | 4 | 3 | 72 |
| Services | Not attractive | 1 | 0 | 0 | 0 | 1 | 0 | 1 | 0 | 3 |
| | Attractive enough | 16 | 0 | 0 | 3 | 1 | 2 | 2 | 0 | 24 |
| | Attractive | 7 | 4 | 2 | 1 | 1 | 1 | 0 | 0 | 16 |
| | Very attractive | 18 | 1 | 1 | 1 | 3 | 1 | 1 | 3 | 29 |
| Total | | 42 | 5 | 3 | 5 | 6 | 4 | 4 | 3 | 72 |
| Cost /price | Not attractive | 4 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 5 |
| | Attractive enough | 14 | 1 | 0 | 2 | 3 | 0 | 2 | 1 | 23 |
| | Attractive | 13 | 1 | 2 | 2 | 1 | 1 | 1 | 1 | 22 |
| | Very attractive | 5 | 2 | 1 | 1 | 1 | 1 | 0 | 0 | 11 |
| | Extremely attractive | 6 | 1 | 0 | 0 | 1 | 1 | 1 | 1 | 11 |
| Total | | 42 | 5 | 3 | 5 | 6 | 4 | 4 | 3 | 72 |

Table 4:Chi-Square Tests

| | Value | df | Asymp. Sig. (2-sided) |
|---|---|---|---|
| Pearson Chi-Square | 25.949 [a] | 28 | .007 |
| Likelihood Ratio | 22.488 | 28 | .758 |
| Linear-by-Linear Association | .000 | 1 | .989 |
| N of Valid Cases | 72 | | |

a. 37 cells (92.5%) have expected count less than 5. The minimum expected count is .08.

While $\chi$ (28) = 25.949, p = .007 we say that tourists coming from different countries have different opinions about the importance they pay to the factors that make Korça more attractive, where western visitors give more importance to 'natural beauties' ',' recreation and shopping facilities, '' and 'services', and 'cost / price'.

H 3: The higher perceived overall attractiveness of the destination will be positively related to the likelihood of reviewing the destination.(Table 5,6)

Table 5: Do you intend to return again? * General Attraction/ Crosstabulation

Count

| | | **General Attraction** | | | | Total |
|---|---|---|---|---|---|---|
| | | Enough attractive | Attractive | Very attractive | Extremely attractive | |
| **Do you intend to return again?** | Yes | 2 | 29 | 25 | 7 | 63 |
| | No | 0 | 1 | 8 | 0 | 9 |
| Total | | 2 | 30 | 33 | 7 | 72 |

Table 6:Chi-Square Tests

| | Value | df | Asymp. Sig. (2-sided) |
|---|---|---|---|
| Pearson Chi-Square | 7.751[a] | 3 | .041 |
| Likelihood Ratio | 8.932 | 3 | .030 |
| Linear-by-Linear Association | 1.458 | 1 | .227 |
| N of Valid Cases | 72 | | |

a. 5 cells (62.5%) have expected count less than 5. The minimum expected count is .25.

While $\chi$ (3) = 7.751, p = .041 we say that there are differences between the perceived level of attractiveness of Korça and the desire of tourists to visit it again where tourists, who assess it as very attractive are those who are most likely to return.

In the end is done a comparative analysis between some tourist areas of Korca region on how is the attractiveness level and which are tourist perceptions for each area. (table 7)

Table 7: Level of attractivenes of tourist areas of Korca region and tourist perceptions

| Places | Attactiveness | Citizenship of tourists/Image for each target | |
|---|---|---|---|
| Voskopoja | Atractive natural resources and very attactive cultural resources | Albanian | Very attractive |
| | | Italian | Attractive |
| | | Chinese | Attractive |
| | | French | Very attractive |
| | | Dutch | Attractive |
| | | German | Very attractive |
| | | Turkish | Attractive |
| Dardha | Atractive natural resources | Albanian | Very attractive |
| | | Italian | Not enough attractive |
| | | Chinese | Not enough attractive |
| | | French | Not enough attractive |
| | | Dutch | Attractive |
| | | German | Attractive |
| | | Turkish | Not enough attractive |
| Devoll/Prespa | Very atractive natural resources and very attactive cultural resources | Albanian | Very attractive |
| | | Italian | Attractive |
| | | Chinese | Atractive enough |
| | | French | Attractive |
| | | Dutch | Attractive |
| | | German | Very attractive |
| | | Turkish | Attractive |
| Pogradec | Atractive natural resources and very attactive cultural resources | Albanian | Very attractive |
| | | Italian | Attractive |
| | | Chinese | Attractive |
| | | French | Attractive |
| | | Dutch | Atractive enough |
| | | German | Atractive |
| | | Turkish | Atractive enough |
| Kolonja/Leskovik | Very atractive natural resources | Albanian | Atractive |
| | | Italian | Atractive enough |
| | | Chinese | Atractive enough |
| | | French | Atractive |
| | | Dutch | Very attractive |
| | | German | Very attractive |
| | | Turkish | Atractive enough |

## 4.CONCLUSIONS

When you visit a destination you get a combination of experiences, some components may have more impact on tourist ratings than others.Based on this study we identified tourists' perceptions of destination attractiveness and the importance of destination attributes related to travel purpose, socio-demographic characteristics, such as age, gender, educational level, occupation, income, marital status and family size. The results of the study in these areas show that: (1) 80% of visitors) seem to repeat their visit, (2) destination attributes are important, and (3) some demographic characteristics are important for market segmentation.As a result we can say that:

-Specific marketing strategies should be focused on reminding and informing. People who have visited the area before are presumed to have had a favorable holiday experience and are therefore likely to return.

- Korça can generate income from tourism by attracting visitors that tend to return.

-Creating advantages of this key tourism segment, pushes businesses to create communication tools that remind individuals of their experiences in Korca.

'Cultural features', 'reservation', 'cost / price' or value for money and 'natural factors' seem to be some of the main attractive features for Korça visitors. Thus, from a marketing perspective, these attractions should be emphasized in promotional campaigns.

-In terms of socio-demographic characteristics, campaigns should target visitors in higher revenue categories.

Korça region has a lot of cultural and natural attractions, it is important to improve the access in these attractions,to improve services and develop alternative types of tourism to attract different types of tourists and to spread them all over the area for providing sustainability,good perceptions and good image.

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# Methodological Determination Of The Effectiveness Of Business Models İn Greek Companies

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**Abstract:** Business Models (BM) and their recent evolution have shaped the way in Business Strategy. It is widely accepted that the formulation and implementation of business strategies, and the need for the development of competitive advantages, is directly related to BM. Within this context, a variety of theories, approaches, and tools has emerged with significant impact on both academia and the business world. Despite the plethora of important theories and approaches, the important questions that have arisen after many years of research and business activity have not yet been answered. The main issue has proven to be the dispute on the general view of what success means and how can be measured. The profit models/formulas that are incorporated in every Business model and have been used extensively to measure BM success, as well as the overall business success, raise ambiguity over the results of such measurements. Moreover the profits, and profit based valuations, are criticized, on the basis that they fail to capture the long term dynamics, and the long-run success perspectives of every Business model, and thus incite the overall success of the Business Strategy employed. New approaches are more concentrated on the mechanics and the dynamics of the processes utilized to create and capture value and not in the ways that this value is turned to profits.

The need for a new approach, based on the processes of creating and capturing value, is more evident for Greek Companies. The special characteristics of the Greek economy, and its developments in the last 12 years, along with the inherited inability of Greek companies, to create and implement appropriate BM, and overall Business Strategies, constitutes the perfect environment for research in an effort to address the issue of processes based vs. profit based, BM. In this economic and business environment, that had a significant impact on the characteristics of Greek companies, the mechanics and dynamics of creating and capturing value can be seen as key-features in the construction and implementation of BM. In such a case, processes can be defined as a key measurement of business success, while the profits pursue turns to be misleading and biased, constituting a totally wrong approach in formulating and implementing an overall business strategy.

The analysis is based on an extensive literature review putting into perspective the concept of BM and its evolution, as well as an extensive overview of the models used by Greek companies, resulting on conclusions about whether they need to construct and implement processes-based BM, highlighting the process of creating and capturing value, instead of concentrating on the fallacy of profit-based BM. Finally, the study suggests directions of further research.

**Key words**: Business models, business model success, creating and capturing value, business strategy, Greek companies

## 1. INTRODUCTION

The concept of Business Models (BM), and its extension of Business Model Innovation (BMI), have being among the most popular concepts in management over the last 30 years, an appear today among the most important topics in the academic literature, with a very large part of the research contacted in the field of management every year, is spent on the development and analysis of such models (Applegate 2000; Weil and Vitale 2001). As a result a great number of BMs and BMIs have been described and used as the basis of analysis both for academic purposes and in the real world of business (Shafer et al. 2005; Zott et al.2011), and a variety of theories, approaches, and tools have emerged highlighting different aspects of BMs and BMIs. Among the most important aspects of BMs is their relationship to the concept of Business Strategy.

Despite the significant research, the plethora of important theories, approaches, and tools that have been developed, and the extensive use of BMs and BMIs, important issues have not been investigated in depth, and thus important questions remain, especially in relation to the factors that determine the success of these models. The reasons for the inability to form a common view on the determinants of the success of business models should be sought in the broad scope of business models, the tendency to overestimate certain elements of BMs and BMIs, as well as the confusion that often occurs in the relationship between business models and business strategy. New theoretical approaches attempt to describe the effectiveness of BMs, and therefore the success of the overall Business Strategy, based on more general considerations of what success means and how it can be measured. These efforts differ greatly from the classical approaches based on the use of profit models, contained in each BM, as the basic method for measuring their effectiveness and success.

New perspectives approach the effectiveness of the models, highlighting as key factor the element of “processes” which is also contained in every BM. Processes are the mechanics by which the company creates and captures value, by optimally utilize, the use of its resources and means, to deliver its value proposition. The dynamics and the mechanics of how a company creates and captures value, is considered to be the essence of every business model. The importance of “processes” in every BM, is also highlighted by the fact that innovations which are the key factors in the transformation of BMs to BMIs, are mostly related to the processes employed by the company as part of its Business Model.

On the other hand the profit model, which is also incorporated as a significant element, has an enormous affect in all the different parts and elements of the BM, mostly because it set to determine BM’s success, based on the measurements of profits and other financial characteristics. The urge mostly by managers and shareholders, to measure success on the basis of profits, imposes the profit formula, or the profit model part of the BM, as the key element that determines the ways in which the Business Model evolves. To that extent innovation, as part of the processes, is appreciated not by its potential dynamics or the ingenuity of its mechanics, but strictly by its net contribution to income and profits.

The dispute of the profit based versus the processes based approaches to measure BM success, has gained a lot of attention in recent years, mostly because of the enormous impact of innovation. Nevertheless research on the subject appears to be primary and thus important questions still need to be addressed in order for the dispute to be resolved.

This paper, by focusing on Greek companies, and the developments in the Greek economy the last ten years, examines whether specific forms of BMs or BMIs, were designed and implemented by Greek companies, identifies its special characteristics, and proposes a new approach in determining the success of these business models. This study is part of a research which currently is in its initial stage of the literature review, and aims to exploit BMs and BMIs employed by Greek companies during the period of the Greek economy crisis , identify key success factors of these business models, and produce a methodology for measuring business model success based on these factors. The main research question to be investigated is whether the element of “processes” can be the main factor in the success of business models, and whether Greek companies based on this factor can indeed create and capture value. The aim of the research is also to create a specific methodology for measuring the success and effectiveness of business models based on the "process shaping" approach. In this paper, by using data from surveys conducted in Greece in recent years, concerning the role of innovation, digital transformation, and the substantial increase in R&D, as the main strategy employed by Greek

companies to overcome the impact of the economic crisis, an attempt is made, to describe the profound impact of innovation in shifting form the profit model approach of BMs, to a processes based approach, by which processes and value propositions emerge as the dominant elements of the success of Business Models implemented by Greek companies.

It must be noted that the paper do not consider the effects and the consequences of the last 16 months of the corona virus pandemic and its implications for businesses and economies

## 2. AN OVERVIEW OF BUSNIESS MODELS (BM) AND BUSINESS MODEL INNOVATION (BMI)

Business models are among the most important topics in the academic literature with a very large part of the research in the field of management spent every year on the development and analysis of such models. (Applegate 2000, Weil and Vitale 2001). As a result BMs have been described, explained and approached in many different ways, and have been used extensively both as a research platform in the academic world, and as a great tool by managers in the business world (Shafer et al. 2005; Zott et al.2011).. The main functions of a BM include the formulation and implementation of the basic goals and initiatives of a company, taking into account the means at its disposal, as well as the internal and external environment in which the company operates. BMs provide an overview of the course of the business which includes the specialization of goals, the development of policies to achieve the goals and the allocation of resources for implementation of these policies. In this context, BMs are inextricably linked to the formulation and implementation of the Business Strategy, and thus BMs and Business Strategy are interrelated, despite the fact that they differ significantly in terms of their conceptual definition. BMs describe how a company should be organized and operate in order to create and captures value (Osterwalder and Y. Pigneur 2010), while the Strategy describes the formulation and implementation of a comprehensive plan for developing competitive advantages over competitors (M. Porter 1985).

A significant number of different definitions, for BMs have been introduced in the academic literature, (e.g. Timmers, 1998; Amit & Zott, 2001; Gordijn et al., 2000; Osterwalder & Pigneur, 2002; Magretta, 2002; Faber et al., 2003; Osterwalder, 2004; Haaker et al., 2006; Lambert, 2008; DaSilva & Trkman, 2014; Christensen, Bartman, and van Bever 2016). According to the definition introduced by Osterwalder and Pigneur a business model is “the rationale of how an organization creates, delivers and captures value it describes how a company creates value for itself, while delivering products or services to customers” (Osterwalder and Y. Pigneur 2010). In other words, a BM is the business logic of how a company creates, distributes, and captures value (Heikkilä et.al 2016). A BM could also be collectively described as: a description of the entire system of how the firm operates (C. Markides 2015), a company’s value proposition (M.Morris, and M. Schindehutte 2005), the organization of the value logic of a company (E. Fielt 2013), and the combination of firm’s business strategy, organization, and capabilities (E. Casprini, T. Pucci and L. Zanni 2014). According to Tees, the BM defines: a) how a business creates and delivers value to its customers, and b) how it converts revenue stream into profits (Teece, 2010). Thus a BM must create value, but also commit a part of the value it creates (Chesbrough, 2007, 2010). A good BM should provide an attractive "value proposition" to customers, create an efficient risk and expected return relationship, and allow value commitment (Osterwalder and Pigneur, 2010).

Value creation identifies different values and their interrelation (McGrath, 2010), while value capture determines how value is delivered and monetized (Teece, 2010).

The variety of definitions proves that the concept of BMs has been, and still is, a very popular subject among academics, and managers. It also proves that progress in the field of BMs has intensified significantly and has had a profound effect on the science of Management. In the context of this intensification, issues such as innovation and technology emerged as key factors in the formation of BMs

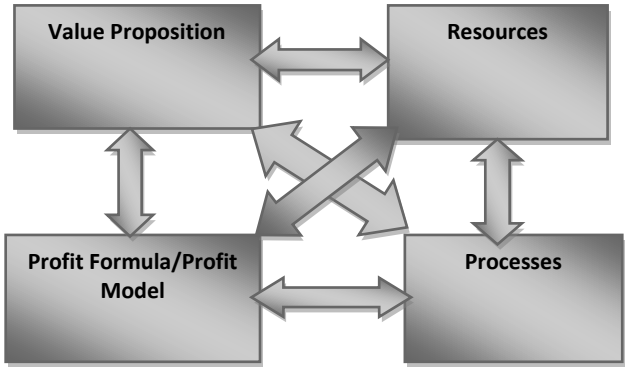
The extensive academic research on BMs, and especially the introduction of innovation and technology in the development of such models, have brought forward significant improvements of BMs, resulting to what is widely referred in the literature as the “Business Model Innovation BMIs” (Bonakdar, 2015; Bucherer et al., 2012; Hartmann et al., 2013; Lindgardt et al., 2009; Pohle and Chapman; 2006). The

introduction of the concept of innovation in the construction of business models, relates to the development of either innovative products or services, or the implementation of pioneering and innovative processes in the operation of the company. The development of an innovative business model can be an innovation in itself (Teece, 2010). These type of BMs have prevailed in recent years and thus "innovative business models BMIs" have dominate the academic and the business literature, and became the main business and strategic tools in terms of shaping competitive advantages by companies, mainly by exploiting the most efficient way of leveraging their resources (Chesbrough and Rosenbloom 2002). Even more, it is evident that without a good business model innovative companies will fail to take advantage of their innovation (Chesbrough, 2007). The development of BMIs can therefore be seen as the best possible way for a company to build and maintain a competitive advantage, and thus there is a strong relation with the formulation and implementation of Business Strategy (Magretta 2002; Teece 2010 ), .

### *2.1 The basic elements of a Business Model*

According to Christensen a BM is made up of four elements: (1) a value proposition for customers; (2) resources, such as people, money, and technology; (3) the processes that the organization uses to convert inputs to finished products or services; and (4) the profit formula that dictates the margins, asset velocity, and scale required to achieve an attractive return (Clay Christensen 2009, Clayton M. Christensen, Thomas Bartman, and Derek van Bever 2016). In the form proposed by Christensen the BM is viewed in a way that reveals the interdependences of its elements and highlights the framework by which the company exploits its capabilities. (figure 1)

Figure 1. Description of the elements of a Business Model




Source: Clayton M. Christensen, Thomas Bartman, and Derek van Bever (2016): Hard Truth Business Model Innovation September 13, 2016 MIT SLOAN MANAGEMENT REVIEW

This form of a BM introduced by C. Christensen and his colleagues, with the four basic blocks representing key features of how a company runs, although simple, compared to more complicated BMs, give a very good basis for exploiting the key elements of the model, its dynamics and mechanics, as well as the interrelation and interdependences, of these elements within the model. Collectively, the organization's resources and processes define its capabilities while its customer value proposition and profit formula characterize its priorities.

**The Value Proposition**: describes the products and services offered to the customers that create value for a specific customer segment by solving customer problems or by satisfying customer needs. This part of the model describes how the company communicates with, and reaches its customers to deliver the value proposition that creates. This encompasses all the ways the business interacts with the customers, including distribution channels, sales channels, marketing and other forms of communication

**Resources**: The resources can be viewed more as needs, than elements of the model, because they considered as the vital assets needed in order to support the business model. Resources can be either human, intellectual, financial or physical assets, and they are used to support, all the other elements of the BM. The key resources can either be owned by the company or leased or acquired through its strategic partners.

**Processes:** When the value proposition is described and the resources employed to deliver the value, processes emerge. Processes denote the way by which the company maximizes the utility of the resources in order to provide its value proposition to its customers in the best possible way. Processes comprise the activities a company has to perform to make its business model work. Such activities can be categorized into production related, problem-solving related or platform/network related activities and could include supply chain management, production management, marketing and sales management, and logistics, as well as any other activity by which the company creates and captures value.

**The profit formula or the profit model** is an integral part of any BM, for many companies is designed to be the key element of the BM and by default affects all the other elements of the model. The profit model dictates the margins, asset velocity, and scale required to achieve an attractive return, and in general describes how the company turns in to income, the value it creates and captures. It is also used extensively to measure BM's success.

The bidirectional arrows in figure 1 represent a crucial part of the model because they describe the interdependencies, which are very important for the integration required between each element of the model. A key concept of the interdependencies is the fact that they become stronger as the model evolves, more complex and less flexible. According to Christensen this is the main reason why BMs by their very nature are designed not to change, and they become more resistant to change as they develop over time. The strengthening of these interdependencies comes from the emergence of processes that arise as the natural, collective response to recurrent activities. The longer a business unit exists, the more often it will confront similar problems and the more ingrained its approaches to solving those problems will become (Clayton M. Christensen, Thomas Bartman, and Derek van Bever 2016).

The way the elements of the BM are interrelated and create interdependencies, and the fact that the profit formula in most of the models is designed to be the key element, that determines the way that the rest of the elements of the BM evolve, and in many cases dictates their development, constitutes a clear profit based approach in the way BMs are measured in terms of their success (Clayton M. Christensen, Thomas Bartman, and Derek van Bever 2016).

### 2.2 From Business Models (BMs) to Business Models Innovation (BMIs)

The introduction of innovations as part of the evolvement of BMs and the appearance of BMIs shifted the interest of many companies towards a rearrangement of the importance of the elements of the models. As innovations became the undisputable source of success they were inextricably associated with the value proposition and the processes parts of the BMs, and thus the dominance of the profit model was heavily disputed, both by academics and managers.

Research over the last 15 years regarding BMIs, link directly innovations with the processes or the value proposition aspects of the models, and also revealed the effects of innovations on the resources. Business model innovation BMI is described as an activity or process in which core elements of a firm and its business logic are deliberately altered (Bonakdar, 2015; Bucherer et al., 2012; Hartmann et al., 2013; Lindgardt et al., 2009; Pohle and Chapman; 2006). Numerous studies have shown that the basis of innovation is broad and can arise from many factors, such as trying to solve a problem, by the interactivity of relationships with the external environment, by systematically cultivating relationships that promote its process, by learning through the use, practice and exchange of knowledge and ideas (Georganta.Z 2003). In general, BMI is seen to be derived from the strategic activities of a company (Cortimiglia et al., 2016; DaSilva and Trkman, 2014), and managers are expected to maintain consistency between their strategic goals and the core components of the BMI (Demil and Lecocq, 2010).

Innovative business models BMIs have emerged as the main business and strategic tools in terms of shaping competitive advantages by companies, with a view to reducing costs, increasing revenue, using technological innovations, and the most efficient leveraging of the resources for each business (Chesbrough and Rosenbloom 2002). This means that innovation does not include small-scale changes that do not contribute to the substantial growth of a business, such as price change, a simple product upgrade, or seasonal changes (Frascati Manual), Baron & Tang, 2009).Recent studies have shown that

research has failed to identify methods and approaches that largely support the analysis of the viability and feasibility of innovative business models, and much more has failed to identify new ways of measuring success, of these models. In this context the value proposition and the processes, parts of BMIs became key elements, and are directly associated with the need to upgrade resources required. This created a sufficient requirement for a totally new way of constructing and utilizing the profit model, as innovations in order to improve products and processes, are often expensive, time consuming, and need substantial investment, with the return from all of these efforts being uncertain (Amit and Zott, 2012).

It is evident that the progression from BMs to BMIs created a dispute over the dominant part of every business model. Academics, researchers and practitioners, having appreciated the importance of innovations, in the way the business world is shaped the last 20 years, are shifting their interest in the construction of models that would be mostly concentrating in the development of BMIs with the scope to maximize the use of innovations, and new technologies. Even more they tend to question the ways by which BMs measured success based on profits, margins, asset velocity, and scale required to achieve an attractive return (Clayton M. Christensen, Thomas Bartman, and Derek van Bever 2016).

### 2.3 Measuring the success of BMs and BMIs. The Profit model/profit formula fallacy

Concepts such as profit and cost, and more generally the financial characteristics and measures and their corresponding indicators, are among the most prestigious issues, that dominate research mostly because they are considered as the main method, the basic metrics, of measuring the success of companies. The financial measures in general focus on revenue growth, cost management, asset utilization and market capitalization (Torbay et al. 2001). All this aspects that are in short indicated as the profit model of every company have dominated the way both academics and practitioners perceive success over the years. A great example of this approach comes from Afuah and Tucci (2003) that propose to evaluate the business model on three levels: profitability measures, profitability predictor measures and business model components attribute measures.

Such concepts under the emergence of BMIs began to lose their place as the only and insurmountable determinants of business model success. To that extent differences emerged in research, concerning the scope of profit models, caused a number of researchers and academics to differ from the prevailing view that the profit model, is the most important component of every BM. Many attempts were trying to approach the concept of success by highlighting other elements as important and critical, thus forming a wide field of dispute and the need for further research. This became more evident when innovation emerged as the single most important element in the transformation of BMs to BMIs. Many academics and researchers argue that the most important parameter in shaping a company's strategy and capturing the "competitive advantage" cannot be formed only by calculating and comparing the financial elements of a company. New approaches provide a huge basis for parameters such as innovation, market penetration dynamics, customer creation dynamics, customer expansion rate, ideal customer formation dynamics, and customer retention capacity that defy the obsession of profits (Johnson et al. 2008).

Professor Christensen contributed to the notion of the profit model fallacy in his remarks on what is ultimately good management “Good management has to do with the day-to-day effort to help people get better at doing their job better and therefore living their lives better” (Christensen, Clayton: Capturing the upside. 'Open Source Business Conference, IT Conversations (2004). Professor Markidis also argues that profits are a by-product of business activity, as companies what they have to do and where they need to focus is to create excellent products that consumers will love and when that happens then businesses will also generate profits. ( Markides. C 1997)

The profit models included in BMs are set to measure success by exploiting different aspects that include profitability, competitiveness, and performance, mainly by focusing on financial analysis. Profitability is basically measured in terms of earnings, cash flow, profit margins, revenues, market share and revenue growth. Competitiveness is measured by focusing on financial analysis which includes: (i) the absolute indicators such as net profit/loss per the period, turnover amount etc., (ii) ratio indicators

such as profitability, liquidity, indebtedness, productivity etc., and (iii) difference indicators such as profit increase/decrease, turnover increase/decrease etc. Performance comparison of business is used as a means of establishing achievable goals aimed at obtaining organizational superiority.

The fallacy with financial measures is that they present and analyze past events, and fail to critically assess the long-term capabilities of a company. These financial measures seem inadequate for guiding and evaluating the creation of future values through investment in customers, suppliers, employees, processes, technology, and innovation (R. S. Kaplan and D.P. Norton, 1996,). To that extent profit models that depend on their ability to measure success based on financial measures also fail to capture an properly evaluate the impact of future aspects of the BMs such as customers, suppliers, employees, processes, and mostly innovation and new technologies. Osterwalder and Pigneur claim that a firm's understanding of the customer segment is instrumental for its survival and success, and has defined it as a compartmentalized part in the BM of every company, and thus non-financial indicators need to be used (Osterwalder and Pigneur 2010). As the main goal of BMs and BMIs is the transformation of company visions and strategies into particular goals, indictors, tasks and measures a wide range of indicators from various areas of the company which are subject matter of both quantitative methods and qualitative methods, or a combination of both methods need to be exploited (Donnelly et. al., 2006; Hakes, 2007; Kaplan and Norton, 2005). These methods must be able to assess not only the current company competitiveness, as it results from the use of innovations and technology, but also evaluate interconnections with the company's Business Strategy. According to many authors the technological renewal and the differentiation of the products is the main lever of strengthening the competitiveness of the companies in the pursuit of success (S Karagiannis, M Feridun, 2009).

### 2.4 New approaches to evaluate Business Models Efficiency and success.

The emergence of innovative business models is currently the basis of research activity worldwide in both the development of business models and in the field of Business Strategy, and are considered among the most important issues in Management (Bonakdar, 2015; Bucherer et al., 2012; Hartmann et al., 2013; Lindgardt et al., 2009; Pohle and Chapman; 2006). In spite of the importance of innovation and new technologies, business model innovation BMI evaluation as a topic has not received much attention in the literature. Some researchers have described measurements and indicators that can be used for measuring the performance of the BMIs without the use of the profit model and its financial indicators. Since the evaluation of business models is inherently complex and to some extent dependent on other knowledge domains researchers have produced approaches for business model evaluation, that are not exclusively profit based, even before the emergence of innovations and the development of BMIs.

Hammel (2000) has proposed a business model evaluation framework with a focus on its wealth potential, which covers four factors: (i) the efficiency of business model in delivering benefits to customers; (ii) the uniqueness of the business model; (iii) the degree of fit of the business model's components; and (iv) the exploitation of profit boosters that can generate above average returns for the company. Profit boosters are: increasing returns, competitor lock-out, strategic economies and strategic flexibility.

Customer development processes were very popular in the evaluation of the company and its business model. Customer relationships can increase the number of customers through customer acquisition, customer retention, or customer transformation. The Customer relationship approach examines whether target customers will be interested in the value proposition.. A consensus between the customers and the company is necessary to make a business model into a feasible and successful one. The customer development process consists of four steps: (i) customer discovery, (ii) customer validation, (iii) customer creation and (iv) company building. Customer development is very useful as a learning and discovery process before executing the business model (Blank 2006).

Performance measurement frameworks such as Balanced Scorecard (Kaplan & Norton, 1992), designed to facilitate the development and deployment of appropriate performance measures through the operations of the company, is another example of a non-profit based approach The Balance Scorecard which is the most commonly used and well known framework achieves this by deploying strategic

objectives in the context of a business model, or strategy map (Kaplan & Norton, 1996, 2000). This approach focuses on the alignment of "operate and support" processes for achieving business objectives which is considered to be a short term driver of success but not on its own a source of long term sustained competitive advantage. The main goal of Balanced Scorecard is therefore transformation of company's visions and strategies into particular goals, indictors, tasks and measures.

A similar method for evaluating business models proposed by Torbay et al. (2001) which was based on the balanced scorecard approach (Kaplan and Norton 1996). The factors that are examined by the balance scoreboard correspond precisely with the four business model components proposed by Torbay et al. (2001) and by Christensen et al. (2016). The first part of the balance scorecard assesses the originality of the value proposition, with a perspective to identify long-term growth and innovation. That includes creativity, employee capabilities, and motivation. The second part evaluates the relationships of the company with the customers that includes retention, acquisition, satisfaction, profitability, and the appreciation of the value proposition by the customers, in terms of functionality, quality, price, timelines, brand image, and availability. The third part identifies internal and external or outsourced activities of the value chain and processes. The forth part is concerned with financial objectives.

These attempts along with many others that were employed to produce methods of evaluating the efficiency of BMs, and ultimately measure its success, defy the role of the profit model and its undisputable key position that served as common logic in the construction of most of the models, and promote new approaches in evaluating the overall performance of BMs. The emergence of innovations and the corresponding need for the maximum utilization of new technologies as the main components of the new BMIs, brought forward all these attempts, in an effort to develop new and more constructive ways to evaluate the efficiency and measure the success of these new models.

## 3. GREEK COMPANIES AND THE USE OF BMs and BMIs

### 3.1 The economic environment during the crisis and its implications for the Greek companies

Developments in the economic environment of Greece over the last ten years can be characterized as catastrophic for both companies and society in general. The substantial bankruptcy of the country and the implementation of successive economic adjustment programs which were mainly imposed by the EU resulted in more than 25% of GDP and consequently the disposable income of Greeks disappearing. According to the annual National Accounts statistics released by the Hellenic Statistical Authority over the course of the recession of 2008-2013,GDP plummeted by 26.4%.( Hellenic Statistics Authority: National Accounts statistics 2015)

In this environment, Greek companies experienced an unprecedented situation where the economic environment essentially collapsed and the companies found themselves in front of the spectrum of mass bankruptcies. In the first years of the crisis, the environment in which Greek companies were called to survive in addition to lost consumer income, which translated directly into lost revenues, and a significant downgrade of all key financial indicators for companies in most sectors of the Greek economy, there was a significant reduction in funding, mainly due to the miserable situation of Greek banks It is noteworthy that financing for businesses declined with a significant slowdown observed in the rate of credit expansion to all key sectors of activity, namely agriculture (-0.4%), industry (-0.7%), trade ( -3.2%), construction (-0.2%) and non-shipping (10.6%), with the result that almost all sub-categories of loans went through negative rates of change (Bank of Greece 2011)

In this prolonged period of deep crisis whose main features were the continuous decline of economic activity, the significant recession of the economy, the decline in turnover, and the reversal in profitability, with a direct impact on the operation and performance in the whole range of commercial and industrial activities (Annual Report of Greek Trade 2011), Greek companies faced ultimate challenges. The crisis had also an enormous effect on the rates of employment for the whole country. Job losses by business employees in the private sector were significant (Nikova.D, Aspridis.G, Koffas. S. 2015). Especially in the first years of the crisis, the need for the right strategy became evident, and the usefulness of BMs began to emerge, mainly because many companies entered the crisis without a specific plan, or a specific strategy. As a natural reaction to the crisis, most companies focused on

reducing operating costs, by reducing staff and downsizing activities. Studies showed that the most likely way to respond to the crisis according to 93% of companies was to cut operating costs, followed by a reduction in profit margins. This clearly implies that most companies, focus on their profit model as a basic tool to overcome the crisis. What became clear as the crisis progressed was that in order for companies to withstand the crisis, they would have to move away from managing their profit model and maintain a high competitive advantage over their competitors, be flexible, adapt in a timely manner, to innovate and make use of technology and various modern means.

**3.2 Factors that shaped Business Models in Greek companies during the economic crisis**

The economic crisis showed that Greek companies did not have a strong competitive position in the international industry value chains and mainly it seemed that they used quite simplistic business models, or did not use business models at all. This conclusion reveal a specific attitude towards the use of BMs by Greek companies that was strongly supported by a significant survey conducted in 5 European countries (Poland, Greece, Italy, Slovenia, Czech Republic), entitled "Understanding and Creating a Business Model (ProBM)"- 2016-2018 and focused on exchanging good practices and the collection of information on business models, and their use by companies in each country, The analysis for Greece, conducted by the Institute of Entrepreneurship Development, presented some important conclusions regarding the use BMs by Greek companies.( "Understanding and Creating a Business Model (ProBM)" Institute of Entrepreneurship Development 2018) The key conclusion was that in Greece, BMs are not used by companies mainly because there is not enough information and training, in relation to the existence and importance of such models, or because companies simply avoid the use of BMs. Nevertheless in the conclusions it was observed that many companies, while not using a specific model, performed actions that are probably parts of one or more business models (Chesbrough 2007; Al-Debei and Avison2010). At the same time the survey showed that most entrepreneurs were able to identify which of these parts were critical to the viability of their business. Important aspects that were highlighted in the survey also include that entrepreneurs are orientated towards sustainability, with a tendency for low-cost models that utilize direct sales. The emphasis on the importance of the cost structure of the companies which is derived from the survey shows a clear relationship between the absence of substantial, structured and integrated business models, and substitution from a more general approach of determining viability based on revenue, profits, and business cost structure. Even in cases where it was acknowledged by entrepreneurs that there are many weaknesses due to non-use of business models, these weaknesses were mainly identified in terms of ineffective sustainability in the face of intense competition.( "Understanding and Creating a Business Model (ProBM)" Institute of Entrepreneurship Development 2018)

The results of the survey portray the value of BMs and thus became evident that Greek companies in order to deal with the crisis had to understand the significance of the use of such models, and the acquisition of the relevant skills to execute the elements of BMs. It also became clear that, in this context BMs and mostly BMIs emerged as the most efficient way for Greek companies to manage market-related changes, and design the necessary measures to be taken in order to ensure that they will be ready for the changes implemented by the crisis (Tang et al., 2010). In conclusion the survey supported the evidence that Greek companies even before the outbreak of the economic crisis had the tendency to avoid the use of integrated BMs and they were mainly concentrated in informal models that were based on profit formulas as key elements in the way success was measured. Crisis led these companies in really difficult times were the only available action that could be taken was to manage the elements of the profit formula and trade off profit margins and costs. For most of the companies the tradeoff did not work out, as the informal profit based BMs, failed to produce a sustainable and viable solution for most of the companies. ("Understanding and Creating a Business Model (ProBM)" Institute of Entrepreneurship Development 2018)

In this economic environment innovation emerged as a very promising prospect for companies to deal with the deep problems imposed by the crisis. Innovation was considered at the time, intertwined with the survival of companies, mostly because it was directly associated with competitive advantages. Many Greek companies in an effort to battle the crisis and create prospects for growth relied on innovation as

the basic element of success, by exploiting competitive advantages not only in innovative and technologically renewed products or in the continuous improvement of production processes that will ensure lower costs, but also in a more efficient and innovative marketing. (Georganta.Z, 2003).

Inevitably innovation had an enormous effect in the way Greek companies perceived their BMs, even the informal models that most of the companies used. Innovation had designated a new form of BMIs for Greek companies. These BMIs by default shaped the "processes" and the "value proposition" as key elements in the success of the models. Innovation is based either in processes or the value proposition and thus the essence of the BMs shifted to these elements, defying the importance of profit models. The need for the upgrade of the resources as a necessary requirement for the successful launch of innovations gave great scope for the profit model to be converted in a supportive tool rather than a key element with its main role to be the allocation of funds.

The allocation of funds to support innovation is related with increasing the basic knowledge and, consequently, the ability to understand, absorb and utilize new technologies as part of the innovation process. Thus allocation of funds is also directly associated with Research & Development. With innovation closely related and interdependent with new technologies Research and Development had to be included by Greek companies in their resources upgrade.

In order to examine and support the idea of the necessity of BMIs utilized by Greek companies as a main way of overcoming the crisis and creating prospects for the future, data from surveys carried out in Greece on innovation, Digital Transformation, and Research and development, were utilized to establish a strong pattern of redirecting business strategies of most of the Greek companies towards innovation. The results show a significant shift of many Greek companies towards the use of innovation the exploitation of new technologies through R&D, as part of a new approach in the way that they perceive their formal or informal BMIs.

These surveys carried out in Greece from 2010 to 2018, researching business activities, their connection to innovation and the introduction of innovation by companies, also examine Digital Transformation, and R&D development, as part of "The Community Innovation Survey" which is the official European statistical survey on innovation in the countries of the European Union. Such surveys are conducted every two years in all EU member states through a single standard questionnaire, in accordance with European legislation, the methodological guidelines of the Oslo manual and the Eurostat guidelines, ensuring high quality and comparability in the indicators of the EU member states.

Data is collected on product innovations, business process innovations, business innovation activities, the introduction of new products to the business and market, strategies, knowledge flows and business partnerships, various forms of financing, the impact of legislation on innovation activities, as well as the obstacles that companies face in developing innovation. The survey also explores the position of Digital Transformation in strategic business planning as a continuous development strategy, as well as the research on all actors who are known to carry out R&D activities. The data are published in detail on the relevant website of the ESF (https://metrics.ekt.gr) and by Eurostat in the relevant database, by sector of economic activity and by size class (number of employees) of companies.

**3.3 Innovations**

The preliminary data for the key indicators of business innovation in Greece in the period 2010 - 2018, according to the results of the pan-Hellenic statistical survey conducted by the National Center for Documentation and Electronic Content (EKT), as the competent national authority of Hellenic Statistical System, in collaboration with the Hellenic Statistical Authority. A mentioned before the Business Innovation Statistical Survey is part of the pan-European Community Innovation Survey (CIS) on EU innovation and business innovation.

In the period 2016-2018, the percentage of innovative companies in Greece amounts to 60.3%, showing an increase of 2.6 percentage points compared to the immediately preceding three years 2014-2016.

Product innovations involve the development of new or improved products, goods and / or services, which differ significantly from the company's previous products and have been introduced to the

market. Innovative products are considered to be products that are first introduced to the market (new to market), and products that are new / improved products for the company, but are the same or similar to those already offered on the market by other companies and thus they are new to the firm.

In the period 2016-2018, the percentage of companies in Greece with product innovations amounts to 42.5%, compared to 30.7% in the period 2014-2016, showing an increase of 11.8 percentage points. Compared to the first reference period 2010-2012, this percentage is more than double (table1).

In the Services sector, the percentage of innovative companies in the period 2016-2018 amounts to 58.9%, compared to 56.5% in the period 2014-2016, showing an increase of 2.4 percentage points

Business process innovations are the new type of innovation introduced with the 4th revised version of the Oslo handbook and implemented from the 2016-2018 reporting period onwards. This new type of innovation replaced process innovation, organizational innovation and marketing innovation, which were listed as three distinct types of innovation in the previous reporting periods 2010-2012, 2012-2014 and 2014-2016.(* table 1)

It should be noted, however, that there is no absolute correspondence and comparability of business process innovation with the three types of innovation mentioned above, both because the way of measuring has been differentiated and because business process innovations include other sub-business functions

As shown in table 1, in the period 2016-2018, 55.2% of companies developed innovations related to business processes. For reasons of completeness of information and without suggesting any kind of correlation, the same table shows the percentage (%) of companies with process innovation, organizational innovation and marketing innovation for the previous three periods 2010-2012, 2012-2014 and 2014-2016.

Table 1 Greek innovative companies by categories 2010-2018

| | 2010 - 2012 | 2012 - 2014 | 2014 - 2016 | 2016 - 2018 |
|---|---|---|---|---|
| **Greek Innovative companies in total (%)** | 52.3 | 51.0 | 57.7 | 60.3 |
| **Greek innovative companies in industry (%)** | 52.8 | 54.5 | 59.5 | 62.4 |
| **Greek innovative companies in services (%)** | 51.8 | 43.0 | 56.5 | 58.0 |
| **Greek innovative Small/Very small companies (%)** | 50.7 | 49.7 | 55.3 | 57.6 |
| **Greek innovative medium size companies (%)** | 60.7 | 55.2 | 67.2 | 70.6 |
| **Greek innovative Big companies (%)** | 75.6 | 86.4 | 83.9 | 90.3 |
| **Greek companies with innovative products (%)** | 19.5 | 23.4 | 30.7 | 42.5 |
| **Greek companies with Business innovations* (%)** | | | | |
| *1.Processes innovation (%)* | 25.6 | 29.6 | 39.3 | 55.2 |
| *2.Organizational innovations (%)* | 30.2 | 25.5 | 32.2 | |
| *3. Marketing innovations (%)* | 34.8 | 32.5 | 38.4 | |

Source: Innovations - National Center for Documentation and Electronic Content (EKT) Greece – 2010-2012, 2012-2014, 2014-2016, 2016-2018.

### 3.4 Digital transformation

The National Center for Documentation and Electronic Content (ECB), in the framework of the Survey on Innovation in Greek Enterprises for the period 2016-2018, which concerns a population of 12,213 enterprises, with more than 10 employees, conducted a study on the Digital Transformation in various branches of economic activity. In the recording of the period 2016-2018, additional variables were examined regarding the strategies, practices and the use of technologies related to the Digital Transformation of enterprises. The primary data were collected in the framework of the official statistics

"Research on Business Innovation" for the period 2016-2018, implemented by the ESF, as the competent national authority of the Greek Statistical System.

The survey explores the position of Digital Transformation in strategic business planning as a continuous development strategy and captures the main areas of digital transformation for Greek companies. In addition, it provides evidence for the adoption of digital methods of work organization, as well as the use of digital practices to access new markets or increase market share. Regarding the contribution of digital technologies to the innovative performance of Greek companies, issues such as the extent and intensity of the application of digital technologies in the development of innovations, the internal digital capabilities of companies and the digital skills of their staff were explored.

In the period 2016-2018, 33.5% of the country's businesses consider Digital Transformation as a very important growth strategy. Specifically, 4,088 companies in a population of 12,213 companies, with 10 employees and more, in Industry and Services, place great emphasis on Digital Transformation as a continuous strategy for the further development of their business. In large companies, with more than 250 employees, the percentage is 51.5%, while for SMEs the percentage is 33.1%

An important point to be highlighted is the difference between small and medium-sized enterprises in terms of evaluating digital upgrade strategies as very important. Strategies related to the production of goods and services, the improvement of the supply chain and the reorganization of business processes are considered by large companies as the most important, with differences of more than 10 percentage points, compared to small and medium enterprises (table 2)

In contrast, the strategies for improving customer relations and communication (Installing customer management systems and Enhancing digital channels to improve communication), which show the lowest relevance rates, record the lowest difference in evaluation between small and medium-sized enterprises, with less than 10 percentage points.(table 2)

Also noteworthy is the difference between the evaluation of large companies in relation to small and medium, for the importance of enhancing the digital skills of their staff. In this sector, there is a difference of 11.6 percentage points, with large companies considering the enhancement of digital skills as a more important strategy of digital upgrade, compared to small and medium enterprises (table 2)

Table 2 More important strategies for digital upgrade

| | Total | SME's | BIG |
|---|---|---|---|
| **Strategies related to the improvement of products and services** | 34.5 | 34.2 | 47.2 |
| **Reorganizing Business Processes** | 30.7 | 30.4 | 43.4 |
| **Improvement in the Supply Chain and the Logistics** | 27.2 | 26.9 | 40.3 |
| **Enhancement of digital skills** | 27.0 | 26.8 | 38.4 |
| **Social Media** | 26.0 | 25.8 | 34.3 |
| **Customer Resource Management** | 25.3 | 25.2 | 30.7 |

Source: Digital Transformation - National Center for Documentation and Electronic Content (EKT) Greece 2016-2018

A very important aspect of the survey was the analysis of pioneering digital technologies that were evaluated by Greek companies as very important for their future development. The technologies evaluated were: Big Data Analytics, 3D Printing, Automation and Robotics, Artificial Intelligence, Cloud Computing & services, Internet of Things Things), Transaction chain technologies (Blockchain). Table 3 presents areas of pioneering digital technologies that were evaluated by Greek companies as very important for their future development.

Table 3. Areas of pioneering digital technologies that were evaluated by Greek companies as very important for their future development

| | Greek Companies in Total | Industry Sector | Services Sector | Non innovative Companies | Innovative Companies |
|---|---|---|---|---|---|
| **Big Data analysis (%)** | 13.8 | 12.9 | 17.1 | 7.7 | 17.8 |
| **3D printing (%)** | 5.3 | 7.3 | 3.9 | 3.4 | 6.5 |

| | | | | | |
|---|---|---|---|---|---|
| **Robotics (%)** | 10.5 | 13.2 | 8.5 | 5.7 | 13.6 |
| **A.I (%)** | 6.4 | 4.2 | 7.9 | 3.0 | 8.6 |
| **Cloud Computing (%)** | 11.9 | 6.4 | 15.8 | 6.8 | 15.2 |
| **Internet of Things (%)** | 15.9 | 12.9 | 18.1 | 9.2 | 20.4 |
| **Block chain (%)** | 7.5 | 5.2 | 9.0 | 4.8 | 9.2 |

Source: Digital Transformation - National Center for Documentation and Electronic Content (EKT) Greece 2016-2018

## 3.5 Research & Development

In a similar survey The National Center for Documentation and Electronic Content (www.ekt.gr), has been collecting and processing R&D statistics since April 2012, with the first reference year being 2011. The research was carried out on all actors who are known to carry out R&D activities. The data were collected by a combination of inventory and sampling in the Business Enterprises Sector (BES). The registry is updated on a systematic basis.

According to the Frascati Handbook, Research and Development is the creative and systematic work undertaken to increase the stock of knowledge. The term R&D covers three activities: basic research, applied research and experimental development. Basic research is experimental or theoretical work undertaken with the main purpose of acquiring new knowledge about the underlying fundamentals characteristics of phenomena and observable events, without aiming at a specific application or use. Applied research is also undertaken in order to acquire new knowledge. It is, however, mainly oriented towards a specific practical purpose or goal. Experimental development is systematic work, which draws on the knowledge gained from research and practical experience and produces additional knowledge and which is oriented towards the production of new products or processes or the improvement of existing products or processes.

According to the results of the survey, the total R&D expenditures in Greece in 2019 are 2,336.58 million Euros, increased by 157.27 million Euros (growth rate of 7.2%) compared to 2018. R&D expenditures are included in the country's GDP as, according to with the revised European System of Accounts ESA 2010, are recorded as fixed capital expenditure. In 2019, the R&D expenditure ratio as % of GDP ("R&D intensity") stands at 1.27% from 1.21% in 2018, according to the new revised GDP prices in Greece, showing an increase of 0.06 percentage points. In the business sector (BES sector) in 2019 the total R&D expenditures amount to 1,073.22 million Euros, showing an increase of 2.3% compared to 2018.

Business Enterprise Sector (BES): includes companies, organizations and institutions, whose main activity is the production of products or services (except higher education). In addition, this sector includes public companies, private non-profit organizations that provide services to companies. Table 4 presents the basic data of the survey collectively

Table 4: R&D expenditure, country GDP and R&D intensity (R&D expenditure as% of GDP), 2011 – 2019

Sources from which R&D expenditure is financed for BES (in € million), 2011 - 2019

| | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 |
|---|---|---|---|---|---|---|---|---|---|
| Total R&D Expenditures (millions. €) | 1.391,16 | 1.337,60 | 1.465,67 | 1.488,74 | 1.703,82 | 1.754,18 | 2.038,43 | 2.179,31 | 2.336,58 |
| R&D / GDP | 203.308,20 | 188.388,70 | 179.616,40 | 177.349,40 | 176.110,20 | 174.236,90 | 177.151,90 | 179.727,30 | 183.413,50 |
| R&D Intensity | 0,68% | 0,71% | 0,82% | 0,84% | 0,97% | 1,01% | 1,15% | 1,21% | 1,27% |
| | | | | | | | | | |
| R&D BES | 485,86 | 458,60 | 488,69 | 504,37 | 561,59 | 740,40 | 994,04 | 1.049,50 | 1.073,22 |
| | 0,24% | 0,24% | 0,24% | 0,24% | 0,24% | 0,24% | 0,24% | 0,24% | 0,24% |
| Financing R&D BES | 455,45 | 414,80 | 443,87 | 444,27 | 535,00 | 705,52 | 912,55 | 926,15 | 972,61 |

Source: R&D - National Center for Documentation and Electronic Content (EKT) Greece 2011-2019

### 3.6 Results

The surveys presented in this paper support the evidence of a significant shift of Greek companies towards innovations and new technologies. It also give a clear view of a consensus among Greek companies concerning the utility of these new BMIs and the corresponding need for new business strategies. The research carried out analyzing data since 2010 concerning innovation digital transformation, and R&D development support fully the assessment that Greek companies have shifted their interest, innovation has evolved to be the key element of informal BMIs employed by Greek companies and thus there is a great need for the construction of formal integrated BMIs. The results collectively show:

- Substantial increase in Greek companies involved with innovations
- Substantial use of new technologies by Greek companies
- Rapid adaption to digital transformation by Greek companies
- Extended use of R&D as a part of the resources reordering process.

## 4. NEW APPROACHES IN CONSTRUCTING BUSINESS MODELS FOR GREEK COMPANIES. THE NEED FOR INNOVATION - PROCESSES BASED BUSINESS MODELS

### 4.1 The post – crisis environment. Prospects and strategies.

Greek companies' resilience to the crisis depended on their ability to build and maintain a comparative advantage at lower cost levels by offering quality products at more affordable prices. With the deepening of the crisis it became evident that the traditional approaches based on the profit margins and costs tradeoff did not work. As a result many companies shifted towards innovation and new technologies as the only viable way to create and maintain competitive advantages. That became their basic BMI and their new business strategy whether moving domestically or internationally, as new markets opened to competition for Greek companies.

It seems that a comprehensive competitive strategy for Greek companies will play a more important role in the years ahead, due to over-competition, imbalances in the markets, intense differentiation of offers with quality and innovations at lower cost levels. In this environment Greek companies are expected to be compared with reference to companies competing in international markets rather than domestic markets. That requires more intense entrepreneurship with new models, new ventures, and diversity. Investing in the ingenuity of human resources and directed to the creation and commercial utilization of new innovations. Extroversion is also very important, not only with the traditional form of exports, but also with advanced forms of internationalization that include collaborations, joint ventures abroad, international networking, and utilization of international sources of innovation and opportunities for obtaining resources internationally.

The new business environment for Greek companies is expected to have increased demand, with more competition in supply, shaped from well-informed consumers who want to meet the same needs with less money. Internationalization will be intensified with foreign products increasing their presence in the domestic market especially from emerging multinationals from low-cost countries on products with intermediate price-cost combinations. In this environment Greek companies with their products and services seek their positions (Lioukas S. 2010). Strategies targeting relatively easily satisfied customers, especially in the domestic market, with minimal innovation and lean local branding is not expected to be the proper strategy. Lower costs seem to be important but they are not enough without other elements of differentiation. Innovation, in products and in the production process, is already proven to be a critical factor in the forthcoming years. Greek companies must invest in innovation and new technologies in order to achieve continuous differences in their products and services. The scale at which they need to invest in innovations can be moderate instead of bearing the risk involved with great innovation projects. Sources of ideas can even be found in the market by customers mainly, but also by collaborations and networking, and by the employees themselves. This new type of "open" innovation fits well with Greek business practice and must be deeply exploited. Successful companies will intensify

their efforts to continuously introduce innovations, mainly drawing ideas from customers, suppliers and other partners in the international market. It seems inevitable to follow an "open innovation" model. Obtaining and utilizing ideas from the market, most likely from the international one, and applying them both locally and internationally could very well lead to a series of small innovations, which could shape a successful course.

**4.2 New innovation and technology – processes based BMIs for Greek companies**

The necessity of the transition of Greek companies to innovations and digital transformation is considered to be imperative in context of the overcoming the effects of the economic crisis and at the same time preparing for the future. In this highly uncertain, complex and fast-moving environment of the post-crisis period in Greece, were the element of internationalization of business activities is an important issue, new Business Strategies for Greek companies must incorporate traditional skills of planning and executing those strategies and support them with integrated BMIs. The emphasis on the construction and the implementation of new integrated BMIs must incorporate all these elements that have been proven to be a very important for the nature of the business and economic environment that is formed, both domestically and internationally. Greek companies in order to prevail must adapt to new technologies, introduce innovations, reorder their resources, and be more flexible and agile in their operations. They also need to include experimentation, as part of their BMIs, which itself form a source of competitive advantage, as some firms develop superior capabilities at experimentation and therefore can build better business models and quicker than the competition (McGrath 2010; Teece 2010).

It is evident that the lessons learned from the crisis, and the pressures imposed by the emerging business environment, calls for Greek companies to proceed with a systematic approach in constructing integrated BMIs and align them with the proper business strategies. Such BMIs must be innovation and technology oriented, and must be directed towards the maximum utilization of the element of processes. In this context BMIs for Greek companies must form also taking in to account that:

- The majority of Greek companies are SMEs and need to design precise, less complex, and flexible BMIs. They do not have to invest heavily in Research and Development, but instead they can exploit marginal innovations, with moderate investments, not only in products but in processes as well, which are more appropriate for Greek business practice.
- BMIs must be focused in strengthening the mechanisms for acquiring and implementing ideas, international networking, extroversion, the upgrade of resources, and the maximum utilization of technological differentiation rather than focus in measuring financial success
- Part of this approach to innovation exploitation, that require moderate investments, could also be the extensive and constructive use of the highly educated work force of Greece, cost innovations in the value chain, negotiating with suppliers, streamlining the product range, reducing brand prices, and focusing on new products more economically. Evidence that such strategies work and suits better Greek companies, also comes from empirical research even before the crisis (Spanos, Lioukas, and Zaralis, 2004).
- Greek companies must always be open to recruit, assimilate, adapt and create and this must be embodied in BMIs.
- The element of internationalization especially in terms of recourses and opportunities must also be taking in to account in the formation of the models, as most likely successful businesses will be compared to the international level.
- Business Strategies alignment with new BMIs also required because this is considered to be crucial, in the development of competitiveness. Competitiveness determines also whether Greek products and services will exist in the open international markets.
- Cooperation between enterprises based on strategic alliances could also contribute to more effective measurement of competitive strength of businesses and thereby improve their competitive position.

The success of any new BMI, apart from highlighting innovations and new technologies, and the processes related to them, as their key elements, depends on how Greek companies understand and adapt to changes in the economic and business environment realizing that the future of businesses as a whole is innovative and digital.

## 5. CONCLUSIONS

This paper, by referring to the definition and by presenting the characteristics of BMs and BMIs examines the impact of the Greek economic crisis that erupted the last decade, and brought forward the need for the adaption of new formal BMIs by the Greek companies. In these new BMIs innovation and new technologies has already being identified as the key elements in the construction of these models. Even more BMIs must be oriented towards the maximum utilization of innovations and technologies and thus must be processes driven In these models the profit formula could very well serve as the basic form of financing the reordering of recourses, the reconstruction of processes, and the maximization of the value proposition in an attempt to exploit constant competitive advantages and sustainable growth. It is the view of this paper that Greek companies must be engaged seriously with the use of BMIs in an integrated and formal way that would shape their Business Strategy on the basis of their interdependencies in order to create sustainable competitive advantages that will ensure future prospects in a highly volatile domestic and international environment.

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# The Use of Econometric Analysis to Evaluate Factors That effect Albanian Bank's Liquidity

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**Abstract:** The financial system of every country is considered as an important intermediary with a great impact on the real sector development, offering liquidity and the payments system, aiming to a continous increase of Gross Domestic Product. The equilibrum between aggregate demand and supply is realized along with the liquidity of the banking system. In this context, the banking system liquidity is continously studied with analysis of researchers and bank managers, responsible to the funds management in commercial and central bank. A great number of studies and research articles have treated liquidity risk with statistical and econometric models, finding two groups of factors that determine banks' liquidity. The specific factors of banking industry (internal bank's factors) and external factors. This study is making analysis using econometric methods through the hypothesis.

This phase of analysis gives us the possibilities to specify for Albanian Banks main factors that are important in their impact for liquidity, as well as the relations between factors verified with econometric programs (regression analysis) realised with a database of 10 year series of information. Dependent variables are expresed with liquidity ratios and models for every equation gives the answer to what corelation is every factor.

The specific factors for the industry: bank capital, bank size, profitability, non-performing loans, interbank rates, central bank base rate and the economic activity are used based in literature findings. Econometric models derived from analysis show the relations and determinants of liquidity in Albanian banking system and explains the direct and indirect factors.

Albanian banking system is working very hard to reduce the cash used widely in our economy, but this is still a problem for policymakers.

This study presented in the paper explains which of the factors that affect liquidity is more important/or less important and gives a small contribution to few studies of Albanian researcers.

**Key words**: Liquidity, Liquidity ratios, determinants of liquidity, commercial banks

## 1. Introduction

The market liquidity risk is considered an important issue which is evident when a bank can not easily compensate, or eliminate a position at market price because of narrow market or different troubles. (Vodova, 2011), (Gianfranco A. Veneto, Pasquale La Ganga., 2009) authors stress the fact that liquidity risk is not an isolated risk – at contrary, it is an important risk, with its own characteristics that can deteriorated or influenced from other financial and operational financial risks within the banking bussines. Liquidity risk is the main risk for bank failures – with negative inpact on bank earnings and capital. with less profit, or other diminished form of investment.

The liquidity is given as liquid assets held from banks to aford the customers' demand for liquidity and at the same time to achieve the increase of profits target for owners of this business. Considering this, the expossure to liquidity risk is among the risks that financial institutions face often – as now-a-days thay work without time limits (24 hours/7 days) This way inflow of funds and outflows can result with deficits or suficits in liquidity.

This article studies the factors that are affecting liquidity on Albanian banking system Regression Models used with e-views are employed to prove the relation between liquidity and internal and external factors. The literature on liquidity risk gives a great importance on analysis some liquidity ratios, and at the same time the correlation shows as more important L1 and L2.

## 2. The contribution of banking system in the Albanian economy

The Albanian banking system activity is increased, since 1992 when the laws that regulate the activity of central bank and second level banks entered in power. Albanian banks are playing a very important role to the stable development and social wellness of the country. The economic support of the banking system starts with deposits collection as the base to the money supply and savings collection. Banks are helding the bigest part of government debt (almost 60 % of total debt)

The structure of banking and financial system at the end of 2020 shows 12 commercial banks operating, 31 non-bank financial subjects, 14 savings and loan Unions, and 488 Foreign Exchange Offices. Albanian banks have been clasiffied according to their size, capital origin and territory of activity, as counted of *Individual bank* size of *assets* to total assets of banking system. There are three groups:

- *Banks with 0-2 % of their activity. Banka e Bashkuar e Shqipërisë sh.a. (BBSH), Banka), Banka e Parë e Investimeve, Albania sh.a. (BPI). (all 3% of total banking system assets.*
- *The second group of banks has their assets 2 – 7% of total assets for the banking system. Alpha Albania sh.a. (BA), Banka Union sh.a. (BU), Banka Tirana sh.a. (BT), and Banka Amerikane e Investimeve sh.a. (BAI). Banks in this group have 27% of the banking system assets.*
- *The third group has the banks with assets over 7 % of total assets. National Commercial Bank sha, Banka Raiffeisen, Intesa San Paolo, Credins Bank sh.a.. Four banks are holding together 70% of total assets.*

The banking health (performance) is given from the increase on capital levels. Liquidity is at satisfactory levels. At the end of 2019 ratio Loans / Deposits for foreign exchange and ALL was 52 % and 46.1%.

At the end of 2019, total loans of the banking system were 582 billion ALL. The adequacy ratio for the capital was 18,2 %, which is over 12% of the regulators request.

### 2.1 Liquidity ratios

The studies for liquidity have received high attention from researchers from other countries, In Albania the liquidity has not too many studies. Pavla Vodova; Oriol Aspachs, Erlend Nier, Muriel Tiesset; Ritab Al-Khouri; Allen N. Berger dhe Christa H.S. Bouëman; Jose Berrospide; Mohamed Aymen Ben Moussa; Ionica Munteanu; Aikaeli, have performed the analysis of several countries, and we are trying to apply their findings in Albanian Banking system.

The liquidity of a commercial bank is the ability to finance its liabilities that can include loans, investments, deposits, maturities for different bank business.

There are two main methods to evaluate: liquidity GAP and liquidity ratios, GAP is the diference of recent and future assets and liabilities. The liquidity ratios are prepared based on the balance sheet. They must control if the needs for liquidity are the best priced possibility for the deficit.

The ratio of total liquid assets to total assets L1 shows the bank capacity to meet all short-term liabilities.

$$L1 = \frac{Liquid\ Assets}{\sum Assets}$$

Equation 1 First ratio of liquidity

The liquidity ratio L2 is the ratio of liquid assets to liquid deposits and short term borrowing.

$$L2 = \frac{Liquid\ Assets}{Deposits + short\ term\ borrowing.ja\ afatshkutwr}$$

Equation 2 Second ratio of liquidity

Third ration L3 counts the share of loan to total assets.

$$L3 = \frac{loans}{\sum total\ assets}$$

Equation 1: Third liuidity ratio

The last ratio. L4 shows the liquid non-performing share liquid liabilities. The ratio shows the bank capability to absorb liquidity problems.

$$. L4 = \frac{Loans}{Deposits+short\ term\ borrowing.}$$

Equation 4: Forth liquidity ration.

L1 and L3 seem to have more clear relations with liquidity determinants, than P2 and L4. Both of them are retios based in assets liquidity, while L2 and L4 are based on liabilities based liquidity ( Bhati, Zoysa, & Jitaree, 2015)

There are groups considered as internal, external and internal as well as determinats of industry and these macroeconomic (Vodava, tseganesh, feleku). Internal factors can be controlled with their interventions and decissions. External factors can not be kontrolled as they depended on activities that support our economy, the problems stay at policies.

## 3. Research Methodology and models

This study aims to evaluate the impact of internal and external factors on the liquidity of Albanian banks. The population analysed are comercial banks (12 licenced) for a period 2009-2018, considering 11 independent variables (4 specific variables of banking industry and 3 macroeconomic variables). These variables created a database of 110 surveys.

The model specification includes the definition of dependent and explanatory variables that are included in the model as well as the expexted relations as per signs and size of function parametres. The model we have studied is based in foreign literature studied from researchers (Vodova, 2011) në Ceki, (Tesfaye, 2012), (Belihu, 2018), ( Delechat, Henao, Muthoora, & Vtyurina, 2014), (Aspachs, Nier, & Tiesset, 2005), (Trenca, Petria, & Corovei, 2015), (Trenca, Petria, Mutu, & Corovei, 2012), (Lastuvkova, 2015). Our target to meet objectives evaluates this model:

$$\mathrm{Li,t} = \alpha + \beta * Xi,t + \varepsilon i,t$$

Where:

$L_{i,t}$ – Dependent variable. Includes liquidity ratios: L1, L2, L3 and L4 of a bank for a certain time t;

α is a constant (intercept in econometrics);

β – is function's coeficient. This is for specific banking factors industry and macroeconomic factors;

$X_{i,t}$ - represents specific banking factors, industry specifics and macroeconimics of the bank i, during year t;

$\varepsilon_{i,t}$ – is the error term.

**Empiric Models empirike:** used in the study have to identify the factors that influence liquidity of commercial banks BT (measured with L1, L2, L3 and L4 ratios) are hereunder:

$$L1 = \alpha + \beta 1(KAPi,t) + \beta 2(MADHi,t) + \beta 3(NPLi,t) + \beta 4(ROAi,t) + \beta 5(IRMi,t) + \beta 6(NIBi,t) + \beta 7(IRLi,t) + \beta 8(MIRi,t) + \beta 9(PBBi,t) + \beta 10(INFi,t) + \beta 11(NNPi,t) + \varepsilon i,t$$

The equation – L1 liquidity ratio..

$$L2 = \alpha + \beta 1(KAPi,t) + \beta 2(MADHi,t) + \beta 3(NPLi,t) + \beta 4(ROAi,t) + \beta 5(IRMi,t) + \beta 6(NIBi,t) + \beta 7(IRLi,t) + \beta 8(MIRi,t) + \beta 9(PBBi,t) + \beta 10(INFi,t) + \beta 11(NNPi,t) + \varepsilon i,t$$

The equation L2 of liquidityt.

Where:

L1, L2– are liquidity ratios , as dependent variables in the study;

$\alpha$ – intercept (constant term);

β – coefiient of the functon for banking specific, industry and macroeconomic factors, përkatësisht, për faktorët respectively of industry and macroeconomics;

KAP – Shareholders capital/ total assets;

MADH – natyral logaritm of total assets;

NPL – Total non-performing loans/ total loans;

ROA – Net profit after tax / Total assets;

IRM – (IRL-IRD (loan's interest rate- deposits interest rate));

NIB – Annual treasury bills yield;

IRL – Loan interest rate;

MIR – Weighted two weeks Repurchase Rat;

PBB – Annual growth of real GDP;

INF – Annual inflation rate;

NNP – annual unemployment rate ;

εit – error term .

## 4. Hypothesis

The hypothesis written to evaluate our model and banking system in Albania, are presented hereunder:

| **Study hypothesis** | **Testing objective** |
|---|---|
| $H_0$: Specific banking factors does not influence on determination of commercial banks liquidity (L1, L2).<br>$H_1$: At least one specific factor have impact determination of commercial banks liquidity | Main Hypothesis that expresses correlation of a commercial bank liquidity with specific banking variables. |
| $H_0$: $ß_1$=0 Bank capital does not influence on determination of commercial banks liquidity (L1, L2).<br>$H_1$: The bank capital influences on determination of commercial banks liquidity (L1, L2). | Correlation test of banking capital and liquidity. |
| $H_0$: $ß_2$=0 Bank size does not influence on determination of commercial banks liquidity (L1, L2).<br>$H_1$: Bank size influences on determination of commercial banks liquidity . | Correlation test of banking capital and liquidity.banking size and liquidity. |
| $H_0$: $ß_3$=0 Non-performing loans does not influence on determination of commercial banks liquidity (L1, L2).<br>$H_1$: Non-performing loans does influence on determination of commercial banks liquidity | Correlation test of nonperforming loans and liquidity. |
| $H_0$: $ß_4$=0 Profitability does not influence on determination of commercial banks liquidity (L1, L2).<br>$H_1$: Profitability influence on determination of commercial banks liquidity $ß_4 \neq 0$ | Correlation test of profitability and liquidity. |
| $H_0$: determination of commercial banks liquidity. does not influence on determination of commercial banks liquidity Të paktën një nga aktorët | Main hypothesis on correlation of industry factors and liquidity. |

| | |
|---|---|
| specific të industrisë ndikon në përcaktimin e likuiditetit të bankavë tregtare. | |
| $H_0$: $ß_5$=0 Interest Rate Margin does not influence on determination of commercial banks liquidity<br>$H_1$: $ß_5$≠0 Interest Rate Margin influence on determination of commercial banks liquidity<br>. | Correlation test of Interest Rate margin and liquidity. |
| $H_0$: $ß_6$=0 Treasury bills rate does not influence on determination of commercial banks liquidity<br>$H_1$: $ß_6$≠0 TB rates influence on determination of commercial banks liquidity. | Correlation test of Interest Rate margin and liquidity |
| $H_0$: $ß_7$=0 Loans interest rate does not influence the liquidity.<br>$H_1$: $ß_7$≠0 Norma e interesit të huave ndikon në përcaktimin e likuiditeti bankar. | Correlation test of Interest Rate margin and liquidity |
| $H_0$: $ß_8$=0 Repurchase Agreement interest rate does not influence on determination of commercial banks liquidity (L1, L2).<br>$H_1$: Repurchase Agreement interest rate does influence on determination of commercial banks liquidity. | Test of the correlation of monetary policy and liquidity. t. |
| $H_0$: Macroeconomic factors does not influence on determination of commercial banks liquidity (L1, L2).<br>$H_1$: Macroeconomic factors influence on determination of commercial banks liquidity | Main hypothesis testing correlation of macroeconomic factors and liquidity. |
| $H_0$: $ß_{11}$=0 Natural unemployment rate does not influence on determination of commercial banks liquidity (L1, L2).<br>$H_1$: Natural unemployment rate influences on determination of commercial banks liquidity | Test of correlation for unemployment and liquidity. |

Study Hypothesis.

Source: Authors.

## 5. The liquidity analysis for the third group of banks

The 3 rd group of banks belongs to institutions that has their assets over 7% of the total banking system assets. Four banks registered as Banka Kombëtare Tregtare sh.a. (BKT), Banka Raiffeisen sh.a. (BR), Banka Credinsbank sh.a. (BC), and Banka Intesa Sanpaolo Albania sh.a. (BISP). The correlation matrix indicates positive corelation between L1, L2 with capital, bank size, unemployment rate, nonperforming loans, GDP and profitability. A negativ impact is given on the correlation of L1 and L2 with inflation rate, loans interest rate, interest rate margin, REPO rate and Treasury bills rate. The models for 3rd group are:

The model shows the importance of bank capital to liquidity: Increase (decrease) of a unit banking capital, is expecting to have 1,327610 unit of capital . A positive impact belongs to treasury bill rates (7.556764). The negative impact is of REPO rate. The final Model is:

$$L1 = -0.530079 + 1.327610 * kap + 0.021281 * madh + 0.889459 * roa - 0.023742 * npl + 3.320571 * irl - 0.920734 * irm - 16.41579 * mir + 7.556764 * nib + 0.538197 * pbb + 0.829074 * nnp + 3.525395 * inf + e$$

Table: Regression Analysis of L2 model for 3 rd level banks.

Dependent Variable: L2
Method: Panel Least Squares
Date: 10/02/19 Time: 14:28
Sample: 2009 2018
Periods included: 10
Cross-sections included: 4
Total panel (balanced) observations: 40

| Variable | Coefficient | Std. Error | t-Statistic | Prob. |
|---|---|---|---|---|
| C | -0.462610 | 0.712526 | -0.649253 | 0.5215 |
| KAP | 1.883187 | 1.144611 | 1.645263 | 0.1111 |
| MADH | 0.017352 | 0.023583 | 0.735773 | 0.4680 |
| ROA | 1.045665 | 3.338363 | 0.313227 | 0.7564 |
| NPL | 0.154252 | 1.175122 | 0.131264 | 0.8965 |
| IRL | 3.295907 | 5.605440 | 0.587984 | 0.5613 |
| MIR | -17.91974 | 13.63502 | -1.314244 | 0.1994 |
| IRM | -0.997349 | 6.709232 | -0.148653 | 0.8829 |
| NIB | 8.254151 | 7.171887 | 1.150904 | 0.2595 |
| PBB | 0.118930 | 4.213586 | 0.028225 | 0.9777 |
| NNP | 0.900927 | 2.923852 | 0.308130 | 0.7603 |
| INF | 4.714416 | 6.955821 | 0.677766 | 0.5035 |

| | | | |
|---|---|---|---|
| R-squared | 0.191125 | Mean dependent var | 0.443470 |
| Adjusted R-squared | -0.126648 | S.D. dependent var | 0.143370 |
| S.E. of regression | 0.152178 | Akaike info criterion | -0.684200 |
| Sum squared resid | 0.648432 | Schwarz criterion | -0.177536 |
| Log likelihood | 25.68400 | Hannan-Quinn criter. | -0.501007 |
| F-statistic | 0.601452 | Durbin-Watson stat | 1.084708 |
| Prob(F-statistic) | 0.811514 | | |

Source: Author's calculation.

Based in this model evaluation we reconfirm the importance of banking capital on the determination of commercial banking liquidity. The positive impact of capital shows in the regression that every unit increase (decrease) of capital the liqyidity is expected to increase (decrease) with 1.883187 units in liquidity. Also the treasury bills rate has a positive effect on the liquidity of commercial banks – an increase (decrease) on the yield of treasury bill is expexted for an increase (decrease) with 8.254151 units in liquidity. The base interest rate of monetary policy has a negative impact, as for one unit increase (decrease) of Repurchase Rate, the liquidity is going to be lower (higher) with 17.91974 units. The other factors with less important impact, are on the positive correlat (MADH), ROA, NPL, IRL, NIB, NNP and INF, while in negative correlation variables MIR and Irm have a very little effect on liquidity. The final Model is:

$$L2 = -0.462610 + 1.883187 * kap + 0.017352 * madh + 1.045665 * roa + 0.154252 * npl + 3.295907 * irl - 17.91974 * mir - 0.997349 * irm + 8.254151 * nib + 0.118930 * pbb + 0.900927 * nnp + 4.714416 * inf + e$$

Final Model of L2 for 3v rd level commercial banks. .

### 5.1 Correlation Matrix.

The correlation between dependent variable with independent variables in the correlation Matrix explains that higher coeficient, means stronger correlation. While the correlation between independent variables shows that lower the coeficient is better for the model.

| Correlation | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | L1 | L2 | L3 | L4 | KAP | MADH | ROA | NPL | IRL | IRM | MIR | NIB | PBB | NNP | INF |
| L1 | 1.000000 | 0.974820 | -0.786368 | -0.766701 | 0.367171 | -0.116568 | 0.026635 | 0.012348 | -0.212508 | -0.110887 | -0.225569 | -0.220364 | -0.001104 | 0.117386 | -0.154824 |
| L2 | 0.974820 | 1.000000 | -0.790005 | -0.757797 | 0.458174 | -0.174650 | 0.012842 | -0.048199 | -0.197552 | -0.105361 | -0.204070 | -0.201243 | -0.020798 | 0.111972 | -0.146042 |
| L3 | -0.786368 | -0.790005 | 1.000000 | 0.990950 | -0.207338 | -0.013192 | -0.090994 | 0.041892 | 0.334391 | 0.168618 | 0.358369 | 0.358115 | -0.017673 | -0.160324 | 0.252954 |
| L4 | -0.766701 | -0.757797 | 0.990950 | 1.000000 | -0.105842 | -0.045267 | -0.122054 | 0.004142 | 0.323795 | 0.165813 | 0.347389 | 0.347132 | -0.028884 | -0.151600 | 0.234121 |
| KAP | 0.367171 | 0.458174 | -0.207338 | -0.105842 | 1.000000 | -0.348633 | -0.244636 | -0.191513 | -0.012823 | 0.017139 | -0.021743 | -0.025976 | -0.122477 | 0.042996 | -0.096975 |
| MADH | -0.116568 | -0.174650 | -0.013192 | -0.045267 | -0.348633 | 1.000000 | 0.116960 | 0.119172 | -0.082661 | -0.035670 | -0.095392 | -0.091940 | 0.055506 | 0.040118 | -0.041483 |
| ROA | 0.026635 | 0.012842 | -0.090994 | -0.122054 | -0.244636 | 0.116960 | 1.000000 | 0.237366 | -0.034518 | 0.075479 | -0.066836 | -0.073257 | -0.011822 | 0.024087 | -0.119615 |
| NPL | 0.012348 | -0.048199 | 0.041892 | 0.004142 | -0.191513 | 0.119172 | 0.237366 | 1.000000 | -0.150655 | -0.020003 | -0.179529 | -0.168931 | 0.105464 | 0.053695 | -0.119308 |
| IRL | -0.212508 | -0.197552 | 0.334391 | 0.323795 | -0.012823 | -0.082661 | -0.034518 | -0.150655 | 1.000000 | 0.716753 | 0.935736 | 0.878847 | -0.379893 | -0.209700 | 0.548383 |
| IRM | -0.110887 | -0.105361 | 0.168618 | 0.165813 | 0.017139 | -0.035670 | 0.075479 | -0.020003 | 0.716753 | 1.000000 | 0.470720 | 0.371990 | -0.598087 | 0.352573 | 0.027740 |
| MIR | -0.225569 | -0.204070 | 0.358369 | 0.347389 | -0.021743 | -0.095392 | -0.066836 | -0.179529 | 0.935736 | 0.470720 | 1.000000 | 0.978719 | -0.165613 | -0.408077 | 0.681259 |
| NIB | -0.220364 | -0.201243 | 0.358115 | 0.347132 | -0.025976 | -0.091940 | -0.073257 | -0.168931 | 0.878847 | 0.371990 | 0.978719 | 1.000000 | -0.059654 | -0.465554 | 0.650802 |
| PBB | -0.001104 | -0.020798 | -0.017673 | -0.028884 | -0.122477 | 0.055506 | -0.011822 | 0.105464 | -0.379893 | -0.598087 | -0.165613 | -0.059654 | 1.000000 | -0.462709 | 0.212722 |
| NNP | 0.117386 | 0.111972 | -0.160324 | -0.151600 | 0.042996 | 0.040118 | 0.024087 | 0.053695 | -0.209700 | 0.352573 | -0.408077 | -0.465554 | -0.462709 | 1.000000 | -0.484607 |
| INF | -0.154824 | -0.146042 | 0.252954 | 0.234121 | -0.096975 | -0.041483 | -0.119615 | -0.119308 | 0.548383 | 0.027740 | 0.681259 | 0.650802 | 0.212722 | -0.484607 | 1.000000 |

.The correlation matrix Source author's calculations

The correlation table, we find out that liquidity indicators does not have the same strength,with all variables we have analysed. We are expecting a positive correlation of liquidity ratio L1 and independent variable, as: bank capital (0.367171), profitability (0.026635), non-performing loans (0.012348) and natyral growth of unemployment (0.117386), While negative relation is verified for inflation,(-0.154824), loans interest rate (-0.212508), Treasury Bills yield, (-0.225569), GDP (0.001104), interest rate margin (-0.110887), monegtary policy base rate (-0.225569), bank size (-0.116568). L2 ratio has a strong correlation with banking capital (0.458174),profitability (0.012842) and natural ratio of unemployment (0.111972), negative correlation with variables "size" nonperforming loans and negative with size and , nonperforming loans Also from the table we can see that the liquidity ratios L1, L2 has strong correlation – almost perfect correlation with each other, (0.974820). This shows that two ratios are evaluating the liquidity in the proper way. (this means that we will consider on our study only first two liquidity ratios L1 and L2.

## 6. Findings and conclusions

Albanian banking have faced liquidity problems, mainly from non-performing loans, delayed repayments or riclasiffication of loans accompanied with creation of provisions and other reserves of liquidity. Reserve funds on the other side are correlated with performance because of expensed used for reserves. The Central Bank of Albania is allowing the use of required reserves up to 20 % of their holdings to commercial bank accounts. The second possibility to finance liquidity deficits are Repurchase agreements, open market operations and foreign exchenge transactions.

The situation with liquidity problems because of non-performing loans, is improved and recently liquidity is turned to overfloat the demand for money from Albanian government and businesses.

Albanian researchers have been discussing the lack of alternatives offered from financial system. After more then three decades of market economy, we are still poor in different markets. These briefings reinforce the capital role on investment market and alternatives

To invest on secondary market of government securities.

The objective of this study was identification of liquidity determinants that affect Albanian banking system liquidity, as well as the size of this impact. The literature gives Three main groups of factors considering: specific banking determinants, specific factors of banking industry, and makroeconomic

determinants of liquidity. t. The previous studies explain banking liquidity as function of internal and external factors. Internal factors are related with bank accounts – explained as specific profitability factors. External factors are variables that do not deal with bank management, bur reflect the economic framework with its effects on betetr bank performance. The models are calculated on series 110 data series, using e-views, The study has shown some empiric findings: rike:

- The results has shown a positive strong correlation between bank capital and liquidity L1, L2) with statistical importance. The conclusson as result is matching expectations Përfundimi i nxjerrë si rezultat është në përputhje me pritjet e vlerësuar nga literatura e of literature studied ( Al-Khouri, 2012), (Vodova, 2011); (Chagwiza, 2014) (Tesfaye, 2012); (Belihu, 2018). (Heuvel, 2005).
- The results for a strong positive relation was explaining the correlation between independent variable ROA and elements of L1
- Other factors, taken into consideration, has shown non-important statistical impact on liquidity level. These factors are shown that bank size has a negative impact for liquidity. Other factors on our models were non-performing loans, interest rate margin, interbank market interes, Gross domestic Product, base rate of monetary policy, etc..

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# Consumer behavior towards online shopping for food products during the Covid-19 pandemic

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**Abstract:** Searching for information to better understand consumer behavior is a field of study with interest for researchers and businesses. The era in which we live in offers many opportunities for the use of technology while also enabling a change in the way products are delivered to the consumer. The purpose of this paper is to present through a literature review, the impact brought by the Covid-19 pandemic on the ability to better measure consumer behavior through online shopping.

Many consumers consider online shopping as a way of saving time in choosing and evaluating alternatives of products. This is also driven by increased internet use and increased familiarity with electronic devices. Is this behavior also observed in the case of online shopping for food products? Food products are a category of products which consumers are sensitive because they are directly related to consumer health. Online purchases of food products turned out to be a field of study where literature presents little empirical data. The Covid-19 pandemic due to closure and social distancing enabled the creation of a situation that favored online shopping. This paper aims to compare whether the presence of a global impact factor such as Covid-19 proves that online shopping will remain an important shopping alternative for the consumer. For this it should be considered by the business as a new trend of distribution channels for food products.

**Keywords**: Covid-19, food products, consumer behavior, online shopping, time saving, convenience.

## Introduction

The development of technology has brought about a change in the way people live and work. Such a change is also observed in the role of the individual as a consumer in the market. Based on statistical data, the level of internet use by consumers has increased significantly. As of January 2021, it is estimated that there are 4.66 billion internet users worldwide or 59.5% of the world's population. From this figure it is estimated that 92.6% of the population access the internet via mobile phone (Statista, 2020).

This very large number of internet users turns out to be taking advantage of this opportunity to conclude an online purchase. This results from 0.16% to 2.77% by usage platforms. From this number of visitors it results that in the third quarter of 2021 the average value of online food orders ranged from 71.75$ - 121.64$ (Statista, 2020). Taking advantage of such an opportunity to make online purchases shows that consumers are looking at it as a very good opportunity to provide the products they need. An issue of interest is to know if this opportunity is an equally good alternative for consumers to buy food products. What impact is the experience of the Covid-19 pandemic situation bringing to this market?

As the literature suggests, the increase in online sales for different products has seen an increase over time, although not uniformly for all product categories (Anesbury et al., 2016). Online shopping for food products turns out to be a relatively new environment and the result is modest compared to other product categories. Yet they experienced steady growth throughout the world (EuroMonitor International, 2020).

In terms of distribution channel, the online purchase of food has seen a huge increase since the advent of Covid-19 (EuroMonitor International, 2020). This has been driven by restrictions that governments have placed on maintaining social distance. Under these circumstances created by Covid-19, some consumers may have had a first experience with online shopping and for others it may have been a repeat experience from a longer history.

Online shopping represents a new model of shopping that deserves to be analyzed for all types of products, in order to provide a convenient distribution channel for the customer. Distributors are also interested in better understanding consumer behavior even when it comes to online grocery shopping. Through this paper it is intended to bring to attention through the literature review about the fact that: Do consumers have similar behaviors in using online shopping for food products in terms of factors that motivate them to buy online? What impact could the Covid-19 situation have had as a situational factor in promoting the use of online food purchasing channels? Should we expect this behavior to continue even after the situation has changed and the world has regained its behavioral habits?

## 2. Saving time and convenience in shopping as motivator of online shopping

Many consumers cite time savings and convenience as their main motivation for buying food products online (Morganosky and Cude, 2000). They see online shopping as a way to save time in choosing and evaluating alternatives, coupled with increased internet usage and familiarity with electronic devices. At the end of 2019 the world faced the spread of the Covid-19 virus. Until then the data in the literature regarding online shopping, which were measured under normal living conditions, focused on identifying several factors that may motivate consumers to use marketing channels to buy their products online. According to Morganosky and Cude (2000), the key factors in choosing online channels through which they can buy products: time savings and convenience in purchasing.

### 2.1. Time saving

The literature provides information about the time the consumer spends on purchases in physical stores. Results from many authors suggest that more educated and somewhat higher-income consumers may be more likely to shop online, primarily for time-saving and convenience aspects. Hence they suggest that the online environment potentially reduces the amount of time required to shop (Bellman et al., 1999; Huang and Oppewal, 2006; Morganosky and Cude, 2000; Ramus and Nielsen, 2005; Sorensen, 2009). This is also reinforced by Richmond (1996) which shows that buyers shop online to save time and have more convenience (Richmond, 1996).

Various authors acknowledge that online shopping saves time compared to shopping in physical stores as it avoids movement, parking, and communication in a physical environment. The latter is of interest as reported by Hui et, al., (2009) "*A considerable part of the time in the store does not go to the selection of goods, but is moving through the store*."

Huang and Oppewal (2006) suggest that efforts to promote online food purchases may focus just as well on communicating the time savings from online purchases rather than reducing delivery tariffs. On the other hand, Anesbury et. al., (2016) estimate that the time of choosing online shopping for food products is fast, with an average of 19 seconds. They also point out that comparing the results of this online study with those conducted in-store shows that buyers behave in a similar way across the two purchasing methods (Anesbury et. Al., 2016). Considering the data it would be an interesting look at what has happened to this factor by studying the time spent online as a result of the impact of lifestyle in quarantine or social distance conditions as a result of Covid-19 which to some extent has pushed them consumers spend more time online.

According to Alaimo et al., (2020) who have measured the impact of the time factor as a result of Covid-19, suggest that the opportunity to save time by making online purchases is high and the chances of being more satisfied are 4,011 times more than those who state that this possibility is low, keeping all other variables constant.

### 2.2. Convenience

Convenience is also a motivating factor in online shopping. According to Aylott and Mitchell (1998); Cassill et al., (1997) the convention deals with psychological cost and other forms of non-monetary costs such as time, effort, and stress.

Morganosky and Cude (2000) also noted that convention was a particularly important motive when there were limitations of the situation such as: the state of health or the presence of young children in the family. This suggests that situational factors may be important in boosting and strengthening online shopping motivations. According to Zhuang et, al., (2005) situation factors, such as physical and social surroundings, temporal perspectives and antecedent states can affect sales. As a result, the Covid-19 factor can be considered a situational factor. Factors such as: product or seller characteristics, product information but also the impact of the situation affect online shopping (Alaimo et, al., (2020).

Online shopping offers various conveniences regarding home or office shopping. Morganosky and Cude (2000) even point out that consumers order a list for a period and send it when it is complete. Thus they are able to check the recipes or shelves for the products needed during the purchase, checking the execution of the order periodically, which is impossible or difficult to do when shopping in the store.

## 3. Adopting online shopping behavior after Covid 19

Based on the consumer decision-making process, knowing the post-purchase phase is of interest to understand whether consumers will repeat the experience of the purchase or the new form of purchase. According to Oliver (1977), Expectation Confirmation Theory (ECM) is the cognitive theory that aims to explain beliefs about post-purchase, or post-adoption, satisfaction as a function of purchasing expectations and perceived performance. Lee (2010) used an extension of ECM with information systems theory that models how users accept and apply a particular technology in an empirical model to explain and predict the purpose of user continuity in online learning.

Based on this model Shang and Wu (2017) suggest that the determinants that affect the continuity of online use by users may vary between different product categories. Shang and Wu (2017) explain that among food buyers, the intention of continuation, the adoption of this purchasing model is determined by several factors, such as:

a. Perceived ease of use

b. Pleasure

c. Value for money

d. Confirmation

Among these factors, it turns out that the value for money, which is the perceived usefulness derived from a purchase through an app as a cost function, affects the intention of continuation more than all other factors. So according to Shang and Wu (2017), the link between the tendency to buy food online and the value for money is high. Cost factors in the study of Shang and Wu (2017), are those related to the change in monetary cost perceived by consumers when comparing food purchases online and in stores. Purchasing costs include both fixed and variable costs. Bell et al., (1998) identify fixed costs as travel expenses associated with going to a store plus a buyer's natural preference and loyalty to the store. Travel expenses such as: fuel cost or parking are clearly an expense that consumers would like to get rid of. So online shopping saves monetary value for the consumer and consequently affects the tendency to continue online shopping.

Retailers expect online shopping to continue after restrictions are lifted, driven by social distancing as part of a new way of shopping. In the United States, for example, Amazon is adding 100,000 new positions to its distribution network including Amazon Fresh and Whole Foods (EuroMonitor International, 2020).

Situational factors like Covid-19 can be considered as incentives to push various customers who probably would not have been involved in online shopping. This situation can also affect the reduction of frequency after changing the initial conditions. Significantly, situational factors seem to have been important factors not only in initiating but also in reducing the frequency or complete cessation of online shopping for food products, especially when the initial situation returns to normal. (Hand et al. 2009).

From a managerial perspective, discovering the importance of situational factors as incentives for consumers to start (or stop) buying food products online is important (Hand et. al., 2009). This suggests that efforts to promote online food purchases may focus just as well, if not better, on communicating the time savings earned from online purchases than on reducing delivery tariffs (Huang and Oppewal, 2006).

For food buyer groups, marketing policy strategies can focus more on increasing customer value through promotions and rewards, among other strategies by increasing perceived profitability by the consumer. On the other hand online food providers should use simple platforms in use so that the consumer is easily oriented and encouraged to look at online shopping bargaining.

## Conclusion

The level of internet use by the consumer has increased significantly. A very large number of internet users turn out to take advantage of this opportunity to conclude an online purchase. Online grocery shopping turns out to be a relatively new environment. As far as the distribution channel is concerned, online food purchases have seen a huge increase since the advent of Covid-19. Many consumers cite time savings and convenience as the main motivators for buying food products online.

The opportunity to save time by making online purchases is high and the chances of being more satisfied are greater than those who state that this opportunity is low. Value for money results as the main factor influencing the purpose of continuity.

Factors related to the change in the monetary cost perceived by consumers when comparing grocery shopping online and in stores as travel expenses associated with going to a store plus a buyer's natural preference and loyalty to the store. Travel expenses such as fuel or parking costs are clearly an expense that consumers would want to get rid of. So online shopping saves money for the consumer and therefore influences the tendency to continue them. Online food providers need to focus on improving factors that save time and increase consumer convenience so that online shopping is an alternative to securing products.

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# Valuation of the largest chain of restaurants in Bulgaria "Happy Bar & Grill" by DCF and Guideline publicly traded company methods

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**Abstract:** This article presents the business evaluation methodology and results for the largest restaurant chain in Bulgaria "Happy Bar & Grill" in conditions of COVID 19 pandemic. The approaches that are used and applied in business evaluation in the entertainment and restaurant business by experts in developed economic countries are often inapplicable in Bulgaria, for reasons discussed below. The method of discounted cash flows and the Guideline publicly traded company method are used. They are applicable in the Bulgarian conditions when evaluating existing restaurants and may reflect the effect of the COVID-19 pandemic.

**Key words:** business valuation, restaurant chain, guideline publicly traded company method, method of discounted future cash flows.

## 1. Introduction

Evaluating investments in the restaurant sector poses serious challenges to the scientific community and corporate management. The approaches used and applied in business valuation in the entertainment and restaurant business by experts in developed economic countries are often inapplicable in Bulgaria. The main reasons can be summarized as follows:

- the lack of reliable accounting data;
- the lack of a developed capital market;
- the lack of reliable and detailed historical data;
- observed significant heterogeneity and specificity in the business models (family restaurants, gourmet restaurants, franchise chains, specialized restaurants, luxury restaurants, part of a hotel complex, international chains, resort, seasonal, etc.);
- high degree of business risk (additionally in conditions of COVID 19 pandemic)

The purpose of this manuscript is to evaluate the largest chain of restaurants in Bulgaria. Currently, this is "Happy Bar & Grill", established in 1994 and originally emerged as a family restaurant in Varna. Today, Happy Bar & Grill is an international restaurant chain in three European countries, continuing to grow. Currently, the chain includes: 23 restaurants in Bulgaria, 3 in Spain and 1 in England.

The selected restaurant chain - "Happy Bar & Grill" will be evaluated by two different modern methods, which are applicable in Bulgarian conditions in the evaluation of existing restaurants and reflect the effect of the COVID-19 pandemic. The reasons for choosing these two methods can be summarized in:

The Guideline publicly traded company method is mandatory for the United States and most Anglo-Saxon countries and is used by investment bankers to verify the results obtained using the discounted cash flow method.[1].

A significant number of financial authorities define the discounted cash flow method as “fundamentally sound and widely accepted as the most accurate valuation method. The DCF method is evolving as the

[1] Kasarova V., Business Valuation, Manuscript deposited in CNTB №168 / 2008, p. 92

best practice for valuing the assets of economic operators in the 1970s, and gradually one of its versions has become the standard. "[2].

In addition, the selection criteria for the two methods mentioned above stem from the following considerations:

- availability of relevant financial and statistical data;
- applicability in the Bulgarian economic conditions;
- calculation of the effect of the COVID-19 pandemic and the subsequent lockdown.
- used on various business valuation algorithms;
- recommendations of modern leading experts in the field of investment valuations.

## 2. Data and methodology

Guideline publicly traded company method is classified in the group of market approach and is considered suitable for business valuation of structures in the restaurant business.This method is based on the idea that a firm can be valued using financial data about its competitors, called analogues. The business valuation of the valued company is determined on the basis of official public data for joint stock companies similar to the valued company. Table 1 presents stock exchange data for six US restaurant chains that were used as analogues.

Table 1: Stock market data for restaurant chains used as analogues3

| An analog company | Share price | Market capitalization | Company value (EV) |
|---|---|---|---|
| | *($ / share)* | *($ million)* | *($ million)* |
| Fiesta Restaurant Group, Inc. | 12,48 | 321,936 | 380,094 |
| Carrols Restaurant Group, Inc. | 6,85 | 356,827 | 1 077,381 |
| J. Alexander's Holdings, Inc. | 7,10 | 106,998 | 241,827 |
| Nathan's Famous, Inc. | 59,68 | 245,044 | -70,285 |
| Ruth's Hospitality Group, Inc. | 16,28 | 561,885 | 246,723 |
| BJ's Restaurants, Inc. | 32,66 | 723,511 | 701,18 |

The servers of the world's largest electronic exchange NASDAQ and one of the largest web service providers YAHOO were used as the primary sources of stock exchange and financial data. The selected comparable joint stock companies are selected on the basis of a number of criteria such as: economic sector, asset size, asset growth, key financial indicators, business structure and etc.

Table 2: Financial data for a chain of American restaurants as of 12.2019, used as analogues[4]

| An analog company | sales revenue | normalized EBITDA | gross profit | normalized net profit |
|---|---|---|---|---|
| | *($ million)* | *($ million)* | *($ million)* | *($ million)* |
| Fiesta Restaurant Group, Inc. | 660,943 | 49,06 | 226,507 | -13,502 |
| Carrols Restaurant Group, Inc. | 1 462,765 | 69,495 | 545,518 | -23,939 |
| J. Alexander's Holdings, Inc. | 247,269 | 22,366 | 91,026 | 9,913 |

[2]Luehrman, T. What is it worth: A general manager's guide to valuation. Harvard business review, 1997 p. 139

[3] www.nasdaq.com/market-activity/stocks

[4] https://finance.yahoo.com/quote

| | | | | |
|---|---|---|---|---|
| Nathan's Famous, Inc. | 101,849 | 30,237 | 43,039 | 13,323 |
| Ruth's Hospitality Group, Inc. | 468,026 | 73,93 | 125,714 | 42,206 |
| BJ's Restaurants, Inc. | 1161,45 | 128,849 | 185,688 | 49,011 |

The method of public market comparisonsrelies on business valuation based on market multipliers calculated from a certain sample of similar comparable publicly traded companies in the respective sector. Market multipliers are obtained as the ratio between the Enterprise value of an analogous company (EV) to a certain financial indicator (EBITDA, sales, gross revenue, gross profit, etc.), ie. each market multiplier is determined by the following formula:

$$\text{Market multiplier} = \frac{\text{Enterprise value of an analog}}{\text{financial indicator}}$$

**Discounted future cash flow method**, as mentioned earlier, has become a mandatory standard in the valuation practice of most countries in its version that the value of a business object is equal to the expected future cash flows, discounted to the present value through WACC or the CAPM model.[5].

The leverage method will be used in the evaluation of "Happy Bar & Grill". The reasons for this choice is that it is the only possible application in the evaluation of the restaurant business in Bulgaria, because there are no restaurants listed on the stock exchange. The basic idea with this version of the DCF model is that the value of a business is entirely a function of its future cash flows. Thus, the first challenge in building a DCF model is to predict the future cash flows business is generating.

Accurate forecasting for the next few years is a challenge for academics, and different forecasting approaches are currently used in financial practice, depending on the specific behavior of the timeline.

Table 3 shows the set forecast values as a percentage of the total gross sales revenue for 2019.

Table 3: Forecasting income and expenditure cash flows

| **Gross revenue by category:** | **2020** | **2021** | **2022** | **2023** | **2024** |
|---|---|---|---|---|---|
| sales from restaurants: | 65% | 68% | 105% | 103% | 103% |
| food for home | 203% | 215% | 85% | 108% | 108% |
| revenue from franchise agreements: | 100% | 100% | 100% | 103% | 103% |
| sales for institutions: | 246% | 258% | 90% | 107% | 107% |
| commission from other products: | 87% | 87% | 92% | 103% | 103% |
| **Costs by category:** | | | | | |
| total commissions: | 0.39% | 0.40% | 0.43% | 0.43% | 0.43% |
| fees and refunds | 0.40% | 0.40% | 0.40% | 0.40% | 0.40% |
| operating costs: | 84,07% | 87,04% | 84,07% | 87,04% | 84,07% |
| Impairment and depreciation: | 11.37% | 11.37% | 11.37% | 11.37% | 11.37% |

In this case, due to the crisis in the restaurant sector caused by Covid 19, there is no typical trend model, but a sharp decline in income is expected for 2020, to a lesser extent in 2021 and recovery and growth over the next three years. For these reasons, a hybrid approach between sales percentage and expert evaluation was chosen as the forecasting method.

Table 4 shows the specific estimates for expected revenues and expenditures for the next five years.

[5]Luehrman T., What is it worth: A general manager guide s guide to valuation. Harvard business review ,. May / June 1997 p.132-142

Table 4: Estimated values of income and expenditure cash flows in thousand BGN

| **Gross revenue by category:** | **Average values for the last 5 years** | **2020** | **2021** | **2022** | **2023** | **2024** |
|---|---|---|---|---|---|---|
| sales from restaurants: | 112483,637 | 77 920,458 | 81 516,787 | 125 871,509 | 123 659,619 | 123 659,619 |
| food for home | 119,683 | 296,596 | 314,129 | 124,191 | 157,883 | 157,883 |
| revenue from franchise agreements: | 639,062 | 690,826 | 690,826 | 690,826 | 711,778 | 711,778 |
| sales for institutions: | 552,381 | 1 587,391 | 1 664,824 | 580,753 | 693,588 | 693,588 |
| commission from other products: | 136,487 | 126,566 | 126,566 | 133,840 | 149,518 | 149,518 |
| **Total gross income** | **113931,2488** | **80621,837** | **84313,133** | **127401,119** | **125372,386** | **125372,386** |

Calculating free cash flow without leverage (UFCF) is the next step in the discounted cash flow model.

Table 5: Estimated values of the income statement in thousand BGN

| **forecast indicator** | **average values for the last 5 years** | **2020** | **2021** | **2022** | **2023** | **2024** |
|---|---|---|---|---|---|---|
| gross profit: | 13 825,036 | 12 209,684 | 10 249,755 | 19 243,160 | 15 203,622 | 18 936,732 |
| Impairment and depreciation: | 12 950,738 | 9 164,407 | 9 584,002 | 14 481,879 | 14 251,270 | 14 251,270 |
| **EBITDA** | **26 775,774** | **21 374,091** | **19 833,756** | **33 725,038** | **29 454,892** | **33 188,001** |
| EBIT | 13 825,036 | 12 209,684 | 10 249,755 | 19 243,160 | 15 203,622 | 18 936,732 |
| Income tax | 10% | 10% | 10% | 10% | 10% | 10% |
| EBIT (1-t) | 12 442,532 | 10 988,716 | 9 224,779 | 17 318,844 | 13 683,260 | 17 043,059 |
| D&A | 12 950,738 | 9 164,407 | 9 584,002 | 14 481,879 | 14 251,270 | 14 251,270 |
| NWC | 12 328,652 | 11 767,294 | 12 041,360 | 12 321,955 | 12 609,246 | 12 903,405 |
| capital expenditures | 719,412 | 685,916 | 702,258 | 718,990 | 736,148 | 753,746 |
| **free cash flow without leverage (UFCF)** | **12 345,207** | **7 699,912** | **6 065,163** | **18 759,777** | **14 589,135** | **17 637,178** |
| % discount (WACC) | | 24,94% | 24,94% | 24,94% | 24,94% | 24,94% |
| PV of UFCFs | | 6 162,805 | 3 885,329 | 9 618,463 | 5 986,876 | 5 792,852 |

Table 6 presents the key indicators for the corporate management of Happy Bar & Grill "based on financial analysis" for the period 2020 - 2024.

Table 6: Financial analysis of main forecast indicators

| **forecast indicator** | **average values for the last 5 years** | **2020** | **2021** | **2022** | **2023** | **2024** |
|---|---|---|---|---|---|---|
| change in gross revenue: | **3.18%** | -33.6% | 4.6% | 51.1% | -1.6% | 0.0% |
| operating margin: | **12.05%** | 15.1% | 12.2% | 15.1% | 12.1% | 15.1% |
| EBITDA margin: | **23,43%** | 26.5% | 23.5% | 26.5% | 23.5% | 26.5% |
| net margin: | **10.85%** | 13.6% | 10.9% | 13.6% | 10.9% | 13.6% |

The financial analysis of the forecast indicators shows that as a result of the introduced lockdown a decline in gross revenues is expected by a total of 33.6% in 2020 and followed by a slow recovery of 4.6% in 2021.

## 3. Results

Table 7 presents the calculated market multipliers EV/Sales, EV/EBITDA, EV/GP and P/E for each of the sampled analog companies. In order to analyze and increase the accuracy of the model for each market multiplier, certain indicators of descriptive statistics are calculated.

Table 7: Calculation of market multipliers

| An analog company | EV / Sales | EV / EBITDA | EV / GP | P / E |
|---|---|---|---|---|
| Fiesta Restaurant Group, Inc. | 0.57508x | 7.74753x | 1,67807x | -23.84358x |
| Carrols Restaurant Group, Inc. | 0.73654x | 15,50300x | 1.97497x | -14,90568x |
| J. Alexander's Holdings, Inc. | 0.97799x | 10,81226x | 2.65668x | 10,79371x |
| Nathan's Famous, Inc. | -0.69009x | -2,32447x | -1.63305x | 18,39255x |
| Ruth's Hospitality Group, Inc. | 0.52716x | 3,33725x | 1.96257x | 13,31292x |
| BJ's Restaurants, Inc. | 0.60371x | 5,44187x | 3,77612x | 14,76222x |
| **Max** | **0.97799x** | **15,50300x** | **3,77612x** | **18,39255x** |
| **75th centile** | **0.70333x** | **10.04608x** | **2,48625x** | **14,39989x** |
| **arithmetic mean** | **0.55146x** | **6,75291x** | **1,73589x** | **3,08536x** |
| **median** | **0.58939x** | **6,59470x** | **1.96877x** | **12,05331x** |
| **25th centile** | **0.53914x** | **3.86341x** | **1,74919x** | **-8,48083x** |
| **Min** | **-0.69009x** | **-2,32447x** | **-1.63305x** | **-23.84358x** |

The applied discount rates for liquidity, which are used in developed economic countries in business valuation of private non-joint-stock companies (which are 100% of the restaurants in Bulgaria) usually vary between 20 - 30%, but in our conditions would sometimes be appropriate and more -high values. Lack of liquidity can reduce the value of private companies by as much as 50%, as there is no criterion for daily evaluation, similar to publicly traded companies on the relevant stock exchange. There are many factors that go into determining the discount rate used to adjust liquidity risk. In this case, the criteria used are: asset size, operating history, revenue quality, product business mix, form of management, business organization, business risks and more.

Table 8 presents the adjusted market multipliers with a selected liquidity discount rate of 30%.

Table 8: Discounting of market multipliers with the liquidity percentage

| discount% for liquidity | EV / Sales | EV / EBITDA | EV / GP | P / E |
|---|---|---|---|---|
| 30% | 0.40255x | 5,42327x | 1,17465x | -16.69051x |
| 30% | 0.51558x | 10,85210x | 1,38248x | -10.43397x |
| 30% | 0.68459x | 7,56858x | 1,85968x | 7,55559x |
| 30% | -0.48306x | -1,62713x | -1.14314x | 12,87479x |
| 30% | 0.36901x | 2.33608x | 1,37380x | 9,31904x |
| 30% | 0.42260x | 3,80931x | 2,64328x | 10,33355x |
| **Max** | **0.68459x** | **10,85210x** | **2,64328x** | **12,87479x** |
| **75th centile** | **0.49233x** | **7,03225x** | **1,74038x** | **10.07992x** |
| **Average** | **0.31854x** | **4.72704x** | **1,21512x** | **2,15975x** |
| **Median** | **0.41258x** | **4,61629x** | **1,37814x** | **8,43732x** |
| **25th centile** | **0.37740x** | **2,70438x** | **1,22444x** | **-5.93658x** |
| **Min** | **-0.48306x** | **-1,62713x** | **-1.14314x** | **-16.69051x** |

When using foreign analogue companies, the calculated market multipliers need to be adjusted with an indicator reflecting the difference in political risk between the two countries. Political risk is assessed by credit rating agencies specializing in risk companies and others. Different companies calculating political risk use different approaches and scales to scale the risk.

Table 9 presents Bulgaria's assessment of the political risk at the end of 2020 made by the international company MARSH, which specializes in measuring global risks.

Table 9: Bulgaria political risk by components[6]

| **Political risk index:** | **64.40** |
|---|---|
| Operational risk index | 61.8 |
| Long-term political risk index | 72 |
| Short-term political risk index | 65.2 |
| Long-term economic risk index | 64.1 |
| Short-term economic risk index | 61.5 |

Table 10 presents the US assessment of the political risk at the end of 2020 made by MARSH.

Table 10: US political risk by components[7]

| **Political risk index** | **77.6** |
|---|---|
| Operational risk index | 77.9 |
| Long-term political risk index | 82.6 |
| Short-term political risk index | 80 |
| Long-term economic risk index | 78.9 |
| Short-term economic risk index | 68.5 |

The political risk adjustment is calculated as the ratio between the political risk index in the United States and the political risk index in Bulgaria, ie. 77.6: 64.40 = 1.204968944.

Table 11 presents the adjusted market multipliers with the political risk differential in both countries.

Table 11: Adjustment of market multipliers with political risk

| **Political risk adjustment** | **EV / Sales** | **EV / EBITDA** | **EV / GP** | **P/E** |
|---|---|---|---|---|
| **1,204968944** | 0.33408x | 4,50076x | 0.97484x | -13,85140x |
| **1,204968944** | 0.42788x | 9,00612x | 1,14731x | -8.65912x |
| **1,204968944** | 0.56814x | 6,28114x | 1,54334x | 6,27036x |
| **1,204968944** | -0.40089x | -1,35035x | -0.94869x | 10,68475x |
| **1,204968944** | 0.30624x | 1,93870x | 1,14011x | 7.73384x |
| **1,204968944** | 0.35071x | 3,16134x | 2,19365x | 8,57578x |
| **Max** | **0.56814x** | **9,00612x** | **2,19365x** | **10,68475x** |
| **75th centile** | **0.40858x** | **5.83605x** | **1,44433x** | **8,36530x** |
| **Average** | **0.26436x** | **3,92295x** | **1,00843x** | **1,79237x** |
| **Median** | **0.34240x** | **3.83105x** | **1,14371x** | **7,00210x** |
| **25th centile** | **0.31320x** | **2,24436x** | **1,01616x** | **-4.92675x** |
| **Min** | **-0.40089x** | **-1,35035x** | **-0.94869x** | **-13,85140x** |

[6] www.marsh.com/us/insights/research/political-risk-map-2020.htm

[7] there again

The next step in the market multiplier method algorithm requires calculating the firm's market value according to each of the multipliers used.

EV = Sales * EV / S = 121 505,319 thousand BGN * 0,342 = 41 602,903 thousand BGN

EV = Sales * EV / EBITDA = 31763,676 * 3,831 = 121 688,135 thousand BGN.

EV = Sales * EV / GP = 18424,45896 * 1,144 = 21,072,312 thousand BGN

The valuation of "Happy Bar & Grill" according to the method of public market comparisons amounts to:

$$EV = \frac{[41\,602{,}903 + 121\,688{,}135 + 21\,072{,}312\,]}{3} = 61\,454{,}450\ thousand\ BGN$$

The main disadvantage of this method of business valuation is that there is a subjective difficulty in determining the correct market analogues of joint stock companies. It is very rare to find two identical private companies and this requires experience and routine from the analyst performing the assessment.

**Discounted future cash flow method**

The next step of the DCF model is to determine the appropriate discount rate. In "Happy Bar & Grill" evaluatuation will be used as a discount rate the weighted average cost of capital (WACC) of the firm. The reason for this decision is that it is difficult to apply the CAMP model, because although the sole proprietorship "Happy Bar & Grill" is not listed on the stock exchange.

WACC for companies that are not listed on stock exchanges, accepting only debt and equity is as follows:

**WACC = (Re × We) + (Rd × [1 - tax] × Wd)**where:

WACC is the weighted average cost of capital;

Re - the costs for SC in percentage;

We - the weight of SC in the capital structure of the business;

Rd - the percentage of external debt costs;

Wd - the weight of long-term debt in the capital structure of the enterprise;

tax - the amount of the marginal corporate tax.

The percentage cost of SC is apt to be calculated as the return on equity (ROE) or in this case Re is found as:

$$\boldsymbol{Re = \frac{ANP}{AE}.100 = \frac{12\,442{,}532}{32\,136{,}944}.100 = 38{,}72\%,,}$$

where: ANP is the average net profit for the last 5 years;

AE is the average value of SC for the last 5 years.

The weight of SC in the capital structure of the company is found as the ratio of the average value of SC (AE) for the last five years to the average balance number - AA (average value of assets / liabilities) for the last five years, ie.

$$\boldsymbol{We = \frac{AE}{AA}.100 = \frac{32\,136{,}944}{82\,871{,}783}.100 = 38{,}779\%.}$$

The value of external debt costs as a percentage is calculated as the ratio of the average value of financial costs (AFC) to the average value of long-term liabilities (ALL) or

$$\boldsymbol{Rd = \frac{AFC}{ALL}.100 = \frac{4419{,}249}{24527{,}405}.100 = 18{,}02\%.}$$

The weight of the long-term debt (Wd) in the capital structure of the company was found by subtracting the weight of SC from 100% of the value of all liabilities, ie. 100% - 38.78% = 61.22%.

We already have data to calculate the weighted average cost of capital, which is calculated according to the formula referred to above:

**WACC = (Re × We) + (Rd × [1 - tax] × Wd) =**

**= (38.72% × 38.78%) + (18.02% × [1 - 10%] × 61.22%) = 24.94%**

This is the percentage they will be discounted the expected income from the future activity of"Happy Bar & Grill".

The next step is to find the present value of leverage-free cash flows (PVCF). As explained in more detail in Chapter Two, it is calculated by the following formula:

$$PVCF = \frac{UFCF_1}{(1+WACC)^1} + \frac{UFCF_2}{(1+WACC)^2} + \frac{UFCF_3}{(1+WACC)^3} + \cdots \frac{UFCF_n}{(1+WACC)^n}$$

or specifically for "Happy Bar & Grill" you get:

$$PVCF = \frac{7\,699{,}912}{(1+0{,}2494)^1} + \frac{6\,065{,}163}{(1+0{,}2494)^2} + \frac{18\,759{,}777}{(1+0{,}2494)^3} + \frac{14\,589{,}135}{(1+0{,}2494)^4} + \frac{17\,637{,}178}{(1+0{,}2494)^5} = 31\,446{,}326 \text{ хил. лв}$$

The next step in the algorithm of the DCF model is to find the terminal value of the enterprise (TV). It can be determined by several different methods, the final business valuation of which should not differ widely. In this case, Gordon's model for increasing perpetuate and initial pricing through a market multiplier will be used.

First the business value of "Happy Bar & Grill" will be calculated by Gordon's model of growing perpetuality. The formula is as follows:

$$TV = \frac{UFCF_n(1+g)}{WACC - g}$$

Before substituting in the formula it is necessary to calculate the projected growth ($g$) of free cash flows without leverage on an annual basis. Specifically in this case the projected growth of $UFCF$ is defined as the average growth rate of gross income and calculated at 3.18% on an annual basis

From here for the terminal value of "Happy Bar & Grill" we get:

$TV = \frac{17\,637{,}178\ (1+0{,}0318)}{0{,}2494-0{,}0318}$ = 27,464,753 thousand BGN

The enterprise value (EV) of "Happy Bar & Grill" calculated using Gordon's model will be equal to the sum of the present value of free cash flows without leverage (PVCF) and the present value of the terminal value of the enterprise (PVTV) or:

EV = PVCF + PVTV = PVCF + $\frac{\text{TV}}{(1+\text{WACC})^{\text{n}}}$

31 446,326 + 27 464,753 = 58,911,079 thousand BGN

If we use the method of initial pricing by market multiplier, the terminal value will be equal to the estimated value of EBITDA for the fifth year multiplied by the market multiplier EV / EBITDA or:

TV = EBITDA * EV / EBITDA = 33 188,001 * 2,736 = 90,817,638 thousand BGN

Accordingly, the current value of the terminal value will be: =

$$PVTV = \frac{TV}{(1+WACC)^n} \frac{90\,817{,}638}{(1+1+0{,}2494)^5} =$$ 29,828,648 thousand BGN

EV = PVCF + PVTV = 31 446,326 + 29 828,648 = 61,274,974 thousand BGN

## 4. Conclusion

The main problems that prevent the effective application of modern precise methods of business valuation in the restaurant sector in Bulgaria are related to the lack of reliable accounting data, the lack of developed capital market, the lack of reliable and detailed public statistics and the public traded companies in the sector.

In terms of business valuation using the DCF method, accurate forecasting for the next few years is key to accuracy and a challenge for academia. Currently, different approaches are used in financial practice to forecast key variables depending on the specific behavior of the timeline, which are not applicable in the event of catastrophic events such as Covid 19. From the point of view of business objectivity, it is important to combine income methods with those from the market approach group.

The present study could serve as a basis for creating a methodology and recommendations for business evaluating in the entertainment and restaurant sector in Bulgaria.

In summary, a reliable investment assessment combined with an accurate quantitative assessment of business risk in the restaurant business in Bulgaria can help increase investment interest, improve financial management and significantly reduce the bankruptcies of companies in the sector.

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# Entrepreneurship in times of Covid-19. Which are the relevant challenges and opportunities? The case of Greece

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**Abstract:** This paper aims to give an account of the situation during the first nationwide lockdown against the Covid-19 lockdown which occurred in Greece from March till May 2020. The paper builds on the insights acquired from entrepreneurs of SMEs in Northern Greece concerning the impacts on their entrepreneurship activities. Impacts are examined for both women and men entrepreneurs. Also, entrepreneurs' views regarding their outlook beyond the lockdown concerning job creation and entrepreneurship opportunities. The study's findings focus on possible long-term trends for the post-Covid economy concerning an expected increased awareness of personal wellbeing and business resilience and the perceived consequences.

**Keywords:** nationwide lockdown against the Covid-19 lockdown, entrepreneurs, SMEs, Post-COVID economy, IPA.

## Introduction

The COVID-19 lockdown poses major challenges for people, governments and institutions around the world. But despite all the privations and losses, the COVID-19 crisis also offers the opportunity to look at the global and almost simultaneous experiences with the lockdown together and to develop solutions for the future.

## The COVID-19 crisis as a catalyst

The COVID-19 crisis could be a catalyst for a development that was already triggered by the economic and financial crisis and the changes in the world of work associated with digitization. Suddenly the economy came to a standstill, and theoretical questions about the future turned into practical and urgent challenges. If we wish to be serious about the fact that economic globalization in the sense of sustainable economic growth must be followed by social globalization, and if we have recognized that viruses and financial or social upheavals do not stop at borders, then now is the time to harness the momentum generated by the COVID-19 lockdown.

## Greek economy in times of the pandemic of COVID-19

The Greek economy, despite the long period of adjustment it suffered in the 10-year crisis, failed to solve its structural pathogens. Greece's economic model remained weak, creating negative expectations about the effects the pandemic would have on the domestic economy. Greece's heavy dependence on tourism and catering made the economy particularly vulnerable to the pandemic which directly and drastically affected these sectors. At the same time, a significant structural weakness is the high consumption as a percentage of GDP that over time exceeds the European average by at least 20 percentage points.

The Greek economy, despite the long period of adjustment it suffered in the 10-year crisis, failed to solve its structural pathogens. Greece's economic model remained weak, creating negative expectations about the effects the pandemic would have on the domestic economy. At the same time, the Greek economy is characterized by a low degree of digitization both in terms of the state and companies. According to the Digital Economy and Society Index (DESI), Greece ranks second to last (27th) (European Commission, 2021) among EU countries, reflecting the low level of use of broader technology solutions and especially the low penetration of e-commerce and e-banking that was a trend before the pandemic. In addition, the small size of Greek companies traps them in a

regime of low productivity and introversion and significantly limits their ability to raise liquidity, invest and innovate. These inherent characteristics, which over time have been an obstacle to the growth of entrepreneurship, have heightened concerns about the impact that the economy as a whole would receive due to the pandemic (ΕΛ.ΣΤΑΤ., 2021).

The outbreak of the pandemic brought to the surface again the structural weaknesses of the Greek economy, such as the great dependence on the service sector and especially the sectors of tourism and catering. The Greek economy in order to stand on its own two feet is called upon to build a new productive model with stronger foundations, proceeding with changes in its productive base. In this direction, the country should focus on strengthening industries that are more resilient to cyclical changes in the economy, such as manufacturing. The low level of investment during the crisis years, especially in the fields of technological upgrading and research & development, as well as the orientation of Greek companies in the domestic market, limit their ability to compete internationally. The increase of the added value of the Greek products, through the innovation and the emphasis on the connection with the identity of the country (branding) is the capable and necessary condition for the strengthening of the international competitiveness and the increase of the Greek exports. The Greek tourist product is characterized by massiveness and seasonality as the tourist flows are particularly dense at certain time of the year. Greece is called upon to upgrade its tourism product by investing in less seasonal and more quality forms of tourism, such as conference and medical tourism.

## Tools and Methods

The sample consisted of 190 men and women entrepreneurs who responded willingly to a questionnaire distributed through the Google Forms software. From the analysis of the questionnaire. The entrepreneurs were based in the Attiki prefecture or outside of it. The data acquired were analyzed by the researchers.

## Findings

### How entrepreneurs were affected by the lockdown

A staggering 70 per cent of entrepreneurs report that the very existence of their business was under threat due to a significant decrease in trading activities. This means that in our sample alone, the jobs of 133 entrepreneurs and their 495 employees are at risk. Entrepreneurs frequently struggled with cancelled or postponed orders, receiving payments, found it challenging to pay suppliers and their business's running costs. So far only a minority (9 per cent) of SME employers were forced to lay off staff. The COVID-19 virus Job Retention Scheme launched by the government temporarily helped mitigate job losses in three out of four (about 75 per cent) of SME employers in our sample having applied for it. Companies established after 2019 could not benefit from the Scheme as they could not demonstrate a two-year-plus revenue track record.

### How entrepreneurs reacted to the lockdown

Entrepreneurs are known for their agility and this was confirmed during the Covid-19 lockdown: 63 per cent of entrepreneurs who participated in this study adapted their plans for the business (about half by Mid-March). Nearly five out of six of entrepreneurs applied for government support. Almost one third of the entrepreneurs were able to capture new business opportunities during the lockdown by developing new products and services (mainly in the online market), others reviewed business practices or repositioned their businesses entirely. Many entrepreneurs boosred existing digital and online capabilities; others started to cater for the healthcare COVID related market of masks, disinfectans, sanitizing liquids, etc.

Given how entrepreneurs and their businesses are intertwined, the strain the lockdown had on their businesses considerably impacted entrepreneurs' mental wellbeing. Their life satisfaction and perceived stress worsened during the crisis. Many entrepreneurs started working from home with over two in three working solely from home or working more from home. In combination with childcare (due to schools and nurseries being closed), this added pressure to over three in five of the respondents. Even though for most the survival of their business was at stake, one in three

volunteered their personal time, and about half of entrepreneurs volunteered their business' services/products for good causes (helping other businesses, charities, or public workers).

**Long-term opportunities and realities**

Entrepreneurs looked to the future with confidence with nearly half of them seeing their business surviving the crisis eventually and one in three expecting their business to be even larger than pre-lockdown. Fifty per cent of entrepreneurs expected to add employees to their business over the next five years. Past research indicates that such expectations are a good predictor of employment growth over time. Entrepreneurs also anticipated an acceleration of their existing business, often tied to online services. Many expect cost savings due to increased remote working, others are reviewing their business offerings and the business model itself. Many see opportunities related to a shift in customer behaviours due to the lockdown. Despite this optimism, many entrepreneurs are in a precarious position : only one third were planning for the next 12 months and almost half of them predicted that they would run out of money within the next 12 months if the current situation continued. Regarding the impacts on women and men entrepreneurs, there were few pre-crisis differences in the businesses led by women and men, the former tended to be somewhat smaller, though of similar age and profitability. Women-led businesses were impacted less adversely than those of men with 65 per cent (vs. 70 per cent) seeing their businesses experiencing lower trading volume. While their perception of the long-term positive effects of the lockdown was similar to men's; women perceived fewer long-term opportunities and were less likely to expect their businesses to grow post lockdown. With respect to wellbeing, men and women entrepreneurs experienced similar drops in life satisfaction. Yet women entrepreneurs experienced less stress – likely due to their businesses being less adversely affected. Women more so then men entrepreneurs volunteered their business' offerings to support charities (50 vs. 42 per cent for men) or good causes. Entrepreneurs of businesses based in and outside of Attiki vs. outside of Attiki had more employees, were younger and less likely to be profitable although they had been similar in size before the lockdown. Attiki-based entrepreneurs saw a greater reduction of trading than entrepreneurs residing in the rest of the country. Yet, all entrepreneurs shared a similarly optimistic outlook in the short and long-term. Attiki - based entrepreneurs even tended to expect more net job growth over the next five years. The life satisfaction of entrepreneurs outside of Attiki suffered less than that of the Attiki-based entrepreneurs. Nevertheless, all entrepreneurs experienced increases in stress. Working from home is a new feature for many Attiki-based entrepreneurs – while entrepreneurs outside of Attiki were mostly not obliged to work from home.

## Conclusion

The unifying element that all society is confronted with which is the same problems in the described subject areas at the same time and the fact that we have taken amazingly consistent measures in the most varied of countries, should now be used to jointly develop effective and accepted solutions for the future across borders. The chance for such solutions to be accepted has seldom been better. Because there is hardly any room for instruction, there is no information or experience advantage. The COVID-19 crisis also opens up the opportunity to overcome the consideration of economic development. Various studies show how, for example, accident insurance benefits in the form of prevention and professional reintegration can contribute to sustainable economic growth, which in turn has an impact on the financial stability and performance of the social systems (International Social Security Association, 2017).

In this context, our study paints a picture of short- and long-term opportunities but also vulnerability of SMEs and entrepreneurs in the Covid-19 lockdown. Many face real challenges to sustain their business going forward. Building on the insights from the study we reflect on five trends for the post-Covid economy and on targeted support measures to help Greek SMEs thrive.

Two cross-cutting general trends relate to (1) Personal resilience: an increased awareness of mental wellbeing, both for entrepreneurs and staff (eg related to increased working from home), and as a business opportunity, and (2) Business resilience including developing capabilities to be agile and most of all to spot and exploit new opportunities.

Three specific trends concern (a) Accelerated digitalization; (b) A move from global to local supply chains, and (c) Inclusive and social business models. Greek SMEs and entrepreneurs hold much potential to help rebuild a better, more inclusive and greener post-Covid Greek economy. In all of these trends the state is more than evidently absent, nevertheless, urgently needed. Further study is needed to investigate the ways that the state could be an active agent in the process of the post-COVID era.

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# Definition Of Innovation – A Quantitative Research

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**Abstract:** The main objective of this paper is to show the importance of properly defining the term "innovation". The underlying cause of the problem lies in the definition of "technology management" and "technology" itself. There are two types of these definitions: the narrow and the broad types. The narrow ones only refer to the forprofit, the business sector, while the broad ones refer to any kind of organizations, including forprofit, nonprofit and governmental organizations. According to the latest studies, the broad types of definitions are recommended. This is important because by narrowing down the scope of the definitions suggests that the nonprofits and governmental organizations do not have to be interested in the management of technology and innovation, but evidently, they use technologies; therefore, they have to manage it and be aware of how to innovate.

This paper shows quantitative research on how different authors use and define "innovation". The search terms were "innovation, definition" in the Scopus database, in the subject area of Business, Management and Accounting, limited to articles and the keywords Innovation. The number of the articles in question was 329. Amongst these relevant were 195, used the concept of innovation in a broad sense 62, what is 31,8%, and used it in narrowed sense 133, what is 68,2%. Our study recommends using the broad type when defining management of technology and defining innovation.

**Keywords:** innovation; strategic management; management of technology

## 1. INTRODUCTION

Several definitions of 'technology' and 'technology management' have been published. These definitions sometimes mean different things. In this study, we are focusing on the different scope of these definitions. There are narrow and broad scoped definitions: the narrow ones are referring only for the business sector, while the broad ones are focusing on every kind of organization, including governmental and nonprofit organizations. This dichotomy is also standing for the definitions of innovation.

This research area has two levels:

- a theoretical-conceptual level,
- and a methodological, related to tools and techniques.

This study refers to the theoretical-conceptual level of the problem, added with qualitative research. Our aim is not to cite as many definitions as we can, but to show the typical examples of it and then expound the quantitative analysis on the definitions of innovation in the literature.

## 2. DIFFERENT TYPE OF THE DEFINITIONS

### 2.1 Different type of 'technology' definitions

There are several definitions for 'technology'. A few of them refer to any kind of organization; most of them consider only the business sector. Let us cite some examples!

"Technology can be described in different ways:

Technology is the means for accomplishing a task—it includes whatever is needed to convert resources into products or services.

Technology includes the knowledge and resources that are required to achieve an objective.

Technology is the body of scientific and engineering knowledge which can be applied in the design of products and/or processes or in the search for new knowledge." (Gaynor, 1996)

"Technology refers to the theoretical and practical knowledge, skills, and artifacts that can be used to develop products and services as well as their production and delivery systems. Technology can be embodied in people, materials, cognitive and physical processes, plant, equipment, and tools." (Burgelman, Christensen, Wheelwright, 2008)

"… the role of technology is taken to be the application of scientific knowledge for the generation of improvements in, and benefits from, the societal subsystems, individually and collectively." (Lock, 1975)

These definitions above mean quite different things, but they have the same scope: these definitions all refer to any organization; the scope is not being narrowed down only for the business sector.

The following examples have a narrowed business scope:

"By technology I mean several things. In some cases it's a specific process that produces a specific product. In this case it's hard to distinguish the product from the technology. More broadly, technology can mean a manufacturing process. [...] We can think of technology even more broadly as the way a company does business or attempts a task." (Foster, 1986)

The next definition starts with a broad scope then narrows it down to business enterprises: "In fact, one short and arguably valid definition of technology is 'knowledge of how to do things.' A somewhat more extended definition, and the one that will underline all of this discussion, is that technology is 'the system by which a society satisfies its needs and desires.' […] When applied to an individual enterprise, it means the capability that an enterprise needs in order to provide its customers with the goods and the services it proposes to offer, both now and in the future. […] Since 'knowledge of how to do things' is the foundation from which a business satisfies the needs of customers, the choice of technology strongly influences the basic structure of the business. It is so intimately entwined with the very concept of an enterprise that one must consider them together. An enterprise with no technology is a virtually meaningless concept". (Steele, 1989)

Our aim is not to show too many definitions but to emphasize the differences between them regarding the scope. It clearly can be seen that there are two types of these definitions regarding their scope: the narrow and the broad ones.

## 2.2 Different type of 'technology management' definitions

The same kind of dichotomy characterizes the definitions of technology management that we have seen at the definitions of technology.

The first few examples are broad scoped:

"Management of technology links engineering, science, and management disciplines to plan, develop, and implement technological capabilities to shape and accomplish the strategic and operational objectives of an organization." (National Research Council, 1987)

"… technology management is about getting people and technologies working together to do what you want. Technology management is a collection of systematic methods for managing the process of applying knowledge to extend the range of human activity and produce defined products (goods or services)." (Kanz, Lam, 1996) Although "products (goods or services)" could suggest business, but non-profit and governmental organizations also provide goods and services, consequently these are referring for any kind of organizations, not just the business sector.

Let us see some narrow scoped definitions:

'Technology management is the integrated practice, i.e. process, between business and the technical disciplines that are required to plan, develop, apply or install technological capabilities for products or services to form and achieve, successfully, the strategic and operational objectives in an enterprise.' (Cory, 1988)

"The definition of TM includes planning, directing, control and coordination of the development and implementation of technological capabilities so that firms can shape and accomplish their strategic and operational objectives". (Cetindamar, Phaal, Probert, 2016)

Technology management is the 'process of effective integration and utilization of innovation, strategic, operational, and commercial mission of an enterprise for gaining competitive advantage'. (Badawy, 2009)

As at the definitions of 'technology', with the definitions of 'technology management' the two types of definitions can be clearly seen.

## 2.3 Different type of 'innovation' definitions

Let us cite some examples of how different authors defined innovation. The same duality appears.

According to Schumpeter (1934), innovation or development is a new combination of new or existing knowledge, resources, equipment, and other factors. He pointed out that innovation needs to be distinguished from invention. The reason why Schumpeter stressed this difference is that he saw innovation as a specific social activity or function carried out within the economic sphere and with a commercial purpose. In contrast, inventions can be carried out everywhere, without the intent of commercialization. Thus, for Schumpeter, innovations are novel combinations of knowledge, resources, etc. with the purpose of commercialization—it is essentially the process through which new ideas are generated and put into commercial practice. This "combinatory" activity he called "the entrepreneurial function", and the social agents who are fulfilling this function are the "entrepreneurs" (Fagerberg, 2009).

Innovation could be:

- the implementation of products that are new to consumers;
- the implementation of production methods that are new to specific industries;
- opening of new markets;
- using new sources of raw materials;
- implementing new forms of competition that lead to structural changes in the specific industry (Schumpeter, 1934).

Drucker (1985, 17) defines innovation as the "specific tool of entrepreneurs, the means by which they exploit change as an opportunity for a different business or a different service. It is capable of being presented as a discipline, capable of being learned, capable of being practiced. Entrepreneurs need to search purposefully for the sources of innovation, the changes, and their symptoms that indicate opportunities for successful innovation, and they need to know and apply the principles of successful innovation."

So innovation is not just about a new technology or inventions, but about new business opportunities created through new technologies, products, services, processes, business models, Etc. On the other hand, innovation does not happen by itself, but it is a structured, systematic process that requires discipline and has to be learned and practiced. To be a successful innovator, entrepreneurs have to search for the sources of innovation and exploit them. Innovation is a process for creating and introducing something new or advanced to create value. Innovation is a process that begins with a new idea and concludes with market introduction (Hisrich and Kearney, 2013).

"An innovation is the implementation of a new or significantly improved product (good or service), or process, a new marketing method, or a new organizational method in business practices, workplace organization or external relations. The minimum requirement for an innovation is that the product, process, marketing method, or organizational method must be new (or significantly improved) to the firm. Innovation activities are all scientific, technological, organizational, financial and commercial steps which actually, or are intended to, lead to the implementation of innovations. Innovation activities also include R&D that is not directly related to the development of a specific innovation." (Tiwari, 2008:1)

The definitions above are all referring to commercialization, market introduction, business utilization. So, innovation results from the application of knowledge and products in new business opportunities, regardless of whether these are the result of innovations in creating a new organization of industry or

technology through innovations in process, product, or service or innovations in business models and business processes.

According to the OECD, the main types of innovations were product, process, organizational and marketing innovation:

- product innovation: „introduction of a good or service that is new or significantly improved with respect to its characteristics or intended uses."
- process innovation: „implementation of a new or significantly improved production or delivery method. This includes significant changes in techniques, equipment and/or software."
- marketing innovation: „the implementation of a new marketing method involving significant changes in product design or packaging, product placement, product promotion or pricing."
- organizational innovation: „implementation of a new organizational method in the firm's business practices, workplace organization or external relations." (Oslo, 2005:49)

In every item of the definition, the business part is the most important; they did not deal with the nonbusiness (governmental and nonprofit) sector, just the wording of the definitions could be explained that way that in some point these are relevant to the nonbusiness sector, but fundamentally the nonbusiness sector was not taken into consideration.

By 2018, it has been reduced only for two types of innovations: product innovation and business process innovation. (Oslo, 2018)

„A product innovation is a new or improved good or service that differs significantly from the firm's previous goods or services and that has been introduced on the market.

A business process innovation is a new or improved business process for one or more business functions that differs significantly from the firm's previous business processes and that has been brought into use by the firm." (Olso, 2018:21)

According to Rogers's and Shoemaker's (1971) thought an innovation is an idea, practice, or object perceived as new by an individual or other unit of adoption.

As it can be seen, the scope of these definitions mostly refers to the business sector. In this enumeration, only the definition of Rogers and Shoemaker (1971) considers not just the business sector, but all of the organizations as well. Most of the definitions do not consider the activities outside the business world, e.g., the activities of the nonprofit organizations.

## 3. THE PROPOSED TYPE OF THE DEFINITIONS

Since it is necessary not just in the forprofit but the nonprofit and governmental sector to use and manage technology, we have to use those kinds of definitions that do not limit the scope of their meanings only to the business sector. In our technology management MBA and MSc courses, we use the following definitions.

Technology is a system of expertise and instruments that enables us to fulfill our needs by exploiting nature's potentials.

Expertise is the software side, and instruments are the hardware side of technology. They have to form a system, not only a set of elements. Technology is for fulfilling needs with such possibilities that are hidden in nature. If something is offered by nature ready for usage or consumption then technology is not needed for using or consuming it.

Technology management is a cross-functional activity that makes technology serve the effective and efficient operation of an organization.

Technology management is not just a functional but a cross-functional activity because technology is needed to every kind of jobs in any kind of organizations. Technology must serve the organization,

„the technological tail cannot be allowed to wag the corporate dog" (Twiss, Goodridge, 1989) - „corporate", or any other kind of organizational „dog" in general, as we clarified it. Technology can and has to serve both effectiveness and efficiency. (Pataki, et al., 2020)

This suggestion of choosing the correct types of definitions also stands for the definition of innovation. We propose to use those definitions that are not narrowing down the scope only to the business sector but considering the other kinds of organizations.

## 4. QUANTITATIVE RESEARCH OF THE DEFINITIONS OF INNOVATION

We have rolled out quantitative research on the definitions of innovation in the Scopus Database. The search terms were "innovation, definition" in the Scopus database, in the subject area of Business, Management and Accounting, limited to articles and the keywords Innovation. The number of the articles in question was 329. Amongst these relevant were 195, used the concept of innovation in a broad sense 62, which is 31,8%, and used it in narrow sense 133, which is 68,2%.

The results are shown in Table 1.

Table 1: Quantitative research on the definition of innovation

| **Number of articles that use the notion of innovation** | |
|---|---|
| in the broad sense. | in the narrow sense. |
| **62** | **133** |
| 31,80% | 68,20% |

This examination should be rolled out into the Web of Science database as well.

## 5. CONCLUSION

Technology must be managed outside the business world. Not just the companies use technologies and innovate, but also the nonprofit and governmental sector. By defining technology, management of technology or innovation at the narrow way, when the definition only refers to the business sector, we can not attract the interests of nonprofits and local governmental organizations that they have to deal with technology, they have to study the accumulated knowledge on the field of technology management and innovation. That is why defining properly is essential not just in theory but also in practice. Therefore the broad types of definitions are recommended.

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# The Coronavirus effects on the unemployment rate in Albania

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**Abstract:** The current period of life we are living has been defined by the covid 19 pandemic, certainly one of the worst pandemic that the world has faced in the last centuries. Albania is going through this situation for more than 14 months, the coronavirus has paralyzed the entire economy and there is still no hope for this situation to end definitely. The global recession is still in progress and all the governments are struggling to get ahead of the coronavirus. In Albania, the number of unemployed as a result of this crisis is about 70 thousand people and this figure could go over 100 thousand by the end of the year, raising even temporarily the number of people living in poverty. Significant improvements in 2018-2019 in this regard are already taking a heavy toll. In the short term, the economic impact of the pandemic is shifting the demand for labor to other sectors and regions, and it remains to be seen whether this will be only temporary, or lead to more permanent redistribution of labor in sectors. and certain regions. This study aims to analyze the covid 19 pandemic effects on the unemployment rate in Albania. Secondary data will be collected from INSTAT, World Bank and IMF, and statistic methods will be used to draw important conclusions.

**Keywords:** Coronavirus, Unemployment rate, poverty, average wage.

## 1. Introduction

Unemployment brings many difficulties to young people and individuals of all ages, it is an issue that affects people all over the world and has become today the most troubling problem for the governments of any country. Unemployment is a concept used for those working-age people who are not employed, are willing and able to work and are actively looking for it. The unemployment rate is a measure of the unemployment rate, which is calculated as a percentage, comparing the number of unemployed individuals to the labor force. The labor force consists of all unemployed and employed individuals. There are several types of unemployment, which are addressed in the world literature. Frictional unemployment, which is encountered as a result of the constant movement of employees from one job to another or between different regions. This kind of unemployment is inevitable. Structural unemployment is encountered when there is a long-term mismatch between labor supply and demand. It occurs mainly when the development of some branches of industry increases or decreases and the workforce is not flexible enough to adapt immediately to these changes. Cyclical unemployment is encountered when the demand for goods and services falls as a result of the economic downturn, which will lead to a decline in demand for labor. Seasonal unemployment is related to the seasonal character of production. This type of unemployment is a short term unemployment. “It is a recessionary situation when your neighbor loses his job, but turns into depression when you lose it." This saying of 1958 is current at all times. Unemployment has been and is today one of the biggest problems that is worrying our country and most developed countries. Being unemployed does not only mean not having a source of income from wages, but also suffering, among other things, its social and health costs. For a country, to have a high unemployment rate means to have high crime, informality and inequality among its citizens and for this reason the governments of different countries are working to reduce the unemployment rate through economic policies, opening up new jobs, etc. "Full employment does not mean zero unemployment, which means that not every man or woman in a country, free and able to work, does productive work every day of their lives. Full employment means that unemployment is reduced to short periods of unemployment, with the certainty that you will soon be employed in an old job, or in a new job that is within your capabilities”. (Harry S Truman, 1958). Since the early 1990s, unemployment has pushed many Albanians to flee to other developed countries. Over the last 20 years, unemployment has fluctuated mainly with an upward trend, where the economic crisis in 2008 had a significant impact,

and a greater increase in unemployment is expected as a result of the COVID-19 pandemic that the world is facing today. This a main reason why we chose this topic for our study.

## 2. Literature Review

Numerous debates over economic policy, such as unemployment and economic growth, are often linked to wage increases that depend on social security contributions. The social system that exists in most countries is composed of two components: old-age pensions and unemployment insurance, while wages are determined by agreements between firms and unions. The link between unemployment and its social contributions has been extensively addressed by Nickell and Layard (1999). The link between pensions and the country's economic growth has been addressed by Saint-Paul (1992) and Belan (1998). Numerous studies have been conducted to determine the link between unemployment and economic growth. Most of them have been triggered by the work of Aghion and Howitt (1994); Pissarides (2000), who consider unemployment caused by the movement of individuals between jobs (frictional unemployment) and by economic growth. According to Aghion and Howitt (1994), economic growth is positively related to the unemployment rate, so an increase in economic growth would also lead to an increase in unemployment. Later papers, such as Bräuninger (2000) and Lingens (2003), consider unemployment to be caused by wage 'bargaining' and economic growth. According to these models, unemployment hurts economic growth. Daveri and Tabellini (2000) argue that rising unemployment and declining economic growth are caused by rising labor income taxes. But since these taxes include social security contributions, there is an indirect link between unemployment pensions and growth. One of the few papers that clearly examines the link between social security, unemployment and growth is that of Corneo and Marquardt (2000). According to the conclusions reached by the model of Michael Bräuninger (2004), social security affects unemployment and economic growth. Also, unemployment negatively affects growth, while economic growth has no direct effects on unemployment. This conclusion contradicts the conclusions of the work of Corneo and Marquaradt (2000), according to which unemployment does not affect growth. According to the initial conclusions of the early works on the impact of emigration on unemployment, emigration did not affect the employability of locals. (e.g. Card Works, 1990; Altonji and Card, 1991; Pischke and Velling 1997). These findings have been criticized over time in the works of Friedberg and Hunt, 1995 or Borja, 2003. According to a recent study on the Greek economy, it has been concluded that: an increase in the number of emigrants on the one hand will lead to an increase in unemployment, but on the other hand the demand for goods and services of these emigrants will lead to openness of new jobs, equal to the number of unemployed immigrants. In most cases, the works study the effect of emigration to destination countries. The opposite is true of our country, it is the country of origin of immigrants. After the '90s, mainly in the' 92s and '97s, Albania was a large source of emigrants to neighboring countries and beyond. One of the few papers studying the countries of origin of migration is the one developed in 2008 by Fida Karam and Bernard Decaluwe. The paper tested the hypotheses with data from the state of Morocco. The paper deals with migration between rural-urban areas and international migration. As a conclusion of the developed model: international emigration lowers the unemployment rate and increases the level of wages, while internal migration increases the unemployment rate and decreases the level of wages. If both of these migration flows coexist in one country, then the final effect on unemployment and wage levels is unclear. Unemployment links with other elements have also been studied. There is an inverse relationship between unemployment and wages in different economies. This relationship has been termed the 'wage curve' and has been confirmed as an empirical law of economics by Blanchflower and Oswald (1994). Their data show that wages are negatively linked to unemployment. Unemployment is seen as a balancing variable in the labor market, which is characterized by wage segmentation and inflexibility. High urban wages cause high urban unemployment. So unemployment is a function of wages and not unemployment wages. In the literature two main forms of explaining the negative relationship expressed by the wage curve have been suggested. First we have the wage boost hypothesis, which means that profit-maximizing firms choose to set wages above their equilibrium level in order to influence the behavior of their employees. This hypothesis is presented in Shapiro-Stiglitz (1984)'s market efficiency model, which focuses on imperfect monitoring and the need to prevent avoidance. Firms increase wages so that the cost of job loss for employees is high. If local unemployment is high, the difficulty of finding a job is also high, which is why employees are afraid of being fired. So we see that high unemployment leads to wage increases. The second

hypothesis is based on the model of trade union agreements. High unemployment frightens employees and also lowers their bargaining power. So the attention of the unions is not focused on wages but on the difficulty of finding work. The unemployment-GDP link is one of the oldest studied. Historically, the law has been implemented that a 1% decrease in GDP is accompanied by a 2% increase in unemployment (Okun's law). But, based on the data related to these two indicators, it seems that this law was not implemented during the recession. During the recent recession, the decline in GDP, you responded to a larger increase in unemployment than the definition of Okun law. The unemployment-poverty link has been studied for many years. Blank and Blinder (1986) were among the first to study the relationship between unemployment, inflation, and poverty rates for households and individuals. After the regression, they concluded that inflation and unemployment rates were positively related to the percentage of people living in poverty during the period 1959-1983. However, while inflation was accompanied by an increase in the poverty rate, this effect was only one-seventh of the increase caused by poverty in unemployment rates. This led Blank and Blinder to conclude that while unemployment and inflation together would increase poverty, empirical evidence supports their belief that "Unemployment, not inflation, is the most cruel." However, in some other studies no clear link has been found between poverty and unemployment (Gustafsson & Johansson, 1999; Mehrara & Mohammadian, 2015). "The positive component of unemployment (UMP +) indicates a positive impact on poverty in the economy. This indicates the presence of non-inclusive growth (a non-uniform growth) because optimal output is negatively affected by unemployment. Since growth is no longer inclusive, poverty will increase. The negative unemployment component (UMP-) also has a negative and significant link to poverty. Therefore, policies that will encourage job development will act as an antidote to poverty reduction. "Such policies include holidays for producers, the promotion and provision of sustainable electricity supply, and the granting of industrial loans to industrialists in the economy."

## 3. Methodology

For the interpretation of the data of this work we have used secondary data, and we have relied on the literature review conducted above. Data on the main indicators that we used such as: unemployment rate, poverty rate, remittances, base salary and real GDP change (GDP growth), are found on the official website of the Central Bank of Albania, INSTAT and the World Bank. The data used belong to the period 2000-2020. We used the multifactorial econometric model through the Gretl econometric program to detect the existence of a link between the independent variables (base wage, poverty rate and GDP growth) and the unemployment dependent variable. The form of the function is of the type:

*Formula 1. Multilinear Regression.*

Unemployment=β0+β1*Poverty+β2*Average Wage+β3* GDP+ β4*remitances+ε.ain Hypothesis:

HO: There is no statistically significant factor that determines unemployment rate in Albania.

H1: At least one of the factors subject to this study, is statistically significant to determine unemployment rate in Albania.

Based on this main hypothesis we have raised four secondary hypotheses. The first hypothesis is about poverty, the second hypothesis is about the average wage, the third is about the importance of GDP and the fourth about remittances. After performing tests on the significance of the model it turns out that the model is significant. But we note that after performing the test in Gretl one of the independent variables (average salary) does not come out significant (significant). For this result we think this relates to the data, where there is no lack of the fact that the data may not be completely accurate as in the case of poverty where some data were not published, but also the data of other variables obtained from sources official Albanian there is a possibility of political influence, where not all unemployed or employed may be declared influencing the unemployment rate; as well as not all remittances as incoming and outgoing are all declared. It should not be forgotten that there are still employees who receive a salary which is below the minimum, although they can be declared as employees with a minimum wage, which is delivered in cash, affecting the average salary. All these we think have a significant impact on the validity of the data of the variables taken in the study, which is also reflected by the testing itself in the econometric model. At the end of the testing of the

econometric model in Gretl, the first hypothesis Ho is rejected and the first alternative hypothesis H1 is confirmed: At least one of the economic factors taken into study is statistically significant and affects unemployment in Albania.

## 4. Covid 19 effects on Albanian Economy

As mentioned above, the impact of the COVID-19 pandemic and quarantine for about three months have negatively affected the world economy and Albania. This post-pandemic situation has affected the loss of millions of jobs and damaged businesses, especially in the poorest countries. The American rating agency Standard & Poors has published a report that ranks Albania in the top 15 countries on the list of countries whose economy will be damaged by the new coronavirus COVID-19, where tourism will have the greatest impact. In Albania, the number of unemployed as a result of this crisis so far is about 70 thousand people and this figure could go over 100 thousand unemployed by the end of the year, affecting the increase, even temporarily, of the number of people living in poverty. Significant improvements in this regard are already taking a heavy toll. In the short term, the economic impact of the pandemic is shifting the demand for labor to other sectors and regions, and it remains to be seen whether this will be only temporary, or lead to more permanent redistribution of labor in sectors. Therefore, Public and Private Employment Services (PES) in the country are not only facing an increase in the number of jobseekers, but also the need to potentially relocate many of them to professions, sectors and regions. others. There has even been a marked decline in the number of vacancies in the National Employment Service. According to a recent World Bank report, which assesses how COVID-19 can affect poverty and well-being of families in the Western Balkans, the most vulnerable are the self-employed, those with informal employment and those with temporary or non-temporary employment. very safe. As a result, the poverty rate is expected to rise from the current 40% to 48% (the number of people living on less than $ 5.5 a day, according to purchasing power). Poverty will also be aggravated due to remittances, as Albanian emigrants will start sending less money to families, as their work in European countries will be affected. They are, at best, forced to work from home; business owners have been forced to close their businesses temporarily; others have been forced to take compulsory paid leave; while in the worst case, some have even lost their jobs. Consequently, the ability of these persons to send money home to their families is significantly reduced, and undoubtedly the worst will suffer those families whose only source of income is the remittances they receive from their family members. from outside. According to the changes in the government decision, all individuals, former employees in entities that have been allowed to carry out activities or have been closed according to the orders of the Minister of Health and Social Protection, who have been fired, are beneficiaries of assistance of 40 thousand ALL. from March 1, 2020, to May 17, 2020. The application for the beneficiary employees, made online, by the employers, until June 5, 2020, exempts them from the penalty for non-application. The anti-Covid-19 financial package includes: Two Financial Packages as social support for citizens and businesses; additional budget for the health sector; additional budget for the defense sector for their humanitarian work; additional to the Reserve Fund for other necessary and unforeseen expenses. The first package includes support for small business and citizens, while the second package is support for entrepreneurship and employees. The number of beneficiaries is expected to reach over 178 thousand.

## 5. Conclusion

At the end of this topic we conclude that unemployment has been, is and will always be a delicate and very important issue in the design and implementation of various policies for the development and economic sustainability of a country. As in Europe, the issue of unemployment must be looked at with great care, especially in the case of women and young people. In addition to the economic factors studied that affect the unemployment rate (poverty, remittances, GDP growth and average wages), a very large impact on these factors will have the impact of the COVID-19 pandemic, and consequently will have an impact on unemployment as well. After conducting factor testing in the Gretl program for the period 2000-2020 we came to the following conclusions:

Determinability coefficient; R2 = 77%, ie 77% of the variability of the unemployment rate, is explained by the factors taken into account, namely the basic wage, the poverty rate, the real change in GDP and remittances. If GDP grows by 1% and other variables remain constant, then the unemployment rate will rise by 0.27%. GDP growth is in the same direction as the unemployment rate and is a significant factor. If the poverty rate increases by 1% and other variables remain constant, then the unemployment rate will increase by 1.26%. Poverty is also in the same direction as the unemployment rate. The same result with the regression conducted by Blank and Blinder (1986), who concluded that unemployment rates were positively correlated with the percentage of people living in poverty. The link between unemployment and poverty is important. If remittances increase by 1% and other variables remain constant, then the unemployment rate will decrease by 0.009%. So the variables move in the opposite direction. If the average wage increases by 1% and other variables remain constant, then the unemployment rate will decrease by 1.57%. The COVID-19 pandemic is expected to affect these factors even more, further aggravating the unemployment rate, where I think the impact will be even greater on the economy than it was after the 2008 crisis if the government does not take appropriate measures to reduce unemployment rate starting with: job creation, creating a favorable and reliable business climate, accurate and reliable measurement of poverty indicators (for which there is no data publication since 2012), the functioning of trade unions for the protection and rights of employees, the increase of vocational education, the creation of a favorable environment for foreign investment, the development of vocational training centers, more frequent checks on companies and the declaration of salaries and the manner in which salaries are paid. to PES which must be prepared to adapt to change, with a new labor market as a result of the impact of the pandemic, where digitalization and innovative development are rapidly dizzying life will replace jobs and work processes that require a new qualification, otherwise, towards the future of this market.

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# The Missing Role of Civil Society in the Democratization Process of Albania

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**Abstract:** One of the most debated issues in the democratization literature in recent decades has been that about the role of civil society and the impact it has on the so-called "third wave" democracies. Certainly, the debate over the role of civil society as an important factor in explaining the success of a democracy is relatively old in the literature and dates to the time when Alexis De Tocqueville and followers of the Tocqueville school of thought praised the virtues and effects of associative life over the individual and society as a whole. Yet this debate would be revived again by scholars and students of third-wave democratization, who argued for relative weaknesses and structural and organizational deficiencies of civil societies in post-communist countries and seeing these as important conditional factors for the explanation of the unsuccessful outcome of democratization in these countries. In this paper, the variable of a vibrant and dense civil society is analyzed here in terms of three key dimensions: that of *membership in civil society organizations*; *participation in civil society activities*; and the *social capital levels* that characterize it. Based on these dimensions, here, it is argued about the existence or not of a strong and dynamic civil society in the case of Albania, which will constitute the case study of this paper. It is argued that the relative weakness of civil society in Albania in aftermath of the collapse of the communist system is one of the main factors that has influenced the non-institutionalization of an effective and consolidated democracy in this country.

**Key Words:** Civil Society, Democratization Process, Membership in Civil Society Organizations, Participation, Social Capital.

## I. Introduction and Definition of What Civil Society Is

In the growing literature on democratization in recent decades, one of the most intriguing issues for scholars has been the role of civil society and its impact on the new so-called "third wave" democracies. The debate over the role of civil society is relatively old in this literature and can be dated back to the time when Alexis De Tocqueville wrote his considerations in Democracy in America (1835-1840), praising the virtues of the associational life of Americans in civil life and seeing it as a promoter of models of cooperation between citizens in a democratic polity. Since then, the concept of "civil society" has been treated from different perspectives, with scholarships that have placed distinct causal emphasis, as well as re-dimensioning the term in different ways. However, the concept of "civil society" and subsequent studies on it would be revived again after the 1990s, with the rapid wave of revolutionary changes in the aftermath of the collapse of communist dictatorships in the eastern bloc of Europe. For Gideon Baker, the rediscovery of the concept of civil society arises from the fact that the opposition movements in Eastern Europe used “the idea of civil society in theorizing their struggle to create a protected societal sphere separate from the official sphere of the all-embracing party-state” (Baker, 1998: p. 82). In the wake of the dramatic changes that followed the collapse of communist dictatorships in Eastern and Southeastern Europe, we have a sparking debate among various authors of democratization on the extent to which civil society organizations played a role in resisting authoritarian dictatorships, in the impetus for the beginning of democratic transitions in post-communist countries, and more importantly, what role did organized life play in achieving effective and well-functioning democracy in a given country.

In this paper, we will focus precisely on explaining the role that organized associative life plays in society and the impact it has on achieving successful democratization in a certain country. In order to do this, the (independent) variable of civil society in this study will be analyzed in terms of its three main dimensions: that of *membership in civil society organizations; participation in civil society activities;* and levels of *social capital* that characterize it. Then, in Part III of this paper, the case study of Albania is examined in relation to the conditions of civil society and the impact it has had on the democratization process of this country after the 1990s.

Firstly, we need to give a definition of the concept of civil society in this paper on which to start our analysis. Here we are based on a definition given by Larry Diamond, according to which civil society is understood as:

> "Civil society is the *realm of organized social life that is open, voluntary, self-generating, at least partially self-supporting, autonomous from the state, and bound by a legal order or a set of shared rules.* It is distinct from "society" in general in that it involves citizens *acting collectively in a public sphere* to express their interests, passions, preferences, and ideas, to exchange information, to achieve collective goals, to make demands on the state, to improve the structure and functioning of the state, and to hold state officials accountable" (Diamond, 1997: 6).

Thus, civil society refers to that arena of politics where various associations or movements created by citizens, autonomously from the state, try to articulate interests, causes, preferences, ideas, and values in order to achieve common goals. In this sense, civil society can include multiple groups and organizations from all areas of social life (economic, religious, environmental, cultural, sports), but also associations from all different strata of society (such as trade unions, business, entrepreneurs, professionals, students' associations, etc.). These various civil society organizations, which include the entire intermediary space between the state and the individual or family, are created voluntarily by members of society and in order to pursue or protect their interests or values.

## II. The Role of Civil Society and Its Conditional Effect on Democracy

The role of civil society as a crucial factor to explain the success of a well-functioning democracy has been emphasized by various authors who have praised the virtues and effects of associative life on the individual and society as a whole. Thus, for example, Robert Putnam, a well-known author who has defended the role or vitality of the associative life of the citizens of a country on the stability and quality of democracy, has argued that:

> "Civil associations contribute to the effectiveness and stability of democratic government… both because of their "internal" effects on individual members and because of their "external" effects on the wider polity. Internally, the associations instill in their members habits of cooperation, solidarity and public-spiritedness… Externally… a dense network of secondary associations [which strengthens the articulation and aggregation of different interests] both embodies and contributes to effective social cooperation. Thus, ... in a civic community, associations of like-minded equals contribute to effective democratic governance" (Putnam, 1993: p. 89-90).

Membership in the associative life of society creates favorable conditions for democracy as it provides a space for citizens to cultivate internal links with the various organizations of which they belong, which helps to develop and internalize democratic values and norms (… habits of cooperation, solidarity, tolerance, political participation, public-spiritedness). Likewise, membership, along with active participation in various civil society organizations, produces models of behavior that enable citizens to overcome individual isolation and cooperate among them in achieving common collective goals. In this sense, membership in various civil society organizations has "internal" effects on individual members as Putnam notes, as it produces (or enables) models of active social interaction among citizens that are necessary for democracy. Thus, Putnam states in one of his famous essays that various associations and "their dense networks of interaction broaden the participants' sense of self, developing the "I" into the "we" (Putnam, 1995: p. 67). Membership in all types of civil society organizations operating in the intermediary space between the state and the individual, regardless of their relative importance or the different areas in which they operate, is important according to Putnam, as they have the potential to develop democratic values and norms and instill patterns / habits of cooperation between their members, which are necessary for a successful democracy. In this sense, the argument here is that the more extensive and denser the network of social interaction that is created between the citizens of a country that are part of civil society organizations (regardless of their type), the more opportunities they have to overcome their individual isolation and opportunism in pursuit of a common good, and the more likely democracy is to succeed in that environment. As Larry Diamond has noted, "civil society serves democracy best when it is dense in the sheer number of associations. The greater the density of associational life, the more memberships the average citizen is likely to have, and the wider the range of societal interests and activities that will find organizational expression" (Diamond, 1997: p. 24).

Here we come to the other positive, "external" effects, as Putnam points out, that membership in various civil society organizations has on politics and society at large. Firstly, because civil society organizations also serve as effective channels for the articulation and aggregation of different interests in society, which facilitates (... contributes to effective) social cooperation between different citizens and expands their opportunities for political participation. As Cohen and Arato have suggested on this point, civil society performs two important democratic functions. "First, associations and movements from within civil society cooperate, develop identities, offer the opportunity for participation and create networks of solidarity. Secondly, civil society organizations and associations try to influence or reform the state" (Cited in Grugel, 2002: p. 95). Thus, according to these authors, membership in various civil society organizations and associations helps towards the well-functioning of democracy in a country as it allows citizens to promote different interests, to develop common identities, to share their experiences, and ultimately, to be active in public life by expanding participation opportunities. As for the second function that Cohen and Arato emphasize regarding the role of civil society organizations and associations, this is probably the most important function they play in developing (beginning of the democratic transition) and strengthening democracy in a given country. Jean Grugel has stated in this regard that: "the most important democratic function that civil society can perform is its engagement with the state as a force for change. The capacity of civil society organizations to press for reform and to engage with the state is perhaps a key for understanding whether democratic consolidation takes place" (Grugel, 2002, p. 95-96).

To better understand this function that civil society plays in the advancement and strengthening of democracy, we must also move on to what we have described as the second dimension of the (independent) variable of civil society that we build here: that of *participation in civil society activities.* This is an essential component of civil society that shows both its robustness and vitality as conditional in promoting democratic processes and strengthening democracy in a given country. Here, the main role played by a vibrant civil society in order to embed democracy in a given environment is that it serves as a counterbalance to the (power of) the state, thus performing vital opposition functions and protecting the various interests of the society. As Gordon White has argued, "a growing civil society can alter the balance of power between state and society in favour of the latter, thereby contributing to the kind of 'balanced opposition' held to be characteristic of established democratic regimes" (White, 1994: p. 382). Widespread mobilization and participation in organized activities or social movements increase the ability of citizens to both control and limit the exercise of state power by incumbents. This function of civil society can be said to be conditional on democratization processes both in the context of authoritarian states, where participation and mobilization in organized social movements (of civil society) is the main impetus for the launch of liberalization and democratic change, as well as in countries that have started the transition, and that seeks to strengthen democracy.

In this line of thought is also Laurence Whitehead, when he notes that one of the main conditional factors of democratization is the establishment of broad associative networks among citizens which are capable of limiting the discrete power of the authoritarian state. Whitehead argues that: "where such 'civil society' customs and practices proved capable of resisting anti-democratic governments, it might only be a matter of time before liberalization and subsequent democratization took their (almost inevitable) course" (Whitehead, 2002: p. 66). In this sense, the main impetus for starting democratization in a country is always generated "from below", and it can be successful if it manages to create consensus for mobilization of citizens in social movements (protests, demonstrations, strikes, etc.), and whether the mobilizing connective structures between them are strong and dense.

Likewise, the role of participation in civil society activities and movements is also important for the deepening and strengthening of established democracy in a given country. As Jean Grugel best expresses this, "social struggles facilitate democratic consolidation because they can lead to the reform of the state, the extension of citizenship and the entrenchment of rights" (Grugel, 2002: p. 95). Here, the main contribution that an organized and attentive civil society has to the consolidation of democracy in a given environment, is the controlling and restrictive role it plays on the exercise of state power, thus ensuring accountability and the responsibility of incumbents. In this way, it makes it possible not only to ensure the vertical dimension of the accountability of politicians in front of the electorate (represented mainly by the attributes of elections), but also the horizontal dimension of

accountability in a democratic system (which has to do with the dimension of liberal constitutionalism and the rule of law) by limiting and legitimizing the power of the state within the framework of the rule of law. As Larry Diamond points out, "civil society not only restricts state power but legitimates state authority when that authority is based on the rule of law" (Diamond, 1997: p. 6). An organized civil society and a public engaged in social activities and movements can contribute to the consolidation of democracy in a given country by serving as an essential counterbalance to state power, and by performing vital opposition functions (even in the face of weak and fragmented party systems, or in the context of a weak political society). Such a role of contentious politics in favor of the consolidation of democracy, civil society has probably played best in the case of the democratization of Poland. Thus, authors like Gregorz Ekiert and Jan Kubik have argued that the consolidation of democracy in Poland has been mostly a product of an active and committed civil society, even when Poland faced an under-institutionalized party system, that is, a weak political society (Ekiert & Kubik, 1998). According to these authors, the main factor that contributed to the consolidation of democracy in the case of Poland has been the role of an active civil society (through participation in protests, demonstrations, strikes, etc.), which conditioned the dynamics of elections and the decisions of political elites to adhere to the rules of the democratic game.

Another function that active participation by citizens in social activities and movements can play about politicians' accountability and the well-functioning of the democratic system, is through the constant pressure that it can generate. The argument here is that "a strong civil society can play a disciplinary role in relation to the state by enforcing standards of public morality and performance and improving the accountability of both politicians and administrators" (White, 1994: p. 383). The vividness and strength of an active civil society can limit the potential for abuse by incumbents, or their ability to make decisions that go against the public good, keeping politicians accountable (not only during the period of electoral campaigns), by thus serving the health of the democratic system. Thus, a participatory and active civil society positively influences the institutional performance of democracy in a given country.

However, for civil society to perform such functions for the benefit of deepening and consolidating democracy, it must be characterized by another significant dimension that shows its strength and vitality: the accumulation of *social capital* within it. As Gordon White has pointed out, "civil society derives much of its specific political character from the deeper socio-economic structure and the distribution of interests, social norms and power resources which society [where it operates] embodies…as a separate and distinct sphere of social relations, civil society itself embodies a specific source of social power based on a (differential) capacity for association which is a key path to social empowerment (White, 1994: p. 381). Thus, the source of strength or weakness of civil society in a given environment must be seen in the social structure of society where it operates, by the various interests acting in society, the norms and features of the organization or the way it functions, etc. In this sense, civil society embodies a specific source of social power, derived from the socio-economic structure of the society in which it operates, and conditions the opportunities for associations and participation of citizens in organized social life. Perhaps the author who has best explained this connection is Robert Putnam through the concept of social capital. Putnam explains this relationship between strong networks of citizen participation and positive institutional performance (a well-functioning democracy) in terms of *"social capital"* - by which he means the networks, norms of reciprocity and trust that are fostered among the members of community associations by virtue of their experience of social interaction and cooperation. Putnam argues that social capital has a positive impact on governance because it allows community members to overcome the dilemmas of collective action which would otherwise hamper their attempts to cooperate for the purpose of bettering social life (Cited in Boix & Posner, 1996: p. 2; Putnam, 1993: p. 167).

Thus, for Putnam, social capital is an essential dimension of social organization and the strength of civil society, as it enables participants to act together more effectively to pursue common interests among themselves. From this point of view, social capital facilitates the undertaking of coordinated actions in the organizational life of the members of a community by promoting cooperation between them and making more efficient efforts in achieving common goals. Voluntary cooperation is greatly facilitated by interpersonal trust and norms of reciprocity, and these cultural orientations in return are fostered (but also deepened) by "networks of civic engagement", in which citizens are drawn together as equals in "large horizontal interactions" (Putnam, 1993: p. 167 and 173). It should be

emphasized that the importance of taking joint action for the well-functioning of the democratic system should be seen precisely in the social capital and in the networks of civic engagement (equally structured and horizontal relations) between the citizens that it manages to generate. In this sense, civil society in a given country would be considered weak, structurally deficient, and with very little or no impact on conditioning the well-functioning of democracy, if it is not characterized by relatively high levels of its social capital.

Thus, only civil societies characterized by high levels of social capital and networks of civic engagement can create favorable conditions for democracy. In other words, these features of social capital make civil society in a certain country structurally stronger and enable it to perform better the functions of influence, control, and accountability to the exercise of power.

## III. Civil Society in Albania: A Missing Role in the Democratization Process

Based on the theoretical framework elaborated above here to explain the conditional relationship between civil society and democratization, in this section, we analyze specifically the case study of Albania in its post-communist period in the '1990s. Here it is argued that the lack of a robust and dynamic civil society in Albania is one of the main factors that has conditioned the product of unsuccessful democratization during its post-communist period.

Albania is one of those countries where civil society faces structural weaknesses and remains underdeveloped and powerless to positively influence the democratization processes after the beginning of the transition in 1991. The development of such a civil society in Albania has been considerably influenced by the different model/trajectory of its historical, political and cultural development, which have made the traditions of joint social organization and civic engagement in this country remains vague. The low levels of membership and participation in civil society organizations have also brought about a relative weakness/lack of genuine pressure generated from below to advance the democratization process in post-1991 Albania, as well as conditioned the quality of the flawed democracy that still exists in this country. Barriers to the development of a civil society inherited from its previous totalitarian system, as well as the inadequate structural conditions to promote the social organization and civic engagement of citizens in post-communist Albania, make it easier for the political elites in this country to deviate from democratic reform and the democratization process, to have low levels of accountability, and to guarantee that they would have fewer restrictions on their authoritarian control.

To understand the conditions for the development of a relatively weak and powerless civil society to condition the processes of democratization in post-communist Albania, several factors must be emphasized. First, and perhaps most importantly, is the inheritance of an oppressive and pervasive totalitarian communist regime in almost every aspect of social life (even in the private sphere) in Albania. The impact of the inheritances of the previous totalitarian regime on the sphere of associative life, in the case of Albania, has probably been stronger than anywhere else in the Eastern Europe countries, for the very fact of the harshness and brutality of the regime of Enver Hoxha that ruled the country for a long period. Over 46 years of the oppressive and totalitarian dictatorship in communist Albania, combined with a totally collectivized economy and the suppression of any form of pluralism or social activism outside the control of the party-state, practically, as Linz and Stepan have noted, had shaped the lives of subject-citizens (Linz & Stepan, 1996: p. 377). In the case of communist Albania, the regime managed to penetrate and control every aspect of social life, even private, and to shape the beliefs of citizens through various forms of propaganda, education, organization of mandatory joint activities, surveillance, fear, terror, etc. The result here was the blurring of the effective distinction in the boundaries between the state (regime) and society, and the almost disappearance of the latter's space to be organized or mobilized autonomously and independently from the state (Grzymala-Busse & Jones, 2002: p. 534 and 539). Any form of social pluralism was forbidden, and the mobilization of society into mass organizations (party-state transmission belts) was done in a mandatory way and through the persuasion of subject-citizens. In Albania, the totalitarian regime with its inheritance of oppression and subversion of any form of social pluralism and the extermination of early (autonomously) forms of social organization made it more difficult for post-transitional societies to form and support social organizations (of civil society). The

inheritances of a relatively long communist rule left behind significant negative consequences on the sphere of associational life in Albania during its post-communist period.

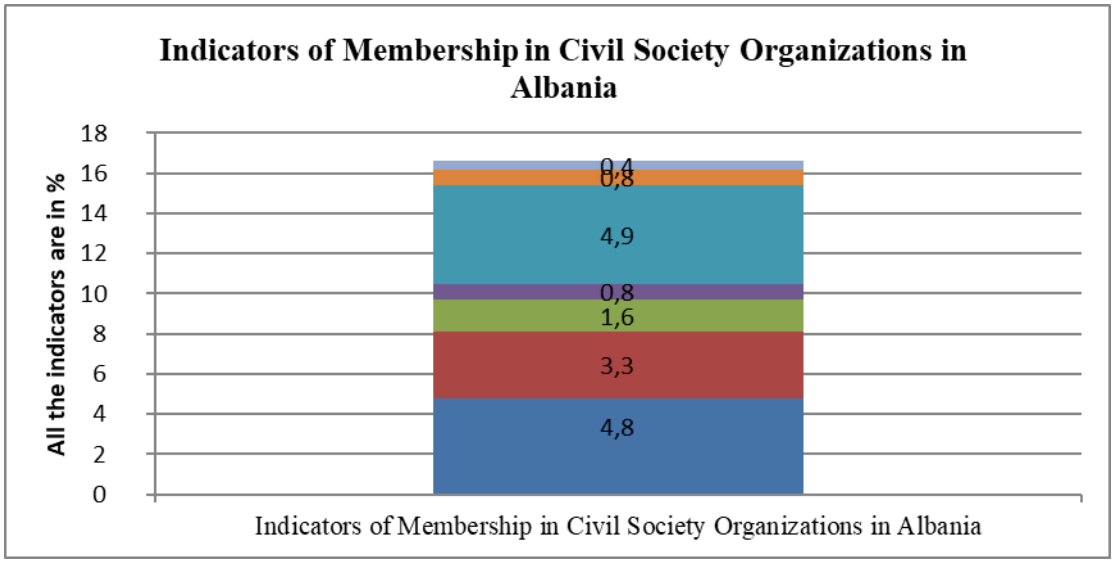
Also, another factor that has affected the relative weakness of the Albanian civil society, has been a lack of previous social and civic traditions of organization in the society's associational life, which has been conditioned by different historical and cultural trajectories of its development. Albania experienced only a very short period of social and political liberalism in the early 1920s (when the modern Albanian state was established and functioned normally with its institutions), but it can be said that it did not leave any significant trace in the collective memory of the Albanian society in the years/decades that followed. In the absence of such social and autonomous traditions of organized associational life in Albanian society, the communist dictatorial regime that was subsequently installed in this country during 1944-1945 found it relatively easier to penetrate and take root without encountering any significant resistance from any mobilized opposition, and so managed to effectively blur the line that existed between the regime and the society. In countries like Albania, there was little or not at all civic tradition of organized associational life to recover, so its civil society remained weak and powerless to condition the process of democratization and the quality of democracy after the beginning of its transition in the 1990s.

These important historical and social inheritances from the previous period of the totalitarian communist regime, but also the lack of previous traditions of the social and civic organization, had their consequences in the underdevelopment of civil society and associative life in the period of democratic transition in Albania. Thus, some consequences of this social inheritance in Albania were: the culture of distrust in the new organizations/associations that were created and in their goals; the refusal to participate in them (related to the legacy of distrust and mandatory participation in the previous communist organizations); cooptation, apathy, “and societal atomization, revealing the scarcity of social capital and "the lack of a culture of a free collective activity” (Cited in Diamond, 1997: p. 6; Smolar, 1996: p. 33). Also, another consequence of this social and cultural inheritance in Albania is the continuity of friendship networks in society. In the postcommunist society of Albania, “unlike in many Western societies - where voluntary organizations have become a central part of the social and political culture, and where people join organizations in order to meet new people and to expand their horizons through public activities - many people are still invested in their own private circles, and they simply feel no need, much less desire, to join and participate in civil society organizations” (Howard, 2000: p. 163).

Thus, if we refer to what we have defined as the first dimension of a vibrant and dynamic civil society - membership in civil society organizations - we see that it marks relatively low levels of participation of Albanian citizens in the period after the beginning of democratic change. The general weakness and lack of vividness of civil society organizations in Albania are manifested by the following data indicators obtained from World Values Surveys. If compared to the same indicators in the cases of Spain or Poland in the period after they overthrew their authoritarian regimes, membership percentages in organizations/associations of civil society in Albania mark levels almost 3-4 times lower (World Values Survey, Wave 3, 1995-1998).

Table 1: Indicators of Membership in Civil Society Organizations in Albania[1]

[1] Data indicators for the dimension of membership in civil society organizations in Albania are derived from the aggregation of % of membership in these organizations: Church or religious organization (v28); Art, music or




Albanian citizens express their general apathy and distrust towards civil society organizations also regarding their participation in social activities and movements of civil society. Thus, although in the initial stages of transition (1991-1992), in Albania there were relatively high levels of popular mobilization against the elites of the old regime and in favor of reform and democratic change, over time participation in civil society activities (such as protests, demonstrations, strikes, etc.) by Albanian citizens began to fade and "lower levels of activity in post-transitional civil society" were noted (Bernhard & Karakoc, 2007: p. 562). The relationship of Albanian citizens towards their state continued to remain relatively passive, and a transformation of the role of civil society organizations and associational life in general in conditioning positively the democratization process in this country did not occur. The lack or the relative weakness of genuine pressure generated from below by organizations and collective actions of civil society has been a feature of Albanian society and is one of the main factors that have hindered the advancement of the process of deepening democracy in Albania, thus making it easier for the political elites in this country to have lower levels of accountability and fewer restrictions towards a more authoritarian control. Civil society in Albania can be said to have been unable to effectively balance the tension in the (accountable) state-society relationship during the period of the democratic transition, thus conditioning the quality of democracy with defects and problems that appeared in Albania for almost three decades now.

Another characteristic feature of the Albanian civil society in the period after the beginning democratic transition is the relatively low levels of social capital that characterizes it. Relatively high and widespread levels of distrust, apathy, and vague associational and civic life in Albania are a consequence of a weak social capital of its civil society, which as we have noted above in this paper, derives much of its specific political character from the deeper socio-economic structure and the distribution of interests, social norms and power resources (White, 1994, p. 381) of society in which it operates. In this way, the social and historical inheritance, low levels of economic development and well-being, the dominance of survival/materialistic values among the masses of its citizens, have caused the civil society in Albania to have weak levels of social capital and to be characterized by a low sense of vividness and protection of the public interest. As Ekiert and Foa have pointed out, “values and preferences may determine whether civil society develops along normative or clientelistic lines, that is, whether civil society organizations exist to defend citizen rights, work for public good and advance the rule of law and democratic process, or simply as a means of extracting material rents for their leaders and members from the state and local administration” (Ekiert & Foa, 2011: p. 31). Thus, if we refer to the measurement of this dimension of civil society in the case of Albania, we see

educational (v30); Labor union (v31); Environmental Organization (v33), Professional Association (v34); Charitable Association (v35); and Any other voluntary organization (v36). Data taken from World Values Survey Wave 3 (1995-1999). Available at https://www.worldvaluessurvey.org/WVSDocumentationWV3.jsp

that the indicator of social capital in this country is much lower (at the level of 0.386[2]) in relation to the indicators of social capital of civil societies in other countries of Central Europe (measured in the same report), which had more successful cases of democratization compared to Albania. The low levels of social capital in Albania have affected the non-engagement of Albanian citizens in the public sphere, as well as the lack of development of civil society in this country on a normative basis and in the function of the public good.

## IV. Conclusions

Civil society during the transition period in Albania has been weak and powerless to play its conditional role in the deepening and well-functioning of democracy in this country. In this paper, it was argued that the lack of a robust and dynamic civil society in Albania is one of the main factors that has conditioned the product of unsuccessful democratization in its post-communist period. The development of such a weak civil society in Albania has been considerably influenced by the model/trajectory of its historical, political and cultural development, which have made the traditions of joint social organization and civic engagement in this country remain vague. These significant social inheritances from the previous period of the totalitarian communist regime, but also the lack of previous traditions of social and civic organization, had their consequences in the weak development of civil society and associational life in the period of democratic transition in Albania.

Thus, some consequences of this social inheritance in Albania were: the culture of distrust in the new organizations that were created and in their goals; the refusal to participate in them (related to the legacy of distrust and mandatory participation in the previous communist organizations); the cooptation of members of civil society organizations; apathy; social atomization which also highlights the void of social capital in Albanian civil society. The low levels of membership and participation in civil society organizations have also brought about a relative weakness / lack of genuine pressure generated from below to advance and deepen the democratization process in post-1991 Albania. Barriers to the development of a civil society inherited from the former communist system, as well as inadequate structural conditions to promote the social organization and civic engagement of citizens in post-communist Albania, make it easier for the political elites in this country to deviate the democratic reform and deepening democratization, to have low levels of accountability, and guarantee that they will have fewer restrictions on their authoritarian control. In countries like Albania, there was little or no civic tradition of social organization to recover, so its civil society remained weak and powerless in conditioning the process of democratic consolidation and the quality of democracy in this country.

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# The Involvement Of Local Action Groups In Regional Sustainable Development – A Multi-Stakeholder Analysis

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**Abstract:** The multi-stakeholder model, its basis being an extended partnership between different structural entities, is applied in particular socio-economic contexts. It benefits from the complementarity of the competencies and strengths of the partner organizations, but also takes over the difficulties and redundancies specific to joint actions. The paper illustrates the application of this model in rural development in Romania, as a process supported by financing programs of the European Union, especially by financing and developing the organisational role of Local Action Groups. From a methodological point of view, the approach is an integrated one, based on extended documentation at a strategic and operational level, and also on the analysis of the actors who are involved in the Local Action Groups perceptions and their beneficiaries' perspectives, through the investigation with the help of privileged interviews. The analysis highlights several characteristics: reduced managerial capacity, poor communication, statutory ambiguity. The results illustrate the benefits of this multi-stakeholder approach, but also certain dysfunctional aspects of these partnerships. The conclusions aim at the potential role of Local Action Groups in animating communities, but also possible recommendations for overcoming the identified negative aspects: lack of strategic orientation, inadequate documentation of administrative capacity, insufficient allocated resources and reduced autonomy due to the early stage of development.

**Keywords:** multi-stakeholder model, local action groups, financing programs, regional sustainable development.

## 1. INTRODUCTION

In the analysis of regional development, several aspects are considered of increased interest: spatial imbalances – especially urban-rural, growth poles and vectors, social innovation and multi-stakeholder models. Social aspects are unveiled as a core ingredient of innovation, aiming to identify the concrete way in which society manages to be involved in finding specific and appropriate solutions for community development.

The multi-stakeholder model is based on an extensive partnership between structurally different entities that is applied in particular socio-economic contexts. On the one hand, it benefits from the complementarity of the competences and strengths of partner organisations, but it also takes on the difficulties and redundancies specific to joint actions.

The objective of the paper is to illustrate how the multi-stakeholder model is applied in the Romanian countryside, through the Local Action Groups (LAG), supported by the initiatives of the European Union. The research methodology aimed at an integrated approach.

The first step was an extensive documentation, at strategic and operational level. We studied the evaluation reports present on the websites of the Ministry of Agriculture and Rural Development (https://www.madr.ro) and the National Network of Rural Development (https://www.rndr.ro/leader.html). We carried out a descriptive analysis of the LAGs, presenting their evolution over time, their typology, but also structural aspects of the gender of the people involved in their management and the proportion of the various organizations involved in the partnership.

Step two concerned a qualitative analysis of the perceptions of the actors involved in the LAG and their beneficiaries, through a survey through privileged interviews at the level of three LAGs in the North-East Development Region of Romania. The issues covered were the strategic guidelines and the projects supported, but also the difficulties encountered in achieving the partnership and in supporting their development efforts.

## 2. SOCIAL INOVATION AND SUSTAINABLE DEVELOPMENT IN RURAL SPACE

Social innovation is often indicated as an essential point of innovation in rural space. In the debates on the orientation of the common agricultural policy (CAP), the modernisation of agriculture and multifunctional rural development are positioned as contradictory paradigms or as distinct keys for achieving sustainability objectives. Within the paradigm of multifunctional rural development, fundamental social change - in organisation, behaviour and values - is essential, and within this model of change, social innovation appears as a critical part of the solution and the conjoint learning process (Bock, 2012). Changes in urban and rural lifestyles require innovation. Social change leads to the crossing of borders between rural and urban areas and involves a redefinition of the relations between these environments, by mutual borrowing furthermore the spread of new attitudes and values. Modernization processes oriented strictly towards economic objectives, of the productive type, are replaced by the paradigm of regional and local ecosystems of community improvement.

Despite the fact that social innovation appears to be one of the determinants of outstanding regional and rural progress, its function is usually undervalued. Issues of social innovation are not directly concerned in financing programmes, with the main reason for the uncertainties that accompany this concept and its modalities of implementation (Neumeier, 2012).

The essential aspects of regional development aim to identify the societal challenges of rural decline, outline initiatives to boost rural attractiveness through innovative forms of social service delivery, develop solutions and implement solutions through micro-projects. Interaction in social innovation processes must be carried out by actors considered most relevant, with a real connection in the territory and who know the individualized needs of communities. Real collaboration between authorities and local communities delivers a basis for the active public sector to engage in social innovation. Sustainable innovation of social services at local level requires unlimited access to basic services offered by the public system in a top-down approach, while providing a framework to individualised and diversified initiatives in the bottom-up approach (Lindberg, 2017).

Understanding the nature of social innovations incorporates several aspects (Butkevičian, 2009): cultural acceptability, economic sustainability and technological feasibility should characterise them. Knowledge sharing, individual entrepreneurship, social networks, social capital and bottom-up initiatives facilitate the development of social innovations in rural communities. Social innovation should lead to concrete results such as new services, education, organic farming.

In the literature it is widely recognized the important role that innovation plays as an engine of economic growth and development and which is the central element of the concept of knowledge-based economy. On the other hand, the importance of networks and social relations is underlined, also the promotion of innovative development initiatives. Such initiatives require processes of cooperation and collaboration between local actors (authorities, companies, civil society), who possess knowledge and expertise in different fields and who can contribute to the generation and application of innovations. In this context, LEADER initiatives can be seen as true 'innovation laboratories' characterised by a change of perspective in the design and implementation of rural development policies, from sectoral policies centred on agriculture, to multi-sectoral development policies implemented by promoting multi-stakeholder initiatives based on broad partnerships between all local actors (Dargan & Shucksmith , 2008). Thus, there is a need for integrated management of local resources that can contribute to the sustainable development of rural areas, with a view to making use of them in local programmes and projects, where human resources are the most important.

In terms of sustainable management of local resources involved in the rural development process, several important aspects have been highlighted (Dargan & Shucksmith, 2008):

- continuous resource renewal - sustainable management of renewable resources;

- the way of life and continuous improvement of the quality of life in the utilitarian sense (access to resources and utilities), aesthetics (quality and aesthetics of the natural environment) or well-being (health, happiness, etc.);

- Participatory resource management – collaboration and cooperation and all entities related to or interested in the conservation of local resources. The future of rural development depends on

meeting the sustainability condition, which involves sustainable management of local resources and involves the combination of knowledge from different fields and requires the involvement and collaboration of all stakeholders to harness their knowledge and expertise in the design and implementation of development programmes, strategies and projects. Thus, LAGs initiatives can be seen as rural development experiments and models in which the capacities of all local actors are managed, regardless of their field of activity/ expertise.

Given the multi-disciplinary nature of the concept of sustainable rural development, its application requires interdisciplinary collaboration in research activity but also harnessing the synergy capacity of all stakeholders in collaborative and cooperative initiatives, each contributing with their own knowledge and expertise (Bruckmeier & Tovey, 2008).

## 3. MULTISTAKEHOLDER MODEL AND OPERATIONALIZATION THROUGH LOCAL ACTION GROUPS

The sustainable development of the rural area starts from the premise of harmonising (agreeing) the economic, social and natural (ecological) problems faced by rural areas in the process of catching up on the different aspects of well-being towards urban space and in solving all the crisis phenomena they face (Mölders, 2013). The concept of sustainable development is based on two fundamental principles: that of social justice (intergenerational equity) and that of the integrated approach to the needs/interests of stakeholders living or having interdependence links with the rural area.

The integration of sustainability objectives may not always be clear. A declarative or superficial level of integration of these objectives can be highlighted both in funding programmes and at the level of local initiatives (Manolescu et al., 2019). Since the concept of sustainable development is a multidimensional one and aims to raise the level of well-being and quality of life of all rural stakeholders, divergent views, objectives and interests may emerge which need to be harmonised in the development and implementation of programmes, plans or projects aimed at the development of rural areas. Thus, rural development policies and programmes initiated by the European Union are based on stakeholder and multi-level governance approaches, in which negotiation processes are created with a view to harmonising the interests of public and private actors linked to a particular territory/space (Marks 1993; Bache & Flinders 2004). This complex harmonisation process involves multi-stakeholder approaches in which different local/zonal/regional entities collaborate on different levels. In other words, the sustainable development of the countryside is shaped by stakeholders who share different values, have different visions of the entire development process, have their own interests and objectives (Murphy & Chataway, 2005).

The delimitation of the economic and social sectors and the areas of interference between them is the process that generates the actors within the partnerships and their characteristics. At the interface of the public sectors, civil and private for profit there can be joint initiatives, both ways, with the aim of solving common problems and harnessing the specific competences of each actor. Zona of public – private - non-profit interference, which can include business incubators, clusters and local and regional initiative groups (Arustei et al., 2014) demonstrate the possibility of harnessing the synergy of the mechanisms of the three sectors, constitute the operational framework of the multi-stakeholder model. These partnerships that can involve actors in a deep process of prioritization, foundation and commitment, characterize a well-developed institutional system.

Public Private Partnerships (PPPs) are instruments that are frequently used in governing sustainable development in the context of the European Union. PPPs are collaborative/associative structures in which actors from different spheres of society (authorities, economy, civil society) engage in non-hierarchical processes to achieve common interest goals (Bjärstig & Sandström, 2017; Van Huijstee et al., 2007). The establishment of public-private partnerships regardless of their name (public-private networks, multi- or multi-sectoral networks, multi-stakeholder networks) is based on voluntary agreements between public and private entities, helping to raise the level of well-being, in its many forms, by delivering public goods or utilities.

LAGs are such partnerships set up with the aim of initiating coordinated activities at local level to harness the competences and resources of members for sustainable rural development. Social partners involved in such partnerships perform different roles:

- public authorities have a decisive role to play in initiating, structuring, financing, regulating their development and monitoring;

- private actors, in particular heritage organisations, are intended to provide expertise in various fields and funding enabling the association's operational management;

- NGOs are intended to promote and support actions of common interest. The involvement and distribution of power or influence in such partnerships depends on the objectives pursued and can be limited to providing advice in the development of policies or strategies, or can materialise in assuming an operational role, such as: initiating, evaluating, implementing and monitoring projects (Bjärstig & Sandström, 2017).

Local Action Groups are designed as an ad hoc framework for the exchange of ideas, for debates on issues of local interest and for stimulating economic activity initiatives. These local partner structures can self-organize on very real areas and problems and at the urging of local authorities (Mosora, 2012).

Problem assessment, deliberation and negotiation processes can be negatively influenced by imperfect information, as well as by human inability to process information correctly. Each actor in the partnership comes with a cultural baggage influenced by historical, socio-cultural, political and economic aspects, and if decisions were taken unilaterally, it would thus limit the understanding and implicit impact of the decision (Prasad Pant & Hambly Odame, 2006).

The benefits of multi-party processes include (Häring et al., 2009): quality; credibility; increased likelihood of impact and implementation; social gains. The expected results from such processes involving several stakeholders are diverse; how knowledge is produced and spread depends on distinctions between key players, as well as perspectives, interests and expectations. Based on the principles of good governance, multi-stakeholder approaches represent an effective application of the principle of participatory management.

A balance of decision-making forces can be achieved by keeping at regional level areas where expertise is lacking at the local level, but most tasks are transferred to the local level (Medeleanu, 2013). Before any change in territorial organisation, the institutional system of regional development must be carefully analysed and the cultural adequacy of the new models evaluated (Talmaciu, 2015). The approach must be gradual, with constant feedback and flexibility. The balance between local, community and regional levels must be closely monitored from one stage to the next, and the use of positive results and experience gained must be pursued.

LAG associative initiatives enable the endogenous and exogenous sources of development to be exploited by promoting the concept of 'multi-level governance'. This involves achieving the objectives of rural development by making greater use of the creativity and knowledge potential of local actors and by involving all stakeholders in initiating projects that help to raise the level of well-being and quality of life of rural residents. LAGs started on the basis of the LEADER (*Liaisons entre actions de dévelopment de l`économie rurale*) initiative between representatives of local public administrations, representatives of the economic environment and representatives of civil society shall favour the design and implementation of heterogeneous rural development plans involving all actors and initiating actions towards prioritising local development objectives and projects (High & Nemes, 2007). They are intended to provide the necessary framework for promoting innovative initiatives that train and harness endogenous resources: economic, financial, human, cultural, natural, know-how, etc.; by boosting the creativity potential of all actors at local level.

LAG initiatives are closely linked to the concept of social economy which has characteristics: promoting the citizen spirit, social involvement and inclusion, focusing on citizens' issues, participatory approach to local issues, multistakeholder governance and promoting the concept of endogenous development (High & Nemes, 2007). The work of local action groups is based on two important aspects:

- the creation of stakeholder networks that foster learning processes from the experiences of others and knowledge transfer;

- engaging local stakeholders in participatory processes for developing development plans, programmes, strategies and projects that promote the exploitation of local potentialities, in line with the local cultural and institutional context.

A challenge for local action groups (associative initiatives in general) is the tensions that may arise between local and external actors in initiating development projects, food tensions in the way of exercising power and control. Tensions cause instability in any associative initiative and can be mitigated by including representatives of all stakeholders.

At practical level, the accomplishment of multilateral processes essentially relies on the disponibility of distinctive actors to participate and investing energy in the decision-making process without expecting immediate and/ or direct reward. Key players felt the need to take part in such a process because of their expectations to positively influence the future of their community. The regulatory incentives involved in joining the European Union and the need to restructure rural financing programmes, the need to highlight the role of sustainable agriculture in this framework has provided the necessary incentive for the successful involvement of actors in shaping local multi-stakeholder action groups.

An innovative tool has been proposed (Thabrew et al., 2009) to support the planning and implementation of initiatives - Stakeholder Lifecycle Assessment (SBLCA). SBLCA provides support for the decision and can be used in the structuring and analysis of multi-stakeholder associations and, at the same time, to map groups potentially affected by different economic, social and environmental aspects. This generates both quantitative and qualitative information, and together with the knowledge of stakeholders contributes significantly to improving understanding of problems and leads to greater transparency. This can reduce uncertainty and reach a consensus between stakeholders more quickly.

The creation of a multi-party platform has been promoted in recent times as a way to generate agricultural development (Adekunle & Fatunbi, 2012). The Platform allows dialogue with several stakeholders from different international fora, with the aim of increasing productivity in sectors and deficient areas. Each stakeholder group shall perform the task best done on the basis of competences, scope, resources and operation. Private sector practitioners focus on generating profit among stakeholders along the value chain, while public sector stakeholders generate the various results needed for promotion within the public service system.

Multi-stakeholder platforms (MSPs) are seen as a promising tool to increase the impact of rural development. By increasing collaboration, knowledge exchange and mediation influence between farmers, researchers and other stakeholders, it can be assumed that MSPs improve the ability to innovate and assist the expansion of innovations in rural areas. However, there may also be inadvertencies between collaboration, knowledge exchange and influence networks: NGOs and the private sector are, respectively, over- and under-represented in MSP networks, links between local and higher levels are fragile, and the organisations with high notoriety are often not part of MSPs. Collaborations and innovations occur between the same type of organizations (Hermans et al., 2017).

Six key factors were identified as particularly important for successful participation processes (Neumeier, 2017): (1) commitment and (2) the skills of participating actors; (3) organisational structure; (4) the quality of the functional concept; (5) the climate of acceptance/cooperation and (6) access to financial resources.

Negotiations between several stakeholders promised greater visibility, compromises and democracy in decision-making in relations between different interest groups. Thus, the negotiations allowed disadvantaged groups such as small farmers and local producers to come to the public's attention and negotiate formal agreements with strong stakeholders such as corporations, international environmental NGOs, government and local elites. These processes have been increasingly recommended as a means of facilitating public interest decisions and generating collective action in the direction of community development.

It has been pointed out, however, that these benefits for disadvantaged groups depend on how negotiations are undertaken. In some cases, abuses of power and inequity are found under the guise of multistakeholder negotiations (Edmunds & Wollenberg, 2002). Under the appearance of the consensus given by collective discussions, one can exaggerate the level of agreement reached through

negotiations and expose disadvantaged groups to more manipulation and control by stronger stakeholders. In-detail, the participants' detailed information on the groups/ interests represented by the organizers and facilitators, the creation of the possibility of achieving alliances between disadvantaged and powerful groups, the encouragement of the expression of disagreement or doubts, the perception of negotiations as a long-term iterative process and the monitoring of impact and the adjustment of strategies to support disadvantaged groups help to alleviate manipulation problems.

The multi-stakeholder and multi-level governance approaches specific to LAGs initiatives, adopted on the basis of the Leader programme, are characterised by a paradigm shift from one to one of control, to one of cooperation and coordination of efforts, through mechanisms that guide the behaviours of networks of economic, social and political actors (Stoker, 1998; High & Nemes, 2007). Local Action Groups (LAGs) can be seen as institutions based on social contracts, providing an appropriate framework for negotiating and distributing power and influence relations in relations between rural actors, according to North's conception (1990). They may provide the necessary levers for the decentralisation of development processes to regional and local levels, where the influence of civil society representatives and the business environment increases in relation to the authorities (central or local). In this way, there is the possibility of transition from centralist approaches (in which localities/peripheral areas serve the political and economic interests of the central regions), to decentralised approaches, which put the interests of local stakeholder networks first, are the result of a good knowledge of the local context and which promote local control of development processes and benefits.

## 4. ANALYSIS OF LOCAL ACTION GROUPS IN ROMANIA

Local action groups can represent a real opportunity for the development of Rural Romania and, by implication, for the revitalization of small towns included in such structures.

In Romania, Local Action Groups (LAGs) were organized as a formal partnership that brings together private, public and civil society organizations from a rural territory, to which small cities were subsequently added, with the aim of implementing LEADER methods. The size of the covered territory ranges from about 10,000 inhabitants (5,000 inhabitants for the Danube Delta), to areas with about 100,000 / 150,000 inhabitants. LAG members mainly include representatives of local authorities, business groups, social organisations and environmental associations. The main advantage is that it centralises a vast knowledge base on skills and ensures fair coverage of interests.

Following the evolution of the LAG over time, the following mentions can be made: the number of LAGs increased in the two stages of funding from 163 to 239 (double the scheduled level of 120); the majority of LAGs established in the first stage continued their work; area covered at national level has reached 90%; they have diversified – fishing LAGs and urban LAGs.

The econometric correlation between the amounts allocated to LAGs, the population of each LAG and the development index (Mosora, 2012) was tested. The low correlation value is explained by the use only of the publicly financed value for the preparatory phase as a dependent variable. Noteworthy is the negative coefficient associated with the development index of the commune, which shows compliance with the orientation of the formation of LAGs especially in the poorer areas of Romania. On the other hand, the low influence of the total population seems to be paradoxical given that one of the four selection criteria relates to the number of inhabitants in LAGs. It seems that the eligible value is more related to the type of economic project around which each LAG revolves, rather than its demographic size, even if the impact factors of project implementation must also take this into account.

Through the proposed strategies, the LAG has as its priority the resolution of structural problems of sustainable rural development: reduced administrative and community capacity; lack of qualified human resources; poor infrastructure; low quality of life; low economic attractiveness. The bottom-up approach takes into account that the implementation of projects with impact at the micro-region level is difficult due to the lack of working practice in partnership, lack of qualified human resources (Iatco et al., 2008).

The functions performed by LAGs are increasingly complex. Thus, a new challenge arose in the 2014-2020 financial year, as a result of the obligation imposed by the European Union on LAG-s to carry out the evaluation of the implementation of local development strategies (Ministry of Agriculture and Rural Development, 2018). While at first glance the conduct of such an assessment may seem a "burden" for LAGs with a reduced organisational capacity, beyond the obligation to meet an EU-imposed requirement, the benefits of the assessment can be discovered and harnessed for both the success of local development strategies and the learning process within the Local Action Groups.

### 4.1. Results of documentary analysis and discussions

In Romania, the associative initiatives of the LAG type have known a continuous evolution since 2006, when the first multi-stakeholder initiative of this type was established, representing 0.42% of the country's territory and 0.1% of the total population. Thus, according to the data in Table 1 in 2017, the number of LAGs reached 239, occupying 88.57% of the territory and 49.85% of the country's population. A strong dynamic of this type of initiative was registered after the country's accession to the European Union on January 1, 2007. Thus, at the end of the 2007-2013 programming period, 123 LAG associations were registered, representing 49.39% of the territory and 28.48% of the population, and by the middle of the 2014-2021 programming period their number doubled, covering almost the entire Romanian rural area.

Table 1 Evolution of LAGs in Romania

| Year | New established LAG | No total LAG | Occupied Area (Kmp) | Share in Total Area of Romania | People no. | Share of total population |
|---|---|---|---|---|---|---|
| 2006 | 1 | 1 | 991,4 | 0,42 | 19654 | 0,10 |
| 2007 | 4 | 5 | 5312,95 | 2,23 | 190356 | 0,97 |
| 2008 | 1 | 6 | 5847,13 | 2,45 | 225781 | 1,15 |
| 2009 | 10 | 16 | 19494,94 | 8,18 | 699925 | 3,56 |
| 2010 | 27 | 43 | 46384,21 | 19,46 | 1978852 | 10,07 |
| 2011 | 24 | 67 | 71111,28 | 29,83 | 3062130 | 15,59 |
| 2012 | 38 | 105 | 106677,38 | 44,75 | 4821756 | 24,55 |
| 2013 | 18 | 123 | 117575,13 | 49,32 | 5594430 | 28,48 |
| 2014 | 16 | 139 | 128490,45 | 53,90 | 6114022 | 31,12 |
| 2015 | 41 | 180 | 164439,97 | 68,98 | 7698265 | 39,19 |
| 2016 | 57 | 237 | 209771,15 | 87,99 | 9707170 | 49,42 |
| 2017 | 2 | 239 | 211146,74 | 88,57 | 9793458 | 49,85 |

Source: author's calculations

A feature of this type of partnership is the instability of membership. Thus, some local action groups have experienced withdrawals of members and the integration of new members, from one period to another. The average size of a national LAG is 876.12 Kmp / LAG and 40,977 inhabitants / LAG. From the data in Table 2 we can see some homogeneity of the average size of a LAG in the case of 6 development regions, except for the two most developed regions: Bucharest Ilfov Region (predominantly urban) where the average size is much smaller in area and population and the Western Region where the average area of a LAG is almost double.

Regarding the distribution of the LAG in Romania by gender of the president and executive manager (table 3), it can be seen that in the case of the president the male gender predominates (almost 75%), and in the case of the executive manager a relatively balanced distribution between the two genders (54% male executive managers and 46% female).

Table 2 LAG size by development regions

| | Surface | Population |
|---|---|---|

| Region | No GAL | Total (Kmp) | Average (Kmp/GAL) | Total | Average (Loc./GAL) |
|---|---|---|---|---|---|
| North West | 31 | 27318,36 | 881,237 | 1216661 | 39247,1 |
| Center | 34 | 30058,81 | 884,083 | 1122820 | 33024,1 |
| North East | 45 | 35134,66 | 780,77 | 2112876 | 46952,8 |
| South East | 36 | 31630,53 | 878,626 | 1230093 | 34169,3 |
| South Muntenia | 42 | 31862,65 | 758,635 | 1967974 | 46856,5 |
| Bucharest-Ilfov | 4 | 629,16 | 157,29 | 98904 | 24726 |
| South West Oltenia | 27 | 23304,65 | 863,135 | 1171880 | 43403 |
| West | 20 | 31207,92 | 1560,4 | 872250 | 43612,5 |
| Total | 239 | 211146,7 | 876,12 | 9793458 | 40976,8 |

Source: author's calculations

Table 3 Distribution of LAG by gender of President and Executive Manager

| | Female | | Male | |
|---|---|---|---|---|
| | number | % | number | % |
| Gender LAG President | 60 | 25,1 | 179 | 74,8 |
| Gender executive manager | 92 | 46 | 108 | 54 |

Source: author's calculations

Regarding the distribution of the members of the board of directors and the executive team by the two genders (table 4) the following can be observed:

- in the case of the board of directors, the male members predominate. Thus, in 148 LAGs, out of the 179 for which information was available, over 50% of the members are male, and in 143 LAG associations the female members represent less than 50%. In 31 LAGs 100% of the members are male and in no case do we have 100% female members.

- Regarding the gender of the members of the executive team, the situation is the opposite. Thus, in about 70% of cases over 50% of the members of the executive teams are female.

Table 4 Gal distribution by gender of board members and executive team

| Share | Board of Directors | | Executive team | |
|---|---|---|---|---|
| | M | F | M | F |
| 100% | 31 | 0 | 13 | 11 |
| 80% - 90% | 55 | 4 | 5 | 18 |
| 70% - 80% | 21 | 6 | 7 | 30 |
| 60% - 70% | 28 | 12 | 24 | 31 |
| 50% - 60% | 13 | 14 | 30 | 30 |
| under 50% | 31 | 143 | 93 | 53 |

Source: author's calculations

Regarding the distribution of the LAG by the origin of the president (Table 5) it can be seen that in 44.77% of the LAG the president comes from the public sector (representatives of local public authorities), in 32.64% from the private sector, 18.83% they are NGO representatives and only 3.77% come from individuals.

Table 5 Distribution of LAG by provenance of the President

| | | Public | | Private | | NGO | | Individuals | |
|---|---|---|---|---|---|---|---|---|---|
| Region | No GAL | No. | % | No. | % | No. | % | No. | % |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| North West | 31 | 12 | 38,71 | 8 | 25,81 | 7 | 22,58 | 4 | 12,90 |
| Center | 34 | 15 | 44,12 | 9 | 26,47 | 9 | 26,47 | 1 | 2,94 |
| North East | 45 | 25 | 55,56 | 18 | 40,00 | 2 | 4,44 | 0 | 0,00 |
| South East | 36 | 11 | 30,56 | 15 | 41,67 | 10 | 27,78 | 0 | 0,00 |
| South Muntenia | 42 | 17 | 40,48 | 13 | 30,95 | 8 | 19,05 | 4 | 9,52 |
| Bucharest-Ilfov | 4 | 2 | 50,00 | 1 | 25,00 | 1 | 25,00 | 0 | 0,00 |
| South West Oltenia | 27 | 15 | 55,56 | 7 | 25,93 | 5 | 18,52 | 0 | 0,00 |
| West | 20 | 10 | 50,00 | 7 | 35,00 | 3 | 15,00 | 0 | 0,00 |
| Total | 239 | 107 | 44,77 | 78 | 32,64 | 45 | 18,83 | 9 | 3,77 |

Source: author's calculations

Table 6 Distribution of LAG members by development regions by provenance

| | public | | Private | | NGO | | Individuals | | |
|---|---|---|---|---|---|---|---|---|---|
| Region | No. | % | No. | % | No. | % | No. | % | Total |
| North West | 390 | 23,81 | 874 | 53,36 | 363 | 22,16 | 11 | 0,67 | 1638 |
| Center | 374 | 24,74 | 660 | 43,65 | 449 | 29,70 | 29 | 1,92 | 1512 |
| North East | 512 | 24,35 | 1234 | 58,68 | 347 | 16,50 | 10 | 0,48 | 2103 |
| South East | 307 | 27,63 | 639 | 57,52 | 164 | 14,76 | 1 | 0,09 | 1111 |
| South Muntenia | 523 | 25,61 | 1253 | 61,36 | 259 | 12,68 | 7 | 0,34 | 2042 |
| Bucharest-Ilfov | 20 | 20,20 | 67 | 67,68 | 12 | 12,12 | 0 | 0,00 | 99 |
| South West Oltenia | 376 | 26,42 | 839 | 58,96 | 204 | 14,34 | 4 | 0,28 | 1423 |
| West | 312 | 27,23 | 608 | 53,05 | 206 | 17,98 | 20 | 1,75 | 1146 |
| Total | 2814 | 25,41 | 6174 | 55,75 | 2004 | 18,10 | 82 | 0,74 | 11074 |

Source: author's calculations

Table 6 shows the distribution of LAG members by origin. Thus, it can be observed that at national level the largest share is held by members of private companies (55.75%), followed by members belonging to the public sector 25.41%, NGOs, 18.1% and only 0.74% individual members.

## 4.2. Results of qualitative analysis and discussions

The privileged interviews were conducted in three LAGs in the North-East Development Region of Romania. The investigation was used by semi-structured interview. Interviewees were members of the LAG leadership, but at the end of the meeting there were also members of the community beneficiary of the projects carried out. The issues concerned were the evolution of the strategic guidelines, a review of the sustained projects and their results, as well as managerial aspects regarding the structure of the LAG and the way of decision-making, as well as the difficulties encountered in achieving the partnership and supporting their development efforts.

The most important aspects mentioned in the interviews can be summarised as follows:

- In all 3 LAGs there was continuity both temporal (it was established from the first stage) and at the level of the structure of partnership, management and strategic and operational orientations;

- The most important projects were aimed at the development of infrastructure and equipment of local public authorities, for the provision of extensive public services and high quality;

- among the issues flagged by the representatives of the three LAGs are:

(1) Reduced managerial and operational capacity - staff working in the LAG do not have adequate training for the necessary strategic analyses nor are they in sufficient numbers to be able to undertake the activities at the operational level. This weakness is also supported by the conclusions of the analysis at the national level. Thus, the PNDR Analysis Report (https://www.madr.ro/axa-

leader/leader-2014-2020.html) shows that 64% of LAGs say they turn to external consultants for documentation and local development strategies. There are also difficulties in implementing and monitoring their own projects and strategies, only in recent years the specific procedures of this evaluation activity appear, the implementation of specific procedures requiring time. As structures have been established for a relatively short time and partnerships not common at the social level, LAG management declares that they have little autonomy compared to other countries, this being empirically highlighted from the meetings and exchanges of experience conducted with LAG staff from other countries. Given the financing conditions, the syndrome of spending money on the last hundred meters often occurs, which decreases the capacity to plan and implement the steps considered relevant, the rapid spending of the budget being the priority.

(2) Poor communication - flagged at all levels. Thus, potential beneficiaries are unaware of the funding opportunities offered by LAGs, and lag management is accused of poor education by many local producers. Meetings organised by the county and national authorities are considered appropriate, but participation is limited. The materials provided by their network are appreciated, this being highlighted by the results of the studies carried out, in which the LAGs show that they appreciate the meetings organized by RNDR and FNGAL, and more than 90% of respondents consider the published support documentation to be useful or very useful. Poor internal communication capacity, lack of administrative staff is also due to reduced involvement in international studies. Thus, Romania is nominated in the report on the results of a global survey (https://www.rndr.ro/leader.html) on the implementation of LEADER at the level of EU LAGs as being among the countries with the fewest LAGs responding to this survey (8%), together with Hungary (7%).

(3) Statutory ambiguity - LAGs were declared ineligible on certain programmes/measures to which applicants could not be public actors, which limited the ability to make progress in certain areas financed by EU programmes. Although the decision-making power belongs, according to the agreement, to the private sector (public actors do not usually exceed 40% of all partners), the perception is that, in fact, LAGs are under the direct influence of mayors/political power, which can lead to a decrease in confidence on the part of the population, the tendency to change the staff involved in the LAG and a lack of continuity of local strategies.

Although many problematic issues specific to each area have been flagged, at all three meetings possible solutions have been outlined, which can be implemented at the level of local and regional partners. It has been pointed out that from an organizational point of view the trend is positive, over time the LAG acquires new functions and the activity within the network at the national level is dynamic and offers consistent support.

## 5. CONCLUSIONS

The multi-stakeholder model is considered a basic tool for the adequacy of the steps at regional and local level, there are many studies that demonstrate the effectiveness of its application. Being an extensive partnership, between organizations, groups and people with different cultural baggage, takes all the advantages but also the disadvantages of their interaction. Innovative tools - such as multi-stakeholder platforms - can support dynamic, extensive and efficient collaboration. Although many negative elements are recognized in the conduct of LAG activities - lack of strategic orientation, many LAGs being small or medium in size, documentation inappropriate to administrative capacity, insufficient resources allocated, reduced autonomy due to the early stage of development, but also the traditional structuring of power centers, there is no denying their potential role in the animation of communities, so necessary in the context of major regional imbalances and between rural-urban spaces.

Future research may target specific power structures, ways in which the interests of disadvantaged groups are supported, perceptions of transparency.

Possible solutions to increase strategic and operational capacity and to increase the impact of LAG actions are in the direction of professionalization of staff – by identifying the needs of competence and offering certification training programs, by offering individualized consulting, by organizing consulting services at the level of national networks, by regulating the status and eligibility of the

LAG's participation in non-refundable programs. Reputational growth, through targeted actions and a sustained communication plan, transparency growth and a prioritization based on local realities are permanent objectives of these structures.

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# The role of public and private investments in economic growth. The case of Albania

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**Abstract:**

**Research background:** The role of investments in the transformation of transition economies and especially Albanian economy, which inherited deep structural deformations, is very important. The article indicates some of the main features of public and private investments in Albania and aims at argumenting that public investment has a positive impact on GDP, the private investments affect negatively the economic growth level and this effect is not statistically important and the effect of foreign investment is negative and significant also. All of these call for correction of the economic policy and more active role of the state.

**Purpose of the article**: The main aim of this article is to study and analyse the impact of investment especially public and private investment on the economic growth, because it is one of the most important indicators that shows how an economy perform. We have analyzed the mutual effect of selected factors on the economic growth level in long-run and short-run. The selected factors are: domestic investments, private investments, FDI.

**Methodology/methods**: To calculate the impact of those factorson economic growth was used time series data for the period 1998 – 2017. Relying on time series data were made regression and correlation analysis using SPPS-20 program.

**Findings**: Based on the testing results, we conclude that public investments affect pozitively the economic growth level and this effect is statistically important, FDI affect negatively the economic growth level and this effect is also statistically important and the private investments affect negatively the economic growth level and this effect is not statistically important. .

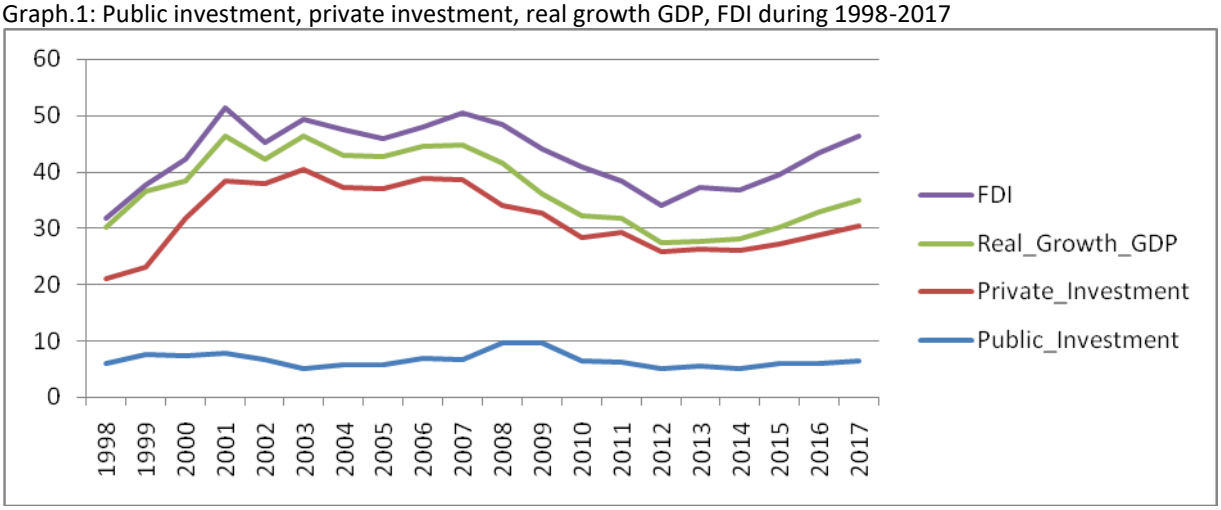
**Keywords**: *Economic growth; Public investment; Private Investment; Co-integration; Granger Causality.*

## 1. Introduction

Albania is a small developing country, its economic performance and growth have been influenced by the impact of internal and external factors. Among the most important internal factors include trade policies and reforms in the financial system. External factors are the economies of the largest trading partners, increased services, FDI, competitiveness and the index of corruption. All of these factors are expected to have different impacts on promoting our country's economic performance. In retrospect, Albania has presented a history of successful development in many aspects, ranging from intensive efforts to establish a market economy, reforms aimed at improving the business climate and economic partner in accordance with the membership requirements in BE and even faster integration into the European international community. Over the past two decades, economic growth has been rapid and steady, and unlike the Balkan countries, Albania has submitted a positive upward trend even during the global economic crisis, despite a significant decline in 2009-2010 (at the time when the effects of the world crisis were felt in Albania). The decline of foreign demand, the increase of uncertainty, the tightening of financing arrangements and the use of foreign funds by the regionhave stunted the economic activity and identified a number of structural problems. Characteristic in the case of Investments is the fact that private investment and FDI follow the real GDP growth line. Public investment has grown the most in times of economic recession (2008 case), public investment increased by 65% compared to a year earlier, at the time of the largest annual growth. The upward trend continued for 2009 as well. In absolute terms, the highest level of public investment was recorded in 2009 at ALL 95.9 billion. Following the steady decline in public investment throughout 2010-2018, 2018 also saw the highest level of public investment since 2010. This budgeted level amounts to ALL 86.4 billion. During 2004-2018, on average, 64% of public investment was financed from internal sources, while 36% from external sources.Each year public investments are dominated

by high levels of domestic financing, with the exception of 2012 where only 44.5% of public investments are financed from domestic sources. 2007 represents the year where public investments are mostly financed from domestic sources, with about 85% of them.In 2016 and 2017, the ratio of internal financing and external financing remained unchanged, where 64% of public investments are from internal financing and 36% from external financing[1].

Graph.1: Public investment, private investment, real growth GDP, FDI during 1998-2017




Source: Elaboration of authors, Database: INSTAT, Ministry of Finance (1998-2017)

Albania's average economic growth during 2000-2008 (pre-crisis period) was at level of 6.2%, being above the average of 5.3% of CEE countries, while the average inflation rate for this period was 2.7%, well below the average of 8.5 % of CEE countries. During 2009- 2011 (crisis and post-crisis period), the Albanian's economy was performed at an average growth rate of about 3.1%, while average inflation was at level of 3.2%, below the average inflation of 3.7% in CEE countries. Albania's impressive economic growth over the past decade is an important achievement. Policies are constantly being taken to keep growth steady and with a positive upward trend from year by year.

## 2. Literature Background

There is a large number of studies for the relationship between the investments's types with the economic growth, concluding that the impact was positive for different economies, while for other economies the result of this relation was negative. The causes were different, but the investment's size and allocation in priority economic sectors remained the determinants in the effectiveness of economic growth. Relying on several studies conducted, many authors around the world, such as: **Ellen R. McGrattan** (2012), **Steve Loris Gui- Diby** (2014), **Simon Feeny, Sasi Iamsiraroj, Mark McGillivray** (2014), **Blomström Magnus ; Persson Håkan** (1983), **Beugelsdijk, Sjoerd; Smeets, Roger; Zwinkels, Remco C.J**. (2008), **Borensztein, Eduardo R.; De Gregorio, José R.; Lee, Jongwha (**1998), **Panagiotis Pegkas** (2015) have concluded that there is a positive relationship between investment and economic growth. On the other hand, several authors such as: **Mohamed Abdouli; Sami Hammami** (2017), **Masron, Tajul Ariffin; Hassan, Mohd Khairul Hisyam (**2016), **Tafirenyika Sunde** (2017), **Soo KhoonGoh, Chung Yan Sam, Robert McNown** (2017) argue the fact that investment, especially foreign direct investment have no impact on economic growth, even though they are considered as a component of GDP. The following studies bring another perspective of the impact of investment on economic growth: According to **Chaido Dritsaki, Emmanouil Stiakakis** (2014) confirm a bidirectional long-run and short-run causal relationship between foreign direct investments, exports and growth. **Sasi Iamsiraroj** (2016) also argued that there is also a possibility of a bi-directional relationship between FDI and economic growth. According to **Khan and Kumar** (1997), public investment can also crowed out private investment when it produces goods and services that compete with the private sector. For the scanty empirical studies that have considered the relative importance of both public and private investment on economic growth, conflicting arguments and

[1]Referring to publications and statistics from Ministry of Finance

results have been reported (**Crowder and Himarios, 1997**; **Khan and Kumar, 1997**; **Nazmi and Ramirez, 1997**; **Odedokun, 1997; Yang, 2006**). Meanwhile the existence of a bidirectional relationship between FDI and economic growth have proved: **Sasi Iamsiraroj**; **Samuel Adams; Eric Evans Osei Opoku and Chaido Dritsaki, Emmanouil Stiakakis** but in some case foreign direct investment do not have the expected positive impact on the economic growth because there are other factors that indicate each other.

Another point of view is given by the authors **Blomström Magnus; Persson Håkan** (1983). They argued the fact that if there is a positive relation between efficiency of domestic plants and the foreign participation of various industries they concluded that there is a spillover of technical efficiency. An earlier study realized from **Blejer and Khan** (1984) evidenced that public investment in infrastructure is complementary to private investment, while other types of public investment lead to crowding out of private investment. **Landau** (1986) used OLS method, examines the relationship between government expenditure, revenue and economic growth. The result indicates that each type of expenditure has either significant negative or insignificant positive effect on economic growth.

In more details in their study **Easterly and Rebelo** (1993) find that only public investment in transport and communication generates positive effect on economic growth for a mixed sample of both developed and developing countries. But this point of view is contested by **Deverajan** et al (1996) where in their result show that public capital expenditure has a negative effect on economic growth for developing countries, and the effect dramatically reverse for developed countries. Accord to them, these expenditures normally considered productive could become unproductive if there is an excessive amount of them. According to **Khan and Kumar (1997)**, public investment can also crowd-out private investment when it produces goods and services that competewith the private sector. This is especially so when the State actively participatesin commercial sector projects where the private sector is known to be moreefficient and has a higher and increasing marginal productivity than its counterpart. This economic arrangement would choke private investment growth through its displacement in the product market **Borensztein, Eduardo R.; De Gregorio, José R.; Lee, Jongwha (**1998) concluded that FDI contributes to economic growth only when a sufficient absorptive capability of the advanced technologies is available in the host economy. **De Mello** (1999) founds positive effects of FDI on economic growth in both developing and developed countries but conclude that the long-term growth in host countries is determined by the spillovers of technology and knowledge from the investing countries to host countries. This partial correlation between public and private investment was studied by **Everhart and Sumlinski** (2001). They find some evidence of a negative correlation appears to be positive for the countries with better institutions.

**Carkovic dhe Levine** (2002) argued that FDI can cause the collapseof the local industry that do not have the technology and cannot afford the competiveness of foreign firms investing in developing countries. Due to the spillover, know-how and domestic crowding effects, the firms shrink in short-run causing a negative correlation with economic growth. **Alfaro** (2003) suggests that total FDI exerts an ambiguous effect on growth. Foreign direct investments in the primary sector, however, tend to have a negative effect on growth, while investment in manufacturing a positive one. **La Struga** (2005) explore that impact and in his result show that both public investment and FDI have a positive relationship with economic growth. A significant study has been done by **Beugelsdijk, Sjoerd; Smeets, Roger; Zwinkels, Remco C.J**. (2008) for the impact of horizontal and vertical FDI on host's country economic growth. They found that horizontal and vertical FDI have positive and significant growth effects in developed countries. Moreover, their results indicated a superior growth effect of horizontal FDI over vertical FDI. In line with existing literature, they found no significant effects of horizontal or vertical FDI in developing countries. **Vu and Noy** (2009) in their results show that FDI has a positive effect on economic growth directly and through its interaction with the work. Moreover, they find that the effects appear to be very different in different countries and economic sectors. According to **Ellen R. Mc Grattan** (2012) shows that the lack of empirical evidence is consistent with theory if countries are in transition to FDI openness. Although no systematic benefits of FDI openness are found, the model demonstrates that the eventual gains in growth and welfare can be huge, especially for small countries. Jen-Eem Chen (2012) claimed that there exists a positive long-run relationship between outward FDI and growth as well as long-run bi-directional causation between them. In the short-run, we do not find Granger-causality between outward FDI and growth. **D. Gomes Neto, FJ Veiga** (2013) studied empirically the

role of foreign direct investment on growth through the diffusion of technology and innovation. The authors found that these two mechanisms have a positive effect on productivity growth and GDP growth. **Steve LorisGui-Diby** (2014), studied the impact of foreign direct investments oneconomic growth in Africa. They found that FDI inflows had a significant positive impact on economic growth. The scarcity of qualified human resources did not limit the impact of FDI. **Simon Feeny, Sasi Iamsiraroj, Mark Mc Gillivray** (2014) concluded that FDI is associated with higher rates of economic growth in the Pacific. A 10% increase in the ratio of FDI to host Gross Domestic Product (GDP) is associated with higher growth of about 2% in all countries on average. In their article Mohammed Ameen Fadhi, Mahmoud Khalid Almsafir found out that FDI inflows together with the human capital development contribute strongly to the host country's economic growth. But the technology spillovers of FDI inflows are still not sufficiently combined with human capital to contribute to the economic growth. **Panagiotis Pegkas** (2015), in his empirical analysis reveals that there is a positive long-run cointegrating relationship between FDI stock and economic growth. The results also indicate that the stock of foreign direct investment is a significant factor that positively affects economic growth in the Eurozone countries for the 2002–2012 period.

The following studies bring another perspective of the impact of investment on economic growth: According to **Chaido Dritsaki, Emmanouil Stiakakis** (2014) confirm a bi-directional long run and short run causal relationship between foreign direct investments, exports and growth. The results of the research indicate that foreign direct investment do not have the expected positive impact on the economic growth. **Samuel Adams; Eric Evans Osei Opoku** (2015) show that both FDI and regulations (total regulations, credit market regulations, business regulations and labor market regulations) do not have an independent significant effect, however, their interaction has a significant positive effect on economic growth. **Sasi Iamsiraroj** (2016) also argued that there is also a possibility of a bi-directional relationship between FDI and economic growth. Results from the estimation indicate that overall effects of FDI are positively associated with growth and vice versa; whereas labor force, trade openness and economic freedom are other key determinants of FDI, which in turn stimulate income growth further.

**Masron, Tajul Ariffin; Hassan, Mohd Khairul Hisyam** (2016) observed that there is no guarantee that FDI inflows into various sectors within manufacturing industry will generate positive externalities. **Mohamed Abdouli; Sami Hammami** (2017) concluded that there is unidirectional causality from FDI inflows to economic growth. In his article, **Tafirenyika Sunde** (2017) confirmed cointegration between economic growth, foreign direct investment and exports. It indicates that both foreign direct investment and exports spur economic growth contrary to some studies, which found that FDI does not cause economic growth. **Soo Khoon Goh, Chung Yan Sam, Robert McNown** (2017) used a newly developed cointegration test, the bootstrap autoregressive distributed lag (ARDL), to examine long-run relationship among foreign direct investment (FDI), exports, and gross domestic product (GDP) in selected Asian economies. Their tests fail to find evidence of cointegration when GDP is the dependent variable. The absence of a long-run forcing relation from FDI and exports to GDP implies that FDI and exports were not the sole sources of economic growthin that economies. **Jai S. Mah** (2010) examines the causality between FDI inflows and economic growth in case of China using a small sample cointegration test. The empirical results show that since economic reform FDI inflows have not caused economic growth, but the latter has caused the former. Anis Omri, Bassem Kahouli (2014) in their empirical results show that there is bi-directional causal relationship between foreign investment and economic growth, as well as domestic capital and economic growth, and there is uni-directional causal relationship from foreign direct investment to domestic capital for the region as a whole. Another context is provided by **Brian J. Aitken and Ann E.Harrison.** They find that foreign equity participation is positively correlated with plant productivity (the “own-plant” effect), but this relationship is only robust for small enterprises. They then test for spillovers from joint ventures to plants with no foreign investment. Foreign investment negatively affects the productivity of domestically owned plants. The net impact of foreign investment, taking into account these two offsetting effects, is quite small. The gains from foreign investment appear to be entirely captured by joint ventures. Another point of view was determinded by **Tam Bang Vua, Ilan Noy (2009),** who concluded that empirical studies on foreign direct investment (FDI) and growth in developed countries have yielded conflicting results using cross-country regressions. They use sectoral data for a group of six country members of the OECD. Their results show that FDI has positive, or no statistically

discernible, effect on economic growth directly and through its interaction with labor. Moreover, they find the effects seem to be very different across countries and economic sectors.

## 3. Research Methodology

### 3.1 Test of normality

Before we create the model, we have tested the depended variable if it has normal spread. Below we have represented the results of the test.

Table no. 1 Tests of Normality in long- run

**Tests of Normality**

| | Kolmogorov-Smirnov[a] | | | Shapiro-Wilk | | |
|---|---|---|---|---|---|---|
| | Statistic | Df | Sig. | Statistic | Df | Sig. |
| Real_Growth_GDP | .150 | 20 | .200* | .916 | 20 | .084 |

*. This is a lower bound of the true significance.

a. Lilliefors Significance Correction

Table no.2 Tests of Normality in short- run

**Tests of Normality**

| | Kolmogorov-Smirnov[a] | | | Shapiro-Wilk | | |
|---|---|---|---|---|---|---|
| | Statistic | Df | Sig. | Statistic | Df | Sig. |
| Real_Growth_GDP | .196 | 5 | .200* | .915 | 5 | .497 |

*. This is a lower bound of the true significance.

a. Lilliefors Significance Correction

According to normality test we calculate Kolmogorov-Smirnov and Shapiro-Wilk coefficient which values are higher than 0.05. Dependent variable, in this case economic growth is normal for long term and short-term period of time. Then in other part of study we used linear multiple regression model to calculate allocated impact of variables in economic growth.

### 3.2 Model Specification

In this study we used as independent variables the investment categories calculated in % of PBB, while as dependent variable the real economic growth calculated in % too.

Firstly, we studied the influence of each variable in economic growth and the correlation between them. The study is made in dy periods of time: long term period and short term period. The study results are explained in tables in the end of the document.

### 3.3. Hypothesis

This research is based on the following hypothesis which will be tested for above mentioned

regression model.

Ho: Private Investment, Public Investment, FDI have not any effect on economic growth.

H1: Private Investment, Public Investment, FDI have effect on economic growth.

### 3.4 Empirical Results

To calculate the impact of the variables on the level of GDP was used time series data for the period 1997 – 2017. Relying on time series data was made regression analysis using SPPS-21 program. The test results are shown in the table below:

Table nr.3: Summary of multiple regression results

| Variables (%GDP) | Coefficient β | | Significance | |
|---|---|---|---|---|
| | Long Run | Short Run | Long Run | Short Run |
| Private_Investment | -.107 | -0.004 | .191 | 0.998 |
| Public_Investment | .742 | 1.307 | .045 | 0.697 |
| FDI | -.671 | 0.030 | .000 | 0.972 |

In the table we see that determinable coefficient $R^2$ = 0.63 calculated during short term period while $R^2$ =0.618 during long term period. We concluded that in both periods the significative power is relatively high. When we use F test we see the importance of model. In short term period the results is not likeable because p =0.718 >0.05 so hipothesis ( $H_0$ ) is proved. So independent variables have not any effect on dependent variables.

In long term period p= 0.001 <0.05 which shows that independet variables explains the difference of depedent variables in model.This means that hypothesis ( $H_0$ ) is no longer true because hypothesis of research (Ha) is proved. In conclusion during long-term period independent variables influences on dependent variables. In order to allocate which of independent variables are important according to dependet variables we have to calculate regresion coefficient by t test. From results we conclude that:

Public investments have positive impacts in Economic Growth while FDI has negative impact but is important for both variables only in long term period. In this period p value for public investment is 0.045 <0.05 while for FDI p value is 0.00 <0.005. While private investment has negative impact on economic growth but it is not important because p value = 0.191 > 0.05. According to regression tables we can write the equation:

GDP= 7.127 + 0.742 Public Invest - 0.671FDI + 1.10090

In this equation we write coefficient (B) only for independent variables, impact of which is important for dependent variables.

## Summary and Conclusions

Public investment has a positive impact on GDP, which effect is significant. In addition, the outcomes also show that public investment has crowding- out effect on net private investment so it results on a higher private domestic investment. The effect of foreign investment is negativ and significant also.

Impact of independent variables on dependent ones is shown in graphical and econometric analysis. According to graphical analysis we prove that it exists a positive correlation between IHD and gross inside product. The reason why empiric result does not give the expectance result, might be correlation between independent variables which are part of this analysis. We want to emphasize that regardless the results of the study, IHD has positive impact in economy of a country because employment and incomesareincreased. Finally based on result of our study we conclude that public investments improve economic situation of a country. We will have a stable economy if a lot of investments are made in a country.

Finally we suggest:

- Government should make more efforts to develop national human capital to attract and serve for FDI inflows. Moreover, the openness of the economy and the foreign exchange environment shall continue moving in favourable track.
- Powerful encouragement of initiatives dhe investments in economic sectors which provide huge regional economic growth. So government should be focused on branches of economy that develop regional trade. In Albania our priority should be focused on stimulation of agriculture production and their export outside country, handicrafts, tourism and tradional products.
- The impact of public investment on growth depends significantly on the quality of governance.
- If we have more and more collaborations between foreign and local companies, we will have an increased quantity of productions in our country and this results on positive economic growth.

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## Appendix

**1. List of tables**

Table No.1 Tests of Normality- Long Run

| | Kolmogorov-Smirnov[a] | | | Shapiro-Wilk | | |
|---|---|---|---|---|---|---|
| | Statistic | df | Sig. | Statistic | df | Sig. |
| Real_Growth_GDP | .150 | 20 | .200* | .916 | 20 | .084 |

*. This is a lower bound of the true significance.

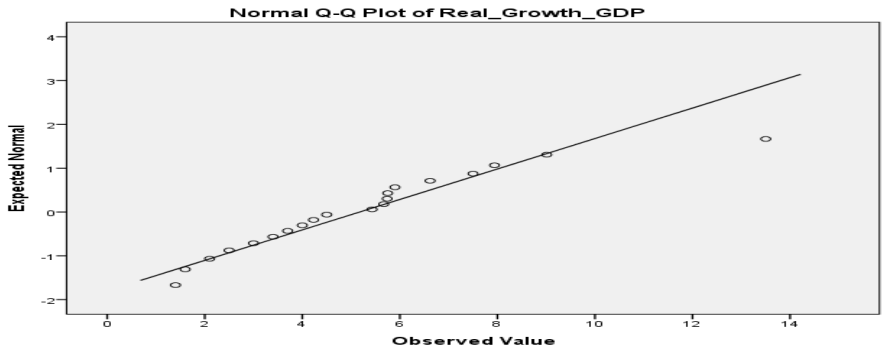
a. Lilliefors Significance Correction

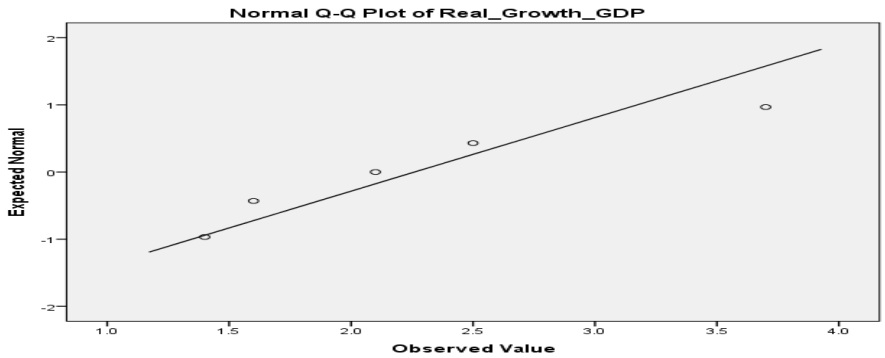
Table No.2 Tests of Normality- Short Run

| | Kolmogorov-Smirnov[a] | | | Shapiro-Wilk | | |
|---|---|---|---|---|---|---|
| | Statistic | df | Sig. | Statistic | df | Sig. |
| Real_Growth_GDP | .196 | 5 | .200* | .915 | 5 | .497 |

*. This is a lower bound of the true significance.

a. Lilliefors Significance Correction




**Regression 1**

**Variables Entered/Removed[a]**

| Model | Variables Entered | Variables Removed | Method |
|---|---|---|---|
| 1 | FDI, Public_Investments, Private_Investments[b] | . | Enter |

a. Dependent Variable: Real_Growth_GDP

b. All requested variables entered.

**Model Summary – Long Run**

| Model | R | R Square | Adjusted R Square | Std. Error of the Estimate |
|---|---|---|---|---|
| 1 | .786[a] | .618 | .546 | 1.93700 |

a. Predictors: (Constant), FDI, Public_Investments, Private_Investments

**ANOVAa**

| Model | | Sum of Squares | df | Mean Square | F | Sig. |
|---|---|---|---|---|---|---|
| 1 | Regression | 97.035 | 3 | 32.345 | 8.621 | .001[b] |
| | Residual | 60.031 | 16 | 3.752 | | |
| | Total | 157.066 | 19 | | | |

a. Dependent Variable: Real_Growth_GDP

b. Predictors: (Constant), FDI, Public_Investments, Private_Investments

**Coefficients[a]**

| Model | | Unstandardized Coefficients | | Standardized Coefficients | t | Sig. |
|---|---|---|---|---|---|---|
| | | B | Std. Error | Beta | | |
| 1 | (Constant) | 7.127 | 3.413 | | 2.088 | .053 |

| | | | | | | |
|---|---|---|---|---|---|---|
| | Public_Investments | .742 | .341 | .337 | 2.174 | .045 |
| | Private_Investments | -.107 | .079 | -.218 | -1.365 | .191 |
| | FDI | -.671 | .151 | -.707 | -4.433 | .000 |

a. Dependent Variable: Real_Growth_GDP

**Model Summary- Short Run**

| Model | R | R Square | Adjusted R Square | Std. Error of the Estimate |
|---|---|---|---|---|
| 2 | .798[a] | .636 | -.455 | 1.10090 |

a. Predictors: (Constant), FDI, Public_Investments, Private_Investments

**ANOVA[a]**

| Model | | Sum of Squares | df | Mean Square | F | Sig. |
|---|---|---|---|---|---|---|
| 2 | Regression | 2.120 | 3 | .707 | .583 | .718[b] |
| | Residual | 1.212 | 1 | 1.212 | | |
| | Total | 3.332 | 4 | | | |

a. Dependent Variable: Real_Growth_GDP

b. Predictors: (Constant), FDI, Public_Investments, Private_Investments

**Coefficients[a]**

| Model | | Unstandardized Coefficients | | Standardized Coefficients | t | Sig. |
|---|---|---|---|---|---|---|
| | | B | Std. Error | Beta | | |
| 2 | (Constant) | -5.235 | 22.322 | | -.235 | .853 |
| | Public_Investments | 1.307 | 2.538 | .800 | .515 | .697 |
| | Private_Investments | -.004 | 1.411 | -.005 | -.003 | .998 |
| | FDI | .030 | .665 | .043 | .045 | .972 |

a. Dependent Variable: Real_Growth_GDP

**Correlations in Long Run and Short Run**

**Correlations – Long Run**

| | | Real_Growth_GDP | Public_Investments | Private_Investments | FDI |
|---|---|---|---|---|---|
| Real_Growth_GDP | Pearson Correlation | 1 | .382 | -.069 | -.670** |
| | Sig. (2-tailed) | | .096 | .772 | .001 |
| | N | 20 | 20 | 20 | 20 |
| Public_Investments | Pearson Correlation | .382 | 1 | -.060 | -.045 |
| | Sig. (2-tailed) | .096 | | .801 | .850 |
| | N | 20 | 20 | 20 | 20 |
| Private_Investment | Pearson Correlation | -.069 | -.060 | 1 | -.239 |

| | | | | | |
|---|---|---|---|---|---|
| s | Sig. (2-tailed) | .772 | .801 | | .310 |
| | N | 20 | 20 | 20 | 20 |
| FDI | Pearson Correlation | -.670** | -.045 | -.239 | 1 |
| | Sig. (2-tailed) | .001 | .850 | .310 | |
| | N | 20 | 20 | 20 | 20 |

**. Correlation is significant at the 0.01 level (2-tailed).

**Correlations – Long Run**

| | | | Real_Growth_GDP | Public_Investments | Private_Investments | FDI |
|---|---|---|---|---|---|---|
| Spearman's rho | Real_Growth_GDP | Correlation Coefficient | 1.000 | .477* | .290 | -.642** |
| | | Sig. (2-tailed) | . | .033 | .216 | .002 |
| | | N | 20 | 20 | 20 | 20 |
| | Public_Investments | Correlation Coefficient | .477* | 1.000 | .143 | -.111 |
| | | Sig. (2-tailed) | .033 | . | .549 | .640 |
| | | N | 20 | 20 | 20 | 20 |
| | Private_Investments | Correlation Coefficient | .290 | .143 | 1.000 | -.287 |
| | | Sig. (2-tailed) | .216 | .549 | . | .219 |
| | | N | 20 | 20 | 20 | 20 |
| | FDI | Correlation Coefficient | -.642** | -.111 | -.287 | 1.000 |
| | | Sig. (2-tailed) | .002 | .640 | .219 | . |
| | | N | 20 | 20 | 20 | 20 |

*. Correlation is significant at the 0.05 level (2-tailed).

**. Correlation is significant at the 0.01 level (2-tailed).

**Correlations- Short Run**

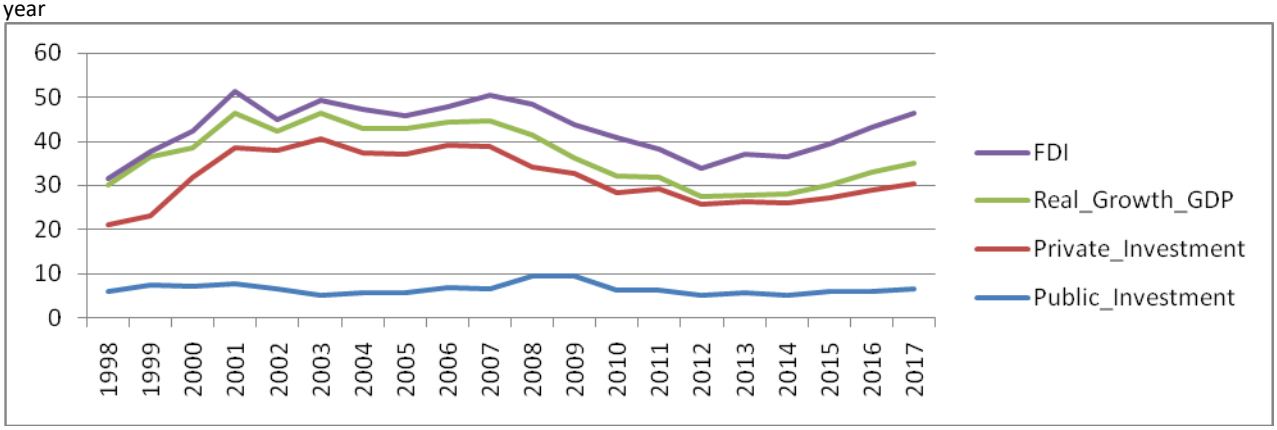
| | | Real_Growth_GDP | Public_Investments | Private_Investments | FDI |
|---|---|---|---|---|---|
| Real_Growth_GDP | Pearson Correlation | 1 | .796 | .640 | .060 |
| | Sig. (2-tailed) | | .107 | .245 | .924 |
| | N | 5 | 5 | 5 | 5 |
| Public_Investments | Pearson Correlation | .796 | 1 | .829 | .019 |
| | Sig. (2-tailed) | .107 | | .083 | .976 |
| | N | 5 | 5 | 5 | 5 |
| Private_Investments | Pearson Correlation | .640 | .829 | 1 | -.418 |
| | Sig. (2-tailed) | .245 | .083 | | .484 |
| | N | 5 | 5 | 5 | 5 |
| FDI | Pearson Correlation | .060 | .019 | -.418 | 1 |

| | | | | | |
|---|---|---|---|---|---|
| | Sig. (2-tailed) | .924 | .976 | .484 | |
| | N | 5 | 5 | 5 | 5 |

**Correlations- Short Run**

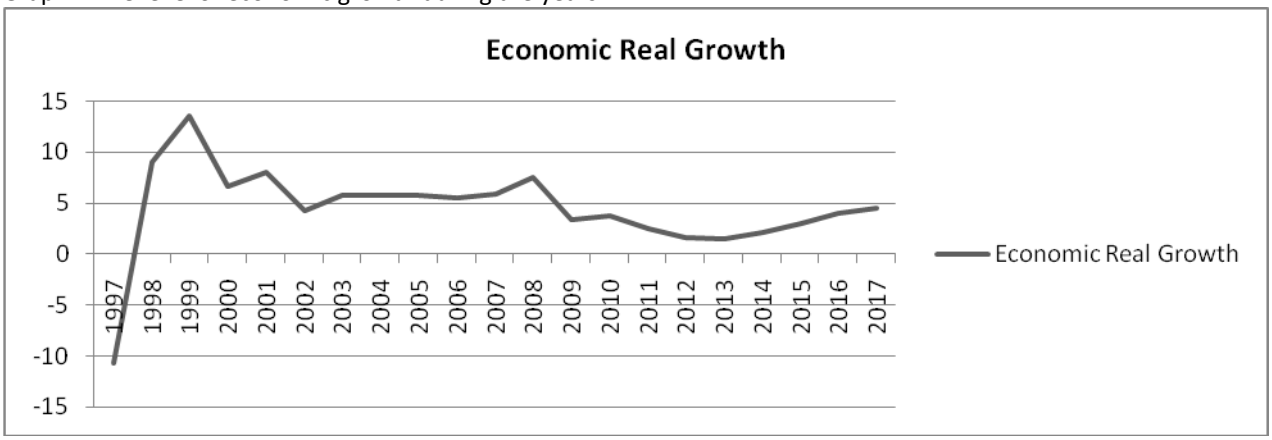
| | | | Real_Growth_GDP | Public_Investments | Private_Investments | FDI |
|---|---|---|---|---|---|---|
| Spearman's rho | Real_Growth_GDP | Correlation Coefficient | 1.000 | .667 | .872 | -.300 |
| | | Sig. (2-tailed) | . | .219 | .054 | .624 |
| | | N | 5 | 5 | 5 | 5 |
| | Public_Investments | Correlation Coefficient | .667 | 1.000 | .658 | .154 |
| | | Sig. (2-tailed) | .219 | . | .227 | .805 |
| | | N | 5 | 5 | 5 | 5 |
| | Private_Investments | Correlation Coefficient | .872 | .658 | 1.000 | -.462 |
| | | Sig. (2-tailed) | .054 | .227 | . | .434 |
| | | N | 5 | 5 | 5 | 5 |
| | FDI | Correlation Coefficient | -.300 | .154 | -.462 | 1.000 |
| | | Sig. (2-tailed) | .624 | .805 | .434 | . |
| | | N | 5 | 5 | 5 | 5 |

Graph.1 The level of public investments and private investments during the year




Source: INSTAT 1997-2017

Graph.2 The level of economic growth during the years




Source: Elaboration of authors; INSTAT, Bank of Albania, Ministry of Finance and Economy; World Bank

# The Impact of Mental Resilience on the Management of the Complex Work Object of Primary School Principals

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**Abstract:** The management of each school unit is the greatest challenge that a school principal is called to face, as soon as he is required to combine leadership skills, broad skills, efficiency, ingenuity in dealing with crises that arise daily within a school community, in parallel with and combined with the culture that he is called to shape but also, to be a role model, both for his colleagues and for his students, as the main person in charge, of this picture of society. Thus, the purpose of this study is to determine whether the mental resilience and complex psycho-emotional skills possessed by a school principal, help him to adequately cope with the duties and responsibilities defined by his role.

The study focuses on primary school principals,this means to kindergartens and primary schools that are the core of compulsory education in Greece, having the largest number of students per school unit, and therefore their management seems to be particularly demanding. The sub-objectives of this study are to highlight the skills and weaknesses that the managers face during the carrying out of their duties, their roles and responsibilities, as well as the tools they use to perform their work effectively. The sample of the study will be the principals of formal and special education units of a specific region in Greece, while the analyzes will be obtained through the respective questionnaires and the relevant reports of the participating principals. The results of the present study can be used for further investigation of the mental reserves and the mental involvement of teachers - principals.

**Keywords:**leadership skills, mental resilience, primary education, principals, demanding role

## 1. Introduction

Achieving having a school capable of meeting modern real needs and requirements, presupposes a high quality educational environment. The main actors of this quality approach are all teachers and especially school principals and especially higher authorities, who are called to meet the multidimensional needs of the modern school. The acquisition of basic skills, such as leadership, management, psychoanalysis, etc., presupposes the existence of training programs that are addressed to executives of education and take into account the needs presented in this field. Upgrading the professional development programs of teachers and educators, is a key factor in providing better educational processes, introducing reforms and necessary educational policies.

The concept of school effectiveness in recent decades is referred to, as a counterweight to the view of school as a mechanism of reproduction, of educational and social inequalities and its theoretical background, emphasizes the active role of school in improving the level of students (Pasias, 2017). According to Edmond (1979), founder of the effective school movement, research in schools in poor areas of the United States, has concluded that all children are educable and that school behavior is critical to the quality of education provided, which presupposes that the public fair school teaches poor students as well as students of the middle and upper social strata.

Clearly the criteria for defining effectiveness, include political and social choices, but a school is effective when it has quality education and equal learning opportunities for all, but also when the staff involved are actively and energetically involved with vigor and will, guided by democratic and decisive leadership (Lezotte, 1989). Through this position, the importance of the management and its executives is emphasized once again, and especially in primary education, where the foundations of school attendance and the educational pedagogical process are laid.

A major element for the school community is the mental resilience of its members. In the complex and multidimensional educational work, it is considered necessary and imperative to have many different abilities and skills, with the predominant one being mental resilience, since teachers are called upon to face daily multiple challenges that require huge mental reserves. A prerequisite for a person to be considered mentally resilient is whether they are better adapted than expected, based on the data of the conditions they experience (Wright & Masten, 2015).

Psychological adequacy is a key criterion for mental resilience and refers to the effective adaptation of the individual to his environment, which is inferred from the way he has faced in the past or continues to face as defined within the specific cultural and historical context in which he lives. The indicators of a manager's psychological competence, for example, are the quality of relationships with his colleagues, work performance, self-esteem, positive emotional mood, the absence of dysfunctional behaviors, etc. The personal competence characteristics of adults generally refer to extroversion, to self-control, to positive self-perception, to the sense of self-effectiveness, to self-esteem, to the positive assessment of events, to optimism, to the regulation of emotions, to the active management of difficulties, in humor, etc. (Herrmanetal., 2011; Hornor, 2016).

## 2. Mental Resilience: A Holistic Approach

### 2.1 Mental Resilience - Conceptual References

The term "resilience" in the field of social sciences defines the adaptive ability of the individual to respond positively and successfully to the needs and requirements of the environment and despite obstacles, dangers or threats, to recover after traumatic events (Bonnano, 2017). In Psychology the term is used to describe the ability to recover from negative emotional experiences and the flexibility to adapt to the required changes from a stressful event (Lazarus, 1993). It also refers to the individual's resistance to adversity or recovery from stressful situations and his empowerment in future similar situations (Rutter, 2006, 2012).

AnnMasten (2001) refers to mental resilience as the ability of an individual to manage challenges and difficulties in all situations and areas of life and to return without collapsing after adversity, emphasizing that resilience is based on fundamental systems of human functioning and survival, and represents an adaptive mechanism of the individual to deal with stressors and difficulties.

George Bonnano (2004) focused on traumatic events, defining mental resilience as "the stable trajectory of a person's healthy functioning after a particularly adverse event" and that successful adaptation depends not so much on any regulatory process but on ability to flexibly reinforce or suppress emotional expression according to the requirements of the situation.

Rachel Yehuda (2007) presented Mental Resilience as the opposite of psychopathology or post-traumatic stress disorder and focused on the biological changes that take place to adapt to the environment as well as a number of other available resources which the individual has (support system, opportunities, better DNA, etc.).

### 2.2 Aspects and Dimensions of Mental Endurance

Other scholars consider Mental Resilience to be an extension of the ability to manage stress and define it as a return to normal mental state and healthy functioning. Others also focus on results that may be different in each individual, due to the diversity of human reactions based on their individual differences. It can be positive for resilient individuals, while the opposite is true for vulnerable individuals and in some cases negative prior experience or experienced adversity leads to individual empowerment and stronger resistance to future stress (Rutter, 2006).

In this context, we are talking about personal resilience and protective sources refer to personality traits of the individual such as: a) the "sense of dominance" which includes optimism, self-efficacy and adaptability, b) the sense of kinship, i.e. the emphasis that is given to close interpersonal relationships and access to support from people with whom a bond of trust has been developed; c) "emotional reactivity" refers to the individual's rapid response to negative emotional stimuli; d) the meaning of life derived from spirituality; and the positive expectation in the future (Schneider, 2018).

According to Wright & Masten (2015), *"in modern dynamic, open systems, the behavior of the individual system is influenced by many interactions of each system with the others."* Human adaptation depends on the interaction of many systems in which the individual lives and operates and so Mental Resilience must be seen as the result of this interaction of the individual within the biological, psychological, sociological and cultural system that develops and interacts.

The basic dimensions of Mental Resilience emerge from its very definition, as expressed in many variations of the various theories. The first refers to the adversities in which the person is forced to live, the second refers to the protective factors and processes that help the mentally resilient person to avoid the negative effects of risk factors and the third dimension to the fact that, despite the adversities, the individual is well-adjusted and psychologically adequate (Rutter, 1993).

Bonanno, Romero, & Klein (2015) argue that we should treat the concept of Mental Resilience as an extended concept and as an "umbrella" phenomenon, which includes a large number of elements, which are temporally related and cannot be understood individually. A relatively simple model they suggest includes:

• The basic degree of adaptability before adversity, from which the reaction mode and results are derived.

• The facts and the actual conditions of adversity.

• The results and the reaction after adversity, which refer to both the basic adaptation and the conditions of adversity.

•Measuring the prediction of resilience outcomes before during and after adversity.

## 2.3 The Protective Factors of Mental Resilience

Factors that mitigate or modify the effects of risk factors in a positive direction to achieve positive results are called protective factors (Truffino, 2010). The categories of factors that can theoretically act as protectors for the psychological adequacy and mental health of people experiencing adverse conditions and stressful situations include personal factors (temperament, intelligence, cognitive abilities, individual resilience, etc.), quality relationships with family and connections with people in the wider environment (safe neighborhood, quality school, leisure activities), social support and interpersonal relationships (participation in clubs, friendships, social networks, etc.), the protective function of religion, as well as the creation of "meaning in life" through a value system (Garmezy, 1993; Masten, 2005; Luthar, 2006; Masten, 2012; Mansfield, Beltman, & Price, 2014; Ungar, 2014; Bonanno, Romero, & Klein, 2015; Siepel et al., 2015; Schneider, 2018).

The enhancement of the above factors helps primarily in the healthy development of the individual, in self-efficacy, in self-regulation, but also in the dynamic treatment of conjuncturally demanding life situations. Also, all of the above factors (whether they are positive, so they act as protective factors, or are negative and act as risk factors) are not static. Instead, they are fluid and change over time or as situations change.

## 2.4 The Basic Models of Mental Endurance

In the most commonly required models of Mental Endurance, we find the following:

• The Compensatory Model, which treats resilience as a factor that neutralizes risk exposure. In the study of Werner & Smith (2001), four main characteristics of the person with mental resilience are mentioned: a) active attitude in problem solving, b) tendency to positively deal with experiences even

if they are negative, c) ability to gain positive attention of other people and d) strong faith and confidence in the positive side of life (Ledesma, 2014).

• The Challenge Model, according to which risk factors can actually extend an individual's ability to adapt. Negative experiences, that is, essentially prepare the person for possible adversity and possible difficult situations that the person will have to face in the future. (McEwen, Gray & Nasca, 2015).

• The Immunity to Vulnerability Model, according to which there is an interaction between protective factors and risk factors that reduce the negative effects or mitigate the effect of exposure to risk. This model of resilience suggests that protective factors help the individual's positive reactions and the development of healthy personal characteristics despite adverse conditions, experiences and situations. Protective factors also include emotional skills, intrapersonal reaction skills, academic and work skills, self-esteem, life skills, planning and problem solving (Ungar, 2004).

## 3. Mental Resilience in Educational Administration

### 3.1 Introductory Report

Although the majority of studies on Mental Resilience were initially focused on children and young people (Bonanno, 2004), it has been shown that this ability works widely and is applied in the workplace, either as a characteristic of the individual coping with difficulties or as a recovery process of the individual or organization from adversity, either as a result of experience and learning about future stressful situations, and is related to employee performance and effectiveness, regardless of employment (Harvey, 2006; Yousef & Luthans, 2007).

This approach has been used by the scholars of the Educational Administration to identify and describe the dimensions of Mental Resilience in the school environment, as well as in the way that the Principals of the School manage, in practice, to face and overcome the difficulties in their professional everyday life (Isaac, 2003). The responsibilities of the modern principal include, not only the bureaucratic work required by his administrative position or the provision of instructions and directions for the implementation of the curricula but also the ensuring the smooth operation of the school in a healthy, safe and learning-friendly environment (Leonard & Sparkman, 2012). Each school principal applies his / her own system of values, management style, behavior, set of abilities and skills, personal characteristics, etc., which he / she transfers (consciously or unconsciously) and influences (positively or negatively) the cultural context in his / her workplace, as well as and the behavior and reactions of all members of the school community (Maulding, 2012).

The nature of their work and the school environment requires the principal to persevere and make a firm commitment to cope with stressful difficulties in the exercise of his multifaceted role, so he must be equipped with a range of skills, not just recovery from stressful situations. but also, with the so-called ability of the everyday (Kelchtermans, 2011). It is essential for the principal to be involved daily and to resolve situations and problems involving many stakeholders, so that his / her personal practices in implementing communication policies, problem solving, change, motivation for development and promotion of educational work, participation in social and cultural events of the local and wider community, directly and indirectly affect the balance of daily life at school and dictate the existence of mental resilience, determination, hope, optimism and commitment, which must be supported by a strong core of values (Day, 2014).

### 3.2 The Principal at the Primary School

The position of the director of a school unit is at the lower level of the administrative hierarchical pyramid, but his role is extremely important in its organization, administration and operation. According to the official legislation, the day-to-day administration of the school unit is exercised by: the principal, the deputy principal, the teachers' association. The principal is the hierarchical body of the staff that serves in the school unit, is selected after a special procedure and is placed organically in school units.

The role of the school principal includes the implementation of laws, presidential decrees, ministerial decisions, circulars, etc., manages the liaison with the hierarchical higher levels of the educational administration, promotes educational innovations and ensures that every measure is taken. which

contributes to the proper functioning of the school. In order to achieve good and effective management, the manager is required to have management knowledge (management) and a multifaceted and continuous scientific training in issues such as planning, organization, consulting, evaluation, motivation, efficiency, efficiency, the achievement of goals, the administration and management of the human resources of each school unit (Mardas&Balkanos, 2002).

### 3.3 Responsibilities and Skills of Managers

The current social data that seeks a flexible and competitive school requires the principal-leader to have specific knowledge and skills, in order to promote the goals and values of the organization and to shape its directions accordingly (Morgan, 1996: 32-37;Kantas, 1998). Within the dominant aspects of a manager's leadership role, we find the creation of a vision, the motivation of the staff, the management of the team, and the creation of the appropriate climate (Iordanidis, 2005).

The basic functions of a manager within a formal organization such as the school unit, are concentrated in maintaining communication through an organizational structure and in the harmonious "informal organization" of managers, in providing the necessary services of individuals to the organization, but and in the formulation and definition of objectives (Andreou & Papakonstantinou, 1994). Therefore, the management of the school unit is called upon to fulfill the following administrative activities: Motivation-motivation of teachers, Conflict management, Ensuring communication, Creating a culture and favorable climate, Caring for the professional development of teachers (Hatzipanagiotou, 2003).

One of the most important characteristics of an effective principal is his ability to be visible everywhere in the school, to be a living role model and point of reference for his subordinates. He is also called to be able to focus on emotional intelligence and the possession of five emotional and social abilities consisting of self-awareness, self-regulation, behavioral motivation, awareness and social skills (Andreou, 1994; Pasiardis, 2004). The principal is therefore called upon, on the one hand, to promote the success of both general objectives set by the state and the educational authorities, as well as specific objectives which fall within his jurisdiction, to set them, taking into account the requirements and perceptions of the teachersand the needs of students, utilizing the human and material resources available to ensure their success (Kotsikis, 1993).

The role of the principal, as it is formed today, contains a contradiction: the principal, on the one hand, deals with administrative and bureaucratic issues concerning the day-to-day operation of the school as an executive body of power, and on the other hand a modern, collaborative and effective school that is in constant interaction with society. It must, therefore, transcend the perception of the principal-manager of the bureaucratic model of administration, manage in a functional way the needs of the members of the school community and discover the common place of the vision and the goals of the school with their achievement factors (teachers, students, parents) (Georgiadou &Kambouridis, 2005).

The school principal is primarily responsible for the smooth running of the school, the coordination of school life, the observance of laws, circulars and official orders and the implementation of the decisions of the teachers' association, issued in accordance with the ministerial decision on responsibilities of the teachers' association. He also participates in the evaluation of the work of the school teachers and collaborates with the school counselors”(Lilimbaki, 2013).

### 3.4 Profiles and Skills of Primary School Principals

Today's principals are called upon to balance their dual and contradictoryand, at the same time, executive role, that of bureaucrat-executor, but also of a leader and visionary in a conservative, suffocating, centralized operating framework of the school unit that survives even today. Weaknesses are identified around stereotypes about their role, i.e., in influencing teachers, in the functional management of the needs of school community members, as well as in finding a point of intersection with the achievement factors of the school context (Koutouzis, 2016).

In addition, their professional profile includes another dual role, one which must meet the expectations of the colleagues of the team he leads and one which must obey the orders of his

hierarchical superiors since he is an appointed civil servant (Athanasoula-Reppa, 2008). The variety of roles and tasks of the Principal involves the common acceptance of having a range of skills, which allow him to manage process, envision, inspire, in order to operate the school unit effectively (Stavrou, 2018).

The modern school does not need a principal-bureaucrat who is devoted only to the processing of official correspondence and the organization of the smooth functioning of school life, but a principal-leader who can create a vision so that the school unit acquires its own culture, its own identity and at the same time, to inspire and give life to all the functions of the school, as successfully emphasized by the Panhellenic Scientific Association of Primary Education Directors. After all, school management is the ongoing and dynamic process of planning, organizing, directing, and controlling all the productive resources involved in the educational effort so that decisions, actions, and knowledge products are effective ( Petridou, 2002).

The manager, although at the lowest level of the administrative organization of education, must have skills that allow him to exercise leadership behavior based on specific roles and functions, so that he is not limited only to management or instruction, but also to development organizational resources, organizational, design, and control in parallel (Burandas, 2005). The school management must identify the needs of staff, use their skills through collaborative efforts and not through requirements, and adjust the leadership style accordinglywith the situations. To be able to fulfill his duties, he must have a wide range of knowledge and skills to facilitate the development of rules, values, beliefs and assumptions, focusing on student progress, teacher professional development and support, and constructive communication; collaboration with parents building a positive school climate (Karapanagiotou, 2015).

The skills that the school principal must have in order to be effective in his / her work are: a) The ability to plan the objectives and goals of the school, as well as the ways and means to achieve them, b) The ability to organize the appropriate framework to properly activate the human resources for the efficient operation of the training unit, c) The ability of the management-management of human resources, d) The ability to control whether the results are in line with the purposes of programming , in order to redefine and organize the appropriate framework that will lead to the achievement of the desired result (Saitis, 2002).

Control, therefore, is not aimed at staff behavior but at feedback, review and planning of the next strategic objectives. It is argued that in the educational unit the administration is effective, when the expectations of the principal-leader, the teachers' association and the project converge, while with a more macroscopic look the principal simply tries to reconcile, shape and implement the "external" educational policy, which emanates from the central power shaping. an internal educational policy in the school unit in which he is in charge and creating an environment of continuous improvement and modernization of the organization in which he leads (Zavlanos, 2003).

## 3.5 The Value of Training for the Execution of the Managerial Project

A dominant element in the operation of the school as an organization, is the principal, who in order to respond effectively, is necessary to have scientific knowledge, skills and experience, communication skills, and to pursue his professional development with continuous and multifaceted training (Georgiou, 2005). Their frequent inability to perform their duties effectively is explained, among other things, by the lack of basic training and education in administrative matters, since according to the relevant surveys, 88-90% of managers do not even have the basic training in educational administration matters. A key reason for this lack is the way they are selected, where their academic knowledge is devalued, their specialization in organization and management is not taken into account, while their years of service are overemphasized (Daraki, 2007).

Despite the tendency in the evaluation of their qualifications, groups of education executives, knowing their weakness in the field of training, have underlined the need to organize training programs by formulating specific proposals for the character, content and appropriateness of training institutions (Kostika, 2004).

From the above it can be seen that the practice of teaching is becoming more and more the result of negotiations through which the skills of teachers are developed and mobilized by interactions with

the educational community, the institutions and the contexts in which they fall. The focus on teacher skills can be seen as a consequence of the European shift to core competencies in school curricula, and the success of teacher skills policy requires significant behavioral changes in key teachers and providers of education, teachers and their professional development. After all, it constantly seems that schools are becoming more and more complex and autonomous organizations and various skills are required for the effectiveness of their management (Engestrom, 1999; Caena, 2013).

## 4. Research Results - Conclusions

Taking into account the data of the literature review, an attempt was made to quantify the mental resilience of principals through the use of a questionnaire specifically addressed to teachers. The aim of the quantitative research is to investigate the existence or non-mental resilience among primary education executives and to check the existence of a correlation with demographic and service characteristics. The research involved 139 primary education principals in the majority, who were asked to answer weighted with the Multidimensional Scale of Teachers' Mental Resilience. This scale includes 26 statements and evaluates four dimensions of teachers' mental resilience: a) Professional Mental Resilience, b) Emotional Mental Resilience, c) Social Mental Resilience and d) Motivation and was selected as the most complete and multidimensional study. A weighted closed-ended questionnaire with questions on a Likert scale was used to measure the mental resilience of the sample principals, namely the Multidimensional Teacher Mental Resilience Scale (Mansfield &Wosnitza, 2015). The questionnaire was distributed electronically to Primary School Principals of the Thessaly region.

Regarding gender, men's responses were higher with a positive sign, but it should be noted that men are more than women in this sample of teachers and perhaps this unequal distribution affected the results. In addition, perhaps the fact that women are in charge of many roles makes them less resilient to mental reserves. Regarding the age, the findings are in line with the data in the literature where they show that the teaching profession is particularly stressful and especially for young people, who have the highest rate of leaving the profession. Regarding the total years of service in education, they play a positive role in shaping mental resilience. Regarding the type of marital status, it is observed that married educators presented more positive answers, which shows that marriage maintains balance and therefore increases mental resilience.

Regarding the higher level of education of the sample teachers, the principals with a postgraduate degree accumulated higher percentages in positive responses for mental reserves. Regarding the type of primary education served by the sample principals, the majority serves in Primary special education and therefore no safe conclusions can be drawn due to the unequal distribution. Most primary school teachers responded positively to the question of whether they are good at building relationships in a new post of job.

In general, the sample managers have all four components of mental resilience to a satisfactory degree. Regarding its influence on the work of executives, the majority of respondents have characteristics that enhance the leadership ability of Managers, such as flexibility and adaptability, organization, balance of managerial role, perseverance, enthusiasm and motivation, good control, challenges, communication and perception of situations from different perspectives are some of the characteristics that affect the administrative work of the respondents.

The challenges of our time are great and require a capable and flexible school that meets the requirements of today's reality, so that it manages to adapt to the continuous developments that take place both at European and international level, facing the new knowledgecreatively and critically.

The work of education executives acquires major importance, as it involves the development of policies and actions aimed at shaping a dynamic and effective education management system to meet the challenges and needs of the time. Although teaching can be stressful, especially for young teachers, teachers' mental resilience is a relatively recent area of research. Regarding the resilience of teachers, there is little research in the literature. This gap is attempted to be filled by the present study through a concise but complete research report and development, which took place in the Region of Thessaly, in the field of the aspects of mental resilience experienced by the managers of educational units.

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Most primary school teachers responded positively to the question of whether they are good at building relationships in a new job. Of course, it is worth noting that all special education schools in the Region of Thessaly are 16 in number, so the distribution with general education schools is unequal anyway.

In a broader sense, the component with the highest average value is social mental resilience, while the component with the lowest score is emotional mental resilience. Therefore, we conclude that the sample managers have all four components of mental resilience to a satisfactory degree, so they can be considered as mentally resilient managers. Abouthow mental resilience affects the management work of Managers The majority of respondents have characteristics that enhance the leadership ability of Managers, such as flexibility and adaptability, organization, balance of role as a Manager, perseverance, enthusiasm and , challenges, maintaining control, good communication and perception of situations from different perspectives are some of the characteristics that affect the administrative work of the respondents and in fact have a large percentage of the majority of Managers in the sample.

Thus, in terms of checking the correlation with the demographic and service characteristics of the sample, the prefecture does not seem to have influenced the answers, while on the contrary the school area, gender, age of teachers, total years of service in education, marital status, specialty, higher level of education and type of primary education influenced teachers' answers to statistically significant questions.

Good interpersonal relationships between colleagues have a positive effect on their psychology, so the role of mentor could play a catalytic role in this direction. Evidence that is confirmed by the literature research and verified by the field research. Its introduction in the school environment was proposed by the former Minister of Education and was voted by law in the Greek parliament, however, it has not been implemented so far for unspecified reasons. Equally useful tools could be programs or workshops aimed at Positive Psychology, mental empowerment and mental resilience of teachers. Holistically, it is concluded that principal educators based on the results of the present study have mental resilience. The results of the present study could be used to design special educational programs and interventions to strengthen the mental resilience of teachers and in particular the principals of primary schools.

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# Access of SMEs to Bank Loans During the Coronavirus Crisis: A Case of Slovakia

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**Abstract:** This paper surveys the impacts of the current economic recession caused by the COVID-19 pandemic. Due to the economic and social importance of the small and medium – sized enterprises for the economy of the Slovak Republic, it is necessary to improve the business environment for their development, esp. to improve their access to sources of finance. As we present, SMEs in Slovakia are primarily financed from their own sources, respectively from loans and leasing. Compared to large businesses, they are supposed to be more vulnerable, riskier, and so it is more difficult to obtain external sources of finance for them. The aim of the article is to evaluate the access to bank loans of SMEs in the Slovak Republic at the times of the coronavirus crisis. We found that the dynamics of credit growth maintained stable from the point of view of the corporate sector as a whole, but the availability of financing was limited for riskier groups of companies.

**Keywords:** Small and medium – sized enterprises, loans, banks, coronavirus crisis

## 1. INTRODUCTION

Small and medium-sized enterprises (SMEs) are the most important segment in the business environment of almost every economically developed country. They bring innovative products to the market, represent an important source of economic growth and they are of great importance in job creation.

According to the Report on the State of SMEs prepared by the Slovak Business Agency (2020), SMEs accounted for 99.9% of the total number of business entities in the Slovak economy in 2019. SMEs accounted for 73.8% of employment in the corporate economy and contributed by more than half (54.9%) to total value added.

One of the basic prerequisites for the development of the SME sector is access to finance. Small and medium-sized enterprises, given their distinctive features, have different financial needs compared to large enterprises.

These businesses require different spectrum of financial tools in various stages of life – cycle. They often depend on the informal sources of finance at the initial stages of their life. External sources are getting to be important with the beginning of the expansion stage and access to them can influence the development trajectory significantly.

Current economic recession caused by the COVID-19 pandemic has a greater impact on the business sector than the crisis of 2008. Many companies have had to reduce or even to close their business completely as a result of various measures taken to prevent the spread of the disease. Insufficient demand, low liquidity and significant fixed costs represent a serious deterioration of the financial situation for many companies. However, the crisis has affected the most vulnerable segment of the business sector, SMEs, to the greatest degree.

Many small and medium-sized enterprises are currently struggling with a lack of liquidity, which results in subsequent insolvency.

As the impact of the prevailing pandemic is also felt in the financial sector, many commercial banks are much more cautious in lending - some of them have responded by tightening of credit standards, making it much more difficult for businesses to access credit financing.

The aim of the article is to evaluate the access to bank loans of SMEs in the Slovak Republic at the times of the coronavirus crisis.

## 2. THEORETICAL BACKGROUND

The differences in SME finance compared to financing of large, established companies, has always been in the interest of many studies.

Berry, Grant, and Jarvis (2015) dedicated their attention to issues of obtaining funds and attitudes of banks to small and medium-sized enterprises. They have proved that banks play a crucial role in financing of SMEs because they have a difficult access to the capital market.

Additionally, according to Dierkes, Erner, Langer and Norden (2013), SMEs are not the attractive client for bank lenders. Machauer and Weber (2000) dealt with credit relationship of SMEs. Degryse and van Cayseele (2000) surveyed the relationship between interest rates and loan amount. Prevan and Kuvek (2014) argued, that smaller and younger companies have bigger problems with external financing and also pay higher prices. As table 1 reveals, this holds also in case of Slovak SMEs. Larger enterprises have more possibilities for financing as SMEs.

Table 1: Possibilities to financing according to corporate size (%)

| enterprise | micro | small | middle | large |
|---|---|---|---|---|
| Share of own funds in total assets | 40.6 | 38.7 | 40.7 | 43.5 |
| Bank loans | 19.3 | 26.5 | 25.2 | 19.9 |
| Bonds issued | 2.4 | 4.5 | 1.2 | 1.3 |
| Liabilities to related entities | 4.5 | 9.1 | 20.6 | 18.8 |
| Obligations from commercial contracts | 14.5 | 25.3 | 29.4 | 34.0 |
| Other liability items | 59.3 | 34.6 | 23.6 | 26.0 |

Source: Own processing according to the data of the National bank of Slovakia

As OECD (2016) states, bank lending is the most common source of external finance for many SMEs and entrepreneurs, which are often heavily addicted to straight debt to fulfil their start-up, cash flow and investment needs. SMEs, however, typically find themselves at a disadvantage with respect to large firms in accessing debt finance. It is connected with their smaller size, lower degree of diversification, more limited market and higher riskiness. As Covaci (2008) presents, SMEs are in generally riskier than large companies, because they present a high sensitivity to economic shocks while disposing of an inferior capacity to absorb variations. This makes it more difficult for SMEs to borrow than for larger companies, and may make it effectively impossible for many SMEs to borrow money at all. From this reason, SMEs rely on internal or "personal" funds, increasingly suffer from information asymmetry problems and have a small internal rate of return.

In Slovakia, SMEs are primarily financed from their own sources, respectively from loans and leasing. These are the sources that they know and therefore they most often use them (Belanová, 2015). We can document this by the data released from the National bank of Slovakia as well (table 2).

Table 2: Financing of Slovak enterprises, in EUR mm

| | 2018 | 2017 | 2016 |
|---|---|---|---|
| Bonds and loans totally | 46,728,237 | 48,682,377 | 42,280,213 |
| Bonds issued: | 5,122,764 | 5,734,102 | 5,857,755 |
| -in Slovakia | 1,495,486 | 1,495,445 | 1,418,270 |
| -abroad | 3,627,279 | 4,238,658 | 4,439,484 |

| | | | |
|---|---|---|---|
| Loans from Slovak subjects | 26,921,782 | 26,696,037 | 24,371,925 |
| -enterprises | 4,587,376 | 5,519,557 | 4,610,230 |
| -banks | 18,532,679 | 17,626,161 | 16,513,978 |
| -financial leasing | 1,952,014 | 1,896,457 | 1,848,690 |
| -factoring | 1,849,713 | 1,653,862 | 1,399,028 |
| Loans from foreign country | 14,683,691 | 16,252,238 | 13,050,533 |

Source: Own processing according to the data of the National bank of Slovakia

If we take into into account the life - cycle of the company, SMEs are not very indebted at the beginning of their establishment. They prefer the use of own sources of financing, the share of which in total assets was about 81% to 85% in the first year. As for loan financing, we see that only about 3% of companies use this form. A short credit history of the company, as well as insufficient security of new business entities can be marked as the reasons. In 2019, the share of companies, which used a loan was 3.22%, which represents an increase by 0.15 percentage points compared to 2018 (table 3).

Table 3: Indebtedness indicators of newly created SMEs (%)

| | 2017 | 2018 | 2019 |
|---|---|---|---|
| total indebtedness | 17,96% | 15,92% | 18,85% |
| Own sources | 82,04% | 84,08% | 81,15% |
| Bank loan | 3,16% | 3,07% | 3,22% |

Source: Own processing according to the data of the Statistical Office of the Slovak Republic

## 3. IMPACT OF CORONAVIRUS CRISIS

Belas, Bartosa, Habanik, and Novak (2014) explained that conditions for SMEs have worsened because of the global financial crisis.

However, the current economic recession caused by the COVID-19 pandemic has had an even greater impact on the business sector. Within the corporate economy, it has mainly affected SMEs. The negative consequences of the pandemic for entrepreneurs are reflected on both the supply and demand side. The pandemic thus causes many companies not to use their capacity to the full, for several reasons:

- the measures taken to control the disease limit or completely prevent entrepreneurs from carrying out their business activities;

- staff must take care of children as a result of school closures;

- the staff is not in good health;

- supply chains are interrupted or limited, leading to a lack of inputs necessary for business.

Sectors of hotels, restaurants, services and retail were affected by lockdown and other quarantine measures the most. Many of them had completely suspended revenues, which was reflected in their cash flow.

As table 4 shows, according to the European Payment Report (Intrum Slovakia, 2020), the most common crisis measures for companies include cost reduction, caution in indebtedness and restrictions on the recruitment of new employees.

Table 4: The most common measures taken by companies during a pandemic (%)

| measure | Slovakia | Europe |
|---|---|---|
| cost reduction | 54 | 38 |

| | | |
|---|---|---|
| greater caution when borrowing | 22 | 35 |
| restriction on the recruitment of new staff | 23 | 29 |
| identification of endangered segments | 18 | 29 |
| ensuring faster collection of payments from clients | 21 | 26 |

Source: Own processing according to European Payment Report, 2020

As the supply of manufactured products or services decreased, so did the demand for goods and services. It caused a significant reduction in corporate revenues. The growth of entrepreneurs' incomes is also affected by the fear and uncertainty of consumers, who, in addition to the disease itself, also fear a loss of income. They are radically reducing their consumption costs. The impact of the prevailing pandemic is also reflected in the financial sector. Low confidence in the market caused stocks to fall. Many commercial banks are now much more cautious in lending - some of them have responded by raising prices, making it much more difficult for businesses to access credit.

The results of the Survey on the Access to Finance of Enterprises (SAFE 2020) by ECB, where the companies were asked about the situation from April to September 2020, reveal that SMEs reported a sharp deterioration in the economic environment in 2020.

In Slovakia, bank loans were relevant for 41% of SMEs (and used by 13% of them), while credit lines were relevant for 50% (used by 29%). Leasing was relevant for 50% and equity for 1%. The financing was used by 28% of SMEs for fixed investments and by 44% for inventory and working capital. 19% of SMEs used it for developing new products or services and 11% for hiring and training employees, while 20% refinanced their obligations. On the other hand, SMEs used it more often for other purposes (probably including COVID-related expenses). Between April and September 2020, 28% of SMEs in Slovakia actually applied for a bank loan (EU: 35%). 3% did not apply because of fear of rejection (EU: 4%). Regarding credit lines, 34% of SMEs in Slovakia actually applied for them (EU: 31%). 5% did not apply because of fear of rejection (EU: 4%).

## 3. DEVELOPMENT OF THE BANK LOANS PROVIDED TO COMPANIES IN 2020

The year 2020 was specific in that the world was hit by a global pandemic.The first case of COVID – 19 was recorded in Slovakia at the beginning of March 2020. The pandemic is, among others, associated with a trend of growing corporate indebtedness. The growing debt in the corporate sector mainly compensates for significant shortfalls in revenues of the companies.

In accordance with the statistics of the National Bank of Slovakia, we present the volume of loans provided to enterprises - non - financial institutions in total and broken down into short - term (up to 1 year), long - term (1 - 5 years), long - term (over 5 years).

According to the data of the National bank of Slovakia which we processed, we observe that the dynamics of corporate loans recorded a stable development during the first wave of the pandemic, July brought even its acceleration (table 5).

Table 5: Year-on-year growth in corporate loans in 2020

| month | Growth rate (%) |
|---|---|
| January | 2.3 |
| February | 3.0 |
| March | 3.7 |
| April | 3.5 |
| Mai | 3.5 |

| | |
|---|---|
| June | 3.8 |
| July | 4.7 |
| August | 4.3 |
| September | 2.9 |
| October | 2.8 |
| November | 2.6 |
| December | 2.2 |

Source: Own processing according to the data of the National bank of Slovakia

Corporate loans recorded stable growth at 3.6% in the first half of 2020 during the duration of the pandemic measures. As mentioned, lending activity even accelerated in July, reaching 4.7%. This is the fastest growth in the region of the central and eastern part of the EU. The growth of loans was heavily affected by the significant economic downturn. Compared to the beginning of the year, the credit dynamics even increased in the period from March to June. In March and April, short-term loans in the form of drawdowns of approved credit lines increased significantly, which was reflected in an acceleration of lending activity from 3.0% in February to 3.7% in March. The second quarter was already stable, with month-on-month increases in this period at the level of the average of previous years.

The situation across economic sectors was relatively diverse, with several sectors experiencing a slowdown in credit flows. Developments in industry shaped credit growth significantly, which accounted for almost half of the growth. In addition to industry, loans also grew in the case of car sales, accommodation services and selected professional activities. In the context of economic sectors, July remained relatively diverse, although there was some improvement in some other sectors. Construction and professional activities thus joined the above-mentioned sectors with a recovery in credit growth.

Two trends can be observed among EU countries in the context of the development of the volume of corporate loans. The first is the gradual slowdown in credit growth in the countries of the Central and Eastern EU region. As a result, Slovakia has moved to the first place in the dynamics of corporate loans within these countries. The second trend is the development in several large western EU countries, where lending to the corporate sector has accelerated significantly against the background of strong fiscal stimulus.

In July 2020, lending activity increased thanks to the improving situation in the economy following the release of epidemiological measures. Since the onset of the crisis, several important economic sectors have seen significant declines in sales from March to May. The end of the first half of the year has already brought a relatively significant improvement in the situation in the development of corporate sales.

After the situation improved in the summer months, credit growth declined to 2.9% in September 2020.

However, growth rate in the volume of loans granted to non-financial corporations compared to previous periods of 2020 continued to grow in IV. quarter of 2020. The year-on-year growth rate was highest for long-term loans over 5 years with a year-on-year growth of 6.0%. As for the volume of short-term loans, we recorded a year-on-year growth of 1.1% compared to the same period last year. On the contrary, for long-term loans from 1 to 5 years, we recorded a year-on-year decline in the growth rate in IV. quarter of 2020 at the level of 4.5%.

If we look at the situation from the point of view of the euro area, the volume of loans to non-financial corporations in the euro area increased by 5.5% in December 2020 compared to the same period of the previous year, while in Slovakia we recorded growth of 2.2%. In the euro area, apart from two months, we were able to observe a year-on-year decline in short-term loans to non-financial corporations throughout 2020. The year-on-year decline in these loans was 7% in December 2020. On the contrary, the volume of short-term loans to non-financial corporations in Slovakia in December

2020 increased by 1.1% year on year. During the last two years, we have recorded a year-on-year growth in short-term loans in Slovakia each month.

Throughout 2020, we recorded year-on-year growth in long-term loans in the euro area from 1 to 5 years, while in Slovakia we have seen a year-on-year decline in the value of these loans since February 2020.

We have been observing continuous year-on-year growth in the euro area in the item of long-term loans from 1 to 5 years since May 2015, and in December 2020 the year-on-year growth was 15.8%. Year-on-year growth in loans increased significantly in March and April 2020, when the growth rate accelerated from 3.4% in February 2020 to 12.1% in April 2020. The year-on-year decline in the value of loans with a maturity of over 1 year to 5 years in Slovakia reached minimum value in June 2020, when it represented -8.7%.

Long-term loans over 5 years to non-financial corporations in the euro area grew by an average of 5.1% in 2020, with the dynamics increasing significantly in the months of March to May. Year-on-year growth in loans over 5 years to non-financial corporations in December 2020 was 6.8%. In Slovakia, long-term loans over 5 years to non-financial corporations grew at a relatively fast pace in 2020, with more significant growth in June to September. The highest growth was achieved in this category of loans in September, when year-on-year growth was 8.8%. Year-on-year growth in December 2020 for long-term loans to non-financial corporations was 6%.

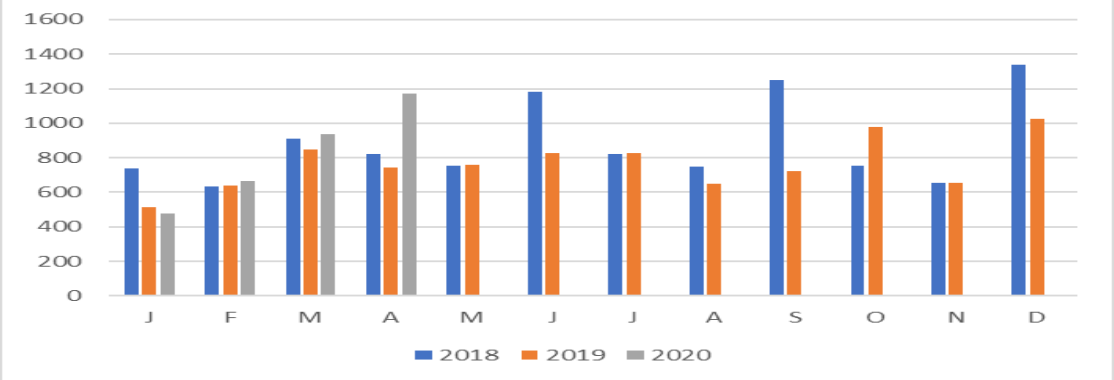
Although almost no impact of the coronavirus crisis can be seen on the overall growth rates of corporate loans, the availability of financing has been limited for riskier groups of companies. In terms of business size, credit growth was driven mainly by large enterprises, a large proportion of which were state-owned enterprises. Lending activity in the case of small and medium-sized enterprises, which are a riskier group of enterprises, remained markedly subdued, with average growth exceeding 1%. However, it is important to note that the decline in lending to small and medium-sized enterprises took place even before the coronavirus crisis at the turn of 2019 and 2020.

In this regard, July has already brought a slight improvement in the case of growth in loans to small and medium-sized enterprises. Lending, especially to large state-owned enterprises, played an important role in maintaining credit growth. On the other hand, the flow of loans to privately owned enterprises has slowed markedly. The July improvement was only partial in this case, with credit growth for foreign-controlled enterprises rising from 5.5% to 8.3% between June and July, while credit growth remained subdued at 1% for privately owned enterprises.

At the beginning of the coronavirus crisis, banks increased the share of loans provided to their clients. The increase in uncertainty associated with the COVID-19 pandemic was reflected in a partial reduction in funding for both new clients and clients of other banks. While in 2019 the share of loans provided to clients outside the own loan portfolio reached almost 8%, in the first half of the year it was just over 5%. July has already brought a partial correction.

The figure 1 documents, the volume of the new loans is very volatile, but it did not decrease even in the first phase of coronavirus crisis.

Figure 1: Volume of new loans provided to companies in the Slovak Republic, in EUR mm




Source: Own processing according to the data of the National bank of Slovakia

Although the tightening of credit standards was reported by almost all banks, the restriction on the availability of financing concerned mainly riskier groups of clients.

The reduction in supply in the credit market in the second quarter of 2020 was reported by almost all banks, but without a significant impact on credit growth. Measures against the spread of the disease taken by both the domestic government and the governments of other countries were almost immediately reflected in the decline in sentiment and the perspective of individual economic sectors. The result was a quick reaction of individual banks in the form of tightening of credit standards. The tightening affected all credit conditions, but most of all the amount of credit and the required collateral, to a lesser extent the maturity of loans and covenants. Non-interest charges remained the least affected. The interest margin increased mainly for riskier loans.

Restrictions on the capital or liquidity requirements or the cost of resources of the bank were mentioned only to a small extent as factors influencing the tightening of credit standards. The banks cited the absence of state guarantee schemes as an important fact influencing the tightening of credit standards. Despite the tightening on the supply side, whether from the point of view of banks or individual credit conditions, mostly riskier groups of clients were affected. This corresponds to the development of the volume of loans, where the slowdown in credit growth occurred mainly in selected groups of companies.

Despite the slower and more complicated start-up of state aid, loans with a state guarantee accounted for 13% of all loans granted in the third quarter of 2020. On the positive side, loans also grew in several sectors more affected by the crisis.

It is not possible to observe the impact of the crisis associated with the COVID-19 pandemic on credit risk indicators. By taking advantage of the deferral option, many companies have gained additional time to deal with a temporarily deteriorating financial situation. Several trends have continued in the development of previous years. The volume of non-performing loans also remained at low levels. The volume of non-performing loans taken out by non-financial corporations amounted to approximately EUR 648.9 million at the end of 2020. The volume of non-performing loans is generally much lower than in the past, as it remained above one billion euros between May 2010 and April 2017. If we compare the situation with the Czech Republic, at the end of December 2020, the Central bank registered non-performing loans in the amount of about 2.5 billion euros.

At the end of September 2020, the deferral of repayments was approved for 12% of corporate loans. Thanks to the possibility of deferring repayments, the share of non-performing loans has not increased yet, but banks will face an increase in non-performing loans in the coming period.

As table 6 reveals, the possibility of deferral of repayment was used to a greater extent by micro-enterprises and small enterprises and sectors significantly affected by the coronavirus crisis. However, this lower level is due to the fact that the legally defined deferral of installments does not apply to large companies that have agreed on deferral of installments individually with the financing bank. From the point of view of individual economic sectors, companies from the economic sectors most affected by the crisis made the most of the possibility of postponing installments. In the case of accommodation and food services, deferred loans account for half of total loans, while in the arts, entertainment and recreation sector, these loans account for one third.

Table 6: Share of deferred loans according to the size of the enterprise (in %)

| | micro | small | medium | large |
|---|---|---|---|---|
| Share of deferred loans | 15.0 | 15.2 | 11.8 | 5.9 |
| the share of loans granted to enterprises which have been granted a deferral of repayments on | 17.7 | 19.5 | 21.0 | 13.1 |

| | | | | |
|---|---|---|---|---|
| at least one loan | | | | |

Source: Own processing according to the data of the National bank of Slovakia, data to September 2019

The deferral of repayments was just one of the measures taken by the governments to mitigate the effects of the COVID-19 pandemic and restart their economies and international trade. In general, these are measures to support:

• liquidity of companies and households (deferrals of loan repayments we mentioned, provision of loans and guarantees from public sources, relief in the area of tax burden)

• solvency of companies (capital injections from public sources, temporary stronger protection of debtors to delay restructuring-bankruptcy proceedings)

• exports (short - term export credit insurance) a

• employment policies (compensation for companies with compulsory closure, contributions to compensate for the decline in sales, contributions to job retention).

Slovakia is no exception in the use of support tools. Measures that are considered to be most effective so far include deferrals of corporate and household loan repayments and measures to support job retention.

In this context, we emphasize that the uncoordinated termination of support instruments may endanger the gradual recovery of the corporate sector. The main target group of ongoing support measures should be, in particular, promising companies with a sustainable business model that need to bridge the temporary shortfall in sales.

In a period of growing uncertainty due to the second wave of the pandemic, maintaining access to finance for businesses will be crucial.

## 4. CONCLUSION

This paper surveyed the access of enterprises to bank loans. We can conclude that the dynamics of corporate loans recorded a stable development during the first wave of the pandemic. Compared to the countries of the region of the Central and Eastern part of the EU, the domestic banking sector achieved the most significant growth in August. Credit growth has slowed in most of these countries. The situation is the opposite in several large western EU countries, where there has been a significant acceleration in corporate lending, probably against the background of strong fiscal stimulus.

Demand from clients, especially for operating financing, continued in the market. Banks' credit conditions eased partially after the tightening in the first months of the coronavirus crisis.

In terms of maturity, loans with a maturity of over 5 years contributed to the year-on-year growth most significantly. However, these were not investment loans, which continued at a subdued pace. The slowdown in investment loans was largely offset by government-guaranteed loans.

The year-on-year growth in the volume of corporate loans was relatively significantly affected by deferred loan repayments. The impact of the pandemic on the credit risk of the corporate portfolio will thus become apparent only after the end of the deferral of repayments and support measures by the state.

At the end of the third quarter of 2020, growth in corporate loans slowed to 2.9% year on year. The slowdown occurred after a significant increase in the summer months, when corporate loans grew at a rate of 4.4%.

Despite the slowdown in lending activity in September, the availability of corporate finance can be assessed relatively favorably. Uncertainty about future developments in the corporate sector remains significant.

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# Modern Management in Healthcare System

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**Abstract:** Healthcare is an integral part of socio-political and socio-economic life in a country. In the last decades, reforms in the healthcare system have been carried out in almost all countries of the world, aiming to better meet the medical and social needs of the population and increase "profitability". The restructuring of healthcare systems worldwide is aimed at strengthening and improving healthcare, ensuring equal access to comprehensive and adequate health care, oriented to the needs of every citizen. In the conditions of coronavirus pandemics the management challenges to healthcare system are bigger and problems need urgent and effective solutions. The present study proposes ideas aimed at health benefits, efficiency and effectiveness by providing high quality healthcare in a changing competitive environment of health services and modern healthcare challenges.

**Key words:** healthcare, management, system, human resources, quality.

## Introduction

Healthcare is a system of bodies, institutions, organizationally separated structures and activities for strengthening, protection and restoration of health and treatment of diseases based on medical science and practice, traditions and specific socio-economic conditions in the country. New requirements are set for medical specialists, in accordance with the rights of the patient and respect for his/her personality and human dignity.

The current conditions and trends for the healthcare system are in the following directions:

- Introduction and development of market principles;
- Transformation of healthcare institutions into autonomous market entities;
- Constantly developing competition between the medical establishments;
- Increasing the requirements for the care of the patient;
- Rapid improvement of technologies.

Thus, the provision of quality and affordable medical care becomes a major priority of health system, which requires the search for adequate management actions and solutions to improve the quality of medical activities[1]. Management is considered as integrating knowledge, people, resources, structures and processes into concerted action[2]. Effective management requires constant monitoring and an adequate response to undesirable changes.

The effective management system in healthcare means to build in real conditions from the available resources (staff, material and technical means, infrastructure, finances, etc.) a fundamentally new system of hospital care, meeting the needs of citizens, in accordance with the capabilities of the country, but also measurable with the European health service. Current work in the conditions of the pandemic situation is without an analogue and a ready model of action, as invariably in the management of the medical activities chance and risk are present. The management activities with their requirements reflect on the structure of each medical unit and institution, on the levels of the organizational structure and the individual work in the health system. New challenges in healthcare necessitate the introduction of new methods in the practice of medical professionals, improving the quality of medical care, better division of labor and delegation of rights and responsibilities. This

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creates a need for each manager to be able to manage change, to balance the needs of employees and the goals of the medical institution to prevent insecurity and disorder.

There is an increased drive for effective training of medical professionals, fueled by the intensity of local and international competition, and rapidly changing market conditions. The results of the work are directly dependent on the behavior and relationships of medical professionals in the work environment, their skills and experience, their ability to make decisions, their value systems and expectations, their civic behavior. Modern training forms and develops these qualities in accordance with the dynamic requirements of the environment.

The problems of motivation are not new to management science, but they acquire new, unexpectedly important dimensions in moments of crisis for management. In the Bulgarian practice few decades ago they were related to the need for a complete change of the management system according to the rules of the specific model of transition to a market economy in the conditions of economic crisis. Now, the problems are even sharper in the coronavirus pandemics[3]. This requires managers to rediscover and rethink the truths of motivation in classical concepts and in modern theoretical models and to seek to apply them in the management of organizational behavior. The training activities of medical specialists are related to the motivation and stimulation of medical specialists and the application of an adequate and realistic system for evaluation of the performance of work tasks.

The main purpose of a management program in that context is to provide through organizational methods, innovations and constant control[4] an affordable, adequate, timely and quality healthcare, meeting the market of medical services and the modern achievements of medicine as a science of highly competent, responsible and ethical staff - medical professionals to take their place as worthy collaborators in carrying out the overall healing process.

According to that the tasks of a program for management in a medical unit could be formulated as follows:

- to develop approaches, mechanisms, tools for improving management methods;
- to develop an accurate system for assessing the quality of work of medical professionals;
- to optimize the doctor-nurse-patient relationship;
- to develop a system for fairer remuneration of health care specialists depending on their contribution to achieving the goals of the healthcare unit.

The expected results are connected to:

- continuous improvement of the quality of healthcare;
- efficiency in the implementation of healthcare;
- high culture of relationships.

Current paper presents some recommendations and solutions for developing effective management programs in healthcare units.

## Management activities in healthcare units

A program for management of medical specialists is an important strategy and a basic tool for the management and development of healthcare. The management system covers all the activities that need to be carried out, the connections between them, their interaction with the environment and the way of functioning in order to achieve the goals of the unit. The management of medical professionals covers activities that can be considered as elements and as a series of processes between which there are complex causal relationships. The elements in the management system are

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all activities that must be carried out: analysis and design of positions, human resource planning, selection, training and evaluation of staff, remuneration, motivation, ensuring safe and healthy working conditions, improvement of labor relations, etc.

- *Job analysis* includes a systematic study of the content, responsibilities and relationships of positions and the requirements for their performers.
- The *design of the positions* covers the activity of determining the content, functions and interrelations between the positions, which takes into account both the technological and economic requirements of the work and the individual needs of the contractors.
- The *planning* of medical specialists is an activity of determining the needs for human resources and formulating appropriate actions to meet them so as to achieve the goals of the unit.
- The *selection* of medical specialists covers the recruitment and evaluation of job candidates, on the basis of which the most suitable one is selected in view of the requirements of the position and the unit and the procedure for his/her appointment is carried out.
- The *training and development* of medical specialists covers the activities for improving the knowledge, skills and attitudes of employees in order to increase the level of their performance and to provide career development opportunities, taking into account the individual needs of employees and future needs of employees and the organization.
- The *evaluation* of medical specialists includes characterization of the level of employment of the employees according to the set standards and formulation of guidelines for improvement at this level.
- *Remuneration* is an activity of determining adequate and fair remuneration in the unit in accordance with certain criteria.
- *Ensuring safe and healthy working conditions* includes improving working conditions and protecting the health and working capacity of employees.
- The *improvement of labor relations* is an activity of maintaining labor peace in the healthcare unit and the formation of favorable relations.

When managing medical professionals, some basic causal relationships must be considered:

- The planning of the medical specialists determines the needs of the staff and formulates the actions for their satisfaction by developing plans and programs for the development of all elements of the management of the medical specialists in accordance with the goals and plans of the unit. In this sense, the planning of medical professionals is crucial for the content of all other activities.
- The analysis and design of the positions provides the initial data in determining the criteria for selection and evaluation of medical professionals, forms the information base for evaluation of positions and the pay system, determines part of the working and rest conditions. In this way, it emerges as a factor that influences the relationship and is an object of interest in the process of collective bargaining. The results of job design and analysis are a necessary component in the process of determining training and development needs.
- The selection of medical professionals can be seen as an entrance through which human resources are passed, which subsequently become the subject of relevant management interactions - evaluation, training and development, pay, use under certain working and rest conditions and under certain employment relationships.
- The training and development of medical professionals provides the desired changes in the knowledge, skills and attitudes of people in the organization. In order to achieve this goal, it is necessary to carry out in parallel and in mutual connection the other activities of the management of the medical specialists. In this regard, the possible influence of working conditions on the employment of employees must be taken into account. The motivation for training is related to the existing system of payment and the opportunities to increase the salary after improving the knowledge and skills of the people. The training and development of medical

professionals is an important factor in labor relations and is therefore often present as an object in the process of collective bargaining.

- The evaluation of medical specialists provides valuable information, both for the needs of training and development of human resources, and for the payment of their work and in accordance with the achieved results. The evaluation of medical specialists is a traditional element in labor relations as a basis for the formation of adequate and fair salaries and criteria for internal movement of medical specialists.
- Remuneration is also linked to all other elements of the management of medical professionals. The main criteria for forming the salary are the content of the position (presented in the process of designing and analyzing the positions and the peculiarities of working and rest conditions), the qualification of the contractor (result of the selection and training of staff) and the level of his/her performance (characterized during the periodic assessment of employees). In this sense, salary is a focus in which decisions are concentrated on all other elements of the management of medical professionals.
- The activity of ensuring safe and healthy working conditions can lead to changes in some of the components of the content of jobs (working environment, work and rest conditions, burdens and monotony of work tasks, etc.) and in this sense is related to the design and analysis of positions, the selection, training and evaluation of medical professionals. The state of working conditions is taken into account when determining a part of the salaries and at the same time is an important factor for improving the labor relations in the organization.
- On the other hand, the regulation of these relations often turns out to be the starting point from which the activities for the improvement of the working conditions, the system for evaluation of the medical specialists and the remuneration of the work, the activity for training and development of the medical specialists start.

All these dependencies give grounds to conclude that the elements (activities) of the management of medical professionals function in close interrelation[5]. The omissions made in each of them affect the others.

The implementation of the activities characterizing the content of the management of the medical specialists can be considered as a process that covers several stages. The first of them is to diagnose the problem, to clarify the reasons that caused it, to determine those of them that are of leading importance. Based on this information, options are developed for its solution and the most effective one is chosen. After the implementation of the decision, the degree of its effectiveness is assessed.

In the broad sense of the term, the management of medical professionals is the management of people and is an element of the work of every head of a healthcare unit. Therefore, managers at all levels are actively involved in a number of management activities for health professionals. However, as the unit grows, so does the need to coordinate the activities of a larger number of human resources, which are distributed in more complex organizational structures. The responsibilities for the management of the medical specialists in the unit are also increasing. The requirements for application of modern highly effective methods and procedures in the management of medical specialists are increasing.

There is a need for a unified approach in solving the numerous problems that arise in this area. In connection with this, a specialized structural unit is created for the implementation of some of the activities of human resources management. This does not relieve managers of the responsibility to manage medical professionals in their units, but only provides them with professional advice and operational assistance when needed.

The main task of the *human resources department* is to ensure the most effective management and use of organizational human resources. Within this unit, the various activities discussed above, included in the human resources management system, are carried out.

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The close interrelation of the management of medical specialists at micro and macro level is evidenced by the impact that the state of the national labor market has on the system through the relationship between labor supply and demand.

- provokes the unemployed to improve and change their professional skills in accordance with the real needs of the economy;
- stabilizes the relative workforce in the organization, helping to improve labor, production and technological discipline;
- has a favorable effect on the processes of integration in the organization;
- stabilizes and, under certain conditions, reduces the remuneration;
- facilitates the conduct of collective bargaining between employers and trade unions, etc.

When the demand for labor is greater than its supply, the labor market:

- provokes the growth of the labor remuneration for keeping the necessary labor force, as well as for attracting medical specialists;
- provokes the development of the internal labor market and in particular - the increase of the qualification, the retraining, the development of the personnel and their growth in the career;
- provokes the technical, technological and structural development of the organization in order to multiply the existing medical specialists, and this causes a significant change in the structure of the required workforce;
- tests the motivation of employees;
- provokes the demand for foreign labor;
- creates preconditions for increasing the movement of the labor force, etc.

The labor market also has an impact through its institutional structure:

- the more developed it is, the more effective the connection of the organization with the labor market and vice versa;
- the greater the protection of the national labor market, the less significant are the organization's links with the foreign labor market and vice versa;
- the more developed and efficient the infrastructure on the labor market, the more efficient the activity of managing the medical specialists in the unit can be, etc.

## Guidelines for improving the management in healthcare system

Creating conditions for effective management by integrating the actions and coordinating the efforts of medical professionals:

- to be guided in a way that motivates the performance of the tasks;
- to clarify the activities of each participant in the treatment-diagnostic process;
- to build compliance between rights, obligations and responsibilities;
- to strengthen the responsibility of medical professionals in the process of providing medical care;
- to clearly state the obligations - the medical specialists to know what is expected of them;
- to specify the personal participation of everyone: to define the activities, to differentiate the perimeter of the functional obligations;
- all activities to be regulated in job descriptions;
- introduction of new and means for quality health care;
- regulation and control over the correct implementation of the tasks through dynamic monitoring and to make periodic evaluation of the performed activities in accordance with certain standards;

- making timely correction in case of deviation and new control;
- to create conditions for high morale and prevention of commercial pressure on the part of medical specialists and support staff;
- in all activities to respect and stimulate the autonomy of patients.

Creating a good psycho-climate and good relationships in the teams[6]:

- to allow autonomy in exercising control;
- to provide creative and supportive leadership;
- to encourage ideas, opinions and suggestions;
- to create a benevolent style of communication between the participants in the medical activities;
- to demonstrate respect, recognition and equality to medical professionals;
- to create and maintain an atmosphere of mutual trust;
- to encourage professional ethics, loyalty and confidentiality in the teams;
- to stimulate self-confidence;
- to provide optimal conditions for training and development of everyone; stimulation to increase the level of knowledge and skills of each medical specialist;
- systematic and patient in the introduction of new and newly graduated medical specialists in the teams - acquaintance with their competencies, responsibilities and obligations;
- to take into account the preference of medical professionals in relation to various aspects of their work.

The management should consider the construction and effective use of an accurate, high-quality and timely communication[7] and information system for:

- adequate communication provision between the teams and the units;
- clarification and synchronization of requirements;
- well-organized hourly functional connections;
- adequate and effective communication between different levels of government[8];
- effective information provision through the implementation of a unified computer network, uniting the automated workplaces for effective management of the registers and health files necessary for the medical practice;

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[8] Arabska, E. 2018. Business communications in modern organizations - trends and challenges. Proceedings of International Balkan and Near Eastern Social Sciences Congress Series Plovdiv / Bulgaria, April 21-22, 2018, VIII. IBANESS Congress Series, p. 1-7.

- strict observance of the requirements of the health insurance fund for keeping the documentation;
- proper entry of all types of medical documentation;
- introduction and use of computer equipment and software in keeping medical documentation and document flow, management of the bed stock, issuance of medical documents, etc.;
- all documents should be kept in an appropriate version - computer or traditional;
- the registers and card files should be compatible with the other information carriers;
- to ensure security and inviolability for protection against unauthorized access, as well as reliable access and secure retrieval of data from the documentation.

Unlike the well-known practice in Bulgaria, in the selection of personnel to use mainly intelligence tests and various personality tests, the toolkit should contain some of the most modern methodologies for personnel selection, measuring the competence of the candidates. Among the questionnaires used are those that measure attitudes to work, abilities, motivation for achievement and the like. Based on the results of the applied tests to form three main indicators that serve as criteria for the future actions of the candidates.

The first indicator is the level of intelligence (IQ), which shows the potential of the person. The second indicator refers to the level of emotional intelligence (EQ), which shows the individual's suitability for teamwork and the degree of integration in the organization. The third indicator is the level of motivation (MQ) and is one of the most modern areas in recruitment. The methodology used is a combination of statements about what motivates the person and what demotivates him/her. Based on the level of motivation, it is possible to identify what needs to be done to achieve the goals. Standard interviews, traditional tests and verification of recommendations provide information on whether the candidate can do the job, while the results of the level of motivation can be a predictor of whether the candidate will do the job.

In addition to these already adapted and standardized questionnaires and tests, a methodology is being developed to measure the value orientations of the individual[9]. The methodology aims to differentiate relatively sustainable values - universal and specific to work, from those that are the result of economic and socio-cultural changes. Efforts are aimed at revealing the main dimensions of the values attributed to work - internal and external motivation in the performance of work tasks[10].

The healthcare units are constantly striving to improve and keep up with global trends in this field. It is for these reasons that values are an important predictor for the rapid and successful adaptation of new medical professionals in the units.

Assessing the current socio-economic and political situation in Bulgaria, it can be said that the competitiveness and added value to the healthcare services is largely due to the human factor in it, which is really our strategic advantage over competitors. Extremely important in this regard are the demonstrated commitment and concrete actions of the management of the units to the training and development of its specialists.

- to create conditions for professional qualification and realization, taking into account the factors necessary for this: the development of medicine as a science, the creation of new

[9] Dimitrov. I., Petrov, P., Irmov, V. 2018. Organizational development - model "Organizational cone". Proceedings of the International scientific and practical conference “Bulgaria of regions’2018”: Socio-economic zoning: traditions, contemporary state and problems, 19-21 October 2018, University of agribusiness and rural development, Plovdiv, Bulgaria.

[10] Zahariev, E., Arabska, E. 2014. Eclectic concepts for distribution and popularization of good management practices. VII International scientific conference "Innovations in technology and education", March 2014. Ministry of Education and Science, Federal State budget institution of higher education "Kuzbass State Technical University named after T.F. Gorbachev", St. Cyril and St. Methodius University of Veliko Tarnovo, Bulgaria, Branch KuzSTU in Belovo, University of Agribusiness and Rural development - Plovdiv, Bulgaria, Belovo, March 2014, pp. 149-153.

technologies - equipment, medicines, introduction of new ethical principles, charity and humanism;

- to develop positive rules for training and development, as the goals are work-oriented, namely improving skills, increasing knowledge, acquiring specialized skills, increasing opportunities for growth;
- to encourage and motivate the training and professional development of medical professionals in accordance with modern requirements on a global scale for Continuing Medical Education (continuing education), ie.. the maintenance of high qualifications should be a permanent process. Guiding principles should be:

- with regard to the patients - protection of the patient and society from incompetence
- with regard to medical staff - to be a basis for better remuneration and the prospect of higher recognition of work performed;

- to build a mechanism for determining the need for training, including:

- assessment of everyone's professional skills and knowledge
- adequacy in the performance of professional duties;

- to create the necessary conditions and opportunities - development of programs and plans for postgraduate education and specializations:

- specifying what training to provide and for whom to provide;
- elaboration of a plan and selection of the trainees;
- elaboration of programs together with the specialists, including the forms of training, the places of training, the schedule of the theoretical classes and the practical exercises;
- conducting a colloquium and issuing a certificate for completed training course;

- to create and maintain favorable conditions for the proper training of students in the unit;
- to make maximum use of the knowledge and skills of medical specialists with a bachelor's degree.

Regarding the training of new medical specialists:

- to realize the integrity of the newly appointed medical specialist in the process of work;
- to get acquainted with the rules of internal order and other normative documents, including job descriptions;
- to be acquainted with the organization of work in the unit and the ways of communication with other units;
- to be acquainted with the competencies, obligations and responsibilities;
- to be acquainted with the main relations in the medical unit, research, treatment and recovery regime.

Regarding the training of newly graduated newly appointed medical specialists:

- to be aimed at the formation of quality and adequate activity, precise implementation of the set tasks, acquisition of professionally significant personal qualities, necessary in the future activity among the team;
- to acquire technical skills - fast, correct and skillful implementation of activities;
- proper behavior towards patients, doctors, other medical professionals and support staff;
- to form a sense of cooperation;
- to make a periodic assessment of the behavior of the medical specialist in the team, his/her adjustment, how he/she copes with the requirements and obligations, the degree of independence and adequacy, reactions in conflict situations and in situations with increased requirements.

Regarding the training of supporting staff:

- to carry out mandatory step-by-step training of supporting staff in order to acquire basic knowledge and acquire the correct technical skills to perform the activities within their competence;
- to prepare a project / programs and plans of those who will be trained;
- training courses to be conducted in small groups during non-working hours on the territory of the medical institution;
- to issue a certificate for completed training course.

With regard to the quality of medical activities, the medical activity in the healthcare units must be carried out with the maximum possible effect, the results must correspond to the scientifically predicted ones, it must be substantiated, legal and meet the expectations of the patients.
It is necessary to introduce and use the following criteria for quality assurance of medical activities, which are recommended by the World Health Organization[11]:

- technical quality, i.e. performance of professional functions;
- use of resources, i.e. economic efficiency;
- control over the degree of risk, i.e. social efficiency, which is the ultimate sought-after result of medical care;
- patient satisfaction with medical care, creating comfort and trust.

In order to work on creating a system of modern technologies that guarantee a minimum sufficient, but the most effective path for the patient, the implementation of a common quality management system is possible only with the coordinated efforts of managers and medical professionals.
It is necessary to carry out preliminary quality control, which should include the requirements for the qualification characteristics of medical professionals: level of education, certification, certification, licensing, and to develop corrective measures in the quality management system of medical activities.
Conceptual quality management models that can be used include:

- Quality control - operational activities used in fulfilling the quality requirements;
- Quality assurance - planned and systematically implemented activities within the quality system;
- Continuous and general quality improvement - activities aimed at achieving long-term success.

It is necessary to take into account all the factors that affect the quality of medical activities:

- Staffing;
- The material and technical provision of the healthcare unit;
- Improving the qualification of medical specialists;
- Professional adaptation and on-the-job training;
- Observance of the sanitary and anti-epidemic regime in the clinic;
- Management control;
- Observance of norms of behavior;
- Observance of the algorithm for the activity in manipulations;
- Proper implementation of doctors' prescriptions;
- Material incentives (salary).

Regarding the management of the motivation of medical specialists to create commitment, personal attitude, attitude and readiness to perform the work, which should be focused on achievements.
With regard to the evaluation of medical professionals and the evaluation of medical activities, it is appropriate to create a control system that is permanent (systemic and daily) and operational (upon receipt of signals of violations in the work of medical professionals). The control must be objective

[11] World Health Organization: https://www.who.int/

and based on uniform criteria for all the inspected, to have a benevolent attitude and to exclude the influence of the personal emotions and attitudes of the inspector. The aim is to help medical professionals overcome their mistakes and omissions by developing measures to eliminate them. The control should be planned and carried out openly, by creating a system for documenting the results of the control and they must be reduced to the knowledge of the contractors. The information should be included in the form of a database and analyzes and evaluations should be made.
Use the following techniques to assess the knowledge and skills of medical professionals is recommended:

- Oriented to scientific and technical aspects;
- - current tests giving an idea of the degree and reliability of the acquired knowledge;
- - direct monitoring;
- Oriented to psycho-social and ethical aspects - surveys, opinions of patients.

The introduction of medical technologies as assessment methods that will contribute to the provision of quality medical activities, to support the assessment of the work performed and to determine the effectiveness of each activity. They can determine the manner and extent of the practical application of the available medical knowledge, techniques, methods and procedures for diagnosis and treatment. They should be on electronic media to facilitate the mental work of medical professionals and they should have sufficient time for direct contact with patients, and should be periodically checked and corrected if necessary. All activities according to their specifics must be planned and carried out by highly qualified specialists. They must meet the high criteria and quality standards set at the European level.

## Conclusion

The management of medical professionals can be defined as the process of achieving the goals of the healthcare unit through planning, matching, selection, retention, release, development and appropriate use. Providing qualified, capable and willing medical professionals is an extremely important aspect of planning, which is one of the most important stages in the whole process of managing medical professionals. Because processes are dynamic, organizational forms cannot be considered ideal and final. It is necessary to ensure flexibility and adaptability of medical professionals. It is particularly important to establish an organizational governance structure that ensures the principle of unity and clear functioning feedback.

The idea of quality must be embedded in all elements of the management process. In medicine and healthcare, it is already accepted as an axiom that it has the greatest importance for the consumer value of medical care and through it has the greatest impact on health outcomes. Recently, there is more and more talk in healthcare about total quality management - a positive change in the health of patients, improving the quality of life of patients with incurable diseases, improving the satisfaction of people who have received healthcare. This implies “total” staff training (i.e. all and constant), “total” participation of all staff in solving quality problems, “total” control (i.e. control of all indicators and quality operators). The real criteria of the quality of medical care are: efficiency, adequacy, relevance, efficacy, satisfaction, timeliness, system. The quality of the health services provided in the healthcare units is assessed by the patient and his/her relatives from the moment of admission to the moment of discharge. That is why at any moment they must form a positive attitude of trust and confidence that they receive high quality diagnostic and therapeutic care and services. Particular attention should be paid to the quality of communications and communication culture in the healthcare unit. The performance of the duty of medical specialists is measured not only by diagnostic and treatment methods, but also by the psychological impact.

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# New Trends and Challenges in Training of Medical Specialists

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**Abstract:** Over the last decades special attention has been paid to raising the qualification and training of staff worldwide. This is especially true for medical professionals. The training of medical professionals naturally fills the gap between what they can do and what they should do to achieve the goals of the healthcare unit. Current paper presents a systematic approach to training and development in healthcare units considering needs assessment, definition of goals, design of programs, principles of training, policy of training and development, effectiveness of training programs. Recommendations are provided concerning design, influencing factors and evaluation of training programs.

**Key words:** medical specialists, training, healthcare.

## Introduction

The aim of training medical professionals is to reach the desired level of work as quickly and at the lowest cost, to build and expand the skills and knowledge needed for the position or to gain potential for the future. To this end, original methods are constantly being created and experimented with, which develop the most important management skills and lead to a significant increase in the level of quality of management of medical professionals.

The training of medical specialists can be defined as a systematic process of enriching the knowledge, skills and attitudes of employees in order to improve their performance in the positions, the structural units and the health organization as a whole. The systematic approach to this important function assumes the following sequence:

- identifying and analyzing training needs;
- defining the objectives of the training;
- preparation of training plans and programs;
- determination of the trainers and the requirements to them;
- choice of methods, techniques and forms of training;
- controlling the learning process;
- determining the effectiveness of this process;
- improving the learning process and ensuring its continuity.

In general, several conditions can be formulated, necessary for the successful design and implementation of training plans and programs:

- The individual must be motivated to learn, and he/she will be motivated if he/she thinks it will be useful;
- The trainee must receive satisfaction from the training;
- Performance standards and achievement goals must be set before the trainees;
- The learner needs guidance and feedback on how to cope;
- Learning should be an active, not a passive process. Medical professionals learn best when they do something, not just by listening;
- Training techniques to be tailored to the individual goals and needs of individual participants;
- To apply various teaching methods in order to maintain the interest of the trainees;
- Sufficient time should be given to trainees to "assimilate" what is learned, etc.

Modern information and communication technologies, audiovisual and computer technology allow individualization of training, development of mental and organizational abilities of trainees. Along with the methodological preparation and individual selection of the training programs, an important reserve for increasing the intensification of the training process are the appropriate training methods,

the application of modern technical means, the orientation of the training programs to solve specific tasks of the healthcare unit.

**Factors determining the need for training and development of medical professionals**

There are several mandatory prerequisites for determining the effectiveness of training, and first of all that should be noted is the need for it to be based on prior planning and assessment of the needs. Lack of judgment can lead to unnecessary or too expensive training, to training at an unnecessarily high or low level. Given the nature of training, training needs can be defined as the difference between the actual and desired state of knowledge, skills and attitudes of medical professionals. They are manifested in a certain level of work performance (desired and actual) - work results and behavior in performing the respective tasks. In this sense, the training needs can be considered as a difference between the desired and the actual level of performance of medical professionals, which is due to gaps in their knowledge, skills and attitudes.

Indicators of the need for training can be:

- change of the applied technology and/or working methods;
- changes in the composition of medical specialists;
- waste of materials;
- poor performance of the set tasks;
- delivery of new equipment, required qualification other than the available one;
- change in the implemented activities;
- increased number of unfavorable results;
- excessive turnover of medical specialists, etc.

All these indicators show the need for training, leading to analysis of the healthcare unit, analysis of tasks and analysis of medical professionals.

Organizational analysis includes specifying tasks, resources, and organizational environment. The policy for the medical specialists, the climate in the unit, the available resources and some external factors, for example, legislation, regulators, etc. are important for the training programs. The analysis at the unit level should determine to what extent the unit achieves the set goals and to what extent the training of medical specialists is a factor for better results in this regard. This analysis includes: a review of organizational goals and plans in the short and long term at various structural levels; analysis of the strengths and weaknesses of the unit; review of the quantitative and qualitative aspects of medical professionals, including their use, etc.

The analysis of the tasks requires a review of the job description and the conditions in which it is placed. Before that, an analysis of the tasks is performed, including differentiation of the individual tasks contained in the given work and listing the stages of the tasks, containing the specific actions of the individual and the necessary knowledge. This includes a study of information about the content of work tasks, the necessary qualities of the contractor, the norms and standards of work behavior and performance. As a result, it is determined what is the desired level of performance and what are the requirements for knowledge, skills and attitudes of medical professionals.

The analysis of medical professionals covers the knowledge, skills and habits of employees. It gives a definition of the quality of performance, studies the characteristics of individuals and their groups placed in a learning environment. This is important so that the training program can be modeled to get maximum results at minimum cost. The analysis of medical professionals aims to determine the actual level of performance and to indicate which knowledge, skills and attitudes should be improved through training. It examines the level of performance and compares it with the standard requirements already defined in the job analysis process. The difference between the actual and the desired level of performance is outlined, on the basis of which the objectives of the training are determined. The analysis at the individual level shows who needs training, which knowledge, skills and attitudes need to be improved. However, in order to reach this point, there must be enough information from the previous two levels.

The analyzes of the unit, the tasks and the medical specialists form the idea of the need for training.

**Defining the goals of the training of medical specialists**

Based on the analysis of the needs of the unit for training of medical specialists, the goals of the training are formed, which represent a kind of bridge between the training needs and the training programs. The objectives of the training specify the needs and determine what should be the knowledge, skills and attitudes of the trainees at the end of the training.

The clearly stated goal of the training includes information on this:

- what are the criteria that prove that this behavior has been achieved;
- what behavior should be achieved by the participant at the end of the training;
- under what conditions this behavior is expected to change.

In some cases, learning objectives are much more difficult to formulate. When it comes to improving the communication skills of medical professionals, it is not possible to metrify the end result of the training to such an extent. But this should not be a reason not to look for more accurate and clear descriptions of the purpose of training[1].

Properly defined learning objectives are useful in:

- the selection of appropriate training methods, taking into account which elements of knowledge, skills and attitudes need to be improved;
- the definition of the specific tasks both to the participants in the training and to the trainer;
- evaluating the effectiveness of the training provided.

**Preparation of plans and programs for training of medical specialists**

The preparation of training plans and programs is not a purely technical activity, the perfect implementation of which requires only following certain procedures[2]. It includes numerous creative elements in which a number of variables must be assessed, decisions must be made, compromises must be made, and priorities must be outlined. Moreover, with one ultimate goal - improving the work performance of trainees. Any deviation from this goal means that the unit can afford irrational costs of resources and low efficiency of training activities. A sensible approach requires the unit to constantly analyze and monitor the effectiveness of training.

When organizing training programs, the principles of training must be taken into account, a system of rules that must be followed in the training process.

- Trained health professionals should have feedback on how well they have mastered the material and receive a periodic assessment of the extent to which they are moving towards the objectives of the program concerned. This is useful in several ways. On the one hand, some mistakes in what has been learned are noted and it is possible to correct them in a timely manner. On the other hand, the motivation of the trainees increases, who in the process of periodic assessment are encouraged for their efforts.
- Trained medical professionals must be motivated to participate in the training and to study. Motivation is an internal psychological process for each learner, but it can be influenced by the purposeful actions of the learner. In this regard, all participants need to be aware of the objectives of the training and how it can contribute to achieving their individual tasks and goals: improving job performance, increasing remuneration and opportunities for professional and career growth.
- The study material should be organized and systematized so as to avoid ambiguities and contradictions. The correct arrangement of the provided knowledge and skills requires

[1] Dimitrov, I. Hristeva, E., Enchev, N., Aleksandrova, M. Communication skills in training nurses, Health Management 2016.

[2] Arabska, E. 2019. Coaching and mentoring in the system for acquiring knowledge and skills. XII International Scientific Conference "Innovation in Technology and Education", Belovo, March 21-22, 2019, Collection of Articles, Part 3, 30-34.

following a certain logic, according to which the medical specialists receive the information consistently and in mutual relation. Otherwise, conditions for tension, disturbances and even indifference to the taught material are created by the trained medical specialists.

- Trained medical professionals must be actively involved in the training process. In this regard, a reasonable selection of appropriate training methods and techniques is required, which allow for the direct involvement of participants in discussions and business games.
- The training should be conducted through systematic repetitions and practical exercises. This facilitates the learning process and is directly related to maintaining the motivation of the participants.

The study material should have practical applicability in the real work environment. Very often medical specialists declare that they are satisfied with the knowledge and skills that are given to them, but do not see a sufficient connection with their practical activity, i.e. they are not convinced enough that what they have learned they can apply in their work[3]. In connection with this, specific requirements are formed for the content of the offered training programs.

The design and organization of training programs must take into account the resources needed: for the remuneration of trainers; to provide a training base - halls, technical means; for teaching materials; for remuneration of medical specialists who do not perform their duties during the program, etc. The organization of training programs is a process of combining and connecting trainers, trainees and material and technical base and resources in a certain way, at a certain place and time.

*A training program could have the following sample structure:*

- Topic of the training program;
- Characteristics of the medical specialists - participants in the training: age and gender structure, number, educational and qualification level, professional structure, etc.;
- The main goal of the program: knowledge, skills and attitudes that must be achieved by the participants at the end of the training; what are the expected results; criteria for current control of the achieved results (standards); forms of current control (exams and tests).
- Curriculum structure: main thematic modules of the program for training of medical specialists; justification of the thematic modules according to the ultimate goal of the program; duration of each thematic module; trainers for each of the modules.
- Resource provision of the training program: halls, technical means, teachers, hotel base, canteen, training materials for normal classes, training materials that remain for the participants, others;
- Responsible for carrying out the individual tasks and providing resources;
- Time schedule for conducting the training activities.

*Principles for training of medical specialists*

The effectiveness and success of a training program for medical professionals largely depends on the proper clarification of the need for training and the preparation for its implementation. The preparation of the training is related to basic principles, on which the choice of methods and techniques for training of medical specialists depends. The main prerequisites for the success of a training program are the readiness and motivation of the trained medical specialists. Readiness is seen as a factor expressing the condition of trained medical professionals. It may be different for individuals and groups of medical professionals. Therefore, it is necessary to group the trained medical professionals according to their ability to learn, which is achieved through the application of special tests. If this is not possible, then the training itself is differentiated. The right motivation presupposes that the trained medical specialists have realized the benefit for themselves from the

[3] Dimitrov, I., Fotev, P., Petrov, P. 2018. Interpersonal behavior in the workplace. Contemporary Medical Science, Issue 1 (2018), 49-54.

acquisition of new knowledge, skills, information. Setting individual goals brings better results than the overall goal, motivating the participants in the training course for medical professionals.

If the two main prerequisites are present, then the success of the training is a function of the following principles:

- Significance of the taught material.
- Reinforcement - application of confirmation, praise, approval by the trainer, which strengthens the responsibility of the trained medical professionals.
- Connects between learning and practice.
- Distribution of training. Studies have shown increased training effectiveness in dividing the training course into shorter periods (for example, instead of 10 two-hour, 20 one-hour periods).
- Practice and exercises. The principle is related to the need to practice the acquired knowledge. For example, computer training should be accompanied by practicing what has been learned.

**Policy for training and development of medical specialists**

The policy for training and development of medical specialists is closely related to the unit's strategy for growth, renewal, high competitiveness and others. At the same time, it reflects the basic philosophy of the management in terms of ways to provide the necessary medical professionals and is the basis of decisions in determining training needs, in designing and organizing training programs, in evaluating their effectiveness, in managing and developing career, etc. The policy of the unit in the field of medical specialists allows to formulate the requirements for medical specialists, after which we move on to the study of the necessary conditions for their development. These include:

- data on the healthcare unit, organization and modes of action;
- resources available to the unit;
- the environment of the unit;
- the applied techniques;
- the technique used in the field of management of medical specialists. In second place are the analytical and creative skills of managers:
- recognizing the goals of the unit and ranking them in order of importance;
- determining the amount of medical specialists needed at the unit and their value expression;
- solving emerging management problems.

In next place are the so-called interpersonal skills, including:

- communication with medical professionals from different levels[4];
- coordination between the different structural units in the unit;
- coordination within the separate structural unit;
- motivation of medical specialists.

If the unit seeks to "buy" ready-made staff from the labor market and is reluctant to devote time and resources to their training, it will have to spend significant resources to attract and retain the desired workforce by offering relatively high salaries and social benefits. In such cases, several main problems usually arise:

- the labor market does not always offer exactly what is needed for the relevant stage of the unit's development;

[4] Dimitrov, I., Petrov, P., Fotev, P. 2019. Effectiveness of communication in medical teams. Medical store, issue 3 (2019).

- the possibility of disturbances in the organizational climate in relation to the tolerance of some and discrimination of other medical professionals with regard to working conditions and pay;
- difficulties in adapting newly admitted medical professionals to work teams, given that even the best-trained newly appointed medical professional needs introductory training to facilitate and accelerate the period of adaptation to the new work environment;
- the possibility of conflicts arising from the discharge of medical professionals who are no longer needed.

All these problems will be exacerbated against the background of current trends for continuous technical, technological and organizational changes.

If the unit focuses on the other approach in providing the necessary medical specialists - newly admitted and available medical specialists with a certain level of qualification are developed and improved through targeted training in accordance with current and future needs of the relevant structural units and positions. Here, the training of medical specialists is also a means of motivating staff by providing opportunities for professional development and growth in the service hierarchy, to unite work teams and to integrate medical professionals into the values and culture of the healthcare unit.

**Effectiveness of training programs for medical professionals**

The evaluation of the training of medical specialists is necessary in order to justify the costs of the healthcare unit in connection with this activity against the background of the achieved benefits. On the other hand, it also influences the behavior of the trainees themselves, who know from the very beginning that they will have to evaluate the processes in which they participate. This, other things being equal, increases their motivation and improves their attitude to the overall training activity in the unit.

At this stage, different answers are given: what are the costs incurred with the training, whether the training course should be continued or suspended, whether changes in work should lead to changes in the training course. The effectiveness of the training of medical professionals is generally assessed. This is a conditional issue, as the ability to benefit from training depends on the type of work. The effect of training courses for medical professionals performing relatively simple tasks is easier to predict. It has been proven that the benefits outweigh the costs when the learning objectives are clear, when using well-chosen training methods depending on the work performed, when there is good motivation of the trainees[5]. Increased quality of work is considered to be a significant benefit for the unit from the training of its medical specialists; the possibility for the trainees to be elevated in the hierarchy; the reduction of unfavorable results, leaving the unit, etc.[6]

When assessing the changes in knowledge that have occurred after the implementation of the program, the following are usually used: the forms of the traditional exam; a variety of tests of questions with several possible answers, of which the correct ones must be indicated; tests, including sentences that have been started and must be completed by the participants, etc. Various tools are used to assess changes in participants' attitudes, the most popular of which are the so-called “semantic difference scales”. They are relatively easy to design and implement in which they reflect his opinion.

When assessing changes in the skills of medical professionals, techniques are applied, which are summarized in two main groups - technical skills and social skills. When assessing technical skills, the

[5] Dimitrov, I., Petrov, P., Stefanov, T. 2018. Assessment of the quality of communication in healthcare facilities. UARD Collective monograph series: Sustainable development and competitiveness of regions, Book 1, Academic publishing house “Talent”, University of agribusiness and rural development, Plovdiv, 2018, Seventh part “Topical problems in health care and services in regions”, 251-256.

[6] Dimitrov, I., Fotev, P., Petrov, P. 2018. Interpersonal behavior in the workplace. Contemporary Medical Science, Issue 1 (2018), 49-54.

skills of medical professionals to perform a specific job task are tested. When assessing social skills, different techniques are used - role-playing games, structured surveys, group discussions[7]. As a result, participants receive assessments of various dimensions of their social skills - proposing new ideas, interacting with colleagues, managers and patients, summarizing and analyzing information, impact on others, etc.[8]

When assessing changes in the work behavior of trained medical professionals, the methods of direct and indirect observation and self-assessment are most often used. Relatively the most labor-intensive is the direct observation, in which during the whole working day or part of it the labor behavior of the respective trainee is observed. In indirect monitoring, conversations are held with people who can provide information about the work behavior of the trainee - direct supervisor, colleagues and patients. Valuable information in this regard can also be derived from the periodic evaluations of the medical specialists in the unit (of course, this depends largely on the qualities of the applied system for periodic evaluation in the unit).

Another method used to assess changes in behavior is self-assessment. In its most elementary version, the self-assessment is made by each participant answering in free form the question: "Do you think you will change your activities after this course? In what aspects will the changes be?".

The evaluation of the results of the training of medical specialists at the unit level is relatively the most difficult. Here is analyzed the change of a number of indicators that reflect the work results of the participants in the training - quality of work, turnover, causeless absences, unfavorable situations and results, etc. It should be borne in mind that these indicators reflect the influence of a number of factors, including training. The changes in these indicators should not be explained solely by the results of the training, but they prove that the training also contributes to the final overall results of the unit. In the process of evaluating these indicators before and after the training, interviews can be conducted, both with the participants in the respective course and with their direct supervisors and to identify a number of barriers that hinder the practical application of what is learned from the respective programs.

The practical activity of evaluating the results of training of medical specialists shows that:

- the benefits of training in many cases outweigh the gains associated with improving task performance;
- the benefits of training are more easily determined for physical than for mental work;
- it is easier to determine the result related to the improvement of the quality of labor than to the limitation of the need for control, unfavorable situations and results, labor turnover;
- the cost of off-the-job training is easier to determine than that of on-the-job training.

Different combinations of these approaches are used to assess the effectiveness of training, taking into account their specifics. Research shows that informal surveys of the direct supervisors of the participants in the training are most often used, as well as the forms for assessing the reactions immediately after the course. Tests to assess knowledge, skills and attitudes before and after training are relatively less common.

In order for a training program for medical professionals to be effective, it must generally:

- motivates the trainees to improve their performance;
- illustrates the desired skills;

[7] Dimitrov, I., Fotev, P., Petrov, P. 2018. Structure and essence of group communication in medical teams. Contemporary Medical Science, Issue 2 (2018), 51-56.

Dimitrov, I., Petrov, P. 2018. Study of the connection between good communication in healthcare facilities with the quality of the offered health service and the image of the healthcare institution. Proceedings of the International scientific and practical conference “Bulgaria of regions’2018”: Socio-economic zoning: traditions, contemporary state and problems, 19-21 October 2018, University of agribusiness and rural development, Plovdiv, Bulgaria.

[8] Enchev, N., Hristeva, E., Aleksandrova, M., Dimitrov, I. Social aspects in the training of nurses, Health Management 2016.

- ensures active participation of the trainees;
- provides an opportunity for immediate practice;
- provides timely feedback on the performance of trainees within the unit;
- be structured in the direction of simpler to more complex tasks;
- be adaptable to specific problems;
- encourages the positive transfer and use of what has been learned in practice.

## Conclusion

A number of activities can be recommended, taking into account the best experience, which can support the first and most positive changes in improving the effectiveness of training of medical professionals.

*First:* the heads of the units responsible for the training and development of the medical specialists in the unit can put into practice the observance of the following basic principles for the effectiveness of the training:

- Medical professionals must be motivated to train. They must have a clear idea of what is expected of them and what level of knowledge and skills they must reach (definition of criteria).
- Trained medical professionals must have clearly defined achievable goals (definition of goals).
- In the process of training they must be guided, supported and evaluated (implementation of guidance).
- The training must satisfy the realized one or several needs of the trained medical specialists (motivation of the medical specialists).
- Training must be an active process.
- Depending on the specific case, the most appropriate methods for training medical professionals must be determined in advance (choice of methods and means).
- The methods of training of medical specialists must be varied and alternate in an appropriate way (alternation of methods).
- It is necessary during the training of medical specialists to leave enough time for perception, assimilation, assimilation and verification of knowledge and skills (control over the intensity of training).
- It is necessary to monitor, stimulate and correct the behavior of all trained medical professionals (behavior management).
- Different levels of training require different duration and application of specific methods (differentiated design of training of medical professionals).

*Second:* the heads of the training and qualification units, together with the human resources management departments, can activate the following factors contributing to the effectiveness of the training of medical specialists:

- Making a close link between the unit's strategy and training.
- Maintaining active contact between the head of the qualification and the unit.
- Providing own budget for the training of medical specialists.
- Carefully identify the training needs of medical professionals.
- Clear definition of the training objectives of medical professionals,
- Ensuring close contact between the training participant and the line manager.
- Treatment of individual development as part of the change in the work and development of the unit.
- Basing the methods of training medical specialists on the experiment.

- Discussion during the training of medical specialists of the possibilities for application of what has been learned and/or for overcoming the barriers to its implementation.
- Undertaking special measures for implementation of what has been learned immediately after the completion of the training.
- Focusing on both the long-term effect of medical training and the short-term.

*Third:* the heads of the qualification units can put into practice a method for complex evaluation of the training programs, which should include the following more important steps:

- Calculation of costs for each component of the program (direct and indirect costs are included).
- Evaluation of the expected effect of the program (to what extent its goals will be achieved).
- Monitoring and control of the evaluation process.
- Analysis of the reports evaluating the implementation of the program
- Decision making based on the analyzed reports, etc.

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2. Dimitrov, I. Hristeva, E., Enchev, N., Aleksandrova, M. Communication skills in training nurses, Health Management 2016.
3. Dimitrov, I., Fotev, P., Petrov, P. 2018. Interpersonal behavior in the workplace. Contemporary Medical Science, Issue 1 (2018), 49-54.
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6. Dimitrov, I., Petrov, P., Fotev, P. 2019. Effectiveness of communication in medical teams. Medical store, issue 3 (2019).
7. Dimitrov, I., Petrov, P., Stefanov, T. 2018. Assessment of the quality of communication in healthcare facilities. UARD Collective monograph series: Sustainable development and competitiveness of regions, Book 1, Academic publishing house “Talent”, University of agribusiness and rural development, Plovdiv, 2018, Seventh part “Topical problems in health care and services in regions”, 251-256.
8. Enchev, N., Hristeva, E., Aleksandrova, M., Dimitrov, I. Social aspects in the training of nurses, Health Management 2016.

# Motivation of Medical Professionals

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**Abstract:** Despite the colossal achievements in the field of technology, organization and information systems, man remains the main productive and creative force, which is only able to unite other factors and provide the most essential attributes of economic progress - high productivity and efficiency. Problems of motivation are not new to management science, but they acquire unknown, unexpectedly important dimensions in moments of crisis for management. In our practice they are related to the need for a complete change of the management system according to the rules of the specific model in the conditions of the coronavirus crisis. Current paper presents a study of the motivation processes in healthcare institutions and provides some concrete recommendations concerning motivation factors and models.

**Key words:** medical professionals, management, motivation.

## Introduction

Motivation is a complex process. Not without reason, some authors point to motivation as an equal management function with the organization, planning, leadership and control[1]. The problems of motivation acquire essential importance for the successful functioning of economic entities in market conditions. Motivation can never remain hidden in a person. It is realized outside. The first thing to do in the process of motivation is to find that need that is most important to a particular person or that goal that is extremely important to him/her. The process of motivation begins with someone who consciously or unconsciously recognizes an unmet need. Then a goal is determined that is supposed to satisfy the need, a chain of actions is determined by which this goal is achieved and thus to satisfy the need. The process of motivation begins with the identification of the need. One of the main reasons for the complexity of this process is because individuals differ so much, it is impossible to make a universal law that provides for how all people will behave in certain circumstances.

Based on Maslow's theory of needs and their hierarchy, only one satisfied need can motivate behavior, and the dominant need is the main motivator of behavior. When a need is satisfied, the higher becomes dominant and the individual's attention is focused on satisfying that higher need, although the need for self-expression can never be satisfied.

Needs, desires and expectations are the things that give energy to the behavior of medical professionals. Decisions and actions (internal and external behavior) are what channel human behavior. Through motivation, a person gets closer to his goals. And achieving goals is a new energy that is feedback to consumers, desires and expectations.

A significant problem is the choice of the motivational strategy and policy for medical professionals to ensure their maximum involvement in the goals and objectives of the healthcare unit. This could be achieved only in the context of the overall improvement of the management system of medical professionals and the management of the unit as a whole. A significant part of the solution of the problem is related to the theoretical and practical rethinking of the model of motivation and its adaptation to the specifics of the system of needs, motives, interests and values of the medical specialists. In the concrete reality, in the conditions of deep crisis, motivation is rightly given priority as an inexhaustible source of additional creative energy. This leads to an increase in attention to motivational issues in theoretical and especially in applied aspects. There is a growing need for its management by managers at all hierarchical levels.

Motivation is a process based on the existence of unmet needs of the individual. The initial impulse, the awareness of the need, results in the increasing tension in the person. On this basis, energy is released and directed to behavior oriented to meet the corresponding need. By accepting a priori that people are intrinsically motivated to work, that they prefer to work rather than stay, that they

[1] Zahariev, E. 2015. Fundamentals of management. Academic publishing house “Talent”, University of agribusiness and rural development, Plovdiv.

naturally strive for self-improvement, I defend the understanding that medical professionals should be given freedom of work, that they should the manifestation of their hidden abilities in the search for and realization of the most effective solutions is encouraged[2].

Motivation is an activity for developing models, methods and tools, which create incentives for effective and creative work of medical professionals in achieving their goals. Hence the complexity of the problem - to combine the goals and motives of individual medical professionals with those of the system and the unit, achieving an understanding of a common goal. This is a rather complex creative activity, which involves first studying all the causes and factors that affect the system of diverse needs, interests and motives of medical professionals, and secondly constructing a system for motivating medical professionals in the unit.

## Motivation in modern organizations

Before the Industrial Revolution, the main ways to motivate at work were remuneration and punishment. Now, human resource management is a new philosophy that offers a new approach, which in the eighties began to consider motivation as a complex process. It is a network of interrelated factors, needs for friendship, needs for achievement, expectations, etc. In different people, however, the motivation is different, in the sense that everyone is motivated by different combinations of factors.

The modern multivariate approach to motivation is based on three main factors in the organization: the individual; labor characteristics; working environment. Te emphasis is on the interactions between the three factors. The individual may have a great and strong desire to work well. This is the first factor for motivation, but it alone is not enough. The other two factors are also needed - the characteristics of work and the work environment, as well as the interactive connections between them. For example, the work of the individual can bring internal rewards, be liked, be attractive, be diverse. However, the colleagues, the climate or the culture of the organization may not be attractive. Then the motivation of the individual will be less.

Namely motivation makes medical professionals act or behave in the way they perceive. When observing certain actions of medical professionals, their managers ask themselves: "What are their motives?". If they want to do something, they ask themselves "How can we motivate them?". It can be argued that for the correct explanation of the rules and principles of managerial influence on medical professionals, it is especially important to define the factors of motivation.

There are several classic approaches to clarifying behavior and motivational factors:

a) Freudianism, in which motivation is assumed to be a "game" of conscious and unconscious, of motives and instincts, but instincts play a leading role;

b) behaviorism, which is based on the fact that human behavior and its motivation are regulated by needs, rewards, goals;

c) cognitivism, in which it is assumed that human behavior is guided by expectations, beliefs, hopes, values, which are the result of knowledge and perceptions of people;

d) hedonism, which formulates the idea that people by nature tend to seek pleasure, reward, good and attractive work and avoid inconvenience, punishment, suffering, difficulties, difficult professions.

It should be noted that there is no consensus in the literature on motivational factors. For the correct and thorough clarification of this complex problem are important not only the classical concepts, but

[2] Zahariev, E., Arabska, E. 2014. Eclectic concepts for distribution and popularization of good management practices. VII International scientific conference "Innovations in technology and education", March 2014. Ministry of Education and Science, Federal State budget institution of higher education "Kuzbass State Technical University named after T.F. Gorbachev", St. Cyril and St. Methodius University of Veliko Tarnovo, Bulgaria, Branch KuzSTU in Belovo, University of Agribusiness and Rural development - Plovdiv, Bulgaria, Belovo, March 2014, pp. 149-153.

especially the development of the so-called "humanistic psychology" which opposes the narrow view of the individual outside the context of the multifaceted environment and interrelations[3].

The original interpretation of the question of motivational factors is made by the famous American specialist Frederick Herzberg, who distinguishes two groups of motivating factors:

- Factors that allow to increase satisfaction: achievements; recognition of achievements by others; the work itself; responsibility; career development; opportunity for self-realization.
- Factors to reduce dissatisfaction and dissatisfaction with work (so-called "hygiene factors"): policy and characteristics of the organization's management; material working conditions and safety at the workplace; salary; the relations with the members of the group to which the person belongs; personal life; relationships with subordinates; social status; social security.

It is interesting to note that according to Herzberg real motivating factors are those of the first group, and "hygiene factors" are considered only as a necessary condition for normal operation and a prerequisite for the manifestation and use of the other group of factors for management purposes[4].

Without striving for a clear grouping, the factors that reveal some of the most important aspects of motivation are:

- The expectation that a certain behavior will lead to the desired results;
- The experience gained in taking action to meet the needs;
- The system of incentives (the value of incentives and the realization that the incentive depends on effort);
- Abilities - intelligence, knowledge and skills of the individual;
- Perception of work - what the individual wants from the job or thinks it is required of him/her. From the point of view of the unit, it is desirable to obtain a match between the personal perception of the work and the requirements of the unit;
- The influence of other people - the group influence of colleagues, family or other social groups to which the person belongs, is important because it affects social needs and the need for evaluation;
- The work itself - the degree to which work creates opportunities for achievement, responsibility and satisfaction.

It can be summarized that people's behavior in the labor process is determined by three main groups of factors:

- Factors related to the individual characteristics of the personality: human abilities, qualities and character, including the degree of maturity or stage of development reached by the individual; the needs, interests, goals and aspirations of the people, reflected in the individual work motivation; commitment to the organization and its values.
- General motivating factors representing the impact of the general economic and social environment on the individual: the level of needs of people and their families; the state and development of the commodity and money market; the state and development of the labor market.
- Immediate motivating factors reflecting the impact of the organizational environment on staff: the level and dynamics of wages; recognition of achievements in work; the participation of the staff in the activity of the organization and in the distribution of the profit; opportunities for the development of individuals; the level of distribution and

[3] Humanistic Approach: https://www.simplypsychology.org/humanistic.html

[4] Zahariev, E. 2015. Fundamentals of management. Academic publishing house “Talent”, University of agribusiness and rural development, Plovdiv.

cooperation of labor; the expansion of group forms of work; the organization of work in the workplace; working and safety conditions; the socio-psychological climate, etc.

The logic of such an assumption does not exclude the finding that this grouping of motivational factors is still quite conditional, as far as some "overlap" of elements of the three groups can be allowed. However, this can be considered natural, because at least for now it is not possible to prove the exact relationship between the level of motivation and the influence of individual factors, moreover, that they do not act in isolation, but connected with each other. Clear grouping and categorical limitation of the influence of individual factors is difficult also because different people are very differently and too specifically influenced by these groups of factors - their behavior can fundamentally change the general theoretical positions about the importance of different motivational factors.

The following demotivating factors leading to frustration have a particularly important modern sound: gaps in the organizational structure; manifestations of bureaucracy; gaps in management technology; untimely regulation; subjectivism in personnel policy; disorders in interpersonal relationships; excessive centralism; uniformity and template in the management; bit; objective lack of development horizon; tendency to perceive the phenomena from their negative side; old age; tendency to guard forces; recreational resources.

Motivation is negatively influenced, therefore repulsively, by such moments in management as: the emphasis on the quantity and not on the quality of the work performed; underestimation of the capabilities and abilities of subordinates; standardization and depersonalization of the activity of individuals; the results of the organization's activity are not assessed as socially significant; subordinates are not encouraged to experiment with new forms and methods of work; creating an environment in which people feel insecure in their actions and in the correctness of the decisions made, etc.

The study of motivational factors makes it possible to establish the so-called. motivational profile of the group, which allows more targeted and more effective influence on both individual and group work behavior[5].

## Motivating the staff in the healthcare institutions

Until the 1950s, simpler theoretical generalizations of behavioral motivation were used in management. However, since the 1960s, the topic of motivation has become increasingly important in the theory and practice of management. One of the avant-garde mechanisms, for example, is based on the theory of human resource management. Motivation in management arouses the interest of managers and researchers almost as much as communication in management. What are the reasons for this interest?

The first reason is that motivation refers to the most important resources of the modern organization - these are human resources. It is believed that the effectiveness of the organization, as well as its excellence, is achieved on the largest and fastest through people. The aspiration of leaders is to manage their organization through human resources. The strategy for attracting, maintaining and reaching an agreement with the medical specialists is always developed carefully and precisely, and the main techniques in it are the motivational ones.

The second reason for the huge interest in motivation is that it is different for different medical professionals. They differ in style and motivation. Their behavior in the unit is a result not only of personal motivation, but also of the influence of the environment on the motivational structure of medical professionals.

The third reason that strengthens the interest in motivation is the new concept of organizational efficiency. To a large extent, it is already perceived as a matter of the ability of the managers themselves to motivate the medical specialists in the unit to achieve the goals and other criteria for effectiveness.

[5] Zahariev, E. 2013. Challenges to industrial management: priorities and solutions. Academic publishing house “Talent”, University of agribusiness and rural development, Plovdiv.

The fourth reason is that the healthcare units have recently been thinking strategically about human resources and seeking to create the so-called "Talent bank". They make special efforts to "raise" suitable specialists and to develop them. At the heart of programs for training suitable staff, career planning, remuneration, work organization, official communications, etc. is the motivation[6].

The variety of motivational models shows that there are alternative ways in the approach of managers in choosing the most appropriate forms of impact on people. It cannot be said that there is one best, universal motivational model applicable in all cases. When applying any model, it should be borne in mind that in the specific conditions of economic crisis in our country there are many medical professionals who can "voluntarily" distance themselves from the needs of some lower levels, which allows more to use motivational factors effectively. To this end, as well as for the general increase of the ability to motivate, managers must adhere to some simple rules in their work:

- To strive to understand the needs of their subordinates, according to the classification of E. Maslow;
- To study not only what they need, but also what they want. Even if they are unable to provide it for them, managers could change their approach to motivation depending on the wishes of medical professionals.
- To try to grade the motivational factors for the individuals and to use them skillfully depending on the specific possibilities of the unit at any time;
- Remember that money is not the only incentive that medical professionals need and strive for. Medical professionals can be motivated by promotion, by the work itself, by recognition, praise, the opportunity to achieve additional results or take on new responsibilities, and more. Sometimes such incentives can be more effective than monetary rewards.

For some medical professionals who have their material needs met at lower levels, the following circumstances would have a motivating effect:

- granting greater power;
- opportunities for rapid growth in professional and hierarchical lines;
- ensuring a sense of security;
- transfer to such a unit, which provides the best opportunities for complex development of the personality and a suitable environment for the manifestation of the specific individual abilities;
- ensuring a certain social status, which according to the individuals is very dignified and prestigious;
- an opportunity to participate in the management of the organization and in making strategically important decisions;
- an increase which they may receive from others;
- assignment of such tasks, which contain risk, surprise, test of will, for which some persons have inclinations;

[6] Dimitrov. I., Petrov, P., Irmov, V. 2018. Organizational development - model "Organizational cone". Proceedings of the International scientific and practical conference “Bulgaria of regions’2018”: Socio-economic zoning: traditions, contemporary state and problems, 19-21 October 2018, University of agribusiness and rural development, Plovdiv, Bulgaria.

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Dimitrov. I., Irmov, V. 2018. Study of the specifics of communication between the different levels in the health facility. Proceedings of the International scientific and practical conference “Bulgaria of regions’2018”: Socio-economic zoning: traditions, contemporary state and problems, 19-21 October 2018, University of agribusiness and rural development, Plovdiv, Bulgaria.

- full employment and work corresponding to the level of qualification, as well as the regular change in the nature of the work;
- encouraging creativity;
- awareness of the ultimate goals and results of the operation of the unit;
- opportunities for constant facilitation of the work by introducing the top achievements of the scientific and technical progress for automation and intellectualization of the work;
- permanent opportunities for mastering new knowledge;
- opportunities for closeness, interaction and contacts (formal and informal) with persons from the highest levels of management in the unit, etc.

- In the practical solution of the problem of motivation to approach comprehensively. The influence of individual factors must be considered in their interrelation and the influence of social and personal preconditions must be taken into account[7]. Assess also that motivation is not just a matter of giving more money. Assess also that motivation cannot be achieved by creating a sense of satisfaction - too much emphasis on it can lead to complacency and inertia.
- Take into account the importance of expectations and their impact on motivation. The reward will be more effective if medical professionals know in advance what they will get for a job well done. To this end, the link between effort and remuneration must be clearly emphasized, as the requirements and tasks set for medical professionals are not easy, but they are not impossible. It should be clear to medical professionals what they will get if they do a good job, but also what they will not get if they fail. They should also know that for good achievements they will receive praise, a special award or greater opportunities for performance, but the award itself should not be devalued and should be given only when it is really deserved. While the reward can be defined as a positive factor, insofar as medical professionals strive for it and after achieving which they feel satisfaction, the effect of punishment as a form of motivation is more complex. While the award is determined for factual situations, it reinforces the positive attitude of medical professionals towards the work. However, punishment does not always eliminate the tendency to negative behavior, so it must be applied with special care so as not to become a factor of frustration. Improper application of punishment causes bad mood, hostility, tense atmosphere and even causes aggressive behavior of subordinates. It should be borne in mind that the faster or faster the reward or punishment. Rewards and punishments should be a universal system of influence in the unit. They must form a balanced system and be used in the correct gradation, accurately measuring the strength of the stimulus or sanction against the severity of the positive actions or transgressions.
- To know well the psychological types, the peculiarities of the individual and other socio-psychological characteristics of the personality, in order to use individually in the motivation those factors that have the strongest influence and to the greatest extent involve the medical specialists in the goals of the unit.
- Recognize that group influences strongly influence motivation. Therefore, leaders must do everything necessary to win over the groups on their side, from formal leaders to take leadership positions.
- To periodically do research in the unit which hinders motivation and not to forget that the same stimulus acts differently on different people.
- Objectivity and fairness in assessments and remuneration, effective feedback, etc.

The main methods to determine motivation are:

[7] Dimitrov, I., Fotev, P., Petrov, P. 2018. Interpersonal behavior in the workplace. Contemporary Medical Science, Issue 1 (2018), 49-54.

- Use of money as a reward and incentive;
- Imposition of requirements;
- Motivation through work;
- Development of empathy;
- Recognition and publicity of achievements;
- Emphasis on group work;
- Staff training and development;
- Elimination of negative things at work;
- Exercise leadership.

*Remuneration of medical professionals:* Money, as a means of payment or other form of remuneration, is the most obvious form of reward. Money is the lure that most, if not all, people want. In order to effectively use money as a motivator and to avoid its action as a demotivator, the manager must: pay competitive salaries to attract and retain medical professionals; to provide a salary that reflects the value of the work for the unit, as well as to pay fairly and fairly; to link pay with performance or results as far as possible, and thus to give a direct incentive to work.

*Imposition of tests:* Motivation is not just a matter of giving rewards and incentives. Healthcare professionals need to know what they are expected to do and what will happen to them if they do not. They must be aware of their role, the goals that must achieve the required standards of performance and behavior. They may be aware of the rewards in the form of money, promotion or improved status that will follow from the compilation with these expectations, but they should also be aware of the sanctions that will follow if they fail.

*Development of empathy:* The manager should do everything possible to increase empathy and identification with the unit. Its aim should be to integrate, as far as possible, the needs of the unit with those of the medical professional, so that the latter believes that if the unit prospers with his/her help, he/she will prosper as well. Medical professionals can work hard if they believe in the unit's mission, and can identify with its values, goals, and activities; they will work even harder if they feel that there will be something for them in achieving the desired results of the unit.

*Motivation through work:* By providing a fair and competitive pay structure that, as far as possible, offers effective financial incentives, the manager can increase identification and provide long-term motivation by developing an internal incentive system. Internal stimuli are at the heart of work and give satisfaction, allowing people to feel satisfied, to express and use their abilities, and to exercise their own decision-making power. Motivation through work itself is a major issue of constructing work and enriching it.

*The award and recognition of achievements:* The pay system can be designed to link rewards to achievements, but the leader must also reward people by giving them more responsibilities (internal reward) and more opportunities for promotion and promotion (external rewards). Achievable rewards are very good when they are deserved and medical professionals appreciate this fact. The award for a job well done is an important motivator, as long as it is once again deserved. It depreciates when given too freely.

*Exercise leadership:* Leadership plays a key role in motivation. It develops empathy and identification, but it also gives a sense of direction. It can clarify roles and goals, develop group spirit. Inspired leadership by charming personalities who make everyone accept what is sometimes called "super-ordinated goals" – i.e. goals above and beyond a sense of duty - may be appropriate in some conditions, such as during a crisis. But a cool, calm and restrained leader who pulls people after him/her because he/she knows clearly where he/she is going and how to get there - with the help of his/her team - can be equally effective in certain situations.

*Team building:* A cohesive team will engage all its members with it. Enthusiasm is contagious, so if a manager can create enthusiasm for his/her team's task, he/she is much more likely to get everyone to go their own way. Team building activities aim to achieve a strong bond and overcome the negative influences that groups can cause.

*Training and development of medical specialists:* The systematic training and development program motivates by enabling medical professionals to expand their skills and reach positions of greater responsibility. Sending someone on a course can be a good way to show them that they are valuable. Unit training programs, especially on-site ones, can help improve the identification of health professionals with the unit.

*Eliminate the negative sides:* In addition to the positive contribution of motivation, there are also negative aspects, as described by Herzberg (hygiene factors), which the manager must minimize. One is the unfair pay system; the other is poor working conditions, inadequate supervision and unjustifiably restrictive or bureaucratic practices.

The main *motivators* can be grouped as follows:

- First, *the development of medical professionals*. This possibility can be realized if in the unit the content of the work is constantly enriched, it is intellectualized and becomes creative; the professions - wide-profile, the qualification - multifunctional. Medical specialists are motivated when the work is interesting for them, it is not too easy and executive, but they can actively participate in it, show initiative and have the opportunity to make suggestions for its rationalization. The development of medical specialists presupposes the creation of conditions by the unit for their continuous training and self-training, for creative, professional and personal self-improvement. Particularly effective motives for medical professionals are created when development is associated with career advancement. Here the main place in modern conditions is given to the growth horizontally - from some activities - to others, with a richer content of labor, without vertical hierarchical movement.
- Second, *recognition and respect*. The unit must create conditions - on the one hand - for recognition of the achievements in the work and professional development of each medical specialist by managers and his/her colleagues, and on the other hand - self-recognition of their own success and achieving self-confidence and authority of each person. The idea should be supported not only for the medical specialist to adapt to the goals and requirements of the unit, but also for the latter to adapt to the specifics of the individual, something that is not yet applied in Bulgaria.
- Third, *social contacts*. When a person is accepted as part of the team, part of a certain social group, his/her need for social belonging, for action is satisfied. This is a prerequisite for both highly effective activity and personal development. The most suitable form for the development of social contacts is teamwork. Good relationships make work easier and lead to increased work efficiency.
- Fourth, *security*. Perceptions of it have changed significantly with the adoption of the concept of a 'flexible workforce'. Today, job security is associated with mobility, flexibility and adaptability to change. And this means continuous professional development not only for the performance of work duties, but also for survival. However, clear rules are needed that redundancies will, in any case, remain the best, and not, as is often the case, the use of various other criteria. Security in the new conditions is also related to strengthening solidarity between medical professionals to compensate for the risk of rapid and radical change. And also the responsibility of the unit (along with the state) for social protection in case of loss or transformation of employment, for retraining and reorientation of the affected workforce.
- Fifth, *the salary*. Its level and dynamics determine the possibility of satisfying not only the material (physiological), but also a significant part of the spiritual and social needs of the individual. In addition, for the majority of staff, the salary is still the main, the main motive for active work participation, as well as for professional development. with the professional career system. In many cases, when the salary system is not set up properly, the distribution of salary is unfair, it not only does not motivate, but can demotivate medical professionals.

- Sixth, *cooperation between the heads of the unit and the medical specialists*, instead of the usual schemes of hierarchical subordination. The cooperation is built on the unity of goals between the two parties in the value system of the unit, which can be formalized in a moral code. This can undoubtedly happen when building a relationship of trust and openness. On the one hand, the management provides complete information about its actions, and, more importantly, listens to all possible suggestions and ideas from medical professionals. The dominant model of interaction and communication is that of cooperation, not obedience.
- Seventh, *power for all, based on common views, values, trust and perseverance*. The empowerment of specialists in social systems and organizations is a key element of cooperation, but it also has an independent role in motivating staff. "Empowerment" is understood and is based on the assumption that each person is driven by the inner motive to do real things in the right way, regardless of his/her position in the hierarchy or the level of power he/she has. Such a motive is considered to be a basic human position, which on the basis of the assessment of the real situation and the abilities and experience of each one generates the respective autonomous decisions. At the same time, the person understands the need to be responsible for his/her decision and the consequences of it. The "authorized" person is considered as a subject, not as an object of interactions in the system and the organization. Viewed in this way, "empowerment" is also understood as an expression of man's most natural and principal desire to determine his/her own destiny".
- Eighth*, evaluation of the activity of all medical specialists*. Motivation is achieved, on the one hand, by imposing requirements through clearly defined goals, standards and expectations related to the result (positive or negative), and, on the other hand - by objectively, fairly presenting the results to each medical professional. The importance of the assessment is determined by the fact that it is the basis for building science-based systems for the development of medical professionals (training, professional career), for the salary, as well as for the selection and dismissal of medical professionals. Thus, evaluation is a motivating factor with both direct and indirect action, through these systems, which have a decisive influence on the motivation of medical professionals.
- Ninth, *the provision of fair, safe and healthy working conditions and favorable living conditions* for medical professionals has a great motivating effect. They are an element not only of social policy, but also of management. Because it is difficult to imagine that a person who works for a long time without a break, in harmful, unhealthy working conditions, will be able to be creative in their work and will develop. And further - that if he/she has no home, travels long and hard, has nowhere to eat, to rest, he/she will be motivated for highly efficient work. And vice versa.
- Tenth, *leadership based on competence* (rather than position in the hierarchy), the formation, maintenance and management of relationships; the ability to work with a group, respecting everyone's opinion and recognizing their results; of attracting medical specialists in the management (empowerment) and creating a healthy socio-psychological climate in the team. But for this, in addition to the above qualities, the leader must also be fair, honest, hardworking, educated, etc. This type of leader and leadership is still unknown for the Bulgarian conditions, but it is already obvious that although slowly and painfully this management system will make its way in our country as well.

The main skill of the leader therefore becomes communication[8]. There is no such thing only from top to bottom; there is a permanent one on both sides. All issues and problems that affect the work are subject to discussion.

[8] Dimitrov, I. 2020. Communicative skills, an effective way of health management. Intel Design Ltd., Plovdiv 2020.

Based on the above, *a motivational strategy* could be proposed, which also takes into account the requirements for job satisfaction and for a positive work attitude and empathy for the unit:

- Defining and expanding the mission and the main "philosophy" and values of the unit, as well as its strategic priorities;
- Setting challenging, but achievable, group and individual goals with the active participation of medical professionals. Formation of common organizational goals in search of an opportunity for the individual aspirations and intentions of each to fit in some way into the general goals of the unit. Use every possible means of communication to ensure 100% certainty that the signals of mission, values and strategies have reached every member of the team. The individual goals in the unit are directly related to the needs and therefore the regularities that have already been mentioned must be taken into account here.
- Finding ways to ensure participation in management, to involve medical professionals in clarifying problems and developing options for solving them in order for them to feel the changes as a consequence of their own will for them. Using general meetings, discussion groups and any other similar forms to get medical professionals to discuss the problems of the unit and to be able to use their ideas in front of an audience. Mass dissemination of information about the activity and results of the unit.
- Suggesting - through examples and training - the confidence that the management style in the unit is right to encourage empathy and collectivism, that everyone's opinion is valued.
- Search for leadership that inspires and "infects"; appointment of management staff and team leaders with the ability to motivate; organizational and behavioral training of the current management staff.
- Designing structures and positions so that the medical specialists occupying them feel the feeling of completion of the work, to be able to apply and develop their knowledge, skills and abilities. Providing guidance and training that would enable health professionals to use and develop their abilities to the fullest.
- Providing a feedback system for work results. Disclosure and explanation between the performance and the remuneration. Creating expectations that certain behaviors and outcomes will lead to appropriate rewards that, in the judgment of the medical professionals themselves, would be worth the effort.
- Ensuring the respective financial remunerations for the labor achievements. Their involvement in a system of evaluation and remuneration, which is focused on the effectiveness of teamwork and meets the requirements of fairness. Maximum linking of individual remuneration with skills and mastery. Providing non-financial remuneration of all types on a current and periodic basis.

## Conclusion

Dimitrov, I., Fotev, P., Petrov, P. 2018. Structure and essence of group communication in medical teams. Contemporary Medical Science, Issue 2 (2018), 51-56.

Dimitrov, I., Perov, P. 2019. Peculiarities of communication in medical teams. National Union of Obstetricians and Gynecologists from Pre-Hospital Care, 2019.

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Dimitrov, I., Petrov, P., Fotev, P. 2019. Effectiveness of communication in medical teams. Medical store, issue 3 (2019).

There is no universal theory or approach to motivation. Although each of the considered approaches is liked to a different degree intuitively, none of them can be perceived as the only right way. To achieve the best results, the manager must be able to diagnose each situation and apply different motivational principles as appropriate.

Motivation is a complex process. Motivation includes at least the analysis of needs, choice of behavior, evaluation of the effectiveness of the work, rewards and satisfaction. In addition to this obvious completeness, managers need to consider the following two aspects: First - medical professionals differ in what motivates them - some highly value money, others rather look at the nature of work, others are motivated by a complex of other factors. It is essential for them to make that distinction. Second, motivation is essentially a learning process, and as such, no immediate results can be expected from it. Motivation is continuous activity.

The reward mechanism in the healthcare unit is a powerful motivating factor. Rewards are a major motivator, as health professionals usually put in more effort the more they get in return - in other words, "what they get for what they do". Although there are important differences between internal and external rewards in motivation, the manager should not rely on just one. Since an attractive job may end up being unsatisfactory in the absence of appropriate pay, both high-paying but boring work will be detrimental to motivation. The leader must learn to combine the use of external and internal rewards.

The manager is a key element in the process of motivating medical professionals. It can influence any team in a person's motivational process. He/she identifies key motivational needs, assists in the selection and conduct of motivated behavior, assists in the training of medical professionals in improving skills and abilities, evaluates work and rewards or punishes their behavior. He/she should not only take into account its important role in this process, but also prepare in stages - how to effectively assess what motivates medical professionals, etc. - how to conduct the interview when evaluating the effectiveness of medical professionals.

With the advent of more and more research and practice in the application of theories of motivation and their methods, one will better understand the process of motivation. Even with so many unknowns, executives today are in a much better position than their predecessors in terms of understanding what makes a medical professional better or what reduces his or her effectiveness.

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# Sports Tourism – Status And Significance

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**Abstract:** Sport tourism is an interesting and different kind of tourism. There are not many articles in Bulgaria about its identity and specifications. The main object in this publication is to define the concept of sports tourism and its significance. Sports tourism has many characteristics. The beginning of sports tourism dates back to ancient times. The publication traces the most important stages of its development to the present days. The definitions given in the scientific literature for sports tourism are reviewed and a definition is proposed, which most accurately conveys the essence of sports tourism in terms of at least three prerequisites - motives for travel, product features and the type of experience. The Covid-19 pandemic hit tourism hard, including sports tourism. The economic losses are estimated to be more significant than those caused by the financial crisis in 2008-2012. There is every reason to expect that very soon sports tourism will take its rightful place in people's lives and it will become an important part of the tourism industry.

**Key words:** sports; history of tourism; specialized types of tourism; prospects of sports tourism; Covid-19 and tourism.

## 1. Introduction

It has long been known how significant is the influence of sports on the health of the people. Sport and a healthy lifestyle are inextricably linked with each other. This is confirmed by the famous saying: "A healthy mind is in a healthy body!" *(in latin - Mens sana in corpore sano*). One cannot argue with this: as a rule, athletes are decisive and purposeful people, constantly moving forward. The positive effect of sport on human health and character has never been in doubt and has long been scientifically proven.

The impact of sport on human health has long been known. The first level of motivation that motivates a person to travel is physical motivation, which is aimed at restoring the body and soul, wellness goals, pleasure and sports. This is largely determined by the fast pace and high level of stress in the life of modern people, which increasingly stimulates them to actively spend their free time. These factors largely explain the growing popularity of sports and active tourism. One type of active tourism is sports tourism, which, on the one hand, satisfies a person's need for sports, and on the other hand, the need to participate in sports. Passive tourism is one in which people travel in order to attend sporting events that they enjoy as fans. Tourism is such an area of human life that allows him to meet a variety of needs - recreation, communication, knowledge, new experiences and more.

In Bulgaria, sports tourism is an underdeveloped but very promising area of tourism. The purpose of this publication is to analyze the relationship between health, sports and tourism. As far as there is a growing popularity of sports tourism, the relationship is specified on the impact of sports tourism on human health.

## 2. History of sports tourism

Travel to observe and participate in sporting events dates back to ancient Greece. Today, sports activities are growing in popularity. The term tourism comes from the French “tour” - *travel, excursion*. According to the modern definition, tourism is a trip for some purpose - mostly recreation and entertainment for work, for guests, with cognitive motives, etc. At the same time, tourism is an economic sector with a serious contribution to the creation of GDP (in our country between 12 and 14%)[1], and in recent years there has even been talk of a tourism industry comparable to that of

[1] According to the World Travel and Tourism Monitor, tourism generates 9% of the world's GDP, and for Bulgaria it is already 13.6%. Available at: https://www.investor.bg/na-fokus/441/a/turizmyt-shte-formira-18-ot-bvp-prez-2020-godina-162019/ (seen on 20.04.2021)

production. The definition in a narrower sense describes tourism as a set of phenomena, people, relationships and interactions resulting from the change of location and stay of travelers.

Different forms of tourism can be defined by different criteria, with the motives for the stay and its organization by the travelers in the foreground. They can be the most diverse and, in general, characterize tourism as a leisure-oriented activity. The term "sport" comes from the old French word "desporter", which means "have fun". More famous, however, is the English word "sport" meaning physical exercises and games with a competitive nature and the pursuit of excellence and victory. The growing popularity of the sport nowadays makes its competitive nature optional. The Council of Europe (1992) defines sport as "all forms of physical activity which, through organized or unorganized participation, aim at improving physical condition and mental comfort by forming social contacts or obtaining results at all levels". However, this definition does not distinguish between professional and non-professional, as well as competitive from non-competitive sports.

The most widely accepted definition of the term "tourism" is "*a social, cultural and economic phenomenon which entails the movement of people to countries or places outside their usual environment for personal or business/professional purposes*."[2]

Based on the definitions of these concepts, their connection can be sought and the concept of "sports tourism" can be defined. In the specialized literature it is found relatively recently (late twentieth century). In our country, sports tourism is almost not considered, but it is the subject of attention of a number of foreign authors. In 2001 WTO and IOC define the reasons for the growing interest in sports tourism, namely:

- expansion and democratization of sports participants;

- increased interest in health and fitness since the 70's;

- increased active activities during the holidays from the 80's;

- increased interest to sports games and sporting events and increasing tourist opportunities related to them.

According to Stamov and Aleksieva (2003), sports tourism is "a type of specialized tourism in which the needs of tourists for sports, recreation and active recreation are met through their participation in various sports events"[3]. In order for a tourist trip to be defined as sports tourism, it must meet the following basic principles:

1. The practice of sports activities is a goal of the tourist trip;

2. Tourists are active participants in sports.

Sports tourism is born on the one hand as a continuation of sports and sports entertainment, and on the other hand as a need for the development of new additional services and products in the field of tourism. This connection has a strong stimulating effect on both tourism and sports. At the same time, theory and practice are faced with the question of whether sports tourism is a sufficiently specific product that can be separated from sports and tourism. If it is a distinctive and unique product, it is necessary to apply a specific management approach to its development.

Although sports tourism has a history of many thousands, its diversification and modern lifestyle trends in developed countries are making it an increasingly widespread phenomenon. From a historical point of view, the connection between sports and tourism dates back to ancient times together with the organization of the first sports competitions. The cult of sports and entertainment in ancient times reached its peak in the 8th century BC. in the Greek city-states. Of the four panel games, the most famous are those held in the Olympia region. During the Olympic Games, the number of athletes, spectators and traders ranged between 40 and 60 thousand people. The Olympic Games bring together people from all lands inhabited by Hellenic tribes, including southern Italy and Antalya.

2 available at: https://www.unwto.org/glossary-tourism-terms (seen on 20.04.2021)

3 Стамов, Стамен и Й. Алексиева (2006) Специализирани видове туризъм „Кота". Stamov, Stamen and Y. Alexieva (2006) Specializirani vidove turizam. "Kota" p.89

The Romans continued the practice of traveling to participate in or observe sporting events, albeit in various forms. The need for sports is determined by health and social reasons, as the competitive element is no longer so important, which to some extent limits the movement of significant flows of people between the cities and areas of the Roman Empire. Gladiator fights and carriage races are gradually displacing athletes from the ancient Olympics and are spectacular events that are usually attended by spectators from the same city or the surrounding area. The Romans contributed to the development of sports tourism in terms of preserving the tradition of ball games, which are the basis of many of the most popular modern sports such as football, rugby, volleyball, softball. The tendency of the wealthy Romans to travel helped to spread the ideology of games throughout Europe as a means of keeping the mind and body in good shape. The relationship between sport and tourism expanded during the Middle Ages, when wealthy people traveled to watch competitions. The most popular sporting events then were the so-called tournaments, in which knights compete in several sports.

Later, with the development of the transport system, travel time was shortened and tours began to include increasingly distant destinations in Asia and Africa. Although sport is not the main motive at the beginning of the big tours, it becomes an important part of the experience in the later stages. This is because the initial tourists are rich young people for whom the main goal is education. However, the value system gradually changed and in the 17th century social skills came to the fore, including training the body through cycling and fencing exercises. The main obstacle to the development of sports tourism before the industrial revolution in the 19th century was the poorly developed transport infrastructure. After the 16th century, the situation gradually improved, especially in Britain, where new roads and improved carriages were built. For the return of the highly competitive element in the sport inherent in the ancient Greeks, the emergence of professionalism is of great importance, which from the very beginning provoked fierce debates in society. However, another element is needed for the development of commercial and professional sports in the era of industrialization, and that is the emergence of a critical mass of spectators.

However, the real flourishing of mass sports tourism can be said only in the 20th century, when the increase in leisure time allowed a significant mass of people to travel to play sports or watch sports competitions. The development of transport infrastructure is another powerful factor for the development of sports tourism. While the 19th century is the age of the train, the 20th century is the age of the car and the plane. The latter two modes of transport give a revolutionary impetus to the ability of people to travel to observe or participate in sports competitions and activities. The construction of quality and affordable hotels is also a prerequisite for the development of tourism and in particular sports tourism.

In the 1920s, more than 1,160 competitions were organized annually. The most popular tournaments are in northern France. They bring together athletes and spectators from the then kingdoms of Germany, England, Scotland and Iberia. With the improvement of transport after the 16th century, the opportunities for the development of tourism in general and sports tourism in particular increased. One of the most modern phenomena in tourism, which finds a wide echo in the literature of that time, is the so-called Great Tour. In the 18th century, wealthy English young people, after completing their higher education and before starting their careers, made a long tour of Europe. Due to the still weak transport infrastructure, the time to tour Europe is about a year.

## 3. Sports tourism in the 21st century - status and trends

### *3.1 Factors for the development of tourism*

Since the beginning of the 21st century, tourism has been ranked among the fastest growing industries in the world, not only as a volume of markets, revenues and profits, but also as the introduction of new forms of supply and demand. The EU does not have a comprehensive tourism strategy, but a number of policies (climate and environmental protection, rural development, regional economic and social cohesion policy) have a major impact on the development of the tourism sector. At the beginning of 1980s, the European Commission recognized the role of tourism in the European economy, and in 1999 four working groups were set up on tourism-related issues dealing with the types of tourism, the quality of the tourism product, including and the diversification of traditional destinations, the protection of the environment in popular resorts, there is also talk of sustainable

tourism development, which affects rural areas and involves the active participation of the local population. In addition to the Union's targeted policies, a number of objective factors are also changing the tourist sector to a "restructuring" of the forms, destinations and types of services.

First of all, easy accessibility (open borders, improvement of all modes of transport, especially low-cost flights) increases the volume of tourist activities. New tourist products are constantly being created, new and unknown places to visit are offered, the emphasis shifts not only to the traditional quality - accommodation and service, but also to the cognitive or emotional experience of the trip.

Secondly, group distribution through tour operators and prepayment lowers the prices of mass holiday tourism, which in turn leads to the fact that the tourist supply begins to exceed the tourist demand. Prices remain a decisive factor, but new consumer requirements are added to them - more activity (accompanying packages for sports, entertainment, tours, training), more impressions (exotic destinations, experiences related to local culture), a requirement for locations that do not are overcrowded and have preserved nature.

A third important factor is the new communication channels and the openness of the information, which stimulate changes in advertising and marketing strategies - the sharing of personal impressions and the rating created by users in specialized platforms become decisive for the preferences of tourists, regardless of accommodation , cities or whole countries.

Another factor that changes the tourist demand is the increase of free time and the increase of the income, which leads to an increase of the time spent for travel and vacations, at the same time shortening the stay - ie. more holidays per year, but in fewer days, the share of "weekend" tourism increases by no more than two nights.

Last but not least, the change in consumer thinking should be noted - towards a more individual and more responsible attitude to one's own health and the environment. All this, in turn, leads to the transformation of the tourist market into a highly dynamic and fully consumer-oriented. According to some definitions, tourism and especially its alternative forms are being transformed from a "service economy" to an "experience economy" sector and necessitating a 'restructuring' of the forms, destinations and types of services.

That is why the profile of the Bulgarian tourists, presented in the Strategy for sustainable development of tourism in Bulgaria, horizon 2030, is interesting. The most characteristic for them is that they are:

- tourists of working age, seeking rest and recovery;

- families and groups (families and friends) seeking security and quality assurance;

- tourists with their own experience, looking for a good value for money;

- tourists traveling outside the active seasons - weekends and holidays;

- tourists traveling with a short stay, but more often all year round;

- actively looking for tourists, flexible in their choice and with their own opinion, organizing their trip themselves and willing to combine several types of tourism;

- emotionally connected with Bulgaria tourists (Bulgarians living abroad), appreciating the offer of cultural and historical landmarks;

- tourists with higher educational qualifications and intellectual level, seeking to meet additional needs and with the need for additional products in different types of tourism;

- people related to nature and ecological way of life, with requirements for the appropriate use of natural resources and the use of sustainable tourism;

- people active in the global network and using electronic services, new technologies (mobile);

- plowing with own property or holidaymakers with relatives, willing to combine travel for "rural tourism" with another specialized type of tourism (mountain, eco, cultural, spa, hunting and fishing).

### 3.2. Forms of sports tourism

Bulgaria has an international image of a host country and a symbol of sports fame and achievements. This naturally creates incentives for the development of Bulgarian tourism in integration with physical culture and sports. The typical forms and varieties of sports tourism, both around the world and in our country, are the trips of athletes, incl. amateurs (active sports tourism) and trips to observe sports events (passive sports tourism). Bulgaria has favorable conditions for the development of this type of tourism. In recent years, a significant part of the sports base has been renovated, new modern facilities have been built. Golf tourism can be considered as part of the sports tourism product of Bulgaria, as there are already several modern and luxurious courses in different parts of the country, including the coast.

*Cycling* is becoming more common as a tourist product in Europe. The advantages of this type of tourism are that it significantly reduces emissions from transport to travel to the destination, and in long-distance cycling they are completely eliminated. Bicycle tourism is developing in two directions. More widespread in our country is mountain biking, which can be considered part of adventure tourism. Apart from being a summer substitute for ski tourism in mountain resorts, mountain biking routes exist in all higher mountains in our country. There is already a significant cycling community, which performs a number of activities on a voluntary basis, which should be within the competence of various state institutions. The other direction of cycling tourism is the long bicycle routes and sightseeing tours. There is potential for such routes in Bulgaria, due to the presence of several long river systems, around which they usually navigate. The weak development of this direction is caused by the fact that the requirements for the road infrastructure must be approved by the state. However, it should not be considered that for such routes it is necessary to build a bike path. Experience at European level shows that a number of adaptation measures are applicable to the development of high-quality routes with minimal public investment and a short payback period in the form of revenue in the local economy.

*Hunting tourism* is also part of the sports tourism product of Bulgaria. The geographical location, the relief, the climate, the water resources and the other natural conditions are prerequisites, which determine the presence of extremely rich and diverse flora and fauna, of preserved wild nature and impressive with their beauty and strength game populations. The hunting fund of Bulgaria amounts to over 10 million ha, the hunting farms are 40. For the needs of the hunting activity 68 bases for intensive breeding, resettlement and use of fallow deer, mouflon and wild boar and 15 farms for production of hunting birds have been built, of which 9 for the production of pheasants and 5 for the production of semi - wild ducks. Bulgaria's fish wealth is also large and diverse. Apart from the Black Sea coast, fishing sites are also the large dams Iskar, Belmeken, Golyam Beglik, Shiroka Polyana, Dospat, Batak, Vacha, Rabisha, Bakar Dere, Karadja Dere. River fishing is accessible on the waters of Kamchia, Tundzha, Ropotamo, Veleka and their tributaries, which attract amateurs and professionals and less on the Danube. In general, the good prerequisites for the development of hunting tourism are the built specialized infrastructure - convenient roads, good communication, off-road vehicles, hunting facilities hunting residences, homes and chalets. The practice of hunting tourism in Bulgaria is under strict control, which contributes to the conservation of biodiversity.

In addition to the already mentioned factors that have a positive impact on the development of sports tourism in the 21st century, some more difficult to detect but significant elements are of great importance, namely:

• The growing importance of democratization at the expense of elitism in society;

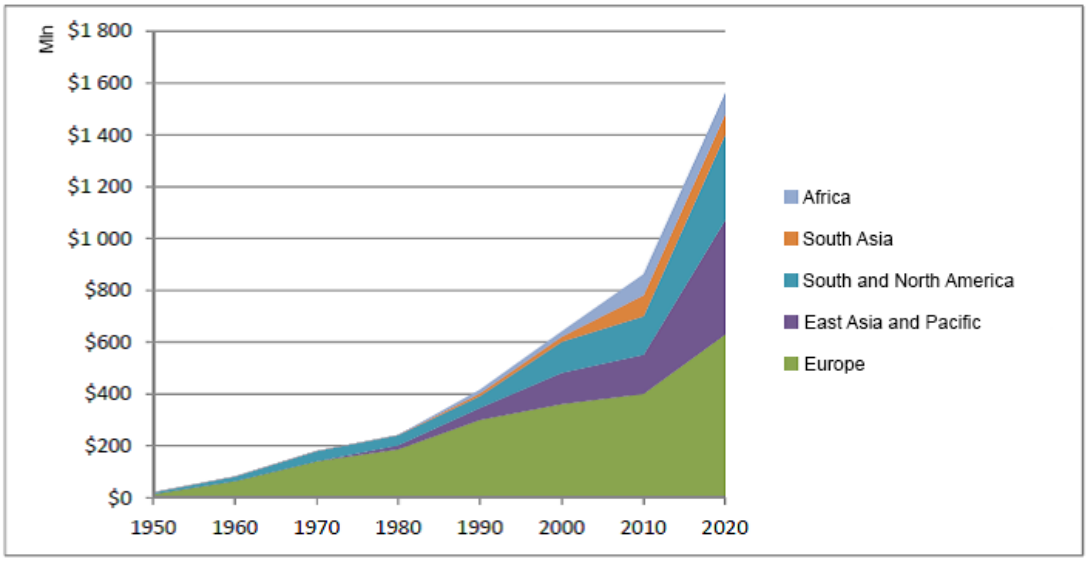
• The transformation of sports and travel into an important element of the modern value system. The mass penetration of television into the homes of ordinary people, for example, is a phenomenon typical of the 21st century.

Television is a global business, and sport is one of the activities that can be turned into a commodity and sold to a wider audience. Corporate business plays a key role in the development of sports

tourism. This business invests in the sport product by creating clothing, sneakers, souvenirs and other goods, enhancing the pleasant experiences of tourists who, by dressing in a certain way, declare their sense of belonging.

Despite the main role of private capital in the development of sports tourism, governments also do not remain indifferent. Many activities and sectors, including tourism, are supported by government organizations because of their importance in the gross domestic product, employment and sustainable development of local communities. The fact that sports tourism, and especially the holding of major sporting events, can attract large groups of tourists has forced many governments in the last few years to conduct targeted and costly advertising campaigns to win the right to host such competitions.

Fig. 1 Forecast Gross value added in tourism until 2020




Source: World tourism organization

Sports tourism is at the heart of this dynamic, as it is the fastest growing type of tourism. In 2008, it generated about $ 600 million or about 10% of the tourism market. In some countries, sports tourism reaches between 25% and 32% of this market. It is projected to create a gross value added of about $ 1.6 billion in sports tourism by 2020 (Fig. 1)

We must immediately acknowledge that the COVID 19 pandemic has hit tourism hard in the world. According to the United Nations World Tourism Organization, international tourism in the first 10 months of 2020 fell by 72%, international travel was 900 million less, and levels returned to those of 1990. Losses so far are estimated at 935 billion dollars, and hundreds of millions lost their income.4

There are a number of publications in the scientific literature that aim to define the concept of sports tourism, distinguishing it from the concepts of tourism and sports. The fact of the relocation of large groups of people who participate in or observe sports competitions characterizes one of the possible relationships between sport and the provision of tourist services. Playing sports during your stay in holiday centers is another example of this relationship.

Last but not least, the connection between sports and tourism is manifested when visiting cultural centers related to sports - museums, monuments, ancient remains, sports facilities and towns, where already known international competitions have been held.

The diversity and difficulties in defining sports tourism stem largely from the lack of uniform definitions of the two constituent elements: sport and tourism.

4 Available at: https://www.capital.bg/biznes/turizum/2020/12/24/4156543_ubi_li_covid-19_svruhturizma/ (seen on 20.04.2021)

In the field of sport, for example, there are numerous and conflicting opinions about the scope of the concept itself. Some are adherents of historical content and tradition, while others offer a much wider scope. Another reason for the different definitions of sport are the specific features of the historical development of sports. Many modern sports have been practiced since antiquity, but only later, in the industrial age, are formed in their current form - with strict rules and regulations. Last but not least, the differences in the definitions of the term sport arise from the context in which the sport activity is performed. For example, according to some authors, "sport covers activities related to participation in competitions, active physical activity and / or the acquisition of physical skills in compliance with certain rules"[5]. However, there are also activities that do not fall within this scope, despite the fact that they involve physical effort. Unorganized swimming, running, walking are typical examples of mass sports. There is no unity in the definitions of the term tourism. They all contain travel and moving away from their usual place of residence or work as a necessary element, but differ in other characteristics and scope. The journey of the individual may not be tourism, but it is a necessary condition to talk about tourism.

The authors, who view tourism primarily as an economic activity, emphasize that it is “a study of the supply and demand of shelter and other ancillary services for those outside their place of residence, as well as the corresponding ways of spending, income and employment of those who provide the services”[6]. In the same context, Hay notes that tourism is "a process of redistribution of economic resources from the sending country to the host country, in which people travel for leisure."[7]

A second group of authors define tourism in terms of motivation to travel: whether it is professional or to meet their own needs. This discussion is directly related to sports tourism.

Third type definitions have a more pronounced technical character. This is the definition of the World Tourism Organization, according to which “tourism is a social, cultural and economic phenomenon that encompasses the travel of people to countries and places outside their usual environment for personal or business purposes. These people are called visitors and tourism is related to their activities, some of which require the realization of tourist costs.[8]

This definition is important because it is not only given by a representative international body, but also allows for the harmonization of statistics in different countries.

These definitions of sport and tourism show that these are two sectors between which there is a mutual connection and influence. Both sectors are related to human relations and include certain activities. Just as the development of tourism has a favorable effect on the development of sports, so sport in many cases stimulates the further development of tourism. The development of both tourism and sports is related to leisure. However, the driving motives of demand are different: tourism is based on the need for movement, rest and entertainment, and sport, although in a broader sense encompasses the elements of entertainment, is driven primarily by the desire to compete and achieve certain results.

The definitions of sports tourism can be grouped into several large groups depending on:

- Motives for travel;
- Product features and
- The type of perception.

[5] G. Redmond, Changing Styles of Sports Tourism: Industry/consumer interactions in Canada, the USA and Europe, The Tourism Industry: An International Analysis, Wallingford, UK M. T. Sinclair & M.J. Stabler Eds, 1991. J. Standeven and De Knop, Sports Tourism, , Champaign, IL , Human Kinetics, 1999; L. Haywood and oth., Understanding leisure, London, Stanley Thornes, 1995

[6] C. Ryan, Recreational tourism: a social science perspective, London, Routledge, 1991. 6 B. Hay, Leisure day trips: the new tourism; Tourism for leisure, Eastbourne, D.Boterill, 1989.

[7] B. Hay, Leisure day trips: the new tourism; Tourism for leisure, Eastbourne, D.Boterill, 1989.

[8] World trade organization, Understanding tourism: Basic glossary

According to most researchers, there are the following types of sports tourism:

• *Sporadic sports tourism*. Exercise is short-lived and casual, which is why some authors suggest the term "tourist sport" instead of sports tourism. This could be, for example, attending a competition during the holidays. Sporadic tourism has little direct economic impact on tourism, but can add value to the proposed overall tourism package.

• *Nostalgic tourism*. It is associated with visits to museums, stadiums, halls for various sports and is essential especially for domestic day tourism. In addition, it has a positive effect on the branding of the destination and the fuller use of the built facilities.

• *Sports tourism related to observation*. It is most interesting for companies in the tourism business because it is the most popular and is associated with a wide coverage of the event in the media. Analyzes show that in addition to attracting many tourists, the organization of mega-events in the field of sports has a number of other social and political consequences.

• *Tourism related to sports*. It has the greatest emphasis on sports. It is the most diverse type in terms of composition, age, lifestyle, the desire to practice individual or collective sports.

In our opinion, the most full definition of “sports tourism” is: **any trip outside the place of permanent residence, for the purpose of active participation or practice of sports, regardless of the level of professionalism**.

Tourism, on the other hand, is one of the most popular forms of human entertainment, travel is a way to realize dreams. Although there are various motives for travel, the most common of them is moving away from everyday life and stress.

Sports tourism is a business that explores consumer motives related to sports and creates a special package of services and products for potential consumers. For many travel companies, different sports provide an opportunity to develop and offer new tourism products. Of particular importance in this regard are the mega-events such as the Olympic Games, World Championships and major international tournaments, which are at the heart of the tourist products offered.

## 4. CONCLUSION

The significance of sports tourism can be indicated in several aspects:

- The sports tourism helps activating peoples’ lifestyle completely or at least during leave. It is associated with the proven positive effect of physical activities on the overall condition of the human bodybecause because it helps reducing stress and the incidence of diseases for increase life expectancy. In physical exercises in the brain produces endorphins that contribute to good mood. It has been proven that practicing sports reduces the risk of various diseases (eg cardiovascular, etc.) known as "diseases of civilization." Sport is part of the healthy way of a life that more and more people are turning to it.
- The supply of tourist services becomes enriched. This helps to distribute more evenly of tourists, both territorially and temporally.
- The sports tourism helps to attract additional tourism contingent, as well as to increase the length of stay of tourists. The supply of sports activities significantly increases the attractiveness and competitiveness of the respective destination. Sports tourism contributes to the development of the destination in accordance with the principles of sustainability.

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# Biological Plant Protection In Peppers (Capsicum Annuum L.)

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**Abstract:** The aim of the study was to determine the effectiveness of regularly applied biological control by continuous monitoring of pests with the help of color traps (sticky sheets) with joint species identification of the useful insects to determine the extent to which native useful insects can settle next to the introduced predatory ones. The experiment was carried out in Szentes, in Hungary. The peppers in protected cultivation were grown in two unheated polytunnels (2x300 m2 area). The color traps were laid out in three different places (at the beginning, in the middle, and at the end) in politunnels. A total of 9x3 color traps were collected from the experimental area. The dates were in 2020: May 3, May 22, June 5, June 17, July 1, July 15, August 3, August 24, and September 10. During the experimental period (from May till September), the main pests damaging peppers were western flower thrips (Frankliniella occidentalis) and tobacco thrips (Thrips tabaci). The highest thrips number (T. tabaci, 125 pieces) was counted on 1st July in 2020. Useful insects in the experiment: predatory mites (Amblyseius spp.), predatory flower bugs (Orius laevigatus) and the banded thrips (Aeolothrips intermedius). The highest useful insect's number (A. intermedius, 9 pieces) was counted in the 17th June in 2020. From the color traps that we collected 9 times, it can be concluded that the number of T. tabaci individuals ranged from 8 to 30 for color traps 1, 2, and 3. At the collection of color traps 4 and 6, 92 to 125 tobacco thrips were detected. In the case of collected color traps number 7 through 9., the highest value of T. tabaci varied between 39 and 14 pieces, showing an decreasing trend. For the first three color traps collected, most Frankliniella occidentalis data ranged 10 pieces, showing a decreasing trend. In the collected color traps numbered 4, 6, and 7 the western flower thrips showed a value between 25 and 32 pieces. At the collection of color traps 5 was the highest, 87 pieces. In the case of collected color traps 8-9., F. occidentalis ranged 11 pieces, showing a decreasing trend. For the third color traps collected, the number of Aeolothrips intermedius was the lowest, namely 0. For the collected color traps 1-2 through 5-9, values between 1 and 6 were calculated for the banded thrips. In the case of collected color traps 4, the highest A. intermedius value varied 9 pieces.

**Keywords:** sweet pepper (Capsicum annuum), biological plant protection, Frankliniella occidentalis (western flower thrips), Aeolothrips intermedius (banded thrips), Thrips tabaci (tobacco thrips).

## 1. INTRODUCTION

Pepper (*Capsicum annum* L.) is one of the most popular vegetable plants, it is of great nutritional importance and its popularity is growing worldwide. Consumption in fresh and processed form is significant on the one hand for its pleasant taste and on the other hand due to its high vitamin C content. With an annual production of 180-200 thousand tons, Hungary is one of the most important pepper-growing countries in the European Union. About 80% of the quantity of Hungarian peppers currently comes from protected cultivation. Its peculiarity is that more than 20 types are grown, 50-55% of the greenhouse surface is provided by the so-called Cecei types. This is the only forced vegetable species that is grown predominantly with Hungarian varieties, which can compete with foreign varieties in terms of quality and disease resistance. Soilless protected cultivation introduced in the 1990s provided an opportunity for long-term cultivation, with which the average yield of cone-shaped varieties reaches 25 kg / $m^2$ / year (Zatykó, 1993; Terbe and Slezák, 2019).

Peppers are very sensitive to precise control of heating, the minimum equipment required for cultivation is the heating and ventilation system. In unheated houses, only summer cultivation is possible, as it is sensitive to low temperatures, which cause a high degree of flower dropping and crop deformation. From the point of view of cultivation and climate control, large-air equipment is suitable in which, in cold weather during ventilation, the cold air does not come into direct contact with the plants. In summer, however, the upper leaves are not exposed to strong radiation. The planting requires a support system height of at least 2.5-3 m (Szőriné, 2007).

In the case of cultivation without soil, it is particularly important to observe optimal conditions in the root zone. For pepper production, the capacity of the irrigation system is 1-2 l / hour / drip, and the annual water demand is 800-900 l / $m^2$ / year. The transpiration water requirement of the adult plant

is 1.6-2.6 ml / $m^2$ at 1 J / $cm^2$ and the dosage is 2.0-3.5 ml / $m^2$ per Joule. Peppers do not tolerate airless, aqueous media, high salinity and the accumulation of certain harmful elements in the root zone. In case of poor water quality, desalination of water is recommended. Humidity control in summer is greatly facilitated by a humidification system that also performs cooling functions (Resh, 1998; Terbe et al., 2004; Terbe and Slezák, 2019).

Peppers are very demanding of the medium. It does not inhibit its development if it has the following characteristics:

- air capacity: 35-40% by volume
- water capacity: 45-50% by volume
- pore volume: 75-85% by volume.

For soil-less cultivation, stone wool, perlite and very good quality coconut husks are best.

In Hungary, two types of cultivation methods can be used:

❖long-term cultivation (8-11 months in the cultivation equipment)

❖short-term cultivation (4-6 months in the cultivation equipment)

One of the major issues in plant protection of peppers in protected cultivation is the solution of thrips control. The introduction of non-native predatory mites (*Amblyseius spp*.) and predatory flowering bugs (*Orius laevigatus*), which are commercially available in Hungary, offers a more efficient option than the use of pesticides. In addition to efficiency, biological control has a number of beneficial properties, one of the outstanding factors being that the abandonment of insecticides allows the settlement of native arthropods into shoots.

Settling animals from the paprika grower's point of view may be:

- useful: predators
- pests: animals feeding on peppers
- neutral: they do not feed on peppers or pepper pests

Of the "useful" group, native flower bugs are of outstanding importance, which, like *Orius laevigatus*, are able to regulate the number of thrips. They can eat 4-5 adults or 8-15 larvae a day. In addition to thrips, they can also feed on aphids, mites, moths or butterfly eggs. The largest number of specimens has the common flowering bug (*Orius niger*), which is common on flowering plants that provide it with prey, such as cultivated (e.g. alfalfa, corn, sunflower) or roadside plants (e.g. spotted burrs, nettles) in the vicinity of polytunnels from where it can migrate into the protected cultivation area. The first specimen can be observed as early as the end of May, but they do not grow en masse in peppers until June, where they are found continuously until the end of September.

Also, a common predatory species found in forced peppers is the banded thrips (*Aeolothrips intermedius*), which feeds mainly on phytophagous thrips and mites. It can eat 2-3 western flower thrips (*Frankliniella occidentalis*) or tobacco thrips (*Thrips tabaci*) larvae per day, while during its full development it can prey on up to 100 thrips or 300 spider mite larvae.

Western flower thrips (*F. occidentalis*) can reproduce both sexually and by parthenogenesis (Avar and Déri, 1989; Jenser, 1998). Females use their egg tubes to lay 20-40 eggs under the epidermis of the plants. The most ideal laying place for them is the flower. The first stage larva is still moving freely on the plant, the second stage larva is hiding. In forced peppers at 25 °C it takes 16 days for the pest to develop. It can achieve the highest reproduction in a flowering plant producing abundant pollen at a temperature of 20-21 °C and a relative humidity of 80-90% (Avar and Déri, 1989; Deligeorgidis et al., 2006a). The number of annual generations is 12-15.

The female of the tobacco thrips (*Thrips tabaci*), after 2-5 days of embryonic development, places 40-100 eggs under the epidermis of the plant and then takes 5 days for the larvae to develop. These larvae are later found in flowers, leaves, mostly on the back of the leaf, along the leaf veins, and in the leaf sheath or other hidden place. Interestingly, the duration of generation development is a function of temperature (Guzman et al., 1996; Bozsik, 1997; Jenser, 1998; Jenser, 2003; Deligeorgidis and

Ipsilandis, 2004; Jenser and Szénási, 2004; Arrieche et al., 2006; Deligeorgidis et al., 2006b). The higher the temperature, the shorter each stage will be: the time before laying; the chance of larvae surviving and laying their eggs decreases (Deligeorgidis et al., 2006b). Several generations can develop each year. In the open field, 4-5 generations and in the greenhouse up to 8-12 generations can develop in one year.

## 2. MATERIAL AND METHODS

The experiment was set up in Szentes (Csongrád-Csanád county), in Hungary. Pepper planting time was early April 2020. The peppers in protected cultivation were grown in two unheated polytunnels with areas of 300-300 $m^2$. In the experiment, *Kápia type* peppers were examined.

In the polytunnels, color traps were laid out in three different places: at the beginning of the (Figure 1.), in the middle of the, and at the end of the polytunnels. A total of 9 x 3 color traps were collected from the experimental area. The dates were: May 3, May 22, June 5, June 17, July 1, July 15, August 3, August 24, and September 10.

Figure 1: Visual inspection of the color trap



In addition to collecting color traps, we also collected pepper flower samples in protected cultivation. A total of three samples were taken, with dates of 8$^{th}$ June, 1$^{st}$ July, and 3$^{rd}$ August.

## 3. RESULTS

The color traps were placed a total of 9 times in the two polytunnels. The first polytunnels was the 1, the second polytunnels was the 2. The insects (thrips) collected by the color traps are shown in Figure 2. (*Frankliniella occidentalis*), Figure 3. (*Thrips tabaci*) and Figure 4. (*Aeolothrips intermedius*).

Figure 2: Show are the date of collection and the number of *Frankliniella occidentalis*.

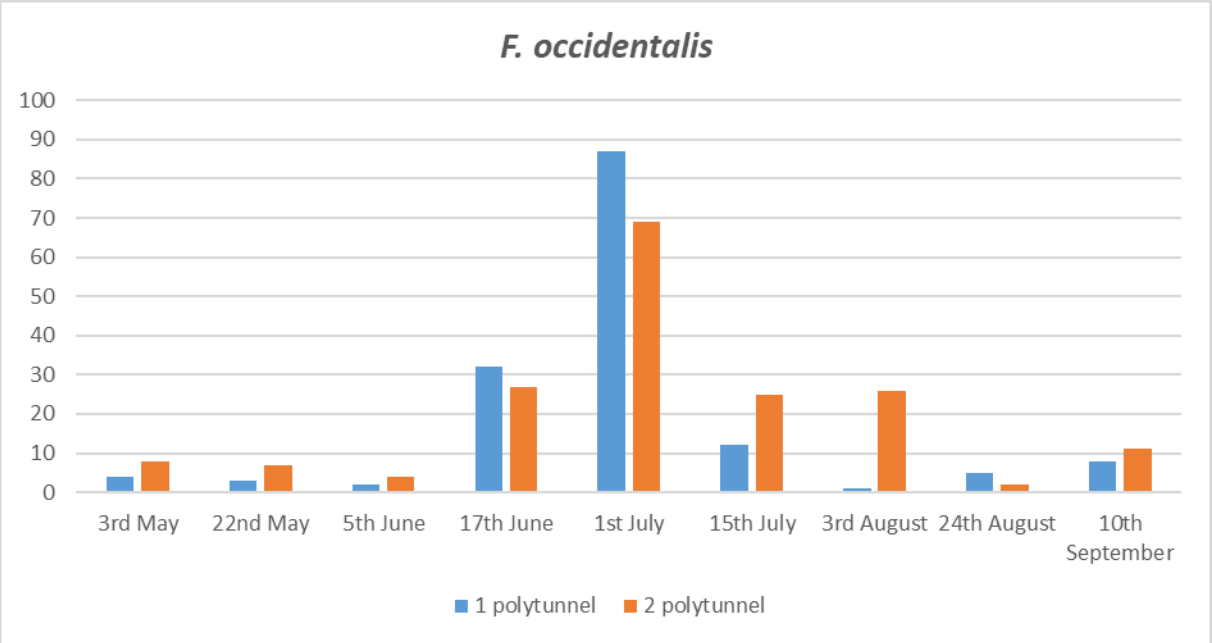



Figure 3: Show are the date of collection and the number of *Thrips tabaci*.

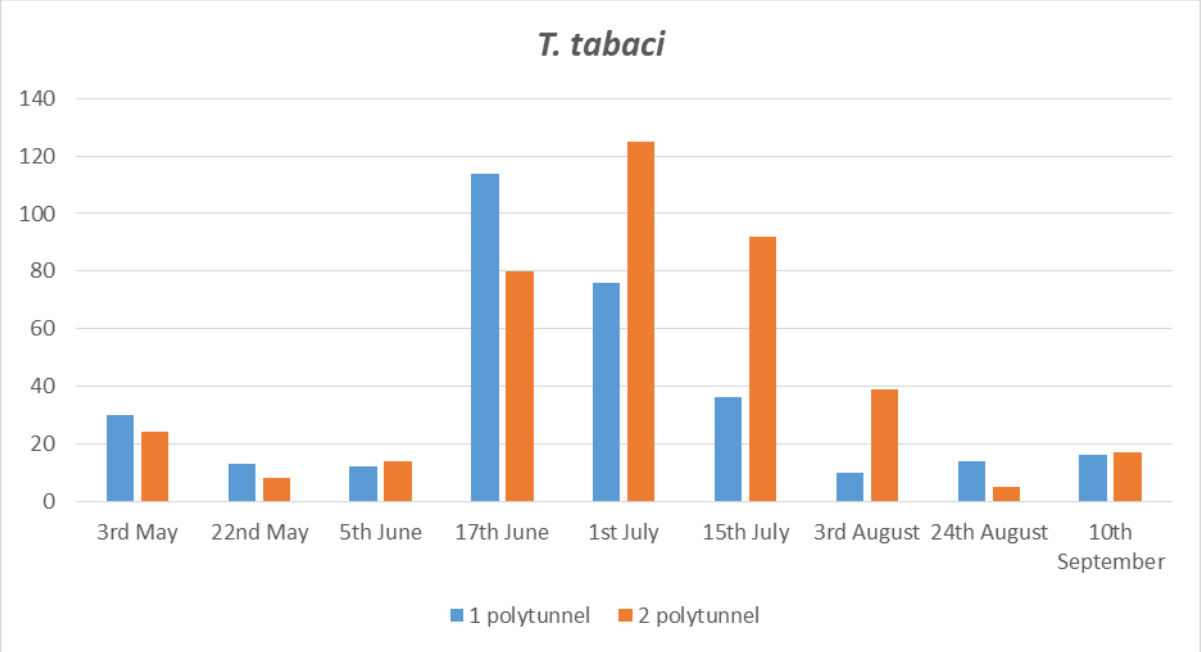
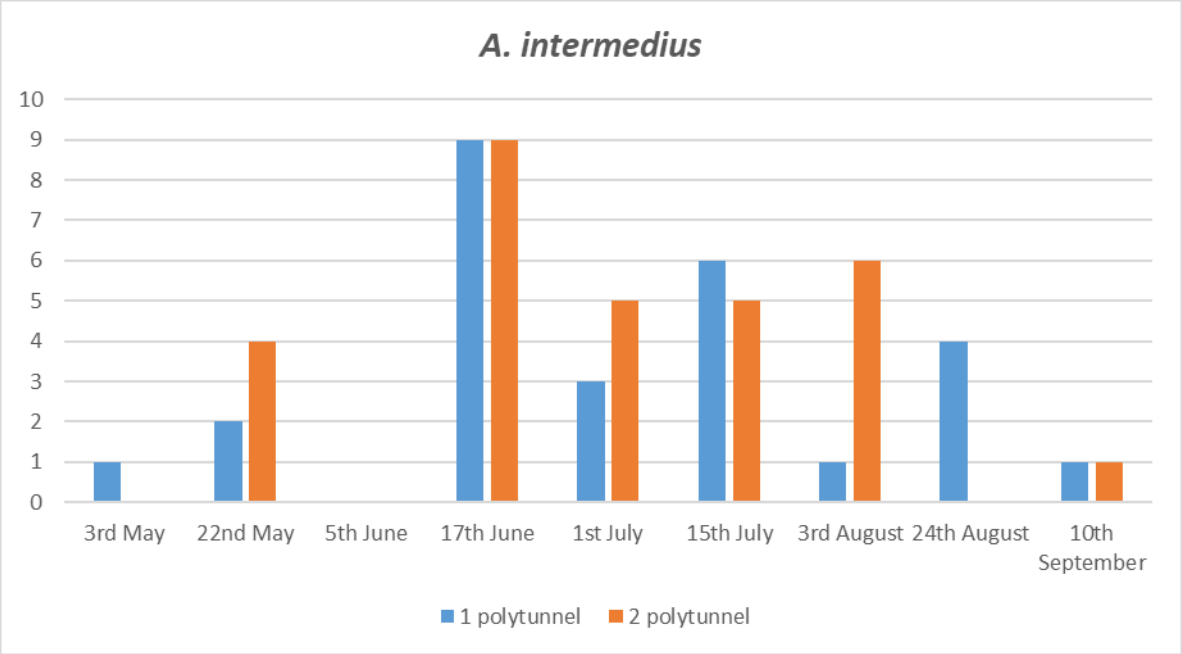



Figure 4: Show are the date of collection and the number of *Aeolothrips intermedius*.




Pepper flower samples were collected during protected cultivation. A total of three samples were collected: 8th June, 1st July and 3rd August in 2020. The sampling was performed in 3 replicates and 2 samples.

- 1st pepper flower sampling (8th June, 2020): The time of recording was between 8:20 and 10:20. At the first survey, useful insects were not identified on the flower samples. Quantity of harmful insects: *F. occidentalis* 21 ind; *T. tabaci* 1 pc; *Myzus persicae* 3 pieces, and *Aphis fabae* 5 pcs.
- 2nd pepper flower sampling (1st July, 2020): The time of recording was between 13:30 and 15:30. At the second survey, only useful insect (*Orius niger*) was recorded after processing the collected flower samples. Quantity of harmful insects: *F. occidentalis* 42 pieces; *M. persicae* 1 pc, *T. tabaci* 2 pcs. Useful insect: *O. niger* 1 pc.
- 3rd pepper flower sampling (3rd August, 2020): The time of recording was between 14:00 and 16:00. At the third survey, a total of 3 useful insects were detected on the pepper flower samples: *O. niger* 3 pcs. Quantity of harmful insects: *F. occidentalis* 12 pieces.

## 4. CONCLUSIONS

During the experimental period (from May till September), the main pests damaging peppers were western flower thrips (*Frankliniella occidentalis*) and tobacco thrips (*Thrips tabaci*).

The highest thrips number (*T. tabaci*, 125 pieces) was counted on 1st July in 2020. Useful insects in the experiment: predatory mites (*Amblyseius spp.*), predatory flower bugs (*Orius laevigatus*) and the banded thrips (*Aeolothrips intermedius*).

The highest useful insect's number (*A. intermedius*, 9 pieces) was counted in the 17th June in 2020.

From the color traps that we collected 9 times, it can be concluded that the number of *T. tabaci* individuals ranged from 8 to 30 for color traps 1, 2, and 3. At the collection of color traps 4 and 6, 92 to 125 tobacco thrips were detected. In the case of collected color traps number 7 through 9., the highest value of *T. tabaci* varied between 39 and 14 pieces, showing an decreasing trend.

For the first three color traps collected, most *Frankliniella occidentalis* data ranged 10 pieces, showing a decreasing trend. In the collected color traps numbered 4, 6, and 7 the western flower thrips showed a value between 25 and 32 pieces. At the collection of color traps 5 was the highest, 87 pieces. In the case of collected color traps 8-9., *F. occidentalis* ranged 11 pieces, showing a decreasing trend.

For the third color traps collected, the number of *Aeolothrips intermedius* was the lowest, namely 0. For the collected color traps 1-2 through 5-9, values between 1 and 6 were calculated for the banded thrips. In the case of collected color traps 4, the highest *A. intermedius* value varied 9 pieces.

## 5. ACKNOWLEDGEMENTS

We would like to thank Norbert Varga, a pepper grower, for allowing us to carry out the experiment in his area. We would also like to thank János Gulyás, who helped us with our work and provided the area where the experiments were set up.

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# For A New Culture Of Responsibility And Its Insurance

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**Abstract:** Every human being being part of a certain society or community has rights and obligations. Since society operates and is regulated by certain moral and legal rules, every individual must abide by these rules. Violation of rights and non-fulfillment of obligations are key sources of potential future conflicts. If these conflicts cannot be resolved through compromise and understanding, the issue aggravates in litigation which are financially expensive and time consuming. So the individual is always responsible for his actions or inactions which by causing harm to another party, become a powerful cause of disagreement.

The best solution is the liability insurance policy, where among the main insurable responsibilities are civil, legal and moral responsibilities. All of these types are presented in detail in this study in terms of the cases covered by each of these insurance policies of the above liabilities, insurable sums, premiums, bonuses, exemptions and specific examples.

In this study is also treated in detail the current trend of liability insurance culture in Albania and then a comparative study was done with US countries on this issue.

For the realization of this paper are used secondary data from different sources specifically of the official websites of Insurance Companies in Albania, and in US countries.

At the end of the study I have concluded that if economic and cultural conditions in Albania improve, the number of insured people in Liability Insurance will increase.

Because if individuals have sufficient income, they will be more inclined towards investing in liability insurance policies.

Also by improving cultural conditions through educating the population on the profits that liability insurance will bring and raising public awareness on the importance of this insurance, the number of liability insured will increase significantly.

**Keywords:** responsibility, liability insurance policy, Insurance Companies in Albania, liability insurance culture.

## 1. INTRODUCTION

Liability insurance insures the buyer (also known as "insured") against losses due to liabilities that may arise from legal claims and lawsuits. Most liability insurance policies will determine what types of claims are covered and will cover policyholders from any liability that arises only if they are sued for the type of claim specified. Often the policy also makes the liability insurer responsible for protecting the insured when a claim arises.

Since insurance usually only covers claims made by a third party, liability insurance very rarely issues payments to the insured; usually, buyer liability insurance will pay directly to the third party making the claim. The third party may also have another type of insurance that covers losses incurred by the third party; in this case, third party insurance will collect payments from the first party liability insurance, on behalf of the third party.

Liability insurance started as a form of mutual agreement, where individuals or companies that shared a risk came together and raised funds that each single party could use in cases where they suffered losses due to a specific type of liability.

Over time, a system was developed to implement this type of insurance. Today's liability insurance system is based on dedicated carriers who offer purchasing liability insurance policies. These carriers are usually for-profit insurance companies.

In 1886, insurance companies in America began selling insurance policies for liability for personal injury accidents, primarily to cover business liability for employee accident accidents and non-employee injuries caused by their own business operations.

In 1896, major liability insurers agreed to adjust premium rates and share information on policyholders' losses. In 1906, these companies were dissolved.

Today, Liability Insurance is one of the most important types of insurance, which is offered by every insurance company in every country of the world.

## 2. MATERIAL AND METHODS

### 2.1 Purpose, Objectives, Methodology

*The goals of the study are as below*:

-Evidence of the meaning of the notion"Responsibility" and the forms it takes.

-Identification of insurable responsibilities.

-Study of the culture of liability insurance in

Albania.

-Comparison of liability insurance culture in our country and in US countries.

-Drawing conclusions and giving suggestions.

*The objectives that were set before the start of this task are*:

- Get acquainted (gain, obtain) with present-day techniques that came from Responsible Liability,

- Identify the specific conditions of insurable liabilities,

- To study the culture of liability insurance in Albania,

-To compare the culture of liability insurance in our country and in US countries.

*Methodology*

For the realization of this study,have been used secondary methods of obtaining data from secondary sources, where for providing the theoretical framework, while for the comparative point of view, internet resources have been used, specifically of the official websites of Insurance Companies in Albania and USA or different scientific papers.

### 2.2. Liability Insurance

Society functions as a whole and a balance of mutual rights and obligations, where the freedom of one individual ends where the freedom of another begins. If in a public environment a right to an individual is violated or a non-fulfillment of an obligation to one or several individuals is created, then we are in the conditions of the birth of a responsibility.

The set of obligations that an individual, or a society, must maintain and abide by constitutes the universe of responsibility.

The members of a society are always found in the conditions of the obligation to respect the responsibility, which can be of several types.

### 2.2.1 Types of Respnsibilities and Their Insurance[1]

[1] Bundo, Sh, & Lito, G., (2014), Teoria dhe praktika e sigurimeve, Chap. 6,p.220-251

### 2.2.1.1 Moral responsibility

Moral responsibility and moral respect are strong norms of behavior and activity for the individual within a society / community. It has to do with the place of the individual in society, with the respect and values of society, with reciprocity and equality within individuals of the same community. Moral responsibility is the responsibility associated with the conscience of the individual. It directs the individual from the positive and implies / imposes a kind of psychological pressure on individuals who violate these moral norms of a certain community. This type of responsibility is different for different countries.

**2.2.1.2 Legal responsibility** The law constitutes the will of the majority raised to the level of obligation. It expresses the essence of what the individual is free to do, how he should act, and when his freedom is restricted. The moment an individual manifests a behavior that is contrary to the law, we are dealing with a violation of the law and Legal Liability.

The classification of the degree of legal violation is made by the Civil Code or the Criminal Code of a country. Violation of the law occurs in three forms:

**a)** Violation of the law as a wrongdoing - The case when an individual carries out activities to the detriment of an individual / society as a whole. The wrongdoer is obliged to compensate the damage he causes due to his wrongdoing activity.

**b)** Violation of the law as non-compliance / breach / breach of contract - Non-compliance with a stated responsibility, a liability taken, a related partnership. The incorrect party entered into a contract is also obliged to compensate the damage it causes to the other party. The guarantee for the execution of this responsibility is made by the state and state structures, which are the guarantors of the law.

**c)** Legal violation as a criminal activity- Flagrant violation with serious consequences on the party that suffers from the violation of the law. It also means extreme responsibility and extreme violation of the rights and freedoms of the individual. In these cases, the punishment is harsher. The forms of punishment in this case are: fines, seizure of property, deprivation of liberty of the responsible person, etc.

**2.2.1.3 Civil liability** Relates to the fact that every individual is exposed to the risk of individual liability. This risk is insurable risk. The amount insured in this new type of insurance is an amount previously fixed by the parties. This amount is in function of the coverage required by the insured and depends on whether the insured seeks to provide a liability or several liabilities.

Individual liability insurance appears in two forms: Insurance against a sum or insurance to cover and reimburse medical expenses.

*The Individual Liability Cases covered are*:

-Damages caused to someone's property / assets by the individual liability of the insured.

-Medical expenses or medical treatment for the person who is harmed by the individual liability of the insured.

-Moral damage (object of conflicts as a result of psychological damage or damage to one's image).

- ❖ *Damages that are treated and covered by a policy closer to the event and the risk are excluded. Example: Damage from motor vehicles, aircraft, sailing vehicles, etc.*

*Meanwhile the persons who bear civil liability and who must be insured are:*

-Individual- (imitator / adult who by his actions can become the cause of harm to someone),

-Head of household- (holds responsibility for the actions of his children),

-Animal keepers- (responsible for the damage that animals can cause),

-The tenant of an apartment / house / hotel- (responsible to the landlord for rent payments and maintenance of the rented building),

-The Owner of a residential house- (responsible for damages caused to others due to a defect in construction or due to lack of services),

-Individual exercising secondary activity- (responsible for damages arising from these activities),

-Person engaged in military service, civil defense, fire protection teams- (responsible for damages that occur due to their negligence),

-Employees in apartments - (Responsibility falls on employers / families who have employed these persons for potential damage to various buildings in their apartments),

-Persons who ride bicycles or other means of personal use, but not with motor vehicles- (children are covered by their parents' insurance policies and cyclists exercising their sport activity on the road of motor vehicles due to the non-existence of a special bike path, will have a limited treatment),

-Guardian or carrier of objects entrusted by others (bears direct responsibility and must be provided with security policies).

❖ *Exceptions to private civil liability insurance:*

-Damages caused by the insured himself,

-Damage caused by a family member when the whole family is covered by the same police,

-Claims related to the main independent/ professional activity in which the insured is paid a regular salary,

-Damage caused to third parties due to the use of motor vehicles,

-Damage from the use of licensed aircraft/ equipment,

-Intentional damage to third parties,

-Damages caused by business activity,

-Damage due to communicable diseases,

-Damage from illegal activities.

In exchange for receiving the liability insurance policy, the individual must pay **PREMIUMS** (insurance price which are usually fixed, but discounts may also be applied as in cases where the individual is a regular periodic buyer or events that are subject to insurance have not occurred. The factors that affect the liability insurance premium are:

- Type of insurance (individual / family),

- Level of insured amount (very high, high premium),

- Franchise amount and level (low franchise, high premium),

- Coverage requirements (not all policyholders have the same need for coverage),

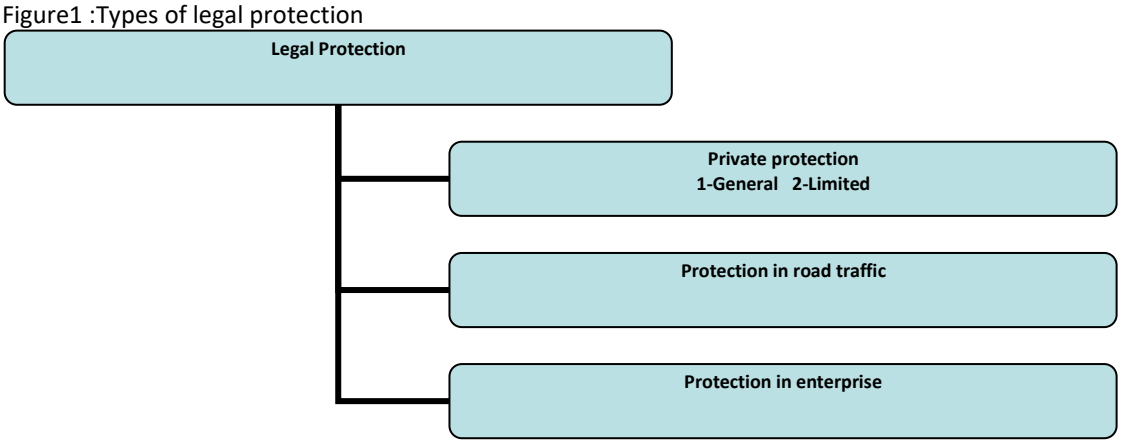
The premium discount can range from 10% to 15%. When several types of coverage are combined then preferential policy and coverage premiums are applied.

* Civil liability insurance is very important not to be exposed to major financial risks and losses. It relates to the mentality and culture of a country also as it is influenced by the perception that a certain society has about risk. Studies have shown that there is a strong correlation between accountability and the efficiency of the justice system.

* Civil liability can be not only individual, but also collective (the case of mansions, which may be subject to future damages, and therefore it is necessary to cover through liability insurance policy which will cover not only the owners, but also all individuals who have an active role in that palace).

**2.2.1.4. Legal Responsibility** - When the parties see their own interests and the situation is aggravated due to lack of understanding and compromise, we have a transition from civil liability to legal liability. The situation from real life where this fact is reflected is presented in: labor relations, family conflicts, conflicts with sellers, conflicts with the lessor, conflicts with the insurer, etc. Resolving a conflict is certainly a compromise, which can be reached by the relevant parties or through mediation. If no compromise is reached, then litigation will be needed which will increase costs in both time and money for both parties.

Figure1 :Types of legal protection




Source: Author, 2021

- ✓ ***Private Legal Protection***-> The insurance policy guarantees the protection of the right to private interest in cases of court cases and disputes. Example: Patient Rights, Rental and Leasing, Labor Rights, Client Rights.

  The sum insured has a certain limit, where in Europe it is mainly 250,000 Euros. The legal protection policy is ordinary insurance and covers the following costs: advice, media costs, attorneys' fees, expertise costs, court costs, the cost of various guarantees related to the object, prepayments or partial repayments.

- ✓ ***Legal protection in road traffic***-> protects persons in road traffic on public roads, ie protection when someone harms them. Insured persons are: individuals, families or a third person living with the family but is a policy holder).

  **Provided:** Vehicle Holder, Driver, Pedestrian, User of a public / private vehicle).

  **Facilities provided**:

  -Works of civil and public character (Conflicts due to road works and the rights of the person, the individual is

  harmed by road works, noise, road accidents, etc.)

  -The right of insurance (Conflicts over the object of the insurance contract, the insured has the impression that the insurer is not giving him the right that belongs to the casco police),

  -Criminal law (Conflicts due to negligence / violation of traffic rules, not for damage suffered inside the car),

  - Obtaining a patent (protection from procedures for obtaining a speed patent).

- ❖ *Exceptions: All events in traffic that actually constitute a violation or contravention of traffic rules, but that do not cause harm.*

**Amount secured**: All expenses are paid except fines.

- ✓ **Guaranteed protection, ownership, construction->** Guarantee: owners of mansions and other buildings, protection from the collapse of mansions, protection of the owner from the elevator, damage to a car from the fall of a tree, cistern explosions, unexpected hazards causing harm etc.

**Amount secured**: All expenses are paid except fines.

- ✓ **Compulsory vehicle insurance**-> the obligation to purchase a compulsory vehicle insurance policy derives from the law in order for the injured person / persons to be compensated. Lawmakers do not allow anyone to bear the economic consequences of damages caused by a third party, in cases where he is unable to repay the damages. Emphasis: Motor vehicles such as: Cars (tourist cars, buses, vans, vans, trucks), motorcycles, electronic cars, solar powered cars, snowmobiles (construction machinery, tractors and other agricultural vehicles). There are no motor vehicles: bicycles, roller skates / iron bars, wheeled flats, trains, airplanes, helicopters, boats, yachts, motor boats.

**Territorial space of car insurance** (liability to third parties) ->Each country has its own laws, but the rules of coverage must be adapted so as not to impede the free movement of vehicles and people. For abroad, green cardboard is used. Car insurance in Albania has effects only within the Republic of Albania and not outside it.

**Vehicles circulating without a license**-> the cause may be technical, property, legal reasons, documentation, etc. Accidents caused by these vehicles are covered by a special national fund such as: Motor Bureau, Insurance policy for each vehicle, Premium depending on the value of the vehicle and insurance time, Premium for the whole or experienced driver, Premium for function of a past event.

- ❖ **Swiss franchise** (Up to 25 years old with a new license and no experience, 1000 francs; Up to 25 years old with up to 2 years experience with a driver's license, others 0 franchise francs)
- ❖ **The insurance premium** is detailed according to these elements:

*Risk premium* = total value of damage

*Net premium* = net risk premium + additional risk calculation

*Gross premium* = net premium + administrative expenses + profit-interest

*Contracted premium* = Gross prim +/- customer settings (age, experience, gender)

*Billed premium* = contracted premium-bonus + malus

- ❖ **Insurance premium and bonus-malus system**

Bonus (discount for the insured who has never registered an accident, For each year a symbolic discount is offered, For each level of discount below which no discount is applied, the insured who is a beneficiary of a bonus system benefits as if he had suffered damage. He accumulates his bonus right). Malus is in contrast the premium supplement, compared to the normal premium

- ✓ **Legal liability of the product**

The manufacturer of a product may cause harm to consumers (physical, mental or other losses) if he does not comply with the production standards.

Example: Restaurant and producer responsibility for people, manufacturers of electrical appliances, cosmetics, etc.

- ✓ **Legal responsibility of the Employer**

This includes liability for bodily injury (employee protected by insurance policies), Liability for occupational disease, Liability for loss of life / ability to work e.g. Drivers, aviators, builders, etc.

- ✓ **Legal responsibility of the profession**

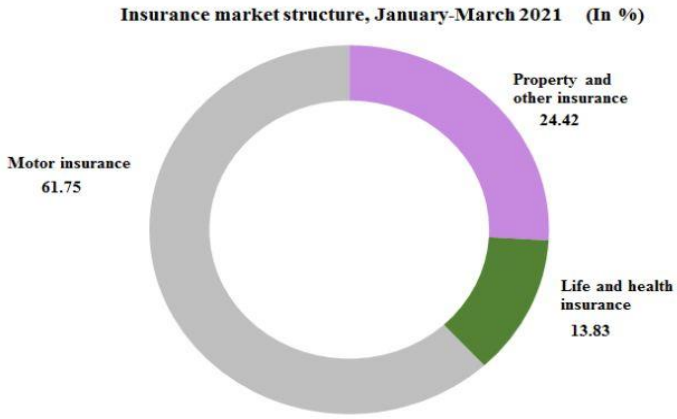
This includes police officers to protect a liberal profession such as: pharmacist, surgeon, dentist, lawyer, consultant, engineer, chemist, etc.

## 3. INSURANCE MARKET DEVELOPMENTS AND THE CULTURE OF LIABILITY INSURANCE IN ALBANIA[1]

This part of study represent the insurance market structure for period January-March 2021.As it shows, the major part of market is covered by non-life insurance and 13.83% of it is covered by life and health insurance.

So the liability insurance as a part of non-life insurance, occupies an important place in the insurance market**.**

Figure 2: The insurance market structure, January –March 2021




Source:FSA (Financial Supervisory Authority ),2021, https://amf.gov.al/news.asp?id=32695&lng=1.

Meanwhile the statistics presented by Financial Sipervisor Authority (FSA, 2021), show the number of insurance contractc, Gross written Insurance Premiums etc.

According to them Gross Written Insurance Premiums income during the period January-March 2021 amounted to over ALL 4,039 million, or 12.52% more compared to January-March 2020. In the period January–March 2021, the number of concluded insurance contracts reached 202,944 registering a decrease of 15.61% compared to January-March 2020.

The insurance market continued to be oriented towards non-life insurance, which brought 92.71% share of the total premium volume, leaving life insurance with 7.27% share of the total premium volume.

Seen from the market segmentation perspective by the following insurance types: compulsory and voluntary, the voluntary insurance written premiums account for 44.10% and compulsory insurance written premiums account for 55.90% of the total market..

In the period January-March 2021, gross paid claims in insurance market amounted to about ALL 2,083 million, or 8.27% more compared to January-March 2020.

During the period January-March 2021, gross paid claims in the motoric insurance reached the value of ALL 1,007 million, with an increase around 50.29% compared with the same period one year before.

### 3.1 Compulsory Motor Insurance

Compulsory Motor insurance Premiums during the period January-March 2021 amounted to about ALL 2,258 million or 8.36% more compared to January-March 2020.

[1] Albanian Financial Supervisory Authority(AFSA), (2021),

https://amf.gov.al/news.asp?id=32695&lng=1

Domestic MTPL Insurance Premiums registered an increase by 13.16% of the gross written premium volume in the period of January-March 2021. The number of contracts increased by 15.44% compared to January-March 2020.

Green Card Insurance Premiums registered a decrease by 20.38% of the gross written premium volume in the period of January-March 2021. The number of contracts decreased by 35.92% compared to January-March 2020.

Border Insurance Premiums registered an increase by 43.38% of the gross written premium volume in the period of January-March 2021 compared to January-March 2020. The number of contracts increased by 36.71%..

### 3.2 Voluntary Insurance

In the period January-March 2021, Voluntary Insurance Premiums amounted to about ALL 1,781 million, or 18.26% more compared to January-March 2020. The number of voluntary insurance contracts decreased by 37.83% compared to January - March 2020.

In this period, Voluntary Non -Life Insurance Premiums registered an increase by 19.9% compared to January-March 2020.

In the same period the Property, Liability and Guarantee portfolios provided over 969 million ALL income in total and the first place was occupied by Fire and Other Property Damages with about 71.2%, followed by General Liability insurance with 18.73% of the total income.

The insurance Against Fire and Natural Forces portfolio, In the period January-March 2021, registered an increase by 79.79% of gross written premium volume of this portfolio and an increase by 8.59% in the number of insurance contracts compared to January-March 2020.

Also Accident and Health Insurance income amounted to about ALL 265 million, marking a decrease of 8.5% compared to January-March 2020.

Finally in the period January-March 2021, Life insurance premiums amounted to about ALL 294 million, or 10.34% more compared January-March 2020.

### 3.3 Gross Paid Claims

In the period of January-March 2021 the payment of claims decreased by 8.27% compared to January-

March 2020. The highest share of the gross paid claims belong insurance Motor Insurance with about AL 1,007 million, or 48.34% of the total gross paid claims.

Table 1: The average claims for the main motor insurance products.

| Item | Values (in ALL 000) | | Change (in %) |
|---|---|---|---|
| **January - March** | **2020** | **2021** | **21 / 20-1 '** |
| **Average Claims** | | | |
| **Domestic MTPL** | 151 | 190 | 25.62 |
| **Green Card** | 565 | 1,282 | 127.06 |
| Casco | 109 | 124 | 13.19 |

Source:FSA(Financial Supervisory Authority ),2021,

https://amf.gov.al/news.asp?id=32695&lng=1

## 4. IMPORTANT STATISTICS RELATED TO LIABILITY INSURANCE CULTURE IN US

The digital age has brought change and disruption to almost every aspect of the world we know. Car insurance statistics in the US show that even old-fashioned businesses are not immune. Since its

inception in 1930 when the UK was the first country in the world to make car insurance policies necessary, the car insurance industry has never faced the major

challenges and rapid evolution it faces today. Autonomous vehicles, car-sharing services, Internet-connected machines, and other evolving technologies are rapidly changing the game. With great challenges come great opportunities for those who want to adapt. Car insurance companies will be increasingly pushed to innovate in the next decade, or face a high risk of being left behind. To describe a clearer picture of the changing landscape of the automotive insurance industry, we have compiled this list of interesting and significant data points.

- Almost 87% of U.S. drivers have some type of car insurance.
- The nation's top 2019 insurance rate – recorded in Michigan – is $2,611 per year.
- This year's average insurance price in Louisiana is $2,190.
- The average car insurance rate in California is $1,527.
- The minimum annual insurance cost in Wyoming is just $485.
- The U.S. average automobile insurance premium is $1,470 per year.
- The average national price for full coverage insurance is $1,621.
- The average monthly car insurance installment payment is $118.63.
- There are 32 million uninsured motorists in the U.S.
- About 26.7% of vehicles in Florida are uninsured.
- Only 4.5% of drivers from Maine don't have any kind of insurance policy.
- The car insurance market is growing at about 3.3 percent per year.

Figure 3: Growth of the Auto Insurance Industry(Gross written premiums in US dollar billions).




Source:https://carsurance.net/insurance-statistics/, 2020

## 4.1 Auto Insurance Industry Revenue growth

- Australian auto insurance industry generated revenue of $21 billion in 2018.
- The automobile insurance industry is projected to generate revenue of $285.2 billion in 2019.
- The U.S. auto insurance market grew by 1.2% in 2019.

- From 2014 to 2019, the U.S. auto insurance market grew by 3.3%.
- The global auto insurance market grew by 2.9% from 2010 to 2014, when it reached $669.7 billion.

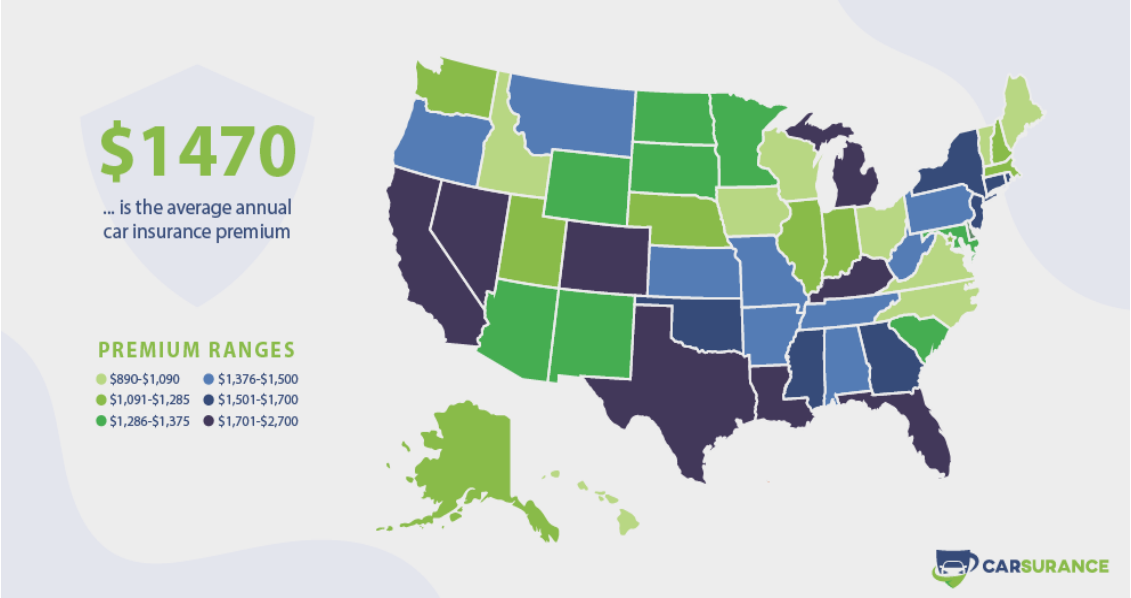
Figure 4: Value of premiums by motor vehicle insurance companies 2009-2019(In billions of US dollars)




Source: https://carsurance.net/insurance-statistics/, 2020

From this figure we note that from 2009 to 2019 there is a significant increase in the premium paid for motor insurance policies in America. So we are dealing with an increasing trend of demand for Non-Life insurance and specifically for Liability Insurance.

Figure 5.Average Annual Car Insurance Premium (US)




Source: https://carsurance.net/insurance-statistics/, 2020

In the figure above, we note that the average premium from Automobile Insurance in the US is $ 1470, while the figure below shows, the total industry cost for this type of insurance is $ 1457. So we are dealing with a positive balance, and profit of this industry,

Figure 6: Average Cost Of Automobile Insurance (Globally)

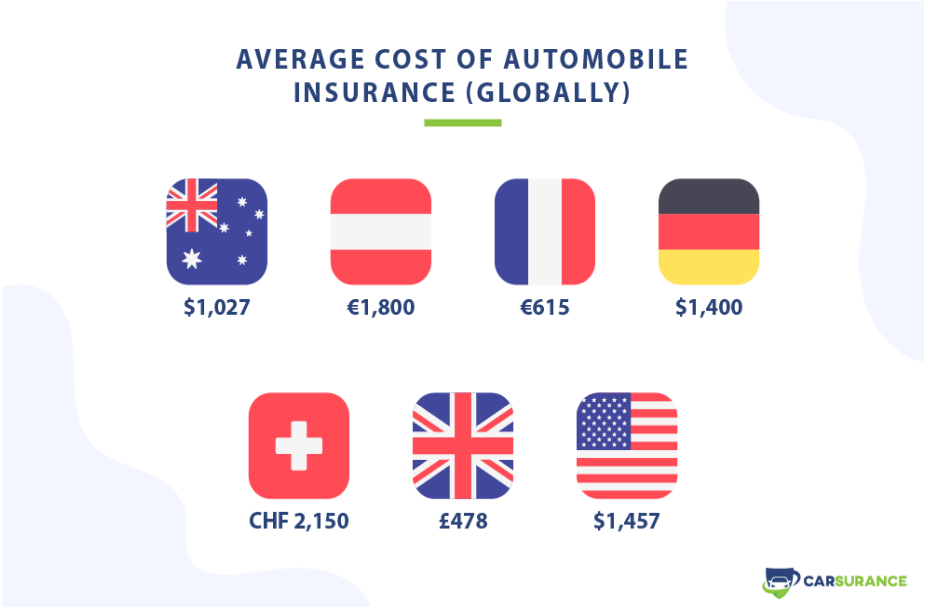
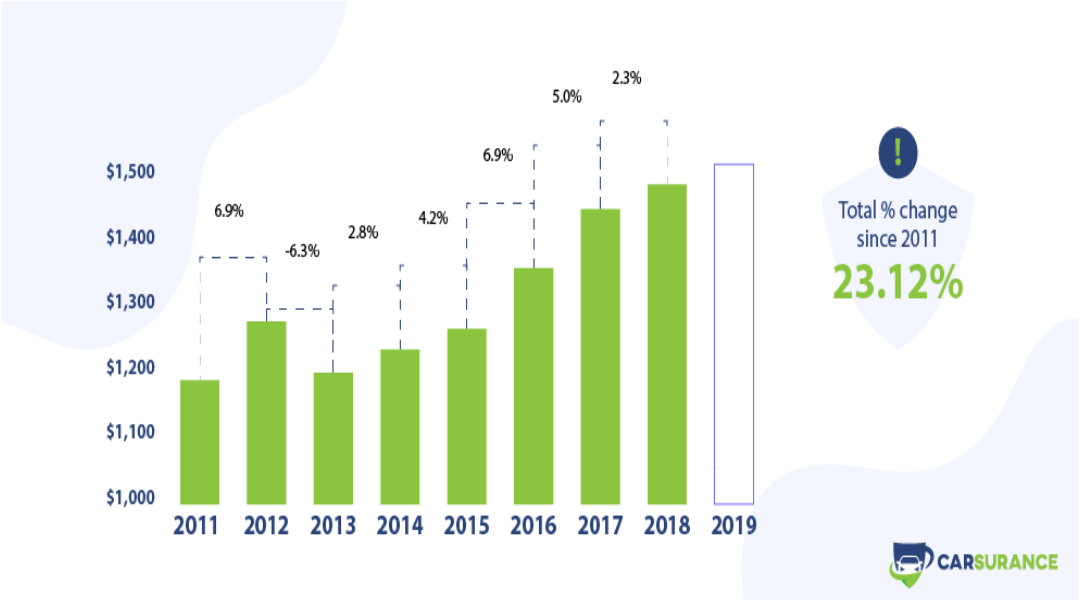


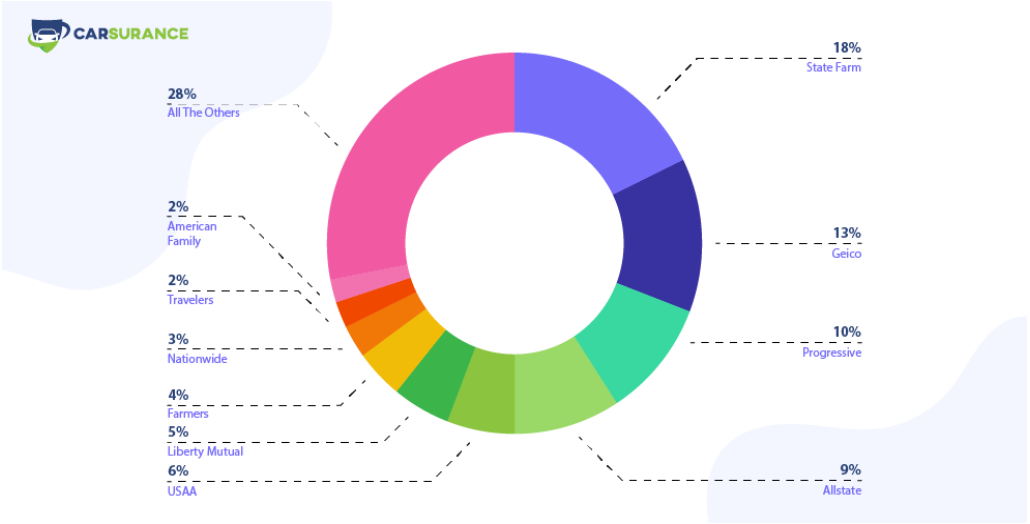

Figure7: Growth of Car Insurance Premium




**Source**:https://carsurance.net/insurance-statistics/, 2020

Also in this figure 8, we notice that the income from vehicle insurance in the US in 2019 has increased by 23.12%. This means that we are dealing with a new culture of responsibility and this has an upward trend that brings income / rewards over the years, showing potential for good results in the future.

Figure 8: Car Insurance Market Share (US)




This figure shows in detail what share each category of society occupies in the total premiums received by the Insurance Industry for Vehicle Insurance.

Figure 9: Profit of the Largest Industries in the USA and the share of each of them in the Insurance Market




Source: https://carsurance.net/insurance-statistics/, 2020

The chart above shows the largest Insurance Industries in America and Profit and the share that each of them occupies in the Insurance Market. We see that State Farm occupies the highest percentage in the market and generates the highest revenue.

## 5. RESULTS AND DISCUSSION

### 5.1 Comparative perspective of liability insurance in our country and in US countries

Constant changes in the economic, social and cultural spheres have influenced the decision-making of individuals of societies of all countries of the world to ensure. A statistical study undertaken confirmed a strong correlation between economic and cultural factors and decision-making to purchase liability insurance policies. The effect of these factors is assessed as negative, especially in underdeveloped or developing countries. In these countries, the underdeveloped mentality and misinformation combined with low economic opportunities for each individual makes the tendency to buy liability insurance policies decrease. (Reza & Azadeh, 2015)

In line with current economic conditions, the 2020 Pandemic has negatively impacted the economic sector and the income of every individual by curbing their investment decision-making. These drastic changes have certainly affected the tendency of individuals to insure themselves by purchasing liability insurance policies. However, based on the data collected up to current years we note that: In Albania motor insurance for 2019-2020 occupies 63.61% and the motor insurance market increased by 30%, while in the US we have

an increase of 1.2%.

This is explained by the fact that the insurance market in the US has grown significantly in recent years and the growth trend is now stable, while in Albania this trend is "explosive" now as it is related to the very underdeveloped economic and cultural stage of Albania compared to America.

Also, the annual premiums, the profitability of insurance companies in America from liability insurance is many times higher than those in Albania. While in America there is a wide distribution of categories of society that buy liability insurance policies, in Albania only certain categories of individuals buy them (mainly individuals aware of the importance of these insurances, who own a vehicle and who have to sufficient income to cover the costs of purchasing the insurance policy).

Despite the growing trend towards Liability Insurance in our country, we are still very far from other countries in the world, and this is due to a number of obstacles. The dynamism of these factors in the future will determine what the potential trend will be. The only thing that is noticed is a contraction of individual investments and budgets due to the global pandemic, which puts in dilemma the performance of the insurance market in general and the profits of insurance companies from the sale of liability insurance policies.

### 5.2 Conclusions

1. Every individual living in a social group has his right and obligation, and ensures that the obligation not to infringe on another and to fulfill his obligations makes him to expose the Responsibility correctly.

2. Liability Insurance makes necessary to protect against abilities or injuries that may be caused by one person / group of persons over another person

3. The three insurable types of Liability are: Civil Liability, Legal, Moral, Legal / Legal Liability. Liability insurance also includes Vehicle Insurance.

4. In Albania there is a culture of Liability and its Insurance, after it has crushed the Insurance Market and Non-Life Insurance and specifically Motor Vehicle Insurance.

5. Revenues of Insurance Companies in Albania before the sale of motor vehicle insurance police for 2019-2020 have increased by 30%.

6. In the United States, field insurance is dominated by vehicle insurance and there is an increase of old centers by 1.2%

7. Cultural, economic and social factors play such a role in individuals' tendency to buy police and provide protection.

8. Despite the increase in the direction of Liability Insurance in our country, we are still much further away from others in the world, and it is if there is another obstacle to another factor.

9. The bottom line is an international investment investment and individual budget due to the global pandemic, which can be observed in the sun to provide security in general and benefit from providing police insurance for security.

## 5.3 Recommendations

1. Since we found that cultural and economic factors influence the decision-making of individuals to purchase liability insurance policies, the focus should fall on these factors.

2. As we have passed and are going through a difficult period of pandemics where the economic conditions in our country have deteriorated a lot, the emphasis should be on possible economic improvements, because if individuals will have sufficient income they will be more prone towards investing in liability insurance policies.

3. Economic improvement can come by informing the Albanian population about the economy of gigs, which enables individuals to generate significant income, working online and with a very flexible schedule. Training programs on how to work in this type of economy should also be provided.

4. Another method is to improve cultural conditions by educating the population on the benefits of liability insurance and raising public awareness of the importance of this insurance.

5. Although pandemic conditions are difficult and uncertain, opening the borders is a necessity, to avoid the colossal increase in prices due to the limited supply of goods, which our country imports from abroad. In this way, the excess expenses of individuals will be saved and their economic situation will be improved, showing an increasing tendency to be insured in Liability Insurance in the future.

6. So if economic and cultural conditions are improved, the number of insured in Liability Insurance will increase.

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professional-liability-insurance-market-bwc19264

# The Collective Memory of Albanians

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**Abstract**: This article aims at exploring the structures of the collective memory of Albanians during the last 100 years. To that purpose, the concept of 'collective memory', first developed by French sociologist Maurice Halbwachs, and then refined by other scholars in the twentieth century, will be conceptualised in the frame of equivalence functionalism, i.e. as a solution to a problem. Such strategy requires a point of reference for the problem, which we take it to be the Albanian elite's problem of preserving and/or strengthening their powerful position. This reference problem focuses attention to the interaction between the Albanian elites and the masses, elucidating certain structural features that have influenced the workings of collective memory production. These workings will be shown both in terms of national collective memory and religious collective memory.

## Introduction

Any major upheaval or change in a given cultural context opens a process of definition or redefinitions on perceptions of the past and its projection in the future. It opens a strong debate on how certain social groups define and redefine themselves. Collective memory as a concept, theorized and practiced, tries to construct and develop the sense of the past (Confino 1997). Halbwachs (Halbwachs 1950) defined collective memory as a process which is not confined in the intimate circle of the individual but rather in terms of exchange of views within a given social group. According to him social groups define a social space within which human activity is legitimized and reproduced. Assaman (1998) on the other end opens and widens the concept of memory introducing a twofold process: communicative memory and cultural memory. Both of them imply two distinct processes. The first refers to the usage of communication in everyday life, hence temporality while the later refers to the distance from everyday and as a benchmark of comparison between the past and the present. Each group might approach differently to the way by which it constructs the image of itself, given also the degree of the focus of collective memory (Beim 2007). The theory of collective memory in this paper will thus focus only certain aspects of it concerning mainly its manifestation in political identity. To this purpose the scheme proposed by Assaman fits in the general understanding of collective memory. As collective memory is a process communicated in the present taking in consideration the fixity of the past (Kanstainer 2002), the way it is presented offers us some constraints in the way of analysing it. As Niklas Luhmann put it, all systems 'function as a unity ...but they are differentiated and none of them can represent the whole system' (Luhman 1990). In the Luhmannian view what solves the dilemma is the idea of hierarchy by which differentiation is achieved. In terms of collective memory this poses the problem of defining how much or less the collective constitutes memory and which are the unit producing it, the society at large or the elite? To what extent is it true that the convergence of enunciative and institutional authority in the nation's pedagogy (cor)responds to the intersection of the horizontal bond of living with the vertical bond of authority – a move that actualises the social(Ricoeur 2004: 60, 167)?

### National memory

Nationalism is based upon a circular logic: it implies that the consequence of the nation will be the state as the only form of societal organization that completes the idea of the nation. Therefore, nationalism needs to explain or legitimize the existence of the national idea through some form of past identity, for which it needs to build symbolic (i.e. unifying) narratives of a common past. As mentioned before, many Albanian writers have employed an essentialist vision or image of the Albanian nation. Accordingly, they refer to past societal arrangements in the Albanian area as states. This concept is recurrent not only in Albanian literature but also among historians. They do so when they talk for example of Illyrian kingdoms of the third or second century B.C. It is also interesting that this is also recurrent in the discourse on nationalism and history in Kosovo, the ancient territories of which were inhabited by the Illyrian tribe of the Dardans. Often, Kosovo is regarded as the continuity of Dardania. History is thus

perceived in a very linear way, in a sort of fluid and continuous common experience, broken only by the incident of conquests or invasions from the others. In prospective, the Albanian nationalist discourse used the past to legitimize the future, independently of the vivid differences that existed with the other peer nationalist movements like the Greek or Serbian ones.

In this sense, Illyrian tribal kingdoms, the feudal principality of Skanderbeg or territories controlled by Ali Pasha of Ionanina, or the Bushatlli family, are all referred to as natural antecedents and precedents of the Albanian nation and its state. The nation was in this way perceived as immutable in time and space (Calhoun 1993:233). According to Calhoun, the claim for the transformation or the legitimization of the state –formation lies in well founded antecedents. Indeed, a whole body of literature in Albania is dedicated to evoking any kind of formal political entity that is linked with the present Albanian territory and culture, independently of the quality. Such discourse has followed and has been muted several times to adapt to the present reality. This is particularly evident in the first phase of state formation in Albania, where the myth of Skanderbeg and the principality of Arber, provided the sub-strata for national identification. The very figure and the ambivalence of Skanderbeg fitted almost perfectly the Albanian reality of the time.

A new state was thus formed, the only attachment of which regarding national identity, was the existence of the language which provided and still provides the cement of Albanian national identity. However, the absorption of externally produced shocks, such as the dissolution of the Ottoman Empire, aims to preserve the social terrain of the national community intact. This is made possible through the modification of collective self-presentations controlled by the centres of political power. Nation-states control the mechanism of anamnestic autopoeia, a mechanism which allows for the creative reproduction of the cult of collective narcissism (Hohendahl 1995: 56-7).For Albanian elites, religion did not seem to matter much as long as Albanians were depicted as people perennially in war with the foreign invader. In fact, the very relation of the Albanian inhabited territory with the Ottoman Empire has been perceived as a mutual and self-oriented relation. Albanian elites were more at home in Istanbul than in Vlora, Berat or Scutari, but they still retained a certain degree of freedom action and movement. Eqerem bej Vlora in his book '*Kujtime*' (Memories) (Vlora: 1973:2004) stresses strongly on this elastic relation with the Ottoman authorities which began to sever only after the *coup d'etat* of Enver Bey in 1908. The "*beys"*of Albania retained a central feature embodied in the national Albanian identity, namely autonomy from central power. From the mountains of Mirdita to the plains of Myzeqe, the cities or coastal areas, people were eager not only to claim their nation but also to stress on autonomy and local government. Indeed, the concepts of autonomy and local government cannot be confused with other features of modernity which similar national movements were trying to achieve through emancipating from the Ottoman rule. The former were rather the reflection of growing animosity among Albanians for the missing promises and the reforms that sultan Abdulhamid II was undertaking.

Albania has often been depicted as a retrograde reality, at least in those years where "*peer*" states were fledging their muscles to get involved in major conflicts, such as the First World War. Nevertheless, they were still able to provide some minimal basis for state formation. To this account,we wish to cite, among others, Stephan Krasner (Krasner 2001:231). In his essay titled 'Abiding Sovereignty', he tries to give an answer to the ever growing quest for the retreat of the nation state, *vis-à-vis* globalization. According to him, sovereignty is by definition weak and it leaves along other alternatives. This vision of sovereignty seems to fit the Albanian case in its short history up to the end of the Second World War. It never exceeded certain strength and it evolved slowly or even retracted in certain periods. Krasner defines these arrangements as 'neutral mutants' when referring to the weaker state policies. The Albanian state has grown under the umbrella of international and bilateral arrangements in various phases of its life (Fisher:1984, Dervishi:2005, Puto:2009,) which in good or bad has provided some sort of division of 'labour' between the national state and the international arena. In this sense, the inter-state arrangements provided the basis for maintaining an order which was reluctant to a sudden change. The rise of the Albanian nationalism was born out of the rejection of some aspects of modernity, like those related to the persistence of the strong and central state. In reverse, the national

discourse was related mainly to elements of national identity such as language and myths like the Illyrian ancestry or Skanderbeg and so on.

What is, in our opinion, very interesting in this period, refers to the nature of conflict that permeated the Albanian elites. The political class at that time was a mosaic of post-Ottoman elites, western-educated professionals and clerics of all extractions. The most common form of political conflict thus concentrated on the distribution of power and the affirmation of local peculiarities in a fragmented national arena. In short, state formation rather than an end in itself, it became an instrument, permeated by a quite high grade of differentiation in the concept of constructing strong institutions. This does not mean that the national idea was not reproduced and inducted through national institutions like schools and alike. During the very first years of the fall of communism, Albanian refugees fleeing to Western European countries came in contact with fellow Albanians from Kosovo. Most of them noted a certain pronounced tendency to display national symbols, flags, and so on. Many children of Kosovo Albanians bore names of cities of Albania which they actually never visited. This of course was part of the whole tragedy that accompanied Kosovo during the period from 1980 to 2000 (Poulton& Vickers 1998:155; Malcolm) and surely is one of the basis upon which the *Kosovar* identity is composed. While in mainland Albania most of the debate recurring on nationalism and national identity focuses on the relation among under-development, the communist legacy and religion, in Kosovo the debate evolves mostly around the possibility to reunite to Albania or stand alone (Spahiu 2012). The quest for unification to Albania is mainly muted officially by the arrangements that brought the independence of the region and the foreign factor as a guarantee for the recognition of independence (Perritt 2010).

On the other hand, some Kosovo intellectuals sustain somehow that there is enough ground to support talking of a Kosovar identity, distinct from the Albanian one. This identity, according to Matoshi, is based on *'a distinct political, geographical and historical unit that means, an identical constitutional-juridical order, which in fact means that there is a nation'* (in Bislimi 28.11.2011). In fact what Matoshi seems to suggest is that today's Kosovo is a by-product of a series of historical, economical or political events, which have eventually determined a sort of national conscience, different from the overall Albanian national identity. Matoshi therefore marks a clear division among Albania and Kosovo in terms of identity, not taking into consideration the common linguistic identity of the two states.

Of the same view is also N. Spahiu (Spahiu 2012) which uses mainly two presumptions: a) the very existence of the state determines the existence/ formation of the nation and national identity, and, b) the structure of a rural society based on a clan/ family as a structure in which the power is unconditionally delegated to the leader. As the first assumption (though difficult to understand even in terms of theoretical premises in the discourse of Spahiu) can be ultimately clarified as an equalization of state to the nation, the second one is somehow perplexing. It states in fact that Albanians '*choose their leaders till they die*', and as they choose them, they choose even their political views. Spahiu's perspective is quite interesting if we consider the evolution and the organization of the pro-independence movement in Kosovo during the years 1991-2000, led by Ibrahim Rugova (Poulton& Vickers 1998). His leadership remained unchallenged, even when he lost ground to the forces that made direct reference to the war like the PDK of today's Prime Minister, Mr.HashimThaci. Indeed, Spahiu's reasoning offers a unique and quite original view of a way in which, somehow, a distinct Kosovar identity might sustain the Republic of Kosovo. Such thesis has been strongly rejected especially by the movement *Vetevendosja*, which is openly sustaining the formal inclusion of Kosovo in the Republic of Albania. As a matter of fact, what has marked the evolution of the Albanian or even the Kosovar national and political identities is strongly linked to the preposition for survival. During the independence of Albania, irredentism and the quest for Kosovo was kept fairly low, a tradition which continued even during the Zogu regime from 1924 to 1939 (Fisher). The same behavior was evidenced during the communist regime till 1980, when the student protests in Pristina received official support from Tirana (Malcolm 1998). The existence of two distinct, predominantly Albanian language and culture states still fuels the debate over the future of the area, although the debate on identity can rest mainly on two main shared premises, the common language and local autonomy or self-arrangements and a certain degree of resistance versus building or maintaining strong central institutions.

**Religious collective memory**

Attempts to produce consensual memory narratives primarily belong to centripetal institutions, such as the educational system, which 'will turn out worthy, loyal and competent members of the total society' (Gellner 1983: 64; Smith 1991: 16). However, before gaining independence in 1912, Albanians had to rely on other means for producing consensual memory narratives. They could and used the idea of religious tolerance. In general, the Albanian nationalist rhetoric has implicitly accepted the absence of the religious discourse and affiliation from the very beginning. They simply refer to religion in terms of tolerance, mainly to explain the formation and the survival of the national idea and state (Gjuraj 1999, Misha 2002) or they extrapolate the idea of nationalism out of the domain of spirituality and religiosity. The identification with religion is somehow supplanted by nationalism. The fight for the Albanian language sustained in the late 19$^{th}$ and early 20$^{th}$ century has also been considered in the same light and translated into religious tolerance. In this sense, today, the discourse of religious tolerance has become one of the main features of the Albanian national identity, even though tolerance is perceived not as a value intrinsically and positively linked with identity, but rather as a value which would have facilitated the position and the integration effort of Albania in the EU.

Religious tolerance in Albania still sticks to the idea of peaceful cohabitation among different groups, as "anxiously" emphasized by many commentators (Gjuraj 2012, Kruja 2012). Both, the head of the Bektashi Community, Mr. Edmond Brahimaj and the head of the Islamic Community in Tirana, Mr.SelimMuca, have emphasized religious tolerance quite strongly (Brahimaj 2012; Muca 2012). During the interviews conducted in January 2012 in Tirana, both clerics responded to demands on relations with other religions as extremely fair. Religious frictions in Albania have never produced levels of violence. The latter is a long and well preserved tradition, which was not only part of the general discourse, but rather a feature of the Ottoman Empire which let the religious communities settle their disputes among peers of the same religious group. To our opinion, religion in this sense has exhibited features of strong local identities rather than a common pattern of understanding. To put it simply, the degree of local autonomy was even more important than any religious identity. Clayer (Clayer: 2007) in her splendid work 'The origins of Albanian nationalism' reinforces the idea of religious identity as a locally based concept and not reflected out of the territory or group. When she explains the frictions between Catholics and Muslims in Shkodra, she specifies the particular environment in a particularly dense inhabited area where animosities were more linked to power rather than to the loyalty devoted to one religious element or another. The religious sentiment in the city is traditionally strong, producing probably some of the most educated clerics and the most vivid religious communities in Albania. This was confirmed during and after communism. Gjuraj (Gjuraj 2012) states that both communities suffered from persecution equally. Most of the clerics of both communities were arrested or executed and current religious practices by both members of respective communities were banned. The mufti of Scutari, Mr.MuhamedSytari (2012), while stressing on mutual respect and tolerance, expressed his concern on some issues like the disapproval on mixed marriages. Scutari is probably a *sui generis* case in today's Albania.

Elsewhere, in other mixed religious communities, problems seem to lie more on the organization of mosques or local communities rather than on the religious expression of faith (Quku 2012). The Islamic community in Albania seems to have undertaken a much lower profile, concentrating more on the administration of the religious duties and never entering the domain of politics. While it would be common, for instance, that the mayor of the municipality of Scutari (a catholic) showed himself in public with the mufti of the city, in Tirana, the Islamic community would most probably refrain from taking sides with the candidates, despite their promises for building a new mosque in the city.

The history of Islam and its development in Kosovo is also different from the Albanian one. By the time Albanian muftis and religious leaders decided to found a national Islamic Community in 1923, based on the territory of the Principality of Albania (Clayer 1998), Kosovo was part of the Kingdom of the Serbs, Croats and Slovenes. During the interwar years, the strong sense of religious belonging was seen as a way to maintain the national identity (Clayer 1998, Poulton 1998; Blumi 2000; Krasniqi 2010; Oktem

2010). While in the Principality of Albania, national identity was based more on language and the preservation of local arrangements, the manifestation of religious practices in Kosovo was seen as a way to manifest and preserve the Albanian national identity (Krasniqi 2010). In this regard, we can at least identify a different pattern of Islamic identity among Albanians in Kosovo, with a stronger public presence of religious assertion, due mainly to the specific social and political context of the region (Oktem 2011). Islam in Kosovo has been the predominant religious confession, thus forming the ground for maintaining a much stronger national identity religiously oriented without excluding the catholic or the *sufi* lodges scattered in the south of the country. Nevertheless many questions arise. Iseni maintains that (Iseni 2009) the new Kosovo administration has to come to terms with some religious tensions arising in the country on topics such as the use of the scarf for women and the like. The religious panorama in Kosovo has been heated even more by some public controversial appearances of the chief Mufti of Kosovo, namely NaimTernava. Together with some representatives of two Anatolian municipalities, he paid a visit to the *tyrbe* of Sultan Murat the first, the winner of the battle of Kosovo in 1389. During the event, the Mufti expressed his consideration on Sultan Murat considering him a martyr of faith (Kurtishi 2010). The event raised some concerns in the Albanian and Kosovo medias, considering the fact that the Albanian national hero, GjergjKastrioti Scanderbeg fought against the descendant of Murat sixty years later. The very place of the Battle of Kosovo, Obiliq, was later renamed Kastriot in honor of the Albanian National Hero. The fact in itself is a simple statement that gives another panorama of today's Islamic identity in Kosovo, probably much more religious-oriented than in Albania, but still retaining its distinctive national features. The statement of the Mufti and the place appear unique considering the fact that the Battle of Kosovo has long been considered as one of the landmarks of the Serbian identity. Assuming and considering the sultan as a martyr of faith, the Mufti has somehow asserted a religious identity which sounds more like a nationalistic manifesto rather than a religious one.

In Albania, the revision of the Organic Statute of 1914, took into consideration the religious composition of the country, reorganizing the office of the head of state in the form of a Council of Regence, whose members were either laics or members of the four main religious communities in Albania, while in Kosovo the Yugoslav government tried to integrate the community to the wider Slavic Islamic community. In Albania, the reorganization of the Islamic community was to be on a strict national basis. Its statute, in fact, affirms the distance to be kept from the Mosque of Istanbul, an inexistent hierarchical organ. Given this assumption, the Albanian Islamic Community tried to survive the secularist reforms promoted by king Zog. After the nineties, during what Oktem calls a brief '*wahabist intermezzo'* (Oktem 2011), the Albanian Islamic Community resisted to the temptations of charities and funds coming from the Gulf States. The Grand Mufti of Albania, Mr. Hafiz SelimMuca (Muca 2012) strongly stated that the 600 mosques scattered in the country are run by strictly Albanian nationality muftis. The Community has even '*dispatched*' a mufti of Albanian nationality to an Albanian community in Connecticut, USA. According to Mr.Muca, there are many requests from Albanian emigrant communities for muftis or religious leaders from their country of origin. Even in countries of recent Albanian emigration, where the presence of religious Islamic institutions is considerable, like for instance Italy, the Albanian Muslim emigrants very rarely frequent mosques, despite their religion (Negri&Scaranari Introvigne 2005). This is a common situation in a context, which, if not related to the national identity, reflects the local dimension of the religious understanding among Albanian Muslims.

In the same line of argument, we try to interpret the autobiography of the Albanian writer Petro Marko (Marko: 2000) who came from the southern part of Himara, as he describes the relations of his hometown, that was mainly orthodox, with the other close sub regions of Vlora and Dukat, inhabited mainly by Albanian Muslim population. Both groups identified themselves in terms of religion, but their periodical clashes related more to the right to use land for their flocks of animals, rather than to go any further. Indeed, religious affiliations in Albanian lands were subject to distinctive and more regionally-based problems, rather than linked to a particular way of considering the Albanian nation.
In short, religion remained a distinctive feature and yet a private matter which never exceeded the domains of, what in a Western country, would have been defined as a normal relation between a laic state and various religions. Religion in Albania, rather than conforming, it conformed *to* the traditions of self-government, autonomy and aversion to central power.

Draper (Draper 1997) explains the absence of religious animosity with the thesis that in part, this was an arrangement that fitted to contrast the falling of the Ottoman Empire. In an interesting essay, Gurakuqi (Gurakuqi: 4) strongly holds that the reason that the Catholics supported Albanian nationalism was partly because they did not identify themselves with a particular nation. This holds true as we move on to the later stages of the Albanian history in which religious identities did not have to be put forward as singular or well-structured concepts, but rather as subordinates to this pragmatic Albanian identity. This is in fact a singularity in the Albanian nationalist discourse, partly for the reasons explored above. The relation of the "common" Albanian citizen with religion still retained a high grade of continuity with the local space, rather than assuming or creating a more global or '*imagined community*' strictly divided from that of being an Albanian. It is also true that this was an elite-oriented process where local religious identifications passed in the first place through the local "*beys*", rather than through religious structures. The most regulated and active community, namely the Catholic Church, committed itself strongly to the creation of an Albanian state, as a shield of protection against the expansions of the Serbian state (Castellan 1996). In fact, the coalescence of different religious identities through the Albanian one revealed that the nationalist discourse was more than a pure thought derived from European romanticism. It was rather a sum of threats reflecting a present situation. Indeed, we define Albanian nationalism as a reflection rather than an agenda inspired from the ideals of the French revolution or European romanticism.

## Conclusion

By way of conclusion, we can maintain that Albanian national memory has shown signs of vagueness as regards the definition of values and interests. This can be linked to the fact of massive illiteracy before the Communist regime, as well as to the fact that every new regime that Albania has experienced in the last hundred years has imposed itself in plain antagonism with the previous one. Therefore, trying to start anew has done no good to preserving national memory. For the same reasons, national memory has been occasional. Third, we have seen that national memory has been a result of negotiations between the political elites and the mass of population. The role of elites has been that of directing the process, but only to the extent of preserving legitimacy; meaning that certain political values of the masses such as family organization and traditional morality have always been evoked in the political discourse. Also the religious memory of Albanians has been quite vague, but for another reason. Although one cannot maintain that there have been severe confrontations among the different religions in Albania, still, one cannot claim religious harmony, but more appropriately religious consensus. However, that consensus has been built on very broad and abstract foundations, thus contributing to vagueness in the perception of religious duties and obligations of other Albanian religions. Temporally speaking, fragmentation of communication on religion has occurred during the Communist regime for almost 30 years. After that, religion has tried to restore itself, but has found a society less reliant on religion for solving its problems. Religious memory has generally been preserved there where local community has been important. That is because religion has performed well the function of differentiating communities and giving them identity. In line with this, and unlike political memory, religious memory has been a product that can be mostly attributed to the efforts of the masses. In light of the above, we maintain that reforms initiated to transform Albania into a fully-fledged Western democracy that relies on the rule of law and market economy need to take account not only of technical and administrative obstacles, but more fundamentally of the difficult problems and the resistance posed by the specifics of Albanians' collective memory.

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# Study Of The Attitude Of Potential Bulgarian Tourists Towards Wine Tourism In Greece And The Importance Of Wine Marketing

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**Abstract:** This paper seeks to examine the Bulgarians' attitude towards wine tourism in Greece and their willingness to practise it. Wine production in Greece is regarded a good condition for the development in wine tourism, as tourism is one of the most important sectors in Greek economy. In terms of marketing, there is a significant number of wine cellars practicing wine tourism with the concern of the Greek producers for the quality labels of the wines aiming at increasing the visitors' interest. Consequently, wine tourism can enhance the annual percentage of tourists who travel to Greece. The present survey was conducted between 1st to 31st of May in 2009 among potential wine tourism consumers in a specific tourist region in Bulgaria, the Burgas region, due to its rich tourist resource for the traditional tourism. The research was based on a questionnaire structured by us with population of 200 respondents and its results were processed with statistical software SPSS. The data shows that the biggest percentage of the respondents were familiar with wine tourism and the specific nature of the toursim services, they had visited Greece and they were saitisfied with the service quality in the Greek tourist destinations. Moreover, it was found that wine tourism is preferred by tourists having a higher degree of intelligence and that Bulgarians are not familiar with wines and wine making in Greece. In the future, Greece in the context of tourist marketing, must launch a permanent adverstising campaign so as to be promoted as a destination for wine tourism.

**Keywords:** wine, tourism, marketing, Greece

## 1. INTRODUCTION

The past several years significant developments have been witnessed in wine tourism in many regions worldwide together with a growing consumers' interest in this alternative form of tourism (Beames, 2003; Carlsen, 2004; Stamov & Nikovska, 2007; Thach, 2007). An increasing number of tourists set off on a journey motivated by the possibility of learning more about wine: getting familiar with new wines or tasting their favourite ones, studying some details of vine growing and wine making in a certain area, meeting local people who produce popular wines and learning about their traditions, about the customs and holidays related to wine (Charters & Ali-Knight, 2002; Houghton, 2001; Macionis & Cambourne, 1998; Stamov & Nikovska, 2008a).

Nowadays, motives, life style activities, personal values and traits are some of the variables that are related to wine tourism and wine consumption as well (Nella, 2012). This trend is further enhanced by people's growing desire to practice non-traditional tourism (Charters & Ali-Knight, 2002; Stamov & Nikovska, 2007). Because frequently, winery tours are regarded a collateral activity to an organised vacation to Greek islands (Alebaki & Iakovidou, 2011).

There is insufficient information about wine tourism in Greece regardless of the prerequisites for its development: (1) significant tourist flow and (2) well-developed wine making industry. Tourism is one of the most important sectors of Greek economy (Spinthiropoulos, Nikas & Zafeiriou, 2020). Greece ranks 15th in the world in the number of international visitors: in 2008 they were 15,449 million. Wine

production in Greece is also a good condition for the development of wine tourism: around 74 thousand hectares of wine plantations, a wide range of wines of a large variety of styles. The country is divided into 9 wine regions, each having its own identity: Macedonia, Piraeus, Thessaly, the Ionian islands, Peloponnese, Thrace, the Aegean islands and Crete, Santorini (Greek Wine Federation, n.d.). The wine region in Peloponnese though, is regarded to be the biggest area in Greece that produces wines and also one of the oldest wine- producing regions of the country (Karagiannis & Metaxas, 2020). There is a significant number of wine cellars practicing wine tourism; various wine tours and routes of different duration are offered. The <<Open Doors>> is regarded as one of the most important annual wine events, that is being held during the end of every spring season in most of the Greek wineries (Nella, 2012). But a winery not only does it become an additional sales outlet, but through the feedback that it takes from the customers, it assists in the gaining of intelligence in marketing (Frost, Frost, Strickland & Maguire, 2020).

More and more studies these days are focused on wine tourism (Carlsen, 2004; Getz, Dowling, Carlsen & Anderson, 1999; Stamov & Nikovska, 2007; Stamov & Nikovska, 2008b). There is currently a wide circle of knowledge of the markets for this type of tourism and its products. The majority of these studies are descriptive, others result from the summing up of data from different sources; there have also been studies of events and occurrences. Therefore, the research should also be aimed at the prospective tourists' attitude to the practice of wine tourism and the analysis of their motivation.

The aim of this study was to investigate the Bulgarians' attitude towards wine tourism in Greece and their willingness to practice it.

## 2. RESEARCH METHOD

With a view to achieving the above aim, a survey was conducted among potential wine tourism consumers in a specific tourist region in Bulgaria: the Burgas region. The reason for surveying consumers based in this territory lay in the rich tourist resource they possessed for traditional tourism, i.e. seaside holiday, and their presumed willingness to explore alternative forms of tourism.

The research was based on a questionnaire structured by us and containing questions eliciting information about the respondents' status and about their opinions, attitudes, ideas, motivation, travel behaviour, etc. related to wine tourism in Greece. The survey was conducted between 1st to 31st of May in 2009 in different districts of Burgas using the direct interview method, with population of 200 respondents, 30% of them from the central part of the city and the remaining 70% from other Burgas districts and areas; the sample was representative, 95% confidence level. Statistical software SPSS was used for the processing of results.

## 3. RESULTS

### 3.1. Market segment

In terms of the educational status of the interviewees, over a half (66%) had university education. Those having secondary, secondary special or college education were 26%, and the respondents holding more than one bachelor and/or master degree together with the ones holding a research degree or title were around 7%. The respondents with primary or no education constituted 1%. Out of the total population, the gender correlation was 75% men and 25% women. The respondents were dominated by the age group of 35-50 years (71%), followed by the group of people over 50 years (19%), the age group of 20-35 years coming at the end with 10% of the total population. As regards material status, over half of the respondents (75%) had a monthly income exceeding 800 Bulgarian levs, followed by those with an average income of 350-800 levs (13%), and lastly, with 12%, came the respondents defining their income as 'low' (200-350 levs). Social status of the respondents: 68% married, 14% divorced, 6% widowed, 9% engaged, 3% single.

### 3.2. Motivation and behaviour of travellers in relation to wine tourism

Out of all respondents, 87% were familiar with wine tourism and the specific nature of the tourism services and travels offered in relation to it. The percentage of people with little knowledge of wine tourism was 9%, and 4% of the respondents stated they were not familiar with the specificity of wine tourism.

The majority of the respondents had never visited wine tours but had recognised the need for undertaking a journey for this particular purpose at a future moment. Their percentage in the total population reached 80%.

The interviewees ranked France first with 77% among the countries they would visit on a wine tour. According to the generalised results in percentages, Italy came next with 11%, then Spain with 8% and Bulgaria with 4%.

Out of the interviewees who provided an answer, 61% were interested in local traditions and customs and were willing to travel for wine tourism purposes in order to get acquainted with those traditions and customs. 27% of the respondents went on journeys focused on wine tourism driven by the need to learn more about the local wines, so the goal of their travel was the diversity of the grape sorts and wine varieties characteristic of the visited region. 10% was the share of the respondents who defined the goal of a wine tourism trip as participation in local wine celebrations and festivals. The percentage of those who replied that they went on a wine tourism trip solely for the purpose of undertaking something new and different was 2%.

Most of the respondents thought a wine tour should be continued for three days (68%), and they wanted to accomplish it in the company of family or friends (82%). They would prefer an organised travel by coach and hotel accommodation. According to the majority of the interviewees (66%), 2-3 cellars should be visited per day.

The analysis of the money that the respondents would be willing to spend within a wine tourism trip arranged the results as being followed: (1) the highest percentage (73%) of interviewees could not determine how much money they would need for a wine tourism trip or the amount of the expenses they would incur during that trip; (2) the interviewees forming around 15% of the total number of respondents were willing to spend up to €1000 of their personal budget; (3) 3% of the respondents were ready to spend over €1000; (4) 9% of the interviewees would readily spend up to €500. The tourists would spend the money mainly on wine purchase (58%), followed by visits to restaurants and tasting local food (28%) and purchase of various gifts and souvenirs (14%).

### 3.3. Attitude towards wine tourism trips to Greece

The questionnaire results showed that 61% of the interviewees would set off on a trip for tourist purposes two and more times per year. 20% travelled up to twice per year.

48% of the interviewees gave positive answers to the question whether they had visited Greece, and 31% had been part of an organised tourist group. Most of the tourists had visited Greece to get acquainted with the cultural and historical heritage of the country (81%). The Bulgarians were satisfied with the service quality in the Greek tourist destinations (73%). They did not have detailed knowledge of the typical Greek wines, the wine making history, the regions or the famous wineries.

More than half was the share of the respondents who gave a ‘Yes’ answer to the question if they would visit Greece on a wine trip. Their percentage was 88%; the remaining 12% formed the share of the interviewees who would not undertake a journey to Greece as tourists for wine tourism. If a wine tour to Greece was organised, Bulgarian tourists would first like to enjoy the picturesque scenery and natural sights, to familiarise themselves with local wine making and taste Greek wines (63%). They showed less interest in wineries and the conditions in them (27%), and 25% of the interviewees also insisted on the service quality.

## 4. ANALYSIS AND DISCUSSION

**Education.** The generalisation of the survey results showed that on one hand, the interviewees who had accomplished a high education level predominated, and on the other hand, the percentage of the people who went on a tourist trip at least once per calendar year was also higher. Therefore, people with higher education demonstrated a more pronounced and clearly outlined need for tourism as a whole, wine tourism in particular. Hence, we could infer that wine tourism as a specialised kind of tourism is attractive and would appeal to a more intelligent and better educated circle of potential consumers that could be viewed as a future tourist contingent. Arguments for this fact can be found in the very specificity of wine tourism and related tourism services.

**Gender.** The percentage of men significantly exceeded that of women, which was not surprising. The 25% share of women in wine tours was found to come mainly from married couples.

Research shows that this kind of tourism is less attractive for the female part of tourism service consumers on a global scale. Some authors believe that men have more knowledge of wines (Barber, 2009). Ladies, who nevertheless go on wine tours and participate in organised wine tourism groups, most often accompany their husbands.

It is men who most frequently go on one trip aimed at wine tourism. This fact results from the male consumers' natural and inherent interest in wine and everything related to it: growing the vine plants and grapes, the variety of grape sorts, grape harvesting, processing technologies for the produce, bottling, storage and consumption of the finished beverage. In the <<New World>> countries women are the mainly wine tourists, whereas in Europe it is a male concern (Alebaki & Iakovidou, 2011).

It needs to be mentioned that wine tourism consumers are not necessarily consumers of the wine beverage only. There is a large share of people who possess a curiosity –based need to learn anything related to the beverage rather than be its passionate consumers (Charters & Ali-Knight, 2002). Wineries themselves could try not to bring in contact audiences that have wine interests that differ by defining a special admission in particular days and hours for groups (Nella & Christou, 2014).

**Age group.** The results based on the age criterion are not surprising: the predominance of the 35-50 age group among the interviewees shows that this is the age group that is the most open to surveys, to tourism-related questionnaires in particular. This is the age group of the active part of a country's population, well-off potential consumers having a fixed holiday period every year which proves very convenient from the point of view of organised travel, including wine tours.

The percentage of older interviewees is not surprising either: it demonstrates and confirms the idea that elderly people have clearly outlined needs for tourism. This age group of potential consumers has more spare time and is not so busy during the calendar year, a factor that makes it even more attractive and turns it into a target segment of the wine tourism market. The relatively low reported percentage of interviewees in the 20-35 age group can be attributed to the fact that this part of the population prefers extreme, relaxing, holidays and tourist travels as a hobby or for sports.

**Income.** The high monthly income shared by the majority of the interviewees corresponded to the results obtained for the education criterion where the predominant percentage was made up by people with higher education degrees.

Higher income implies a large and increasing share of the savings that consumers have the ability and willingness to set apart from their financial resources. The interviewees were willing to redirect these savings to potential tourist travel expenses, and since analysis showed that this age group (35-50 years) had greater need for and interest in wine tourism, its members were among the most frequent consumers of this product.

**Marital status.** The survey results showed a predominant percentage of divorced or married respondents. It corresponded to the higher percentage of respondents who declared active tourism twice or more on a yearly basis. These results provided the basis for concluding that wine tourism was preferred by and was also attractive to married couples and divorcees.

**Frequency of tourist travels.** The results of the question on the frequency of travel for tourism in different forms had been anticipated. The higher percentage of respondents travelled for tourism two or more than two times a year (83%). The majority of the working part of the population tries to invest a maximum of positive emotions – such as those experienced during a tourist trip – in their spare time. That part of the interviewees had the financial means, high level of cultural background, curiosity and free time needed for participation in organised wine tourism groups or an individual wine tourism trip.

**Knowledge of wine tourism.** The questionnaires showed an exceptionally high percentage of respondents who had knowledge of wine tourism as a kind of tourism. The results were in conformity with the results of the question related to the interviewees' education level. According to the results, the higher level of education the interviewees had accomplished, the more profound their general knowledge was.

The conclusion is that wine tourism is preferred by tourists having a higher degree of intelligence. Therefore, the focus of tourism services offered is on the needs of brighter visitors and tourists. Research shows that the most important motives for tourists in order to visit wine route estates are a meeting with the winemakers, a welcome wine tasting, the purchase of different kinds of wine and the learning about how wine is produced and how grapes are cultivated (Vlachvei & Notta, 2009).

**Wine tourism travels undertaken.** Along with the high percentage of people who replied that they travelled two or more times a year and were familiar with wine tourism, there was also a high percentage of respondents who had never travelled or taken part in wine tours, but were willing to go on a tour of this kind.

The results showed that from the point of view of demand for wine tourism related services there was a growing interest in and possibilities for travelling, in terms of a financially sound basis of the demand, as well as availability of spare time and interest in the specificity of wine tours.

On the other hand, wine tour supply on the tourism service market is still low, hence entrepreneurs and business in general need to increase the investments in tourism service supply and variety within the area of wine tourism, in advertising and promoting this kind of tourism.

**Motivation of a wine tourism trip.** The questionnaire results demonstrated a high percentage of people motivated to go on wine tours by their interest in local traditions and customs. This showed that when wine tourism was concerned, tourists would combine their specific curiosity and passion for wine with their cultural and historical needs for familiarity with the local history, folklore and mythology.

The second place was taken by one of the main goals of travelling along a wine route: learning about local wines, their specific features and characteristics. This regarded the properties of wines and grape sorts together with the grape growing technology, wine making stages, beverage storage and consumption. Research has shown that Greek producers in terms of marketing employ quite often quality labels, as the quality information of the wines is important to be known to the consumers and it also distributes the wine. Greek producers have also participated in international competitions and gained the first awards (Vlachvei, Notta & Tsakiriniadou, 2012).

Participation in wine celebrations and festivals accounted for a low percentage since prospective consumers had fairly little knowledge of the different wine celebrations and festivals held. What is needed in this aspect is advertising and promotion of these celebrations, so that they could become familiar to people who travel and go on wine tours. Wineries, in the context of marketing, should adopt strategies in order to increase the visitors' interest. A well-organised introductory wine tasting with the send of invitations could appeal to some homogenous groups, who like wine tourism trips (Nella, 2012).

The interest in the contact with something new and different had the lowest percentage since tourists who chose to participate in wine tours had been driven by a clearly defined need and preliminary information, by an interest in wine that had existed long before they contemplated or undertook a travel of this kind.

**Travel behaviour.** The interviewees had a clear idea of a wine tour organisation. Their behaviour was determined by their expectations concerning the wine tour progress, the accompanying events and destination characteristics.

**Destination and Greece's appeal as a tourist destination.** Bulgarian tourists visit Greece, but their main reason is the acquaintance with the cultural and historical heritage of the country. The degree of tourists' satisfaction with the service quality in Bulgaria's southern neighbour is high. These results confirm Greece's image as a leading tourist destination. Respondents preferred and ranked France first as a wine tourism destination, but there was also a predominant percentage of those who would participate in a wine tour having Greece as a destination. Countries like France, Italy and Spain have established their firm tourist image as wine tourism destinations. Bulgarians are not familiar with wines and wine making in Greece.

With a view to promoting new destinations, such as Greece, a large scale and permanent advertising campaign needs to be launched supported by investments and constant involvement both by the businesses and by different branch and non-government professional organisations. Guidebooks, magazines, tourist advertisements and brochures, recommendations from friends and internet sites can be used as sources of information. In the next years a cooperation of wine and tourism should be made so as to enhance tourism marketing and the local economy and to give versatility to Greek products of tourism especially the Peloponnesian (Karagiannis & Metaxas, 2020). In addition, Greek wineries need to profile wine tourists in order to have their motivations identified so as to follow a better strategy in tourism marketing (Tataridis, Kanellakopoulos, Kanellis & Gatselos, 2019). Moreover, tourism marketing as a kind of internal marketing conducted by the owners of the wineries, can lead to the growth of the annual percentage of tourism, who visit Greece every year.

## 4. CONCLUSION

The Republic of Greece has an exceptionally rich natural and anthropogenic potential for wine tourism. The fact that the country successfully develops sea, recreational and cultural information, tourism is a prerequisite for combining wine tourism with another kind of tourism. Moreover, advances in wineries and wine productions are creating one of the most exciting eras for marketing. Potential Bulgarian tourists are willing to visit Greece for wine tourism and to combine a tourist travel with wine tourism elements.

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# Business process Modeling for Process Optimization

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**Abstract:** Business process modeling is a technique that involves creating a visual depiction of a business process. This is typically achieved by using business process modeling tools like flowcharts and universal business modeling process notation.

Business process modeling is used to identify improvements in an organization's business processes or workflows. It does this by mapping two different iterations of a given process. The first is the process as it currently exists without implementing any changes. The second is what the process will be once improvements have been made.

It is possible to manually sketch out the steps in a process. This method is, however, far more time-consuming, and less effective than leveraging an automation solution like business process modeling software. With software organizations can easily create and run a process model to identify areas for improvement.

The terms business process modeling and business process mapping are often used interchangeably. While the techniques are similar, there is a difference. Business process modeling is generally used to map out low-level processes. In other words, the purpose of the diagram is to provide a somewhat broad overview of how a process works. Business process mapping, however, can be used to create both broad and highly detailed diagrams. Where maps are detailed, their purpose is to provide operating procedures to guide stakeholders on the efficient completion of a process. Note that both business process modeling and business process mapping are used as part of a broader initiative like business process management.

**Keywords:** Business Process Modeling, mode, mapping, optimization.

## 1. INTRODUCTION

The objective of this paper is to provide suggestions to the Business Process Modeling (BPM) community as to how they can better utilize discrete event simulation to deliver real business value for their organizations and customers. There have been many papers and books written on how to conduct simulation projects, covering both the 'art' of model design and the statistics crucial for the valid use of data and for good experimental design. This paper will not go over those aspects but will draw upon how simulation has been applied in a 'pure play' form by Operational Researchers and Industrial Engineers and how the technique has been adopted by the Business Process Modeling community. The point of view developed in this paper is to a degree a personal reflection based upon my experience in discrete event simulation over a 30 year period. In particular drawing upon extensive simulation project work undertaken within the automotive industry during the early part of my career and the experience gained applying the technique across all sectors. The second major contributor being my experience collaborating with leading Business Process Modeling providers including IBM and Software AG (previously IDS Scheer) to incorporate simulation within their toolsets. The paper begins by introducing the background of Business Process Modeling, then covering the development of simulation technology independent to BPM before moving onto how simulation is used with BPM. Finally, a number of observations and recommendations are provided to promote thinking amongst both providers of simulation aligned with BPM as well as potential users

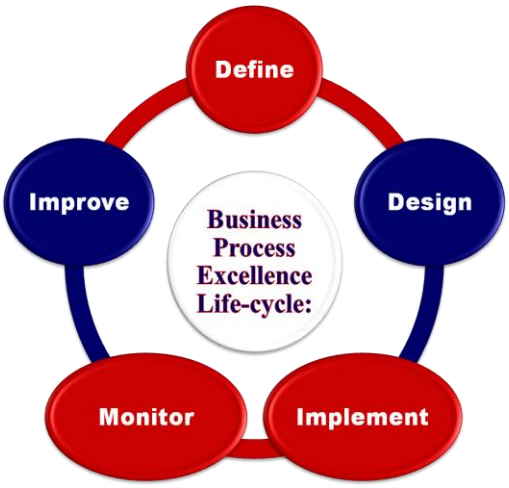
A business process is a set of logically related tasks performed to achieve a well-defined business outcome. Examples of typical business processes are elaborating a credit request, hiring a new employee, ordering goods from a supplier, creating a marketing plan, processing and paying an

insurance claim, and so on. Business processes are recently becoming an important topic in the context of enterprise computing where both inter- and intra-companies workflows are involved. There are mainly two research areas in the context of enterprise computing: BPM (Business Process Management) and SOC (Service-Oriented Computing). Relevant process modeling studies both in BPM and SOC can be further divided into semantic and non-semantic approaches. Similar with the mission of (semi-) automatic service discovery, composition and execution for semantic Web services, semantic processes also aim at automatic process discovery, composition, invocation, monitoring etc. Besides the division of semantic and non-semantic methods, process modeling approaches can also be classified according to industrial standards (or proposal) like BPEL, BPMN etc. and theoretical foundations such as Petri Net or process algebras.

## 2. BUSINESS PROCESS MODELING

Techniques to model business processes have been in existence in many forms since early in the 20th century. Basic flow charts have been traced back to the 1920's developing into more modern approaches such as IDEF in the 1970's and more recently UML (Unified Modeling Language) and latterly BPMN (Business Process Modeling Notation). The actual term Business Process Modeling (BPM) may have originated with S. Williams (1967), but it became more popular in the 1990's. BPM emerged as a structured approach, often extensively used in the support of software engineering, to describe a collection of related activities to deliver a desired goal. 'Process' thinking became the cornerstone of business improvement and drives for greater productivity in many organizations. Business Processes were sometimes categorized as Management, Operational or Support processes. The operational processes being those related to the core activity of the business in terms of manufacturing or providing a value-add service to customers. Around this time Business Process Re-engineering became popular through Michael Hammer & James Champny's book "Reengineering the Corporation: A manifesto for Business Revolution", written in 1993. In 1984 Professor Scheer founded IDS Scheer AG; this took Business Process Modeling to the next level, substituting the 'M' of modeling for that of management. Software AG have since acquired the IDS Scheer company. Although Scheer's approach included business process modeling he created a much more sophisticated methodology fully encompassing the strategy, design implementation and control of processes, including IT architecture, data and the organization that supports the business enterprise (Figure 1):

Figure 1




Core principles in business process modeling have always been the need to share and maintain process models across and between organizations without ambiguity; as such standards and methodologies have dominated the development of the discipline. These models also began as largely 'static pictures' with no intention of being executed in their native form. This aspect did change with the development of workflow engines and their integration into Business Process Management Suites. In my opinion the dominant influences on BPM have come from the IT side of the business, modeling processes for implementation in software. Business Process Management as an approach or philosophy rather than as

purely software tools adopted simulation as a technology or optional component within the methodology. Many Business Process Management vendors (Software AG included) provide simulation functionality as an added component to their suites. The way simulation is supported by these toolsets varies widely, in terms of the capability provided and the way it is integrated and presented to users.

With many definitions going around and multiple ways to go about it, business process modeling (BPM) can be a bit confusing, especially for a beginner. But when you go deeper you'll realize that there isn't much of a difference in most approaches. This business process modeling tutorial will help you learn more about the various definitions, features, history behind BPM. And we'll briefly touch on the various business process modeling techniques as well.

Among many definitions available online for Business Process Modeling, following are few that captured our attention;

- BPM is a mechanism for describing and communicating the current or intended future state of a business process.
- BPM is a means of representing the steps, participants and decision logic in business processes.
- BPM is a method for improving organizational efficiency and quality. Its beginnings were in capital/profit-led business, but the methodology is applicable to any organized activity.
- BPM aims to improve business performance by optimizing the efficiency of connecting activities in the provision of a product or service.
- BPM is a set of activities for representing business processes in a formal way enabling analysis and further improvement of these processes.

Business Process Modeling is a combination of various process related steps such as Process Mapping, Process Discovery, Process Simulation, Process Analysis and Process Improvement.

With all above being true, it can be summarized as ***how work gets done in an Enterprise or an organization***.

BPM has emerged rapidly throughout the last two to three decades, and has replaced previous organizational efficiency practices such as the Time and Motion Study (TMS) or Total Quality Management (TQM). Such demand for BPM is a result of,

- Increasing transparency and accountability of all organizations including public services and government
- Increase in usage of information and communication systems
- Modern complexity of business

BPM can be considered as a quality management tool due to its I) technical nature, 2) the process emphasis and 3) analytical approaches & responsibilities arising in the improvement of quality, in the market. Business process modeling is highly useful in change management of organizations.

A summarized list of BPM features are as follows;

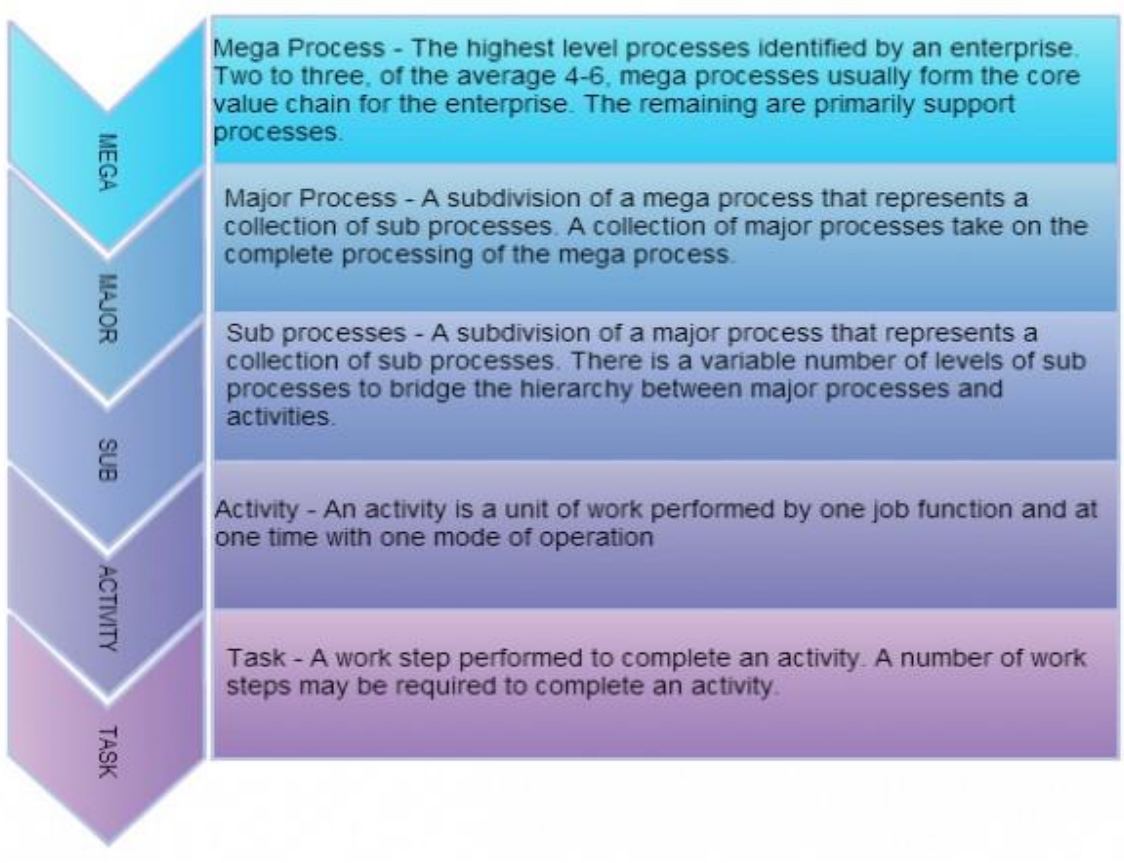
- BPM is commonly a diagram representing a sequence of activities. It typically shows events, actions and links or connection points, in the sequence from end to end.
- It mainly focuses on processes, actions and activities, etc.
- A Business Process Model includes both IT processes and people processes.
- Business Process Modelling is cross-functional, usually combining the work and documentation of more than one department in the organization.
- Resources feature within BPM in terms of how they are processed.
- People (teams, departments) feature in BPM in terms of what they do, to what, and usually when and for what reasons, especially when different possibilities or options exist, as in a flow diagram.

- Business Process Modelling may also include activities of external organizations' processes and systems that feed into the primary process.
- In large organization's operations Business Process Models tend to be analyzed and represented in more detail than in small organizations, due to scale and complexity.

Business Process Modelling is to an extent also defined by the various computerized tools or software which is used in applying its methods. These tools evolve with the change of time and therefore it is advised to keep an open mind on how BPM can be used.

Following hierarchy is mainly used in process modeling for large enterprises. It categorizes all the processes of an organization in to five levels so that it is easier to streamline the outcome. (Figure 2).

Figure 2 (Business Process Model Hierarchy).




## 3. BENEFITS OF USING BUSINESS PROCESS MODELING

Business process modeling is becoming a higher priority for business managers and analysts as there is an increasing emphasis in organizations to document, understand and improve their business processes. Managers and business owners are realizing that operating their businesses without well documented processes is just like a pilot who is flying blind without properly functioning instruments and navigation. Well documented and streamlined processes are essential in a smooth functioning of a team as they help ensure consistency, track ability and focus towards a shared goal. Business process modeling is a combination of various process related steps such as Process Mapping, Process Discovery, Process Simulation, Process Analysis and Process Improvement. Although a holistic business process modeling exercise would cover all these steps in some depth, analysts have found that even a partial modeling exercise that involves a subset of these steps is a good start and yields significant benefits.

Business process modeling provides important benefits to companies and organizations such as the ones listed below.

1. Align operations with business strategy

Implementing a business strategy or new business model requires changes in the operations and in how people perform their work.

Business process modeling facilitates this by helping managers and executives ensure that business processes are consistent, and enable business execution toward achieving the overall strategy and goals of the organization.

2. Improve process communication

Having a very clear idea of what should be done, how it is supposed to be done, and what the exact role of every team member entails, represents key factors that lead businesses and teams to success.

Business process modeling enables the documentation and communication of an organization's business processes. It provides a common, unified language and methodology for communicating processes, information and guidelines about the processes; it minimizes the loss of business process knowledge (for example, as a result of a loss of staff); jumpstarts the organizational process documentation initiative; and, allows for rapid knowledge transfer with thoroughly documented processes.

3. Increase control and consistency

Successful companies and organizations also attach high importance to well-designed business processes and rules to ensure that they are consistently applied the same way every single time.

Business Process Modeling makes this possible, as it provides the formalization of existing processes that may not be well-documented, eliminates guesswork, and ensures that these documented processes follow the company guidelines and legal regulations.

4. Improve operational efficiencies

The process simulation and analysis steps of BPM provide understanding of the process flows and helps managers determine if there is room for further optimization, improving the process cycle time, enabling better resource utilization, and allowing modeling of the process before actually implementing it, thus minimizing disruptions.

5. Gain competitive advantage

All the benefits mentioned above lead to a significant competitive advantage for an organization that has invested the time and effort to document, simulate, constantly refine, and improve its business processes.

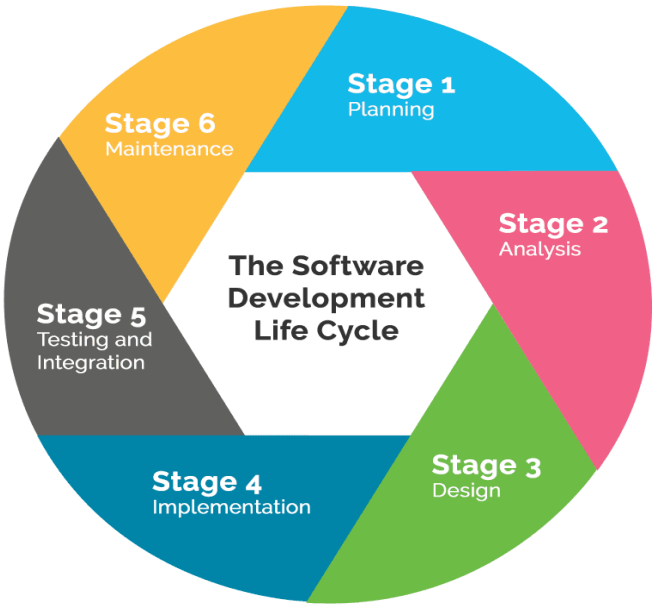
A business that has aligned its operations with its strategy, is agile, has control over its processes, runs efficiently, and has a well-trained staff, is likely to be performing at its best.

## 4. SIMULATION OF BUSINESS PROCESS MODELS

The simulation of business process models which have previously been captured has an obvious attraction. Clearly simulation is a way of testing and measuring potential improvements to these process models before implementation, potentially saving costly mistakes and avoiding pilot projects where process changes are tested in the real world. Simulation is strongly recommended and identified as one of the ten 'must have' technologies for Business Process Management toolkits by the analyst firm Gartner. Many business process modeling and management suites now have simulation built in. In some cases the simulation capability is newly developed by the BPM tool vendors and in other cases it is based upon existing stand-alone simulation tools and integrated within the BPM software. Different BPM tools follow different methods, however each follows a standard approach, the most modern being the BPMN standard. The modeling software is there to provide an environment to model processes, maintain and share these models, it is not there to provide simulation. In these tools simulation is seen

as an optional extra, often a desirable and strongly advocated optional extra. Business process models provide a static representation of the process being studied, simulation adds a dynamic component bringing the process to 'life' albeit still as a model. Additional information is required over and above that contained in the BPMs i.e. activity times, arrival information, resource availability and routing logic that can be executed within the simulation. This additional information is normally added to the BPMs using forms and stored in a proprietary manner often invisible from the process diagram. Some of this information is not always easily added, for example process modeling tools do not tend to have objects to represent queues and constraints for these queues, a second example is the overall control method that determines the routing or work prioritization, facilities to add this logic which has been a major part of the stand-alone simulation tools is usually not well addressed in the simulation provided for BPMs. The role of simulation in the business process world should be similar to that in the manufacturing or supply chain operations, however often the BPMs that get simulated have been constructed for other reasons. As stated previously the BPMs are often created as part of a software development cycle or to publish the process to workers, they have not been designed to help answer a specific business question. If these models are used for simulation to address a question other than a simple validation of the process design they are likely to be the wrong models. A recent simulation project at Bank of America initially used existing business process models that had been developed to support a business rationalization project following a merger. These models were very detailed and the process was modeled as a hierarchy with upwards of 80 separate models. The business question to be addressed by simulation was to do with resourcing decisions and how to cope with a backlog of work. Clearly for this purpose a simpler model of the process could be used, a new model was developed using the detailed models as information, this leaner model containing aggregated activities made the simulation project much more efficient and effective. Business Process Tools can be very detail oriented, given that these tools are likely to be 'owned' by IT or business analysts they are very suited towards the 'Design' and 'Implementation' steps of the project cycle shown below. Existing models may on the one hand be too detailed, similarly they may also be lacking. In that resources that support activities outside as well as those within the specific model being simulated may not be properly represented in terms of availability. Simulation has a big role in the 'Strategize' step where different business approaches might be compared prior to entering a detailed design phase (Figure 3).

Figure 3. Project Cycle – Software




The formal business process diagram method adopted by the toolset being used may not be the most effective modeling approach for the basis of a simulation model in the strategize phase, a more flexible conceptual basis and richer graphical representation might be more appropriate. The formality of

business process modeling is driven by a need for consistency and reuse across the enterprise, which of course is crucial in the mainstream business process diagramming activities.

## 5. CONSLUSIONS

Business process modelling is a means of representing the business activities, the information flow and decision logic in business processes. With the power of visualization, it is used to communicate information regarding a process and the interaction it includes within / between organizations either among the persons reading a model or the persons who create it. It externalizes the business knowledge with a view to agree and bind all stakeholder in a representation that is shared within an organization and is reflected in its information systems. BPM presents multiple granularity levels: from simple depiction of the workflow to simulation and execution, addresses complexity by emphasizing on specific aspects and by reusing models. BPM achieves a common understanding of business knowledge between an organization and IT experts and thus drives the design and implementation of software systems.

From the vendor or BPM software development perspective there should be a recognition that there are lessons to be learnt from the 'pure play' simulation software tools and that simulation in BPM is indeed in an 'early adopter' phase. The users of simulation within the BPM toolset are generally inexperienced with simulation analysis, this factor together with where process modeling as a technology is used by a business leads me to suggest a number of guidelines for the tool providers.

- Provide support in the form of 'wizards' or 'templates' to steer the user in the specific analysis they want to undertake, process design validation, process improvement, optimization of resources etc. providing the appropriate reports etc.
- Provide experimentation support to ensure robust results in terms run length or number of replications to ensure statistical validity.
- Develop partnerships with 'pure play' simulation suppliers to benefit from that experience in the design of simulation capability and the opportunity to utilize a full simulation software product should that be more appropriate

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# Leasing as a Source of Financing Small and Medium-sized Enterprises in the Slovak Republic – Empirical Analysis

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***Abstract:*** Small and medium-sized enterprises are often constrained by lack of equity sources of finance and therefore remain dependent on other external sources of capital. Previous research has prevailingly focused on the use of traditional debt sources of finance, especially bank loans. Hence, the article examines other debt sources of financing SMEs and pay special attention to leasing. Leasing appears an appropriate debt form of financing business needs that help firms overcome obstacles typical for standard bank loans. The aim of the article is to evaluate the use of leasing in SMEs in Slovakia in the years 2015 – 2019 and identify key obstacles that most affected its use in the period under review. The questionnaire survey was carried out from September to December 2019 on a sample of 891 Slovak SMEs. Sample representativeness was tested by the Chi-square goodness of fit test. To verify the formulated hypotheses, nonparametric tests were applied (the Friedman and Wilcoxon tests). The research results enable to evaluate the use of leasing in Slovak SMEs in 2015 – 2019 and identify main obstacles affecting it in the analyzed period. Based on the research results, the article provides ideas and recommendations aimed at the improvement and expansion of the use of leasing in Slovak SMEs by taking account of the current situation determined by the COVID-19 pandemic.

**Keywords:** Leasing. Small and medium-sized enterprises. Debt financing. Obstacles limiting use of leasing. COVID-19 crisis.

## 1. INTRODUCTION

Dynamic development of small and medium-sized enterprises is one of the factors essential to the favourable economic development of any country. Small and medium-sized enterprises demonstrate their viability not only by their share in the gross national product generation, value added or sales but also by their contribution to employment. Each economy is vitally dependent particularly on strong and viable enterprises of this size category. To enable them to play this role successfully, efforts should be put into their continued development and realization of their potential under the present challenging and turbulent conditions. Since equity sources of capital are often insufficient to finance activities of small and medium-sized enterprises, many of them are dependent on other external sources of finance. The searches and studies conducted until now have prevailingly focused on traditional debt sources of finance, in particular bank loans. Therefore, we decided to examine other debt sources of financing of small and medium-sized enterprises and give special attention to leasing. In recent years, leasing has appeared as an appropriate form of debt financing of business needs which helps enterprises overcome barriers typical for standard bank loans. The results of the annual surveys of the Directorate General for Internal Market, Industry, Entrepreneurship and SMEs confirm that leasing belongs to the most popular debt sources of finance (other than bank loans). The article deals with these issues. Its aim is to evaluate the use of leasing as a debt source of capital in small and medium-sized enterprises in the Slovak Republic in the years 2015 – 2019 and identify key obstacles that most affected its use in the period under review. On the basis of the results of the realised analysis we formulate ideas and recommendations aimed at the improvement and expansion of possibilities to use this source of finance in Slovak small and medium-sized enterprises.

The rest of the paper is organized as follows: Section 2 presents the theoretical background based on the related literature. In Section 3, the main objectives including the main scientific objective and three partial aims supporting it are formulated. Following the set objectives, two hypotheses are constructed. The section also presents the used data description and the applied methodology explanation. Section 4

discusses the obtained empirical results, main findings and proposals. Section 5 provides main conclusions.

## 2. THEORETICAL BACKGROUND

Typical features of small and medium-sized enterprises including their low level of capital strength, a shortfall of assets suitable as collateral, unstable financial situation, higher sensitivity to business risk (due to insufficient and poorly prepared financial statements and plans) or insufficient credit history shape their profile of a considerably risk subject. Rahman, Rahman a Belás (2017) even talk of bank lending discrimination of small and medium-sized enterprises that results from the information asymmetry. Limited access of small and medium-sized enterprises particularly to debt sources of finance as its result is also confirmed by Moro, A., Fink, M., Maresch, D., 2015; Nangaki, L., Namusonge, S. N., Wandere, R. W., 2014; Canton, E., Grilo, I., Monteagudo, J., van der Zwan, P., 2013 and many others. On the other hand, problems and barriers typically faced by SMEs are hardly known to large companies. In SMEs, their existence leads to the emergence of the so-called financial gap also referred to as the Macmillan gap. Many authors (e.g. Raju, Rajan, 2015; Dong, Men, 2014; Majumdar, 2014; Sobeková Majková, 2011; Hyytinen, Pajarinen, 2008; Levenson, Willard, 2000; Rajan, Zingales, 1995 and others) are inclined to believe that the financial gap definitely results in a limited access of SMEs particularly to debt sources of capital.

As SMEs face more barriers when assessing traditional external sources of capital than larger enterprises, leasing appears an important element in their financing. It seems to be an appropriate alternative source of finance for SMEs expanding the range of their capital equipment financing options.

The origins of leasing trace back many centuries in history and we can surprisingly say that it is one of the oldest industries. As far back as the ancient Sumerians used leases on clay tablets for agricultural tools, land and water rights or animals. Its roots can be found in many ancient civilizations such as the Greeks, Egyptians, Romans and Phoenicians which used leasing as a tool to finance equipment, land and livestock. The oldest evidences include a record of King Hammurabi´s Babylonian leasing law stretching back to 1700 B.C. (Elliott, 2016). At that time various items of equipment were leased including industrial and military tools and equipment but animals (mainly horses) and farming equipment prevailed. More opportunities for leasing came with the onset of the industrial revolution, especially for railroad companies. Modern-day leasing started to develop intensively in the 1940s particularly in a form of vehicles leasing in the USA where some manufacturers were establishing their own financial organisations. Since that time leasing has considerably evolved and manufacturer-selling has been significantly overshadowed by specialised leasing companies which has become an important player in the financial market as independent companies or subsidiaries of commercial banks. Incentive legislation in the 1950s and 1960s in the USA, Great Britain and also in Western Europe together with the technological revolution in the 1960s became a driving force of modern-day leasing. In 1995, the Ottawa Agreement entered into force representing one of the most significant attempts so far in terms of the international codification of some leasing aspects (História lízingu, 2008). Nowadays, the scale of leased assets involves many different items such vehicles, transportation equipment, computers, medical equipment, real estate, in the hotel industry leases may even include bathroom fixtures, furniture or paintings (McGuigan, Moyer, Rao, Kretlow, 2012).

Inconsistent legislative frameworks at the national levels result in a multitude of various leasing definitions. In Europe a definition provided by IFRS 16 appears the most common. It defines a lease as a contract that conveys the right to use an asset (the underlying asset) for a period of time in exchange for consideration (Commission Regulation (EU) 2017/1986, 2017). Thus, leasing provides asset-based financing where the lessee does not receive direct finance from the lessor who retains ownership of the underlying asset. Therefore, no collateral is required and the lessee does not have to prove a credit track record which makes leasing a tool helping SMEs overcome some of the limitations of traditional bank loans (Mol-Gómez-Vázquez, Hernández-Cánovas, Kőeter-Kant, 2019).

Recently, determinants affecting firm´s leasing decisions have been examined in several studies, however, majority of them were carried out in developed countries and there is still lack of knowledge needed to understand leasing decisions in developing countries better (Li, Karim, Munir, 2016). This

particularly applies to SMEs in those countries. Some of studies carried out so far show that high importance of leasing was demonstrated in relatively young enterprises, those bearing comparably high credit risk and also the so called gazelles (i. e. the young high-growing enterprises) which reported the lowest rate of unsuccessful applications (Kraemer-Eis, H., Lang, F., 2012). As Zhang (2018) argues, one of the key benefits of leasing is that it facilitates access to capital for financially constrained enterprises and those having not enough assets to pledge for loan collateral which is of special importance in countries with weaker law enforcement. Berger and Udell (2006) also support the argument that financing alternatives involving the lender´s ownership of underlying assets are less dependent on strong legal systems. Hulsink and Scholten (2017) claim that leasing companies which have their own risk policy may be able to offer more capital and services to young and small firms (including startups) than traditional banks. Jaszczuk, Białek-Jaworska, Opolski, Silwestrzak and Trzpioła (2018) add that leasing is often the only external financing alternative to equity for starting enterprises. Lease financing therefore seems efficient to enable enterprises which are, due to the information asymmetry, trapped in the financial gap and therefore often excluded from formal financial markets (Moyi, E., 2019) to overcome their financing barriers.

## 3. AIM AND METHODOLOGY

The main aim of the article is to evaluate the use of leasing as a debt source of capital in small and medium-sized enterprises in the Slovak Republic in the years 2015 – 2019 and identify key obstacles that most affected its use in the period under review. On the basis of the main scientific aim, we formulated three partial aims:

(1) to analyse and evaluate the development of the use of leasing in SMEs in the Slovak Republic in the years 2015 – 2019;
(2) to identify the main obstacles which determine the use of leasing in SMEs in the Slovak Republic;
(3) to formulate ideas and proposals aimed at the improvement and extension of possibilities of the use of this source of finance in SMEs in the Slovak Republic.

Following the main aim and partial aims, we constructed two following hypotheses:

H1: We suppose that the majority of small and medium-sized enterprises in the Slovak Republic primarily use leasing as a debt source of financing.
H2: We suppose that small and medium-sized enterprises in the Slovak Republic consider the high price of leasing to be the main obstacle affecting their deciding on its use.

Primary as well as secondary sources of information were used in developing the article. The documents used to fulfil its aims include three categories of data. The first group of information comprises specialised literature concerning debt sources of finance. The issue of financing SMEs continues to be very much a live issue and, accordingly, we draw not only on book literature but also on specialised journal articles, proceedings, websites, publications of professional organizations and groups. The second group of information includes secondary data obtained from statistical surveys and yearbooks. The third type of information contains data gathered as a result of the questionnaire survey in the segment of small and medium-sized enterprises in the Slovak Republic.

The questionnaire survey was carried out in the period from September to December 2019. The electronic questionnaire was distributed by means of the service Google Docs. The obtained results were evaluated with the application of the mathematical-statistical methods and processed by means of Microsoft Office Excel and the software IBM SPSS.

The population consisted of 567 131 small and medium-sized enterprises established in the Slovak Republic, of which 550 016 were microenterprises, 14 159 small enterprises and 2 956 medium-sized

enterprises. In terms of the structure according to the legal form, the population consisted of 348 326 natural entities and 218 805 legal entities. In order to carry out the research, we addressed more than 4 000 small and medium-sized enterprises established in the Slovak Republic. Large enterprises were excluded from the returned questionnaire replies. The sample than consists of 891 SMEs. The sample representativeness was tested on the basis of two statistical features, namely a size of an enterprise according to the number of employees (broken down to micro, small and medium-sized enterprises) and according to the legal form (broken down to natural entities and legal entities). The structure of the sample is shown in Table 1.

Table 1: Number of enterprises in the sample according to the size of an enterprise and its legal form

| | Microenterprises | Small enterprises | Medium-sized enterprises | Total |
|---|---|---|---|---|
| Natural entities | 564 | 0 | 0 | 564 |
| Legal entities | 292 | 26 | 9 | 327 |
| Total | 856 | 26 | 9 | 891 |

Source: Own processing based on the results of the questionnaire survey.

Microenterprises have the largest share in the sample (96.07 %) followed by small enterprises (2.92 %) and medium-sized enterprises (1.01 %). The natural entities account for 63.30 %, the remainder consists of legal entities (36.70 %). On the basis of the results of the nonparametric Chi-square test of good fit, the sample is representative, on the significance level of 5 %, in terms of the size of an enterprise (broken down to microenterprises, small and medium-sized enterprises) as well as in terms of the legal form (broken down to natural and legal entities).

According to the statistical classification of economic activities SK NACE Rev. 2, the most represented enterprises were in the trade sector (20.70 %) followed by those in the construction sector (18.00%), enterprises in other industries coming under SK NACE O, P, Q, R, S (15.90 %) and industrial enterprises (14.40 %).

To achieve the main aim and partial objectives, we used several scientific investigation methods such as the analysis, abstraction, deduction, induction, comparison and synthesis. A number of mathematical-statistical methods were used. To accept or reject the formulated hypotheses, we applied the Friedman and Wilcoxon pair tests. The following part is devoted to the analysis and evaluation of results obtained by means of the questionnaire survey.

## 4. RESULTS AND DISCUSSION

A long-term appearance of insufficient availability of sources of finance and their appropriate structure in leading positions determining the order of problems and obstacles of SMEs´ development has been evident. In the light of characteristic features for which SMEs acquire a higher risk profile compared to large enterprises, the access to traditional debt sources of capital is mostly affected. Although currently one can observe a positive trend when the barrier of insufficient availability of sources of finance has been losing its dominance and European SMEs consider other problems more significant (in particular the lack of customers or qualified employees), the problem of insufficient availability of debt sources of finance in this segment still prevails and it cannot be deemed to be definitely settled. The previous studies have paid more attention to traditional debt sources of finance, particularly to bank loans. Therefore, we decided to investigate other debt financing opportunities in Slovak SMEs. We will give special focus to leasing which, by its very nature, can be considered an appropriate and more available alternative of debt financing of SMEs.

Table 2 shows the use of debt sources of finance in Slovak SMEs in the period 2015 to 2019. The figures are based on the results of the survey periodically initiated by the Directorate General for Internal

Market, Industry, Entrepreneurship and SMEs. For comparison, the first part of the table also presents data describing the use of traditional bank loans although we do not further focus on them in this paper. The highlighted part of the table contains data showing the use of selected debt sources of finance including leasing.

Table 2: Use of selected debt sources of finance in Slovak SMEs in 2015 – 2019 (% of enterprises)

| | 2019 | 2018 | 2017 | 2016 | 2015 |
|---|---|---|---|---|---|
| Overdrafts, credit cards | 35 | 41 | 38 | 40 | 38 |
| Bank loans | 14 | 13 | 13 | 10 | 12 |
| Leasing | 24 | 19 | 21 | 17 | 18 |
| Trade credit | 15 | 16 | 24 | 17 | 13 |
| Other debt | 10 | 9 | 13 | 9 | 9 |
| Factoring | 5 | 2 | 5 | 4 | 3 |
| Grants, subsidised loans | 3 | 3 | 2 | 1 | 3 |
| Debt securities | 0 | 0 | 0 | 0 | 0 |

Source: Own processing based on SAFE report 2019 – country report, 2019; SAFE report 2018 – country report, 2018; SAFE report 2017 – country report, 2017; SAFE report 2016 – country report, 2016; SAFE report 2015 - country data, 2015.

When comparing all types of capital in the above table, the overdrafts together with credit cards appear the most popular. When looking beyond the traditional bank loans and focusing only on other debt sources of finance, it is apparent in the table that leasing is the most popular form of financing. Its use shows somewhat fluctuating development, ranging between 17 to 24 % of SMEs. In the last year of the period considered, the rate of its use substantially increased and its use was reported by almost one quarter of Slovak SMEs. The trade credit can also be regarded a significant source of capital in Slovak SMEs. Given its characteristics, one may believe that its popularity in small and medium-sized enterprises is predominantly determined by its good accessibility and lower burden of administration in comparison with other debt sources of finance. The trade credit is followed by unspecified other debt. Other debt sources of finance such as factoring, grants and subsidised loans are of limited use and debt securities were hardly ever used in Slovak SMEs in the examined period.

While the previous table contains data on the use of debt sources of finance including leasing in the analysed period only in the Slovak Republic, in Table 3 the use of leasing in Slovak SMEs can be compared with the EU-28 average and selected European countries including some selected European innovative leaders and V4 countries.

Table 3: Use of sources of finance in small and medium-sized enterprises in the Slovak Republic, EU-28 and in the selected European countries in 2019 (% of enterprises)

| | ***Slovakia*** | EU-28 | Sweden | Denmark | Finland | Germany | Czech Republic | Hungary | Poland |
|---|---|---|---|---|---|---|---|---|---|
| Use of leasing | ***24*** | 24 | 32 | 26 | 36 | 32 | 24 | 20 | 39 |

Source: Own processing based on SAFE report 2019 – country report, 2019.

Table 3 indicates that the use of leasing in Slovak SMEs corresponds with the EU average and the same is also the rate of its use in Czech SMEs. Leasing is less than in Slovakia used in Hungary. Among the countries compared, leasing is the most popular in Poland and Finland. When comparing with the

selected innovative EU leaders we have to conclude that SMEs in the V4 countries with the exception of Poland significantly lag behind them in terms of the use of leasing.

In Slovakia, the 6 % year-on-year growth of leasing volume compared to 2015 was recorded in 2016 (Lízingový trh v roku 2016 s 1-ciferným nárastom obchodov. Tlačová správa, 2016). In 2017, leasing grew by 8 % (Lízingové financovanie osobných áut, ale aj strojov a zariadení, rástlo na Slovensku až desatinovým tempom. Tlačová správa, 2017). Leasing maintained its growing trend also in 2018 and 2019 with the average year on year growth rate of 5 % and 5.5 % respectively (Lízingový trh na Slovensku, 2019; Beracka, J., 2020). 2020 was however notable for negative impacts of the coronacrisis and leasing volumes dropped to 18 % (Uplynulý rok 2020 sa v lízingovom odvetví niesol v znamení pomoci klientom. Tlačová správa, 2021). Despite the last year´s decline, leasing has recently been regarded as one of accelerators of economic growth in the Slovak Republic. We can therefore consider the upward trend of its use in Slovak SMEs (recorded before the coronacrisis) positive.

Financial and investment decisions including the area of funding and capital allocation substantially determine firm´s financial stability and opportunities of its future development. It is important for any enterprise to choose an appropriate type of capital to finance their particular business needs. Leasing has recently appeared as a proper alternative of financing business needs by means of debt which helps businesses overcome obstacles typical for standard bank loans. The results of the annual "Survey on the Access to Finance" initiated by the Directorate General for Internal Market, Industry, Entrepreneurship and SMEs also show that leasing belongs to the most popular other debt sources of finance (excluding bank loans). In many EU countries leasing is the most often used. Since we see the trade credit as a source of financing which is very widespread in business practice and many businesses do not even realise that they in fact use debt sources of finance after the receipt of the supplier´s invoice, we excluded it from the following hypothesis.

In the hypothesis 1, we suppose that in terms of debt sources of finance, leasing is mostly used in the majority of small and medium-sized enterprises in the Slovak Republic (excluding bank loans and trade credit). In the questionnaire survey, we asked respondents to state those of the selected debt sources of finance they obtained and used or at least tried to obtain in the three preceding years. The hypothesis was tested by means of the Friedman and Wilcoxon tests. Table 4 presents the order of the selected debt sources of finance determined in accordance with the results of testing.

Table 4: Selected debt sources of finance that Slovak SMEs obtained or tried to obtain in previous three years

| Order | Selected debt sources of finance |
|---|---|
| 1. | leasing |
| 2. | advance payments |
| | subsidies, grants and EU funds |
| 3. | loans provided by the owners |
| | loans provided by friends, family and fools |
| | microloans |
| 4. | accruals |
| 5. | factoring and forfaiting |
| | loans provided by non-bank institutions |
| | debt securities |
| 6. | mezzanine loans |

Source: Own processing based on the results of the questionnaire survey.

The order presented in the above table shows that ***leasing is – as we supposed – the most popular source of debt financing from those selected sources we analysed. On the basis of this result we can confirm the hypothesis 1.*** The findings indicate that as in enterprises in several European countries, leasing is the most often used source of capital among debt sources of finance (excluding bank loans and trade credit) also in Slovak small and medium-sized enterprises. The results of our research say that leasing was used in 207 enterprises in our sample in the period under assessment. As many as 74 % of them preferred this source of funding to finance their long-term business needs, less than 39 % of enterprises financed their short-term needs by means of leasing. 26 enterprises (almost 13 % of those using leasing) used it to meet both long-term and short-term business needs.

Several authors (e. g., Sivák, Belanová, Jančovičová, Bognárová, 2015) argue that lease financing is popular in particular in smaller enterprises. The results of our research also confirm this argument. Leasing is preferred by businesses due to its advantages including the fact that they do not need the full amount of the purchase price to acquire fixed assets, a leasing company does not require a detailed business plan, financial statements are sufficient to document firm´s solvency and no collateral is required. Leasing thus becomes more available than other external sources of finance, mainly for small and young enterprises. The above mentioned low rejection rate related to this type of capital also proves that.

In the second place in the order of the selected debt sources of finance there are advance payments which seem rather beneficial and cheap source of capital for a supplying firm. The same ranking also belongs to subsidies, grants and EU funds. This result contrasts with a very low interest in the use of grants in the EU countries recorded in Table 2. This can be explained by the assumption that in countries exhibiting characteristics of the bank-centred economies, small and medium-sized enterprises make greater use of subsidies and grants, particularly in periods when banks restrict the availability of traditional debt sources of finance (Ferrando, Griesshaber, 2011).

A special part of our research was devoted to the identification of obstacles limiting the use of leasing in the Slovak small and medium-sized enterprises. In accordance with a number of scientific studies relating to the capital structure optimisation, cost of capital is a substantial factor affecting decisions on sources of finance and many authors consider it as one of the most significant factors in this decision-making process. The cost of debt capital is an interest. Despite a generally lower price of debt compared to equity, debt financing can still be rather expensive for some small and medium-sized enterprises since an interest rate is also influenced by such determinants as firm´s risk, its credit history and creditworthiness, lack of assets appropriate to be offered as collateral, etc., which are problematic for many SMEs. The determination of an interest rate is usually a matter of a creditor´s case-by-case approach. Given that and also following the development of credit conditions in Europe, we suppose in the hypothesis 2 that small and medium-sized enterprises established in the Slovak Republic consider the high price to be a main obstacle limiting their decision-making on the use of leasing. To test this hypothesis, we also applied the Friedman and Wilcoxon tests. Table 5 presents the results of this examination.

Table 5: Obstacles limiting the use of leasing in Slovak SMEs

| Order | Limiting obstacle |
|---|---|
| 1. | High price |
| | Ownership risks are born by a lessee |
| | Limited possibility to terminate a lease contract |
| 2. | Regular payments drain cash flow and may jeopardise firm´s solvency |
| 3. | Stringent requirements of leasing companies |
| 4. | High administrative burden |

| | |
|---|---|
| | Overly lengthy process of its acquiring |
| | Insufficient supply of products suited to specifics of SMEs |
| 5. | Difficult orientation in the huge amount of information |
| | Lack of information on existing options |
| 6. | Reluctance of leasing companies´ staff |
| | Incompetence of leasing companies´ staff |
| | Lack of knowledge and skills of firm´s managers |

Source: Own processing based on the results of the questionnaire survey.

The results in the above table show that Slovak small and medium-sized enterprises consider the high price but also the fact that the owners´ risks are born by a lessee even though the owners´ rights are held by a leasing company and also a limited possibility to terminate a contract to be the three most pressing problems limiting the more intensive use of leasing. Therefore, ***the hypothesis 2 can partially be confirmed as the high price and other two mentioned obstacles are considered of almost the same importance***. This trio of obstacles is followed by other problems discouraging Slovak SMEs from the use of leasing indicated as significant including the risk that regular leasing payments will drain cash flow and thereby jeopardise firm´s solvency and stringent requirements of leasing companies. The other obstacles listed in the ranking can be seen as less significant since they were indicated by less than 12 % of respondents. The last three obstacles in Table 5 relate to personal qualities of both partners in the leasing relationship. The fact that they were mentioned only by less than 5 % of respondents can be seen as positive.

It is clear that if small and medium-sized enterprises are to use leasing in their financing, they should know its fundamental characteristics, advantages and disadvantages which determine its adequacy or inadequacy to finance a particular business need. On the basis on the results of our research, we present some ***ideas and suggestions to improve and expand possibilities of the use of this source of financing in Slovak small and medium-sized enterprises***.

Small and medium-sized enterprises identified the high price, the fact that the owners´ risks are born by a lessee although the owners´ rights are held by a leasing company, and also the limited possibility to terminate a leasing contract as the main obstacles discouraging them from a wider use of leasing. The high price of leasing has been conveyed and objected obstacle of its wider use in Slovak SMEs as well as the issue of owners´ risks or the possibilities of the leasing contract termination. Also with regard to the situation created by the coronavirus pandemic, dealing with these challenges will require more comprehensive efforts on the part of leasing companies.

Recently, the great majority of enterprises have been closed for various reasons related to the COVID-19 pandemic. Many of them endeavour to agree with leasing companies on lower leasing payments or leasing payment exemptions. Many leasing companies responded to lockdown and closure of enterprises, adapted to changed conditions and started to offer deferred payments to their clients.

On 28 May 2020, the International Accounting Standards Board issued the amendment to IFRS 16 publishing the guidance on accounting for rent concessions provided to lessees due to COVID-19. Since a lessee and a lessor may, as a direct consequence of COVID-19, review the terms and conditions of a leasing contract, both have to consider the IFRS 16 requirements and evaluate whether the rent concession should be assessed as a lease modification or incorporated in timing of payments in later periods. This evaluation has to be made in accordance with the existing terms and conditions of a leasing contract as well as on the basis of the specific terms of the agreed concession, possible asset impairment with the right to use the assets or an underlying asset and in the case of the approved state rent contribution in accordance with the accounting requirements for state subsidies. The subsequent

disclosure of required information in the notes to the accounts so that it is sufficient for the users of the final accounts to understand the impact of rent changes related to COVID-19 on the financial situation and performance of a firm (an entity) is essential.

Other proposals for improving possibilities of the use of leasing in financing small and medium-sized enterprises suggested by respondents include targeted advice provided to this segment of enterprises. They also suggest – particularly in the post-crisis era – to establish information centres in leasing companies specializing in SMEs financing. This would enable to take account of their specificities in a more efficient and targeted way. The small and medium-sized enterprises indicated the failure to make provision for specific characteristics of this segment of enterprises as a problem discouraging the use of this form of financing in SMEs.

Many respondents reported that weak helpfulness and reluctance of the personnel of leasing companies sometimes decreases their interest in the use of leasing. They would hope to see better awareness of the personnel, their increased qualifications, experience and personal capabilities since managers of small and medium-sized enterprises often feel that the employees of leasing companies are not adequately informed about their specific features and problems.

The recommendations directed towards the internal environment of small and medium-sized enterprises concern in particular overcoming the barrier of insufficient knowledge, skills, competences and experience of managers of SMEs in the area of the use of leasing as a source of finance. To address this barrier, there is a need to improve awareness of this type of capital among managers of small and medium-sized enterprises.

## 5. CONCLUSION

Small and medium-sized enterprises form the backbone of any economy. The impacts of the coronavirus pandemic hit all economic players, but particularly this segment of enterprises. Closure of businesses due to stringent measures during the pandemic has resulted in the reduction of their sales and liquidity problems. The question is to what degree will small and medium-sized enterprises be able to launch their economic recovery in the after-crisis period, to what degree will they be able to restore and restart their activities. However, more than ever before, they are in need of help, creating the appropriate conditions for their recovery to overcome the consequences of the COVID-19 crisis. Hence, leasing appears as an appropriate source of financing of this business segment.

The results of our research confirm that leasing is a popular source of funding and in Slovak small and medium-sized enterprises, it is the most often used source of capital among debt sources of finance which do not include bank loans and trade credit. On the other hand, however, we have identified that SMEs face many obstacles limiting their decisions on the use of leasing. Therefore, we formulate several ideas and proposals seeking to improve and expand the possibilities of the use of this type of capital in Slovak small and medium-sized enterprises. We believe that recommendations hereby may help this objective to be met.

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# Escalation management in IT projects – case study

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**Abstract:** The paper aims to present the application of an escalation matrix in operational risk management in the international retail company IT departments. The peculiarities of the escalation as a process opposite to the delegation of responsibilities and as part of the so-called Management by Exception approach are considered.

Special emphasis is placed on the circumstances in which this tool is an appropriate and effective mechanism for solving a problem. The necessary conditions for its creation are described. Conditions in which escalation management is undesirable, especially by project managers, are displayed.

An author's model of escalation risk management is attached. Based on the case study approach, the roles of the participants in the escalation matrix are described. The methods used are mapping, description of the roles, case study. The connection with the agile management of teams is displayed as a necessary condition for successful escalation in case of an organizational problem.

**Keywords:** Escalation management, Escalation matrix, IT projects, agile management

## 1. INTRODUCTION

The term escalation comes from the Latin "scala" (ladder) (Rosseger, 2021). According to the Cambridge Dictionary, escalation is defined as: "a situation in which something becomes greater or more serious" (Cambridge Dictionary). The term is usually used in a negative context when tensions increase in connection with a conflict, problem, etc. In business, the escalation is associated with a serious increase in costs due to rising inflation. In American law there are the so-called. an escalation clause according to which employees' salaries should be adjusted if inflation rises higher than expected.

In project management, escalation is increasing the importance of a business-related activity or moving a task to a higher level in the organization. For example, if a team realizes that the problem has become much larger or involves more resources than previously planned, the manager may escalate the problem to a higher department or person in the organization. The escalation is generally related to a change in priorities due to a change in the conditions of the project during its implementation.

In the present study, the escalation is considered in this - business and organizational sense, and not in the context of conflict management.

The paper aims to present the application of an escalation matrix in operational risk management in the international retail company IT departments. The peculiarities of the escalation as a process opposite to the delegation of responsibilities and as part of the so-called Management by Exception approach are considered.

## 2. LITERATURE REVIEW

Escalation as an approach to operational risk management in IT projects is mainly associated with the efforts of researchers to determine the reasons for success or failure of a project, as well as ways to respond rationally in different situations. (Guah, 2008)

Rosseger describes the process of escalation in project management as "a procedure that determines in which situation, who, in what form and with what preparatory work conveys the decision to which next higher level of the organizational hierarchy". (Rosseger, 2021) Tanja Hupf and Turgay Sahin present an escalation matrix based on the RACI matrix and the Input-Output approach. In this case, the roles

(Responsible, Action, Support and to be Informed) refer to the four phases of escalation: 1) preparation, 2) implementation, 3) follow-up, 4) completion. (Tanja Hupf, Turgay Sahin, 2016)

Applied to the project context, escalation is usually a formal process for highlighting the issue in question to a higher authority according to the escalation mechanism defined for the project.

Escalation as an approach is invariably linked to the iron triangle rule, according to which project managers comply with the three constraints in project implementation: budget, scope and schedule. (Tanja Hupf, Turgay Sahin, 2016)

Escalation management can be done through instruments within the scope of operational risk management.

In general, they concern solutions (Rosseger, 2021):

• With a prospective character - for prevention of future problems

• Current - to overcome problems at the moment

• In retrospect to mitigate problems that have already occurred.

The escalation is the opposite of delegating responsibilities and tasks. As a process, the escalation is related to the realization of the so-called Management by Exception (Angermeier, 2017).

In a broader sense, escalation is part of the decision-making process and in this sense it combines different aspects of the interaction of managers (decision-makers) with the environment. (Adinolfi, 2021). In this sense, the surest approach to limiting escalation in a project is the correct and reasonable setting of goals (Lee, JS, Keil, M .; Kasi, V.), which are SMART.

The escalation matrix has been successfully applied in sectors outside IT. For the purposes of expeditious lending in the banking sector, a similar approach has been applied by applying the Hierarchical Timed Colored Petri Net (HTCPN) based model. It stimulates the intelligent agents system, which provides automatic credit monitoring of customers in banks. (Ben Mnaouer, A., Wanis, M., Aloqaily, M., 2019)

There are many reasons for using tools to control the escalation process. These can be incorrect descriptions of the roles in the project implementation process, hence - communication problems arising from these roles, conflicting goals regarding costs, time and quality, technical delays, missed service level agreements and others.

The most basic example is if a certain participant in the project does not want or is not able to perform a certain activity for which he is responsible, it is necessary to escalate the issue of the permit manager.

Risks or issues related to project objectives, conflicts between resources and between groups, unclear roles and responsibilities, disagreements within the scope, dependencies on third parties are some known situations that require escalation. Such problems require higher-level intervention because many times the authority, decision-making, resources, or efforts required to resolve them are beyond the horizon of the project manager. Sometimes the project manager may want to involve senior escalation authorities only with information to keep them up to date with potential problems in the project. Understanding the proper use of escalation techniques is vital for project managers.Ескалацията е формален механизъм, чрез който мениджърите на проекти трябва да овладеят критичен проблем, за да разрешат ефективно „тесните“ места по проекта. Много пъти обаче мениджърът на проект се колебае да ескалира въпроса, като някои от основните причини са (A Guide to Escalation in Project Management, 2018):

• Escalation is a creator of immediate conflicts and clashes, as it is perceived as a complaint against the person involved in the problem.

• Escalation sometimes leads to a counterattack, as people tend to accept the escalation personally rather than professionally. Therefore, team members are reluctant to escalate for fear of reaction or anger.

• Some project managers experience ego issues when escalating a problem or communicating project risks.

• Some project managers prefer to deal with the problem by using available resources for too long before asking for help (assuming they can solve it themselves).

• Junior or new project managers will not dare to escalate against experienced team members, senior management or people on the client side.

• The escalation builds a perception that the project is out of control and the project manager is unable to manage it.

• Some project managers do not know how to use the escalation mechanism to solve the problem.

• The Project Management Office has not created a general escalation plan or no specific escalation plan at project level. However, escalation is needed if the issue is not resolved in time and the delay affects other project activities.

Escalation must be treated as a professional act and must be carried out in an effective manner. Project managers should escalate in a timely manner if something blocks the project and is beyond the control of the project manager. (A Guide to Escalation in Project Management, 2018) This approach to work brings escalation closer to agile project management insofar as it is characterized by greater autonomy of teams in decision-making of an operational nature. As it moves from a lower to a higher level, the escalation process requires a flexible organization of project management, so that low levels have the opportunity to raise the issue of the growing problem in time, while finding the most appropriate form and adequately address the solution. .

At the same time, the escalation fits into the hierarchical model of the organization, as it signals higher levels of management for the presence of a problem that requires an urgent solution. Proactive escalation and risk communication is far better than unpleasant surprises requiring costly project adjustments.

## 3. ESCALATION MANAGEMENT CASE STUDY

### 3.1. Company description

This report examines a model for escalation management in the IT department of an international chain of hypermarkets specializing in the sale of FMCG in 8 countries in Europe.

The tasks of the department are related to the development, management, distribution and implementation of new software solutions for scales in hypermarkets in all countries where the company operates. The whole process of creating and distributing the software to users (individual hypermarkets) is under the common name roll out. In essence, this is an innovative process, as there are continuous improvements in customer service, according to the company's announced policy of "exclusive focus on quality - as a range, as a service, as a complete customer experience, as relationships with partners and overall business conduct ”.

The main problem faced by the IT team is that the process of knowledge transfer for project management and processes in the company is not completed. This led to day-to-day business issues that required more than the required response time, and this reflected on the scope of work and time and performance (which are two of the three components of the iron triangle).

In the following months, questions gradually arose regarding the delegation of responsibilities, tasks and contact persons between the teams inside and outside the company. The lack of clear tracking of the set tasks and the emerging new ones complicates the work process to the extent that their implementation becomes impossible. Ineffective communication channels, caused by organizational and language barriers and lack of cohesion, have an adverse effect and take teams out of the pre-course.

### 3.2. Development of Escalation matrix

To create an effective escalation matrix, two things are needed in the beginning: a clear definition of the problem and knowledge of its solution. This is how we start creating an escalation matrix based on the principle Familiar problem - known solution.

As the time spent in the company progresses, the team members define two main points necessary to increase the success of the realization of the required by the management to the IT team, namely -

- development of process management which is coordinated, coordinated and approved with the company's headquarters in Germany and with each country (ESKA matrix)

- Knowledge Base

A plan for the development of an ESCA matrix is drawn up, which provides for a three-month period of design, coordination, adjustment and implementation of the model.

For the development of the first working version of the ESKA matrix, working meetings were held with representatives of the management of the IT departments in the branches of the company, each country separately in order to understand in detail the work processes of the teams in terms of time factor. Preliminary meetings last one month.

Due to the huge amount of information that needs to be processed to compile an escalation matrix with the roles and responsibilities of the participants, the working team summarizes and creates a second option, adhering to the following points:

- Analysis of the main reason for escalation

- Prioritization of problems / from 1 to 3, where 1 is extremely important and 3 needs to be completed within 10 days /

- Configure Conditional / Force Majeure / SLA policies

- Set reminders before SLA deadlines.

Having all the information regarding the work processes in each country where the company operates and the set points and their approval, an extended team with the participation of representatives of IT departments in the company's branches in each country, develops for one week the current escalation matrix of the company. which is currently being worked on.

The model is a combination of processes, provides flexibility at a time when a quick decision needs to be made, and provides a multi-person feedback platform for each party currently affected.

In general, the model can be visualized as follows:

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-The tasks of the department are related to the development, management, distribution and implementation of new software solutions for scales in hypermarkets in all countries where the company operates. The whole process of creating and distributing the software to users (individual hypermarkets) is under the common name roll out. In essence, this is an innovative process, as there are continuous improvements in customer service, according to the company's announced policy of "exclusive focus on quality - as a range, as a service, as a complete customer experience, as relationships with partners and overall business conduct ”.

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- Configure Conditional / Force Majeure / SLA policies

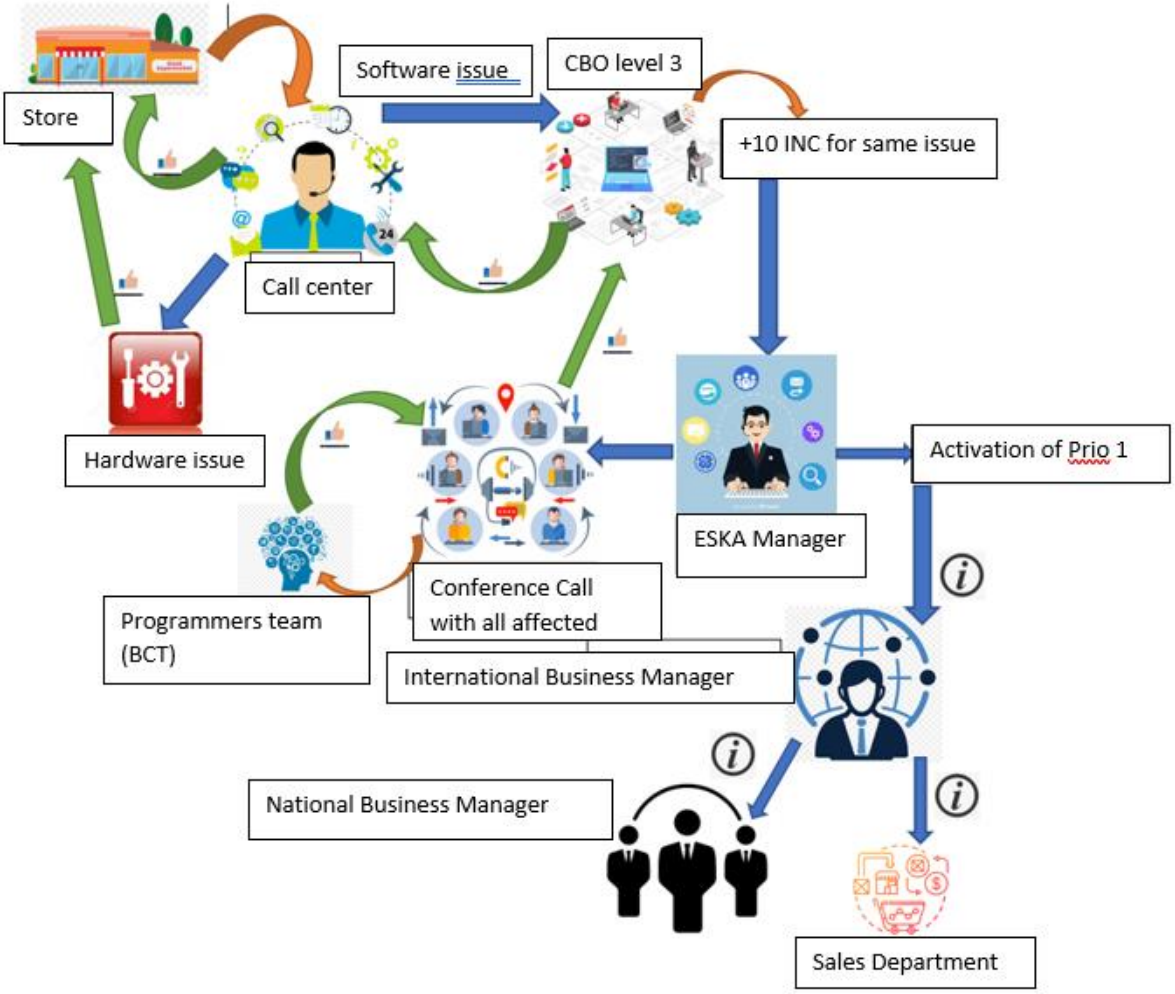
- Set reminders before SLA deadlines.

Having all the information regarding the work processes in each country where the company operates and the set points and their approval, an extended team with the participation of representatives of IT departments in the company's branches in each country, develops for one week the current escalation matrix of the company. which is currently being worked on.

The model is a combination of processes, provides flexibility at a time when a quick decision needs to be made, and provides a multi-person feedback platform for each party currently affected.

In general, the model can be visualized as follows:

Figure 1: Communication model when a problem escalates.




The roles of the participants in the escalation matrix are defined as follows:

Level 0 Store (s). They have a problem related to the software part of IT, they call an internal short number / IPT - Internet phone / of the call center, trying to be as comprehensive as possible regarding the problem.

Level 1 Call Center (SD). They have a very large range of work, but with limited access. SD's main task is to make the highest percentage of FCR / First Call Resolution /, ie. to realize the largest number of closed incidents during the call without forwarding the problem / Routing /. In case they cannot solve the problem during the call and implement FCR, SD should gather as much information about the problem as possible. In order to facilitate and universal communication, the team also develops templates for the top 10 most common problems with which SD agents can more quickly, easily and efficiently gather the necessary information for a specific problem.

Level 2 -Field Support (local IT). Prior to the introduction of the Escalation Matrix, Level 1 and Level 2 were merged into one and very often had difficulties in the form of lack of knowledge or too much knowledge. The role of level 2 at the moment is related to performing technical support on site with all IT related problems that are not relevant to the software, ie. the hardware part - printers, network, setup and calibration of devices, etc.

Level 3 -CBO (Central Business Organization) In general, the work at this level can be framed as follows:

- Ensuring work (one of the IT principles)

- Incident and problem management
- Communication with decision teams
- Analysis and error handling
- Monitoring of data processing and availability
- Communication with departments (PnM, EK, BST)
- Contact with SD in all countries
- Training materials for SD in all countries
- Work on various projects - personalization and distribution
- Composite tests (stress tests of the systems)

The team also exchanges knowledge with BST. The CBO is also responsible for providing a solution to the problem within 15 minutes to 1 hour depending on the priority or making a referral to the responsible team. It is also his responsibility to notify Business Impact Manager nationally when there is a problem affecting more than 10 stores with the same replicating problem.

Level 4 BST (Business Solution Team) or BCT (Business Controlling Team). This team consists of four people - two programmers and two economists. Their role is to develop software and anticipate its impact on the system (software) and users. Works in close communication with level 3. Level 4 is responsible for introducing level 3 in any novelty (update) or distribution (Rollout) before it has even entered a test environment, while providing complete, specific and accurate information on in terms of how it is coming, how it will happen and the most important part - how it works.

Level Management. Responsible for opening incidents with priority 1, organizing the so-called Telko / group calls for information and decision-making / and controlling every 15 minutes from the start of priority 1 incident.

## 4. CONCLUSION

In the current modern and rapidly developing theory and practice, a universal model has not yet been created that is applicable to all (teams, projects and corporations). It is an indisputable fact that governance models are constantly evolving in order to respond to dynamic events that are an integral part of our daily lives.

Presenting and implementing an Escalation Matrix is not a new model and does not solve all the difficulties, but framed in a flexible management model with pre-drawn, precise and clear criteria, it would be useful for the team (organization) at different levels.

One way to manage escalation at the corporate level is to attract additional consultants (internal or external) to identify the potential problem relatively early and propose a solution. (Loh, CY, Coyte, R., Cheng, MM, 2019) External consultants are less concerned and can more freely express their concern about the problems in the organization by offering unpopular solutions.

The management of the Kovid-19 crisis can essentially also be attributed to escalation management. The various countries, mainly on a trial and error basis, have in practice developed their own escalation models and a matrix of the roles of the participants in crisis management. How successful they are will be shown by additional analyzes later.

The escalation matrix can be further developed in a number of sectors and in the context of different types of organizations. In order to maximize the effectiveness of its introduction, it is necessary to use гъвкава методология на управление, тъй като матрицата обикновено се напасва на няколко етапа с активното участие и дори по инициатива на отделните екипи.

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# Employer Branding As A Tool for Attracting and Hiring Employees in The It Sector in bulgarıa.

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**Abstract:** The paper considers the possibility of using the employer brand as a tool for attracting qualified employees in the

information technology sector in Bulgaria. Finding qualified staff is a challenge faced by a large number of employers in the

IT sector, which is highly competitive in Bulgaria.

This research will take onto consideration the main elements that are included in the employer branding strategy and definition of the main terms. The focus will be the impact of the employer branding process in attracting and selecting staff.

Will be observed in both parts, external and internal employer branding and the tools that are used to implement ing

information technology companies. The study examines the extent to which the presence of a developed employer brand and its active promotion is known as a tool for recruitment and retention (external and internal employer brand) and what strategies for its promotion are applied in the IT sector in Bulgaria.

The research method is in-depth interviews with specialists in the different human resources departments in IT companies

in Bulgaria, who will share their experience and practices. The results of the study also show the direction in which the employer brand should be developed as a tool for attracting qualified employees in the information technology sector.

**Keywords:** talent management, employer branding, employee value proposition

## 1. INTRODUCTION

The development of the technology sector worldwide has led to the rapid development of innovations and information systems, which have taken a central place in various industries. As a consequence of this technology growth, a knowledge economy became more valuable. The main focus of the knowledge economy is human capital, which is the main driving force of modern society. All these factors together create a competitive labor market between IT companies in different companies. In the annual survey of BASCOM (industry association of leading Bulgarian software development companies), ( BASSCOM., 2020) which is based on information from over 4400 companies, the software sector remains one of the most desirable among young professionals. According to the survey, jobs in 2020 increased by over 3500, but the growth of employees in The sector is slowing down, which is one of the proofs that the demand for staff in this sector is higher than the required number of employees at the moment.

The need for highly educated and experienced profiles motivated companies to start searching for new strategies and ideas, how to be more attractive for potential employees.

The employer brand is a relatively new tool, which in recent decades has become a prerequisite for organizations wishing to be competitive in the labor market. Reputable employers have a significant advantage in hiring better candidates, and also optimize the cost of hiring new employees.

On the other hand, career development and finding the right environment and culture become part of the factors that determine the choice of employer. This is because work has become one of the main

parts that people use to define themselves. The desire and search for identity as well as the sense of belonging to an organization play an important role in the search for an employer. This increases the desire for cooperation, teamwork, participation in decision-making, and development within the company.

The study examines the extent to which the presence of a developed employer brand and its active promotion is known as a tool for recruitment and retention (external and internal employer brand) and what strategies for its promotion are applied in the IT sector in Bulgaria.

## 2. LITERATURE REVIEW

In theory talent management system have different stages, but generally they can be summarized:

- selecting
- development
- management
- retaining/ compensation

Based on Armstrong's definition “Talent management is the process of ensuring that talented people are attracted, retained, motivated and developed in line with the needs of the organization”. (Armstrong, 2007)

A talent management system logically begins with attracting specialists and hiring them. Alan Price (2007) in his work "Human Resource Management in a Business Context" formally defines recruitment and selection as a process of and attracting suitable candidates for employment. He states that the recruitment process is not a simple selection process, as it needs management decisions and extensive planning to recruit the most suitable workforce. (Price, 2007)

It is common in the selection of staff to focus on vacancies, which must be filled with the appropriate profiles. The recruitment process often begins with the emergence of a vacancy in the organization. Companies usually publish a job advertisement, which is based on the position and the necessary professional qualities, knowledge, and skills. Candidates who largely meet the necessary criteria go through a selection process, which is defined by the respective organization, according to the company's culture, technical requirements, and expectations of managers and teams. In general, this is a reactive introduction of companies that process hiring starts only when there is an internal need (vacancy). As the demand for staff in a given market increases, companies rethink their selection strategy and move to active actions to attract the right staff. In this part of the talent management system, marketing tools are often used. The aim is to create a positive image of the company or the so-called employer branding.

According to P. Kotler and Armstrong a brand is "name, term, sign symbol (or a combination of these) that identifies the maker or seller of the product ( Kotler, P., Armstrong, G., & Cunningham, M. H., 2005)

From Kapferer perspective brands are a direct consequence of the strategy of market segmentation and product differentiation. Branding means more than just giving name and signaling to the outside world that such a product or service has been stamped with the mark and imprint of an organization. Branding consists in transforming the product category; it requires a corporate long term involvement, a high level of resources and skills. (Kapferer, 2004)

Employer branding as a term was first used by Simon Barrow and Tim Ambler. They described the term as “a package of functional, economic and psychological benefits provided and identified in the company (Ambler, Tim Barrow, Simon, 1996/12/01) Another definition of the process of developing an employer brand is given by Backhaus and Tikoo: Recognizing the importance of product and corporate brands, they focus branding on human resources and call employer branding “the application of branding principles to human resource management. (Backhaus & Tikoo., 2004)

Recognizing the importance of product and corporate brands, they focus branding on human resources and call employer branding “the application of branding principles to human resource management”. (Kristin Backhaus; Surinder Tikoo, 2004)

According to Backhaus, branding companies as employers is a relatively new recruitment practice, based on which is to promote the creation of a unique and attractive image of the company as an employer. ( (Backhaus & Tikoo., 2004)

Chartered Institute of Personnel and Development (CIPD) determine an employer brand "... a set of qualities and conditions, often intangible, that distinguish an organization that promises a certain type of professional experience that is perceived by people who will develop and achieve results with the conditions of its culture ". (CIPD)

The following can be summarized as the main benefits of the employer brand:

Distinguish among other employers in the market. Opportunity to attract the best professionals.

Increases the efficiency of the recruitment process. The employer brand also increases employee engagement and motivation.

The main part of the employer brand is the value proposition, the value proposition that is offered to the employee (employee value proposition). It most often includes the tangible and intangible benefits that the employer provides to employees. DiVanna gives an initial definition (EVP) as a portfolio of skills and experience that can be considered as assets and included in the company's balance sheet. (DiVanna, 2003)

The main role of the employee value proposition (EVP) is to provide a platform for communication with the brand, for example in support of a communication campaign. But more and more EVPs go beyond the communication level and become an integrated tool for people management. (Mosley)

The correct formulation of the value proposition provides the business with the following benefits:

- Effective undercutting
- Reducing the turnover of employees in the company
- Increasing job satisfaction
- Increasing the productivity of teams and individual employees

In order to successfully build a value proposition, it is necessary to take into account the expertise of various departments such as legal, human resources, marketing and research among employees and the market.

The employer brand is important for the company as an employer because it has a direct impact on how it is perceived by potential employees looking for work and reflects the status of the labor market.

**3. EFFECTIVE EMPLOYER BRANDING TOOLS**

To see what the employee value proposition is at the moment, we took from one job board (dev.bg/ May 2021) five different IT companies that are looking for Java developers with a similar profile at the moment.

We divide the benefits section into several categories:

- Paid vacation day
- Food vouchers
- Additional Health insurance
- Wellness, sport
- Office conditions
- Learning and development
- Home office
- Career development
- Other

Companies' employee value proposition, including different factors and benefits, should convince the candidate to accept a job offer. Weigh salary and benefits are major points in job propositions. In this

study we cannot analyze salary, because this is confidential information that companies rarely discuss in public. But we can see in the table other material or financial benefits such as additional medical insurance, food vouchers, and sports cards, etc.

Companies also paid attention to learning and career development. Instead of focusing on what a person can do for the company, organizations also take into consideration what kind of professional and personal development they can provide. Examples from job advertisements show that for IT companies Individual learning budget, internal and external technical and soft skills training, leadership programs, language classes and knowledge sharing is something already common on the market. It can be principal for the person to know in advance what type of career goals he or she can achieve, what are the opportunities for growth, can she/ he learn new things, and develop professional skills.

During the hiring process recruiters and managers in different companies include in the interview questions that should discover cognitive abilities, professional knowledge, and cultural fit. Working atmosphere and culture are also important for future employees. This criterion is hard to define and systemize, because of the diverse understanding of a "good working atmosphere". Still, in job advertisements, employers make a point on exchange with colleagues, charity and volunteer activities, hackathons, etc. Work-life balance and flexible schedule/ home office can be added also to the healthy working environment. The chance to manage your working time is one of the most attractive benefits for the candidate. That is the reason regularly to be mentioned in job offers. Employer branding is common in sectors that are in a period of growth and are in high demand for employees while making efforts to retain employees. Companies that are stagnant stage have different type of challenges and their efforts are focused in another direction.

## 4. EMPIRICAL RESEARCH OF THE IMPACT THAT THE EMPLOYER BRAND HAD ON RECRUITMENT

To examine the potential impact of the employer's brand on hiring, a qualitative study was conducted through individual interviews. An online interview questionnaire was sent via LinkedIn to human resources specialists in IT companies in Bulgaria. Questionnaire consists of six questions. Five of them are open and one is with an option to choose from.

The purpose of the questions was to establish:
• to what extent the HR experts in the surveyed companies are familiar with the term employer branding
• whether they have a specialist or agency to develop the employer brand and if so, to which department does it belong (Marketing, human resources, public relations)

• to get the opinion of the respondents about what are the main benefits that the employer branding brings to the organization

• whether they have an employer branding strategy and to what extent the development of a strategy and its implementation will help to attract and retain staff

• whether the company in which they work applies an internal employer branding
• identify the types of employer branding channels in their organization, listing several possible channels

The questionnaire was filled by eleven human resources specialists in different IT companies in Bulgaria.

In general, all respondents agree with the idea that employer branding is a necessary tool for achieving organizational goals. Almost everyone is aware of the ideas of the concept, but its interpretation is mainly focused on the selection of new staff, not so much on their retention.

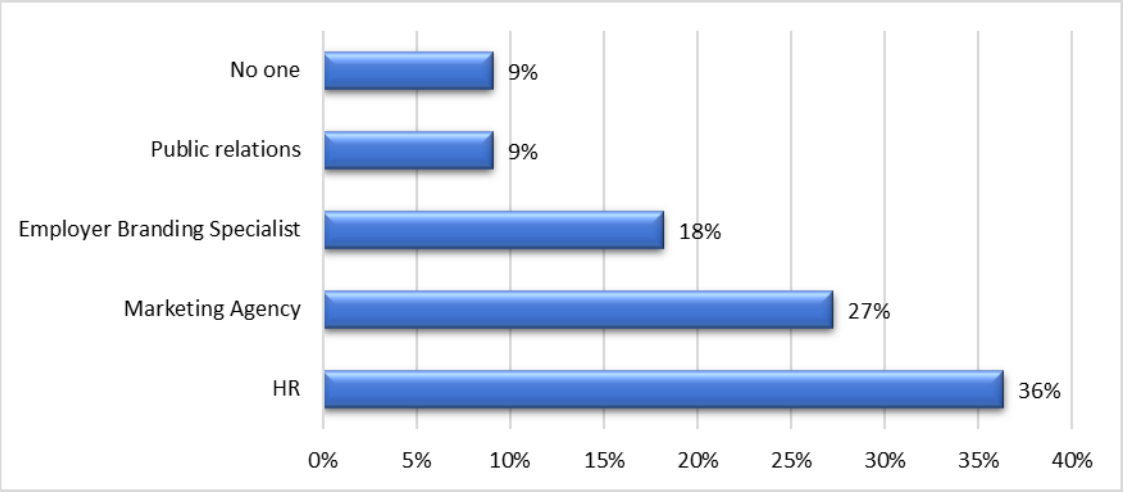
Confirmation of this hypothesis is to some extent the answer to the question "What are the main benefits that employer branding brings to the organization? Ten out of all 11 respondents (91% of the answers) concern the recruitment of new staff as a priority. Only one of the respondents includes, in addition to hiring new staff, also a positive attitude towards the team, which makes a reference to the employees of the company.

According to the answers, the HR department in the current situation on the market is more focused on the challenge to hire new colleagues in the company.

The answers to the question of whether internal employer branding is applied in the companies of the respondents are interesting. Here, two of the respondents (18%) answered in the affirmative, three (27%) - that efforts are now being started and are being made, and the rest - over 50% answered that they cannot judge or do not answer this question. This clearly shows the priority orientation of the companies understudy to the development of the employer brand, primarily to recruitment, with an emphasis on attracting talent (as noted by one of the respondents). However, the internal employer brand, which is aimed at current employees, remains in the background.

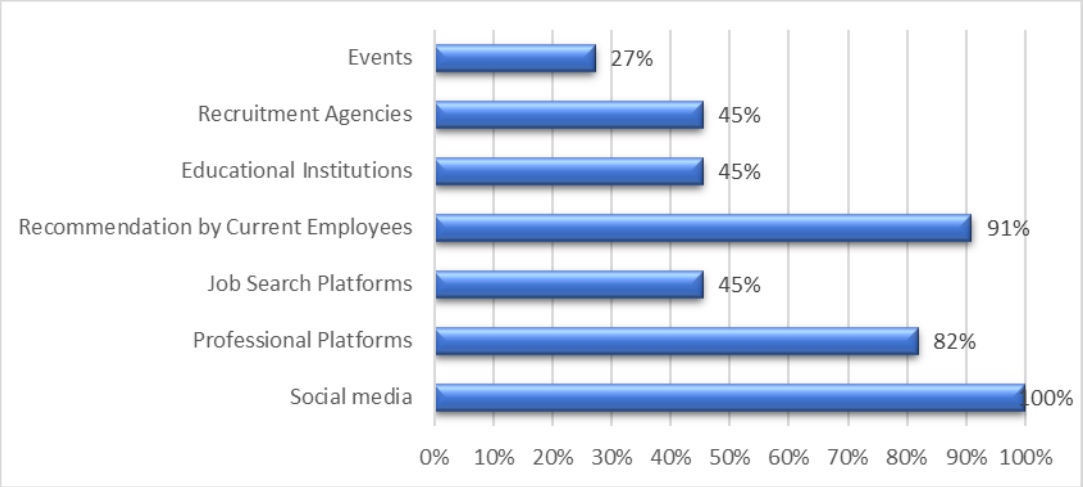
According to the question "Do you have a specialist or agency to develop the employer brand? If yes to which department does it belong (Marketing, human resources, public relations)" results show that employer branding is still the priority of human resources. Also, external marketing agencies are regularly used as supporters.

Fig.1. Distribution of the respondents to the question who is responsible for the development of the employer brand




These differences in responses indicate that the surveyed companies have different views on the organizational aspects of employer brand management. It is obvious that this task can be entrusted to different departments, depending on the vision of the company for how the process will be carried out. All of the respondents shared that employer branding strategy is extremely necessary and can lead to the fulfillment of the goals of hiring and retaining talent. The general part of them agreed that it affects the recruitment process, according to reducing costs and time for hiring. Regarding the channels for the promotion of employer branding - social media dominate, indicated by all respondents as the most widely used. Professional Platforms, Recommendation by Current Employees are also popular. Relations with higher education institutions, the implementation of Job Search Platforms, and Recruitment Agencies have the same weight - 45% each. The least popular are the events - only 27% of the respondents.

Fig.2. Types of employer branding channels in organizations.




The conclusions discovered by the study can be summarized in several points:
• Undoubtedly, the concept of the employer brand is understandable and popular among the experts from the HR departments in the IT sector in Bulgaria. The reason for this is the current situation in the sector, which is growing with prospects for even greater expansion and needs talented and trained staff, the supply of which is limited in the country. It is no coincidence that various new training organizations are emerging to help this process, trying to fill the shortage of staff. This environment unconditionally stimulates the development of additional tools for attracting and retaining staff, united by the concept of the employer brand.

• The focus of companies is mainly on recruitment (external employer brand) and less on the internal employer brand related to staff retention. This assumption in the present study may stem from the profile of the respondents themselves, who are focused mainly on recruitment and not so much on staff retention.
• There are differences in how to apply the employer brand in different companies, and this can be done by different departments depending on the organizational profile.

• Communication channels are virtually all possible, dominated by social media and recommendations from current employees (word of mouth marketing) and professional platforms.

## 4.CONCLUSION

In the last years, employer branding took a more visible place in the talent acquisition process and it became familiar to recruiters and marketing experts. Employer brand is one of the pillars of a company's reputation. How an organization is recognized by candidates can be a key factor in the hiring process.

Nowadays, employer branding is still a new field in human resources, but it has a big potential to expand. The role that it plays at the moment is more connected to the entering part of the recruitment funnel, but it affects generally costs and the timeline of hiring. Next years, the staffing process will be more oriented to the employee experience and working environment. For example, if an organization is representing itself as a learning- oriented organization with the opportunity to exchange ideas with professional colleagues, every step of the staffing process should be based on this idea.

In the same way, if positioning itself as a place for new ideas and out of the box thinking candidates should expect a more creative and challenging interview process. Employee value propositions should be clearly defined and easy to understand, one side by potential candidates and from the other side by current employees on different levels. Transparent presentation of company values and goals will help future candidates to make informed choices that reflect more on their own professional goals and principles.

It is hard to create generic employer branding strategies that will work efficiently in different situations and companies. In the current competitive market for talents, it is important to find the unique face of the company as an employer. The message that companies send to the potential candidates, should be accurate and comprehensible. In the future, employer branding will continue to evaluate as a human resources tool that will lean on a dialogue between employer and employee.

The current study is of qualitative characteristics and in this sense, its aim is not so much to draw key conclusions about established trends but to bring to the fore key issues around the topic of the employer brand. Many open questions remain, such as: how the brand affects potential candidates, what is the situation in other sectors of the economy that are in different states, what other tools can be applied to strengthen the internal employer brand, how to successfully integrate it into company strategy, etc.

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# The Presence of the Working Woman in Positions of Responsibility in the Primary and Secondary Education of the Region of Thessaly, Greece

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**Abstract:** In Greek society, as in many other modern European countries, an aggravation regarding social inequalities and gender discrimination in the workplace can be found. Though in recent decades there have been legislation settings, concerning both the issue of gender equality and that of combating the discrimination of this inequality in the workplace, even in the public sector, the results are not the expected ones. In the field of education, which is traditionally an attractive workplace for women, inequality between male and female employees is greater in all positions of responsibility, in favor of men, starting from the lowest hierarchical levels till the highest levels. In this article, a research is conducted as a case study, in the primary and secondary schools of the Region of Thessaly, Greece, which will concern the current school year 2020-2021. The quantitative recording of the data of working men and women both in school – the educational workplace – and in its administration will highlight the extent to which the work act has been harmonized with particularly positive legal regulations regarding the representation of women in positions of responsibility. This will be followed by an attempt to record key institutional changes related to gender equality policies in the workplace of education and the article concludes with an attempt to interpret the low representation of women in the work field.

**Keywords**: female leadership, education, legislation settings, low representation.

## INTRODUCTION

This paper examines the presence of working women in positions of responsibility at all levels of primary and secondary education in the region of Thessaly, where the Regional Directorate of Primary and Secondary Education is based. This supervisory body reports directly to the Ministry of Education and Religions and has under its roof four regional units, Larissa, Magnesia, Trikala and Karditsa. They number more than 1,000 school units of both levels of education, namely 778 primary schools and 244 secondary schools with more than 10,000 teachers of all specialties and 97,500 students.

The methodology that will be followed is the case study in the specific region. First, the mechanism of the Greek state that is applied to implement the support policies for gender equality is recorded. This is followed by a mapping of the number of working men and women and their numbers in respective positions of responsibility per regional unit and per type of school, e.g. kindergarten, primary school, high school, general and vocational high school with a specialized record concerning in special education schools. The recording is completed by capturing the respective employees and positions of responsibility in the education administration of the region of Thessaly at all levels, from the position of Regional Director and Directors of Education to supervisors. The percentages of the employees reflect the gender in relation to the total of the employees while the percentages in the positions of responsibility derive from the participation of the gender in relation to the total of the positions of responsibility in general and specifically. Of particular interest in drawing conclusions is the registration, where possible, of the candidates for the respective positions of responsibility. All the data correspond to the state of education in the region of Thessaly in April 2021 and have been drawn from the

"myschool" application of the Ministry of Education. The ranking tables of the candidates and the selection decisions are available from the website "DIAVGEIA" and correspond to the period of the most recent announcement of the positions of responsibility.

## 1. THE ADMINISTRATION OF EDUCATION

The educational sector as a workplace and especially at the level of primary and secondary education examined at the present paper, presents the specificity of the female-dominated profession and therefore it is very interesting to examine the presence of working women in positions of responsibility.

During the most recent (2019) selection of the Regional Directors of Education by the Ministry of Education and Religions (YPAITH) the absence of women was shocking, as out of the 144 candidacies only 39 (27%) were submitted by women against the corresponding 105 (73%) applications of their male colleagues. The percentage of participation in this process decreases during the selection, as from the 13 national positions only 2 (15.4%) are filled by women and the other 11 positions by men (84.6%) (Ratification list of PDE 2019; Appointment of PDE, 2019). Similarly, during the recent selections of the Directors of Education (2020), although the relevant ranking tables of the candidates were not published by the Ministry of Education and Religions in order to obtain valuable data on the number of candidates, they were submitted, according to publications (source: www.esos.gr; www.alfavita.gr), 572 applications in total for 116 positions of Directors of Education. The selection (Appointment of the Directors, 2020), however, reduced women to 29.3% of the total positions by assuming the respective duties of 34 women and elevated men to a respectable percentage of 70.7% by placing them in respective 82 positions.

Regarding the selection of the Directors of the school units and the other executives of the education, such as the Coordinators / of the Educational Project, the Heads of Educational and Counseling Support Centers (KESY), but also of the Heads of the administrative services, various laws were applied which specialized and focused on selection criteria, keeping pace with international trends as follows: a) in scientific-pedagogical competence, b) in administrative, service experience, c) in personality and d) in the evaluation of candidates based on their course in the workplace of education. The last criterion due to the absence of evaluation in the Greek educational system, was logical not to exist and consequently was not applied in the appointments of 2002, 2007 and 2011, while with Law 4327/2015 the contribution e.g. in the educational work of the Principals was included in the criterion of personality and consequently was judged by the teachers' association through secret ballot (Kakkos, Pitsiavas & Papalexis (2017) ; Frosi, 2017).

According to the most recent appointments (2015) of the Principals of the school units and the respective ranking tables and selection decisions, the picture in the region of Thessaly, with a total of over 1,000 schools in which more than 10,000 teachers serve and about 97,500 students / three (source: pde.thess.sch.gr), is imprinted as following.

### 1.1. Primary Education

Table 1: General Education Kindergartens

| Regional Unity | Nr of School Units | Employees | | Principals | | Heads of Kindergartens | | Assistant Principals | |
|---|---|---|---|---|---|---|---|---|---|
| | | male | female | male | female | male | female | male | female |
| Larissa | 114 | 5 | 294 | | 4 | 1 | 106 | | 3 |
| Magnesia | 115 | 5 | 319 | | | 1 | 113 | | |
| Trikala | 87 | 3 | 199 | | | | 86 | 1 | 2 |
| Karditsa | 69 | 3 | 179 | | | 2 | 65 | | |
| TOTAL | 385 | 16<br>1,6% | 991<br>98,4% | | 4<br>100% | 4<br>1,1% | 370<br>98,9% | 1<br>16,7% | 5<br>83,3% |

Table 2: Special Education Kindergartens

| Regional Unity | Nr of School Units | Employees | | Heads of Kindergartens | |
|---|---|---|---|---|---|
| | | male | female | male | female |
| Larissa | 4 | 3 | 27 | 1 | 3 |
| Magnesia | 3 | 1 | 8 | | 3 |
| Trikala | 1 | 1 | 4 | | 1 |
| Karditsa | 1 | | 6 | | 1 |
| TOTAL | 9 | 5<br>10% | 45<br>90% | 1<br>11,1% | 8<br>88,9% |

Preschool education is of particular interest, because it is a completely female-dominated sector, where working women make up 98.4% of the workforce and are then represented by 98.9% in respective positions of responsibility. The situation is similar in special education, where the percentage of male kindergarten teachers is increased to just 10% with a corresponding representation of gender and staffing of supervisors at 11.1%, but remains disappointingly low. The percentage of male presence in special education is increased compared to general education as in special education kindergartens because there are other specialties besides kindergarten teachers. However, it should be noted that 1 head of special education for men is 20% of a total of five employees, while the corresponding percentage in general education is around 25%. The corresponding percentage in 991 working women in relation to the heads is 37.3% while in special education only 17.8%.

It is worth noting that in preschool education, however, with the existence of relatively small school units in the region of Thessaly, the managerial positions are in a total of 385 school units only 4, as 4 are four-seat kindergartens resulting in the vast majority of working kindergarten teachers hierarchically low positions of responsibility of heads while the senior hierarchical positions of directors should be limited to a minimum and be filled entirely by women. Even the total number of assistant directors / positions is 6 positions higher than the directorial positions.

Table 3: Primary General Education Schools

| Regional Unity | Nr of School Units | Employees | | Principals | | Candidates | | Assistant Principals | |
|---|---|---|---|---|---|---|---|---|---|
| | | male | female | male | female | male | female | male | female |
| Larissa | 108 | 557 | 1322 | 57 | 44 | 97 | 46 | 44 | 29 |
| Magnesia | 106 | 398 | 1260 | 57 | 48 | 69 | 50 | 19 | 23 |
| Trikala | 100 | 381 | 730 | 51 | 29 | 72 | 30 | 14 | 8 |
| Karditsa | 56 | 300 | 571 | 42 | 14 | 54 | 16 | 18 | 3 |
| TOTAL | 370 | 1.636<br>29,6% | 3.883<br>70,4% | 207<br>60,6% | 135<br>39,5% | 292<br>67,3% | 142<br>32,7% | 95<br>60,1% | 63<br>39,9% |

Table 4: Primary Special Education Schools

| Regional Unity | Nr of School Units | Employees | | Principals | | Assistant Principals | |
|---|---|---|---|---|---|---|---|
| | | male | female | male | female | male | female |
| Larissa | 4 | 19 | 63 | 3 | | 1 | |
| Magnesia | 7 | 15 | 90 | 1 | 6 | | |
| Trikala | 2 | 7 | 20 | | 2 | | |
| Karditsa | 1 | 3 | 17 | | 1 | | |
| TOTAL | 14 | 44<br>18,8% | 190<br>81,2% | 4<br>30,8% | 9<br>69,2% | 1<br>100% | |

In primary schools, there is a complete under-representation of women in positions of responsibility, covering only 39.5% of positions of responsibility and only 3.48% of all working women. For men, the exact opposite result is seen, while they cover 29.6% of the workforce, they cover 60.6% of the positions of directors and a similar percentage, 30.1 in the deputy managers.

Impressive are the corresponding results in relation to the desire for a professional development, according to the ratified final ranking tables of candidate Directors / directors of the Primary Education Directorates of Larissa (Ratification tables of Larissa, 2017), Magnesia (Ratification tables of Magnesia,

2017) Trikala (Ratification tables of Trikala, 2017) and Karditsa (Ratification tables of Karditsa, 2017). The male candidates for director are 292, nearly twice as many as the women who are 142, while numerically they constitute one third of the total workforce. At the same time, however, it should be noted that out of a total of 142 women candidates, 135 were selected, a percentage of 94.4%, while the corresponding percentage of the 207 selected principals in relation to their 292 candidacies is reduced to 70, 9%.

In primary schools of special education, the opposite disproportion is observed in relation to general education. Employees fill only 30.8% of managerial positions, although they make up only 18.8% of the workforce. Women again make up 69.2% of the managerial positions and 100% of the assistant principals, but cover 81.2% of the total human resources.

## 1.2. Secondary Education

Table 5: General Education High Schools (up to 9th grade)

| Regional Unity | Nr of School Units | Employees | | Principals | | Assistant Principals | |
|---|---|---|---|---|---|---|---|
| | | male | female | male | female | male | female |
| Larissa | 43 | 408 | 845 | 24 | 18 | 23 | 22 |
| Magnesia | 36 | 317 | 685 | 20 | 16 | 9 | 23 |
| Trikala | 21 | 193 | 383 | 14 | 7 | 10 | 9 |
| Karditsa | 19 | 128 | 264 | 17 | 2 | 6 | 8 |
| TOTAL | 119 | 1.046 | 2.177 | 75 | 43 | 48 | 62 |
| | | 32,5% | 67,5% | 63,6% | 36,4% | 43,6% | 56,4% |

In high schools, while working women account for 67.5% of the total human resources, they cover only 36.4% of managerial positions. Conversely, we could say that it is the percentages of male teachers with 32.5% coverage in human resources but 63.6% coverage in management positions. The situation with the positions of women assistant principals is interesting, where the participation of men decreases to 43.6% and the participation of women increases to 56.4%.

Table 6: General (GE.L.) and Vocational High Schools (EPAL) of General Education (10th to 12th grade)

| Regional Unity | Nr of School Units | Employees | | Principals | | Assistant Principals | |
|---|---|---|---|---|---|---|---|
| | | male | female | male | female | male | female |
| Larissa | 39 | 428 | 607 | 28 | 11 | 25 | 13 |
| Magnesia | 32 | 336 | 506 | 24 | 8 | 17 | 15 |
| Trikala | 19 | 234 | 297 | 12 | 7 | 10 | 6 |
| Karditsa | 16 | 142 | 203 | 13 | 3 | 8 | 4 |
| TOTAL | 106 | 1.140 | 1.613 | 77 | 29 | 60 | 38 |
| | | 41,4% | 58,6% | 72,6% | 27,4% | 61,2% | 38,8% |

In the GE.L. and EPAL High Schools, while the number of working women is slightly higher than men, their representation in managerial positions is rather disappointing with a percentage of 27.4%, while increased but not corresponding to the overall percentage 58.6% of human resources are represented in 38.8% of the positions of assistant principals.

Table 7: School Laboratory Centers (SEC) (10th to 12th grade)

| Regional Unity | Nr of School Units | Employees | | Principals | | Assistant Principals | |
|---|---|---|---|---|---|---|---|
| | | male | female | male | female | male | female |
| Larissa | 4 | 86 | 52 | 3 | 1 | 1 | |
| Magnesia | 3 | 79 | 73 | 3 | | 2 | |
| Trikala | 1 | 7 | 8 | 1 | | 1 | |
| Karditsa | 1 | 15 | 12 | 1 | | | |
| TOTAL | 9 | 187 | 145 | 8 | 1 | 4 | 0 |
| | | 56,3% | 43,7% | 88,9% | 11,1% | 100% | 0% |

If we look at the SEC in detail, we will confirm another stereotype in relation to the technical specialties required in this type of school units. It is the only case of training at the levels under consideration, where male teachers prevail both in the total number of employees with a percentage of 56.3% which reaches 88.9% in the filling of managerial positions, in which, finally out of a total of 145 employees will we find only one woman and no assistant principal.

Table 8: Unified Vocational Special Education High Schools (ENEGYL) and Vocational Special Education and Training Laboratories

| Regional Unity | Nr of School Units | Employees | | Principals | | Assistant Principals | |
|---|---|---|---|---|---|---|---|
| | | male | female | male | female | male | female |
| Larissa | 3 | 15 | 62 | 1 | 2 | | 3 |
| Magnesia | 3 | 21 | 96 | 1 | 2 | | 4 |
| Trikala | 2 | 14 | 42 | 1 | 1 | 1 | 1 |
| Karditsa | 2 | 15 | 43 | 1 | 1 | 2 | |
| TOTAL | 10 | 65<br>26,9% | 177<br>73,1% | 4<br>40% | 6<br>60% | 3<br>27,3% | 8<br>72,7% |

In special education high schools (up to 12th grade), however, the percentages of female representation increase almost in proportion to the percentage of employees. Thus, they make up 73.1% of the human resources and respectively 60% of the managerial positions and 72.7% of the assistant principals.

Table 9: Principals of Secondary School Units of General Education (High schools, GEL, EPAL and SEK)

| Regional Unity | Nr of School Units | Employees | | Principals | | Assistant Principals | |
|---|---|---|---|---|---|---|---|
| | | male | female | male | female | male | female |
| Larissa | 86 | 922 | 1504 | 155 | 55 | 55 | 30 |
| Magnesia | 71 | 732 | 1264 | 69 | 40 | 47 | 24 |
| Trikala | 41 | 434 | 688 | 59 | 20 | 27 | 14 |
| Karditsa | 36 | 285 | 479 | 47 | 14 | 31 | 5 |
| TOTAL | 234 | 2.373<br>37,6% | 3.935<br>62,4% | 330<br>71,9% | 129<br>28,1% | 160<br>68,7% | 73<br>31,3% |

Its general picture is also interesting in secondary education. Thus, according to the ratified final ranking tables of candidate directors and directors of the relevant Directorates of Secondary Education of Larissa (Ratification tables of Larisa, 2017), Magnesia (Ratification Tables of Magnesia, 2017), Trikala (Ratification Tables of Trikala, 2017) and Karditsa (Ratification Tables of Trikala, 2017) out of the 459 total candidacies, 330 are men with a percentage of 71.9% and only 129 are women with a percentage of only 28.1%. During the selection, the 73 directors cover 31.3% of the total candidacies while the 160 men cover 68.7%. Of course, the proportion of candidates in relation to the total number of employees by gender is negatively impressive as the 330 male candidates out of a total of 2,373 employees represent a percentage of 13.9% and the corresponding of the 129 female candidates in the total number of 3,935 female employees is a percentage of 3.28%. However, the ratio of the 73 selected directors in terms of their 129 candidacies is 56.6% while of the 160 directors it is a little lower than the 330 candidates with a percentage of 48.5%.

## 2. Administrative Services of Primary and Secondary Education

### 2.1. Overall Picture

Table 10: The Administrative Services of Education

| Carrier | Employees | | General Directors | | Heads of Department | |
|---|---|---|---|---|---|---|
| | male | female | male | female | male | female |
| Regional Directorate of Primary and Secondary Education of Thessaly | 12 | 18 | 2 | | 2 | 2 |
| Regional Center for Educational Planning of Thessaly | 20 | 11 | | | 1 | |

| | | | | | | |
|---|---|---|---|---|---|---|
| Directorate of Primary Education of Larissa | 16 | 25 | | 1 | 1 | 4 |
| Directorate of Primary Education of Magnesia | 10 | 13 | 1 | | 3 | 1 |
| Directorate of Primary Education of Trikala | 11 | 14 | 1 | | 5 | |
| Directorate of Primary Education of Karditsa | 6 | 10 | 1 | | 4 | |
| Directorate of Secondary Education Larisa | 20 | 46 | | 1 | 1 | 4 |
| Directorate of Secondary Education Magnesia | 14 | 21 | 1 | | | 5 |
| Directorate of Secondary Education Trikala | 10 | 20 | 1 | | 3 | 2 |
| Directorate of Secondary Education Karditsa | 14 | 23 | 1 | | 2 | 3 |
| Educational and Counseling Center (KESY) Larisa | 6 | 32 | | 1 | | |
| Educational and Counseling Center (KESY) Magnesia | 4 | 19 | | 1 | | |
| Educational and Counseling Center (KESY) Trikala | 3 | 14 | 1 | | | |
| Educational and Counseling Center (KESY) Karditsa | 2 | 15 | | 1 | | |
| TOTAL | 148<br>34,5% | 281<br>65,5% | 9<br>64,3% | 5<br>35,7% | 22<br>51,2% | 21<br>48,8% |

The administrative services of education of the region of Thessaly include all the bodies that are distinguished in table 10. The overall picture is proportional to the picture of the school units, while the female sex prevails overwhelmingly with 65.5% in the coverage of jobs, in the positions this percentage decreases depending on the severity of the position. Below is the specialization of table 10.

## 2.2. Specialized Picture

Table 11: The General Directors of Education

| Education Directorate | Candidates | | Selected | |
|---|---|---|---|---|
| | male | female | male | female |
| Directorate of Primary Education of Larissa | 96 | 47 | | 1 |
| Directorate of Primary Education of Magnesia | 68 | 44 | 1 | |
| Directorate of Primary Education of Trikala | 71 | 21 | 1 | |
| Directorate of Primary Education of Karditsa | 54 | 16 | 1 | |
| TOTAL | 289<br>69,3% | 128<br>30,7% | | |
| Directorate of Secondary Education Larisa | 115 | 55 | | 1 |
| Directorate of Secondary Education Magnesia | 70 | 39 | 1 | |
| Directorate of Secondary Education Trikala | 59 | 20 | | 1 |
| Directorate of Secondary Education Karditsa | 47 | 14 | 1 | |
| TOTAL | 291<br>69,5% | 128<br>30,5% | 5<br>62,5% | 3<br>37,5% |

Similarly, during the staffing of senior management positions (the temporary General Directors of Education), there are, according to the respective placement decision (Appointment of the Directors, 2020), only 3 women and 5 men out of a total of 8 positions with a percentage of participation in all positions of responsibility 37.5% for women and 2.5% for men, for the Region of Thessaly.

Table 12: Heads of Educational and Counseling Center (KESY)

| Employees | | Candidates | | Selected | |
|---|---|---|---|---|---|
| A | Γ | A | Γ | A | Γ |
| 15<br>15,8% | 80<br>84,2% | 3<br>25% | 9<br>75% | 1<br>25% | 3<br>75% |

Of interest in Table 13 is the absolute match of the percentages of gender representation both in the candidacies and in the elections for positions of superiors (Final Evaluation Lists KESY, 2018; Appointment of Heads of KESY, 2018). The percentage of male representation in the total number of employees of KESY is quite low, as it is a diagnostic body of special education.

Table 13: Educational Project Coordinators

| Education Directorate | Candidates | | Selected | |
|---|---|---|---|---|
| | A | Γ | A | Γ |
| Primary Education | 15<br>48,4% | 24<br>77,4% | 8<br>57,1% | 6<br>42,9% |
| Secondary Education | 24<br>54,5% | 20<br>45,5% | 11<br>68,8% | 5<br>31,2% |
| Special Education | 1<br>33,3% | 2<br>66,7% | 1<br>100% | 0% |
| TOTAL | 50<br>52% | 46<br>48% | 20<br>64,5% | 11<br>35,5% |

The details of the educational project coordinators are of the same interest, as these are positions of special prestige where a lot of qualifications are required. While the 46 women candidates are marginally less than their 50 male colleagues, in the coverage of the respective 31 positions they are under-represented with a percentage of 35.5% which translates into a total of 11 coordinators (Ratification Lists of Coordinators, 2018; Appointment of Coordinators, 2018)

Especially in Primary education, although women constitute 77.45% of the candidates, when they are selected (where in the field of kindergarten we have only women candidates and selected) they are under-represented with this percentage decreasing to 42.9%. The corresponding representation of men increases to 57.1% compared to 48.4% of the applications of the sector.

In secondary education, although the difference between the 20 women and the 24 male candidates does not exceed 9 percentage points in the selection, this difference increases in favor of the 11 men who hold 68.8% of the seats. It is clearly observed here that while the candidacies are almost equal, the respective positions of responsibility are not proportionally equal, but increase by almost 2/3 for men and decrease to almost 1/3 for women. In the special education, finally, one male candidate prevails over the two female co-candidates.

Table 14: Heads of Departments of Administrative Services

| Administrative Service | Candidates | | Heads of Department | |
|---|---|---|---|---|
| | A | Γ | A | Γ |
| Regional Directorate of Primary and Secondary Education of Thessaly | 12 | 18 | 2 | 2 |
| Regional Center for Educational Planning of Thessaly | 20 | 11 | 1 | |
| Directorate of Primary Education of Larissa | 16 | 25 | 1 | 4 |
| Directorate of Primary Education of Magnesia | 10 | 13 | 3 | 1 |
| Directorate of Primary Education of Trikala | 11 | 14 | 5 | |
| Directorate of Primary Education of Karditsa | 6 | 10 | 4 | |
| Directorate of Secondary Education Larisa | 20 | 46 | 1 | 4 |
| Directorate of Secondary Education Magnesia | 14 | 21 | | 5 |
| Directorate of Secondary Education Trikala | 10 | 20 | 3 | 2 |
| Directorate of Secondary Education Karditsa | 14 | 23 | 2 | 3 |
| TOTAL | 133<br>39,8% | 201<br>60,2% | 22<br>51,2% | 21<br>48,8% |

Finally, referring to the data of the heads of all administrative services of the region of Thessaly, we see that even in the lowest hierarchical positions of the heads of the departments the percentage of female representation amounts to only 48.8% in relation to the male heads which cover 51.2% of the positions, when the 133 male employees constitute 39.8% while the 201 female employees 60.2% of the total human resources.

## 3. CONCLUSIONS

### 3.1. Recording Conclusions

Taking into account the numbers it is clear that while in the educational profession of primary and secondary education as well as in the respective administrative positions in Thessaly the female human resources are numerically overwhelming, the percentages of women in positions of responsibility, either in higher or lower, are rather discouraging.

The profession of teacher is represented in a high percentage in the levels of primary and secondary education by women as it can be considered as the continuation of child care and upbringing of children, which in turn has been associated mainly with women as mothers. (Athanassoula-Reppa, 2002: 2) At the same time it presents facilities in family life for women, due to the schedule.

A shocking exception is the branch of kindergarten teachers, which composes a typical example of "horizontal professional segregation" (Papagiannopoulou, 2013) where in this profession are concentrated exclusively women. The large proportion of women in this profession again determines the prestige and prestige that it reflects for women, but it degrades it stereotypically in the eyes of men and is not equally important and charming for them (Kantrantzi & Anthopoulos, 2006). However, this degradation of occupations that are considered "feminine" in the eyes of men is a consequence of the indirect discrimination of employees based on gender. (Stamati & Syriopoulos, 2011). At the same time, "this horizontal professional division" in the specific profession and with a relevant legislative provision of the Ministry of Education deprives women of the possibility of promotion to senior administrative positions, such as Principals and limits it to the lower positions of Headmasters (Drouga, 2019: 31). The special education in Thessaly, both in the school units and in the diagnostic bodies, is also female, with the exception of the top which is the Coordinator.

In the teaching sector, it has been concluded that the under-representation of women in managerial positions has two aspects. The first, is directly related to the number of women claiming professional advancement in education which is small while that of men extremely large. The second, concerns the selection of almost all women candidates, demonstrating the readiness (on an objective and subjective level) of women candidates when they decide to claim a position of responsibility.

In secondary education, although the percentages of working women are very high, their representation in positions of responsibility is inversely proportional to the corresponding percentages of men, with the same not showing a particular will for professional advancement. At the same time, the numerical superiority decreases, the desire for professional development and the coverage of positions of responsibility depending on the type of school, starting from the High Schools (up to the 9$^{th}$ grade), continuing with the GEL - EPAL and ending in the SEK with the lowest percentages.

In the administrative services of education of the region of Thessaly the same phenomenon is observed, the higher the position of responsibility, the more attractive for men and invincible for women candidates. Especially in filling the positions of responsibility, the percentages of women increase in the lower positions of the heads of departments and gradually decrease in the higher hierarchical positions of Directors / Coordinators of Education and Coordinators, with the exception of KESY as a body of special education.

The fact that women do not seek to claim positions does not mean that they are not interested and in no case can be interpreted as "… since women themselves do not want…" (Kantrantzi & Anthopoulos, 2006), but that they are significantly limited by others inhibitory agents (Drouga, S., 2019: 27). We will prefer a simple separation of external and internal factors (Daraki, 2007: 40) rather than personal-psychological, institutional-organizational-functional and socio-political-cultural (Athanasssoula-Reppa, A. , 2002).

### 3.2. External factors of under-representation

The institutional barriers that functioned in our country were particularly inhibiting, both during the professional course and during the development of a female teacher. Indicatively, the percentages of working women in education in Greece were reduced (eg 45% - 1960, 47.3% - 1970, 47.8% -1980, 48% -

1985 and 51% -1989-90), due to state intervention which set higher rates of admission of men to pedagogical academies than women. Similarly, the number of working female teachers was limited compared to men. Respectively, only in 1992 were men allowed to enter kindergarten and home economics schools. The gradual increase of the percentage of working women in the education sector and its substantial prevalence, stereotypically female, can be an important element in enhancing women's professional prestige through legislation (Kantrantzi & Anthopoulos, 2006).

As it can be seen from the invitations and the relevant laws of the Ministry of Education for the choices of its executives and having in mind the institutional barriers created by the non-scoring of parental leave for example, by definition the female sex is distinguished due to motherhood and scores fewer points for the same length of service than a male teacher, and respectively are counted in the teaching time for school counselors and principals of other types of leave. This unacceptable provision imposed by a female Minister (Diamantopoulou) after strong reactions was withdrawn only in 2015. From the same invitations we conclude that unfortunately there is no stable system of selection of management in the Ministry of Education (Frosi, 2017), and this lack is a key factor that increases the possibilities of discrimination of employees due to gender (Stamati & Syriopoulos, 2011).

The subjective element of the interview also works to the detriment of the sexes, as the service, administrative, disciplinary boards were mostly composed of male members. Only in 2000 and by law, the quota of 1/3 prevails in terms of members, where it is essentially stipulated that in a five-member council, at least two members must be women and this quota in favor of women in 2019 rose to 40%. Of particular interest would be the imaginative scenario, what would happen if the quota for female participation in decision-making bodies "rose" to 50%? How many five-member councils would consist of 3 women? Nevertheless, the subjectivity of the interview remains, which determines the final choice, as it was conducted "as they see fit". Only with Law 3848/2010 (Government Gazzetta 71/A) is a case study bank established and a specific interview procedure that changes its dynamics. It is no coincidence, moreover, that all the final ranking tables presented here, emerged as a result of the interview process, as it counts in the overall scoring of the candidates.

Interference in the selection of education executives is strongly governmental and to the detriment of women who are not highly politicized and find it difficult to participate in relevant political or trade union mechanisms. It is also not a coincidence that every change of government is followed by a direct change of management, because the Greek Ministry of Education wants to control the critical positions of government policy in education (Markopoulos-Argyriou, 2014: 532-533) (Drouga, 2019: 30).

Actions to increase the qualifications of the positions of responsibility in the school units, such as the assimilation of the qualifications of the teachers from two years to four years of study, the scoring of 10 years of service in a teaching position, as well as the additional scoring of the additional qualifications (OECD, 2020), worked in burden of the working woman, who wants but due to family obligations cannot meet. Extremely demanding, in terms of objective criteria and qualifications, are the corresponding invitations for the administrative staff of the Greek Ministry of Education.

However, the unequal distribution of roles in Greek society and the family hinders the further development of women. The second university degree, postgraduate degrees, postgraduate education is an elusive dream for women. (Kantrantzi & Anthopoulos, 2006: 15-16) (Markopoulos & Argyriou, 2014: 532) At the same time, the institution of distant education, which could meet the requirements of a working mother, cannot be characterized as highly developed or economical, with resulting in many women practically wishing they could not follow him.

The phenomenon of the glass celling roof (Drouga, 2019: 31), the invisible barriers (Papagiannopoulou, 2013: 29) and the so-called labor labyrinth (Schiess M., 2008), which result in the failure to fully utilize women in a workplace which translates into financial and not just costs, lead women to indignation as, although they possess the formal qualifications, it turns out that they have limited opportunities in professional development and face obstacles that their male colleagues do not face.

### 3.3. Internal factors of under-representation

The phenomenon of under-representation of women in positions of responsibility is a phenomenon result and consequence of economic and social structures and relations that translates into the capitalist way of economic organization and the patriarchal structure of Western society (Daraki, 2007: 39). This pyramidal structured system does not provide incentives (Boeing, 2008: 216) for the development of working women who consider administrative requirements excessive (Markopoulos & Argyriou, 2014: 532).

Women feel that professional development and family life do not go hand in hand, in particular the professional responsibilities that take time, cause tension and determine their behavior, are acting as a deterrent to claim a managerial role, as they feel exhausted and can not to cope or even enjoy their family life. (Niota M., 2018: 815-816) Many times it forces them to stop their professional development and not the men who do not seem to be affected by the dilemma "career or family" (Kantartzi 2003).

Women feel that they should adopt "male attitudes" in the administration (Athanassoula-Reppa, 2002) equally stereotypical towards women (Beelmann & Kai, 2009) and that they will end up as victims of bureaucracy and not school leaders (Markopoulos-Argyriou, 2014: 542). At the same time, they are called upon to confront their sexist categorization as either a low-ranking worker (including the female housewife!) or an over-educated "A 'female" (Sadigh, 2008). Even the post-feminist conception of the working woman is an internal barrier as the work practice demonstrates the myth of labor emancipation (Folini, 2007). Finally, they are confronted with stereotypical views that want women mothers in senior management positions to be less focused and limited to roles such as mother, caretaker, docile pet and blacksmith (Kougia, 2020: 31-32).

Since the social rules are shaped by men, they are subconsciously adopted by women and are an experience (Markopoulos-Argyriou, 2014: 542) with the result that occupying high positions and seeking higher incomes are not dominant goals even for women with high educational qualifications. Career is something that concerns the man. Thus, women are concentrated not only in specific "female" professions but also in the lower ranks of the labor hierarchy (Kantartzi, 2003: 104). The stereotypical and biased treatment of the working woman when claiming leadership jobs (Giannarou L., 2020) (Beelmann & Kai, 2009) is an additional internal barrier. Unlike their male colleagues, they prefer to teach rather than administer because they consider teaching and the socialization of students to be a career rather than a rise in the administrative hierarchy. (Markopoulos & Argyriou, 2014: 533).

## INSTEAD OF AN EPILOGUE

Although the legal framework is now becoming an extremely powerful tool for promoting the gender equality, Greece seems to be in a transitional phase after the unprecedented and prolonged period of economic crisis and austerity which disproportionately affects women. The country has a unique opportunity to boost its economy if it prioritizes gender equality in its socio-economic recovery, suggests a group of independent UN women's rights experts who visited Athens in April from 1$^{st}$ until 12$^{th}$ of April 2019. The lack of available data and the ability to properly monitor the implementation of gender legislation at work are also an obstacle to progress in this direction (United Nations Report, 2019).

At the same time, the covert discrimination of women or their exclusion in the workplace goes beyond their social dimension and puts the democratic principles of the country (Athanassoula-Reppa, 2002).

Greece is finally moving towards achieving gender equality at a very slow pace compared to the EU average. According to the European Institute for Gender Equality (EIGE), it is at the bottom of the Gender Equality Index 2020. The complete marginalization of gender equality policy by proposing demographic and family policies as priorities of the current government policy points to a perception of women being restricted in the private sphere and to the role of motherhood, which runs counter to the demands of women from the last century. (To date and conflicts with the goal of gender equality: Network of Gender Equality Committees in Universities, 2019).

The understanding of the obstacles that stand in front of the professional development of gifted and very capable women in the administration of education and the corresponding will from the Greek Ministry of Education could lead to the development of strategies to eliminate the phenomenon of under-representation (Markopoulos-Argyriou, 2014: 534) stereotype "women teach and men lead". The under-representation of women in positions of responsibility should be an issue of immediate priority to ensure gender equality in the administration of education leading to the democratization of education and consequently of Greek society (Niota, 2018: 813).

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# Forecasting Bank Sales Through Stochastic Models in Support Of Strategic Bank Marketing Management

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**Abstract:** This report illustrates the application of stochastic modeling in banking marketing by using geometric Brownian motion to forecast expected bank sales over a period of time. It is known that credit institutions operate with foreign funds and it is of paramount importance how the bank invests and sells this resource. On the one hand, it meets the needs of its customers and offer them a variety of banking products and services, and on the other hand, it generates profit and maintains good liquidity and solvency. In this aspect, it is clear that marketers and managers in the bank must be able to forecast this important activity by reacting at any time to the changing macroeconomic environment. The importance of stochastic modeling of bank sales is especially necessary in times of crisis and pandemic, when both customers and banks are placed in a state of emergency and unpredictable situations.

**Key words:** bank marketing, stochastic modeling in banking, geometric Brownian motion, banking sales forecasting

## 1. INTRODUCTION

Bank managers and marketers use a variety of methods to forecast the expected level of future sales of a banking product or service.

Stochastic models currently provide the highest reliability and accuracy of forecasts and is therefore a preferred type of technology by researchers and professionals incl. in the banking sector. Prediction through a stochastic process means that random number simulations will be used in the modeling process. Stochastic models are mathematical algorithms to calculate the probability distribution of future expected values for a concrete process or occurrence. The calculation is based on simulating all possible changes for certain key parameters for the occurrence within a particular time interval.

In order to be able to forecast using stochastic methods, it is necessary for the bank to maintain a detailed database of historical data, from which particular parameters can be calculated. This database can be client list file, the Central Credit Register and the array in the information system of the bank. Based on numerous empirical observations, certain statistical tests determine which probability distribution best corresponds to the concrete data. The following presentation illustrates the application of stochastic modeling in banking marketing by using geometric Brownian motion to forecast expected bank sales over a period of time.

## 2. DATA AND METHODOLOGY

Numerous studies have shown that bank sales of certain package services follow an approximately stochastic process called "geometric Brownian motion" or "generalized Wiener process".

In addition to sales, simulation through geometric Brownian motion is used to forecast prices, exchange rates, interest rates and other occurrences which have only positive values.

Brownian motion is a term from physics and describes the random wandering of a particle, in an infinitely small time interval. From a statistical point of view, this is a randomly distributed process. The Brownian motion in its original form can take negative values and for this and other reasons, it cannot be used directly as a model for forecasting the price movement of financial instruments. Therefore, its mathematical modification is applied, namely the "geometric Brownian motion", which is expressed by the following formula:

$$\Delta S = S * \left(\mu * \Delta t + \varepsilon * \sigma * \sqrt{\Delta t}\right)$$

where:

$\Delta S$ is the change in the value of sales for a certain period of time;

$\mu$ - the average arithmetic unit time;

$\sigma$ - the standard deviation of the price of the financial asset;

$\Delta t$ - time interval;

$\varepsilon$ - the random variable.

The product $\mu * \Delta t$ is called drift, and $\varepsilon * \sigma * \sqrt{\Delta t}$ - simulated shock. In the simulation process, the input data is subjected to the combined effect of displacement and shock. The simulation model for calculating the expected value of sales for a given future period has the following form:

$$S_t = S_{t-1} + S_{t-1} * \left(\mu * \Delta t + \varepsilon * \sigma * \sqrt{\Delta t}\right)$$

The application of geometric Brownian motion will be illustrated to forecast the expected value of bank sales for a 7-day period for a hypothetical bank.

For this purpose, it is first necessary to study the frequency distribution of sales. In most cases, daily sales often follow a normal distribution. This means that random variable values that have a normal distribution must be generated. It is most convenient to generate standardized random variables (with an arithmetic zero and standard deviation unit).

The model of the geometric Brownian motion will be programmed in Excel, and in its formula the inverse function for the probability density of the normal distribution will be built in place of it. As is known, the PDF function of the standardized normal distribution has the following form:

$$PDF(z) = \frac{1}{\sqrt{2\pi}} e^{-\frac{z^2}{2}}$$

From here the stochastic model of the geometric Brownian motion with normal distribution takes the following form:

$$S_t = S_{t-1} + S_{t-1} * \left( \mu * \Delta t + \frac{1}{\sqrt{2\pi}} e^{-\frac{z^2}{2}} * \sigma * \sqrt{\Delta t} \right)$$

Where z represents a standardized variable calculated by the formula:

$$Z_i = \frac{X_i - \mu}{\sigma}$$

**3. RESULTS**

In our Excel modeling, instead of the formula for the standardized variable, we will use the built-in RAND function, which generates random numbers.

The daily sales of an anonymous bank operating on the Bulgarian market for a certain package product have the following parameters:

• final value of sales - BGN 7.342 million;

• planned annual return on sales -10.5%;

• standard deviation of daily data - 4.08%

Before being replaced in the model, the data must be converted on the same basis, for example annually.

The standard deviation is converted on an annual basis as follows:

$$\sigma_t = \sigma * \sqrt{D} = 4{,}08\% * \sqrt{250} = 64{,}51\%$$

The time interval in years is equal to: 1/250 = 0.0040.

Tabla 1: Simulation of expected sales with geometric Brownian motion

| Simulations | Day 1 | Day 2 | Day 3 | Day 4 | Day 5 | Day 6 | Day 7 |
|---|---|---|---|---|---|---|---|
| 1 | 7,342 | 7,471 | 7,896 | 7,665 | 7,515 | 7,876 | 7,747 |
| 2 | 7,342 | 7,238 | 7,433 | 7,955 | 7,896 | 7,741 | 7,409 |
| 3 | 7,342 | 7,341 | 8,147 | 8,230 | 7,903 | 8,850 | 8,839 |
| 4 | 7,342 | 7,286 | 7,132 | 7,485 | 7,166 | 7,106 | 6,897 |
| 5 | 7,342 | 7,248 | 6,654 | 6,269 | 6,056 | 5,954 | 6,343 |
| 6 | 7,342 | 7,414 | 7,251 | 6,995 | 7,107 | 7,105 | 7,672 |
| 7 | 7,342 | 7,529 | 6,972 | 7,061 | 7,326 | 7,288 | 6,749 |
| 8 | 7,342 | 7,506 | 7,385 | 7,440 | 7,799 | 7,660 | 7,761 |
| 9 | 7,342 | 7,218 | 7,721 | 7,549 | 7,418 | 7,936 | 7,776 |
| 10 | 7,342 | 6,823 | 7,036 | 7,207 | 7,101 | 6,682 | 6,800 |
| 11 | 7,342 | 7,122 | 6,923 | 6,798 | 6,618 | 5,892 | 5,744 |
| 12 | 7,342 | 7,150 | 7,330 | 6,711 | 6,299 | 6,637 | 6,392 |
| 13 | 7,342 | 7,749 | 7,929 | 8,202 | 8,197 | 7,944 | 8,493 |
| 14 | 7,342 | 7,537 | 7,240 | 7,426 | 7,756 | 7,856 | 7,312 |
| 15 | 7,342 | 7,279 | 7,155 | 6,846 | 6,606 | 6,371 | 6,261 |
| 16 | 7,342 | 7,965 | 8,022 | 8,505 | 8,616 | 8,420 | 8,405 |
| 17 | 7,342 | 7,299 | 7,237 | 7,234 | 6,810 | 6,706 | 7,089 |
| 18 | 7,342 | 7,513 | 7,577 | 7,273 | 7,179 | 6,891 | 6,548 |
| 19 | 7,342 | 7,423 | 7,161 | 7,480 | 7,083 | 7,179 | 6,859 |
| 20 | 7,342 | 7,378 | 7,066 | 6,930 | 6,798 | 7,424 | 7,324 |
| 21 | 7,342 | 7,397 | 7,275 | 7,239 | 7,269 | 6,950 | 6,829 |
| 22 | 7,342 | 7,210 | 6,730 | 6,782 | 6,910 | 6,904 | 7,135 |
| 23 | 7,342 | 7,293 | 7,198 | 6,612 | 6,506 | 6,305 | 5,995 |
| 24 | 7,342 | 7,117 | 7,383 | 7,694 | 7,475 | 7,503 | 7,272 |
| 25 | 7,342 | 7,836 | 7,895 | 7,909 | 8,274 | 8,061 | 7,750 |

In Excel, the model is programmed as follows:

$=S_{t-1}+S_{t-1}*(\mu*\Delta t+NORMSINV(RAND())*\sigma*SQRT(\Delta t))$

This model calculates a minimum of 10,000 simulations to create a complete picture of the brobable distribution of sales. Table №30 presents the first 25 simulations of expected sales for the next seven days.

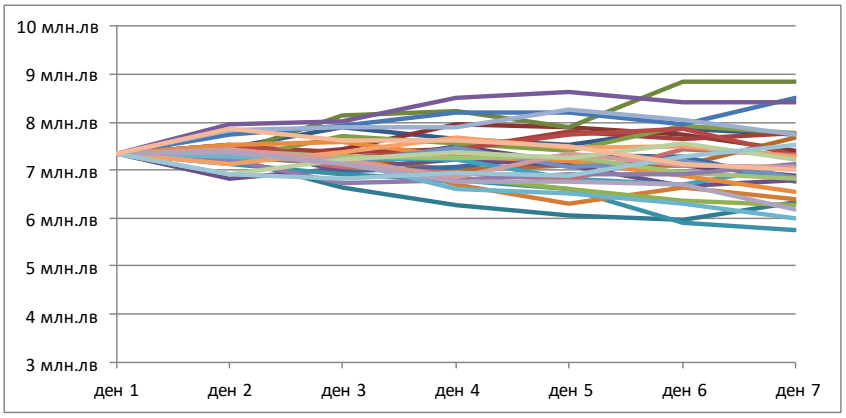
Table 2: Descriptive statistics of sales expected after 7 days

| | |
|---|---|
| **arithmetic mean** | 7,372571 |
| **standard error** | 0,02172 |
| **median** | 7,331776 |
| **standard deviation** | 0,726886 |
| **dispersion** | 0,528364 |
| **coefficient of excess** | 0,183336 |
| **asymmetry coefficient** | 0,273485 |
| **rank** | 4,721517 |
| **minimum value** | 5,284437 |
| **maximum value** | 10,00595 |
| **number of observations** | 10 000 |

Based on the calculated 10,000 simulations on the seventh day, the descriptive statistics in table №2 were calculated.

Chart №1 visualizes the scattering of bank sales simulations. The larger the standard deviation, the greater the scatter.

Graphic 1: Graphic picture of the simulations in sales through geometric Brownian motion for the next 7 days




It is important for bank managers and marketers to predict in what range sales are expected to fluctuate at a given probability. For this purpose, the standard error is first calculated as:

$$SE = \frac{\sigma}{\sqrt{n}} = \frac{0{,}7269}{\sqrt{10000}} = 0{,}00727$$

where:

SE is the standard error;

σ - standard deviation;

n - number of observations

The maximum error is then calculated at 95% probability. This is done by multiplying the standardized variable by the standard error:

$\Delta_{\bar{x}} = Z.\mathrm{SE}_{\bar{x}} = 1{,}96\ .\ 0{,}00727\ = 0{,}01425$ млн. лв , i.e. BGN 14,250.

The lower limit of the confidence interval is defined as follows:

$\overline{X} - \Delta_{\overline{X}} =$ BGN 7.372 million - BGN 0.01425 million = BGN 7.358 million

And the upper limit of the confidence interval is defined as follows:

$\overline{X} + \Delta_{\overline{X}} =$ BGN 7.372 million + BGN 0.01425 million = BGN 7.386 million.

From here, the bank's marketing specialist can determine with a 95% probability that the expected value of sales will range between BGN 7.358 million and BGN 7.386 million.

Banking sales forecasting is one of the most important activities in the process of strategic marketing planning and in the decision-making process regarding the bank's product strategy. Underestimating or overestimating the expected sales growth always has serious consequences for the bank.

## 4. CONCLUSIONS

The conclusions that can be made on the basis of the developed example of the application of stochastic modeling in banking marketing by using geometric Brownian motion to forecast the expected bank sales for a certain period of time are the following:

Firstly, if the sales growth of a product line is underestimated, i.e., the market segment has expanded more than the bank predicted, it will not be able to meet consumer demand, i.e., customers will use the services of its competitors and it will reduce its market share.

Secondly, if the growth is overestimated and the forecasts are too optimistic, the credit institution will have a surplus of stocks, attracted funds, engaged specialists, unnecessary loans, etc., which will worsen the financial condition of the bank.

Which method to choose depends on the type of historical data, their frequency distribution, the forecast horizon, the required accuracy, etc.

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# Consumer Motivational Factors towards Buying Locavore Food from the Young Consumers' Perspective

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**Abstract:** Short Food Supply Chains and local food systems have a great potential in boosting sales for local small-scale producers as well as contributing to the sustainability of agro-food systems. Consumers value local and traditional food products and are willing to pay more for the added value that locavores offer. In our pilot study, consumer motivational factors were examined with quantitative survey on a sample of young customers. The most outstanding consumer motivational factors as well as the differences between consumer groups with high and low perceived effectiveness in sustainable consumption were examined. The sustainable food consumption habits and willingness to pay more for food products that have additional values were also studied. The paper considers the significant differences between the segments with high and low perceived effectiveness of sustainable consumption.

**Key Words:** Consumer motivation, Locavore products, Hungary, Short Food Supply Chains, Willingness To Pay

## 1. INTRODUCTION

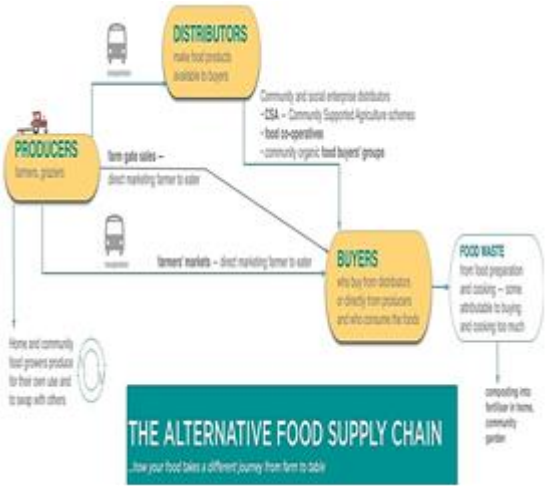
During a pandemic, the role of health and safety is growing in importance. A more sustainable lifestyle, including healthy eating, is becoming increasingly important for consumers. Short food supply chains (SFSCs) have recently been growing in popularity due to a new consumer trend on the European markets: there has been a growing demand for authentic, safe and healthy food and to buy locally produced food products, and consumer awareness of the origin of the product is increasing gradually (Dogi et al, 2014).

Consumers have become better informed, and they actively search for product information. Their decisions are influenced not only by the taste of the food products but also by the products' quality, nutritional value, and whether their preparation is time-efficient and healthful. Eating is not only functional any longer, but it is an integral part of our lifestyle, and it interacts with the daily activities and values of the consumer (Osztovics et al., 2016). It is no coincidence that supporting the implementation of SFSCs and local food systems is a top priority for both the national government and for the European Union as well. But how does the young generation relate to local products?

## 2. LOCAL FOOD OR SUSTAINABLE FOOD?

Recent years have seen greater attention paid to re-localise food production and distribution in the agri-food sector. Re-localised production chains reduce the proximity between production and processing, furthermore, the local dimension and the regional provenance of the products are emphasised. Re-localisation can result in reduced proximity between the location of production and consumption as well.

Figure 1. A model of an alternative food system




Source: Pacificedge, 2015

The different forms of SFSCs emerged in search for alternatives to conventional, long food chains partly due to a sense of dissatisfaction among consumers and producers. As opposed to conventional, mainstream food supply chains, short food supply chains allow for a stronger partnership between producers and consumers. SFSCs can strengthen the development of food networks, facilitate direct information exchange, create mutual trust, transparency, and traceability. The greatest benefits of SFSCs are fairer power relations of producers and their reduced economic vulnerability. Producers can become price setters rather than price takers, and they can apply more differentiated product marketing strategies with regards to packaging, the use of logos and brand names.

The word “short” indicates a reduced physical and social proximity and a minimised number of intermediaries. A short food supply chain is characterised by a limited number of economic operators and few (only one) intermediaries and their role is to promote a stronger link between the producer and the consumer. They are dedicated to enhancing local development and strengthening the social and geographical links between producers, processing companies and consumers.

The most typical forms are collective sales, specialist shops, shops owned by farmers or when farmers sell their products directly to public institutions or restaurants. A short food supply chain can become a form of direct selling when the consumer is in direct contact with the producer (Murdoch, 2000).

In the SFSCs, the most popular products are fresh seasonal fruits and vegetables, traditional, artisanal, processed food products. For consumers, SFSCs ensure that food contains reduced amounts of flavour enhancers and preservatives, they guarantee freshness and provide food with geographical indication of origin. Customers acknowledge the quality features of the products, the closer personal relationship and interactions with the producers. Developed mutual commitment and trust is a central component. The proper value of knowing the producer and the region where the food was produced is increasingly recognised.

Attention must be drawn to the difference between local food and sustainable food. Many people use these terms interchangeably, using local as a synonym for characteristics such as fresh, healthful, and produced in an environmentally and socially responsible manner. Technically “local” means that a food was produced in a defined place relatively close to where it is sold – the term doesn’t provide any indication of food qualities such as freshness, nutritional value, or production practices, and can’t be used as a reliable indicator of sustainability.

## 3. CONSUMER PURCHASING MOTIVATION TOWARDS BUYING LOCAL FOOD

European Union and the national government subsidies as well as consumer motivations towards buying local food as are emerging as market drivers for local products. Based on consumer trends in recent years, an increasing number of consumer trend groups have been identified. The local nature of products and consumer motivations to buy local products is gaining importance for young consumer segments especially in the case of food products.

### 3.1. Local food products and the LOHAS consumer

As discussed above, the concept of local food can be considered from two aspects:

- the role of uniqueness – the term "local" means that a food was produced or collected relatively close to where it's sold. A local product is produced mostly by small producers, by using locally developed processes (recipes), or using local materials. The packaging material is often locally produced, and the products reflect the characteristics and cultural heritage of the region.
- the role of local production - the term "local" means that the food products were produced by local labour - within a radius of about 50 km – to meet the needs of the local population (the role of local production) (G. Fekete, 2012).

Local products typically include food and artisanal, handicraft products. Some of the additional characteristics that are often associated with the concept of local products are the following: they are usually made in smaller quantities, have a unique character that is typical of the region, represent a common local value and can be linked to a named area or settlement mainly through its historical heritage and tradition (Szente et al, 2014).

Today, research proves that consumers are increasingly committed to the environment, to social responsibility and responsible business. LOHAS (Lifestyle of Health and Sustainablity) is a tool for understanding consumers' behaviour and attitudes. LOHAS has five, clearly defined value categories that direct consumers' behaviour: the individualistic values, authentic values, environmentally conscious values, ethical values, health-conscious values (Szakály, 2017).

In connection with these values, the preference for local products is growing in popularity. According to Impetus Research, LOHAS consumers represented 16% in 2020 in Hungary. These consumers consider authentic values to be more important than the buying experience, they pay attention to environmentally friendly nature of the purchased products, and the motivation to make the purchase is the value rather than the price of the product (Bacher, 2020). But to what extent are these values perceived among the younger generation?

### 3.2. Local food purchasing motivations of the young customers segments in Hungary

We have looked at the results of several surveys conducted in Hungary, and in this chapter, we summarise the main findings concerning the consumption of local food products: 95% of the 152 young people surveyed in Kaposvár have already heard of the concept of local food products, however, only 50% of the respondents are fully aware of the exact meaning of the term. Most young people have already bought a local product, and 15% of the respondents purchase local food products weekly or more often. Nearly 20% of the respondents have never bought local products. The majority of non-buyers are not interested at all, and 20% respectively say that such products are expensive or unnecessary, and 16.8% mentioned that they are more difficult to buy. In their opinion, the best place to purchase such products are supermarkets, local farmers' markets, hypermarkets, stores selling local products, and finally the purchases directly from the producers (Sántosi– Böröndi-Fülöp, 2014).

In contrast, in Szente's survey, more than 70% of the 1,000 respondents aged 18-75 consider it important, in part or in full, to be able to buy locally produced food in specialised stores (Szente, 2014). Based on the answers, the most important features of local products are as follows: such products are more natural and more nutritious, they are free of chemicals and preservatives, they are fresher since

they travel shorter distances, are more environmentally friendly, support local producers and local businesses. The emotional factors are the feeling of nostalgia for buying local products, remembering the good old times, entertainment, and the "feeling of guilt over neglecting buying local produce". Besides, a survey conducted among young people in Kaposvár identified the main attitudes towards local products. Based on the mean of the 1-5 evaluation scale, the following order can be seen: 1. fresh; 2. evokes homemade flavors, traditional; 3. Safe and healthy; 4. consumer trust; 5. environmentally friendly (Sántosi– Böröndi-Fülöp, 2014).

The findings of Kovács et al. (2016) and Kovács (2020) are in line with the results of previous international research findings where better taste, higher quality and the environmental concerns as main motivational factors were identified (April-Lalonde et al. 2020).

According to Statista (2020), the main reasons for buying locally grown food are the following: 1. Local, small producers are supported; 2. They taste better; 3. They have better quality; 4. They have higher price-quality ratio (QPR); 5. They spend less time in transit, therefore more environmentally sustainable; 6. They are healthier; 7. You can discover food products that are not available in large retail shops; 8. They can take us back in time when food was mainly produced locally.

## 4. MOTIVATIONAL FACTORS AND THE PERCEIVED EFFECTIVENESS OF SUSTAINABLE FOOD CONSUMPTION AMONG YOUNG CONSUMERS IN HUNGARY

The aim of our study on the motivational forces and the perceived effectiveness of sustainable food consumption among young consumers in Hungary was to find answers to the following questions:

- What characteristics are considered most when buying food products?
- What are the most motivating factors when someone is buying locavore food products?
- Are young customers willing to pay more (WTP) for locavore food products?
- Is there a difference between the impact of the motivational forces and the perceived effectiveness of sustainable consumption among groups of consumers?

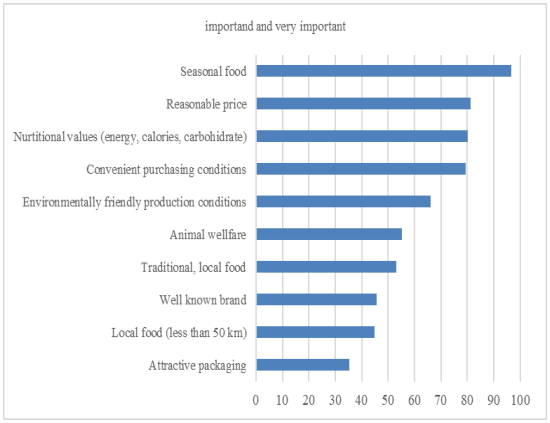
Our pilot primary research aimed to identify the most important motivational factors for consumers considering buying locally produced food. A quantitative survey that focused on the motivational factors and sustainable consumption choices was used for data collection. The survey was conducted in the form of an online questionnaire and CAPI interviews, over a period of two weeks in April 2021. The sampling method was a combination of quota and snowball sampling. After the data cleaning procedure, the answers of 432 respondents were analysed. All the respondents were between 18-39 years old and could make consumption-related decisions. The sample demographics were the following: most of the respondents were females (55%), and 45 per cent were males. 35 per cent of those filling in the questionnaire live in the capital city, 17 per cent in cities, 28 per cent in towns, and 20% in villages. The education level of the respondents was as follows: 9% were primary school pupil, 62% studied at secondary school, and 29% studied in higher education. With regards to the age group of the respondents: 63% of them were between the age of 18-24, 22% were 25-34 years old, and 15% are 35-39 years old. Data were recorded and analysed using Microsoft Excel and IBM SPSS Statistics 27. The main limitation of the study concerns the demographics of the respondents: we examined the age group of 18–39 exclusively. The other limitation is the non-representativeness of the sample due to the choice of the sampling method.

Three main groups of questions were examined in the questionnaire: first, the importance of the product attributes related to sustainable food purchasing; next, the purchasing motivation factors for locavore food products; and finally, consumers' willingness to pay more for different product values, including local and hand-made food products.

The questionnaire included three main group of questions: the importance of the product attributes related to sustainable food purchasing, locavore food purchasing motivational factors, the willingness to pay more for different product values, including local and hand-made food products.

Among the different attributes considered, seasonal food was found to be the most important one (see Figure 3). 96% of the respondents reported that this was important in coming to a purchasing decision. The next group of characteristics included a reasonable price, nutritional values, and convenient purchasing conditions, factors which were rated as important by around 80% of respondents. Less important attributes are the attractive packaging (35%) and the locality of the products (45%). For the attributes related to the locality of the products, the ratios of neutral answers were significantly high. 38 per cent of the respondents consider the locality of the food products neutral, while the traditionality and locality of the products were important for 53% and neutral for 32% of the respondents.

Figure 3. The importance of the characteristics of food products, rate of TOP 2 scale values
Source: own compilation

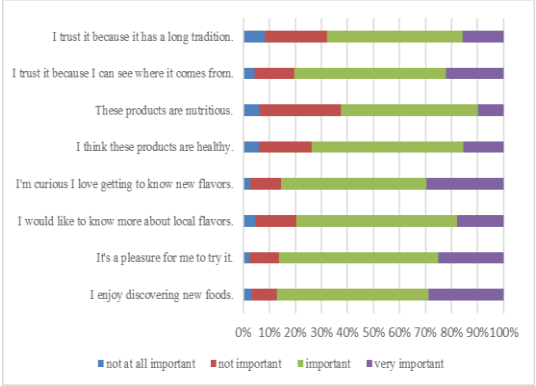



(Please rate the importance of the following items when you shop for food?)

5-point Likert scale 1=not at all important, 5=very important, Don't know

In the survey, the measurement scale had four motivation categories: hedonism, curiosity, nutritional value, traditional value. The answer frequencies of the hedonistic values are the most relevant motivation factors: “I enjoy that....” and “It is a pleasure for me to try....”. The second most relevant motivation factor is curiosity (exploration): “I’m curious …” and “I would like to know more”. The least relevant factors are the nutritional value and the traditional or local nature of the food products (see Figure 4.).

Figure 4. Motivation scale item answer frequencies



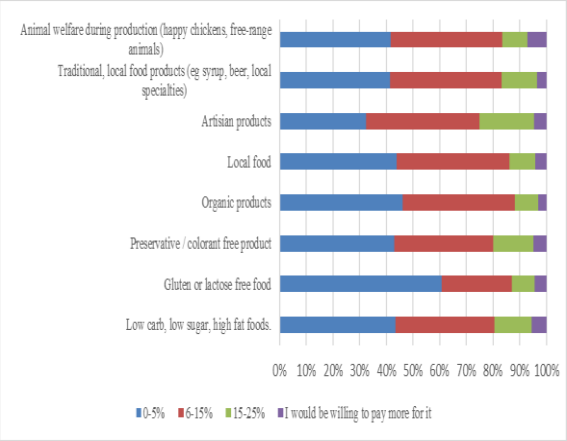

Source: own research, N=432

5-point Likert scale: Strongly Disagree 1, 2, 3, 4, Strongly Agree 5, Don't know

Regarding the willingness to pay more (WTP), the buyers are normally willing to pay a bit more for the products with the attributes shown in Figure 5. Young respondents are more willing to pay a higher premium price for food products that are artisanal, traditional, locally produced or animal welfare friendly.

Respondents are willing to pay the highest price for “artisanal”, “traditional and local” products. In addition, young consumers are willing to pay a higher price for low-carb, low-sugar, low-fat food products. About 40% of the respondents are willing to pay 0-5% more for products having the attributes that we examined in this survey. About the same number of respondents would be willing to pay a 6-15% higher price for products that are traditional, local, organic, or low-carb, low-sugar or low-fat. Most of the respondents are willing to pay significantly (16%-25%) higher prices for artisanal products, but only a very few respondents would pay an even higher price.

Figure 5. Willingness to pay more for products with added values
Source: own research, N=432




Regarding the perceived effectiveness of sustainable consumption, 77.5% of the respondents try to do more to ensure sustainable consumption, whereas only 17% of them have no information, and 5.6% don't believe that something could be done. The segments with lower and higher perceived effectiveness of sustainable food consumption consider different motivational factors important. The most significant difference can be seen in the nutritional value factor and the health-related items (nutrition - Gamma 0.345, health - Gamma 0.278 significance 0.000).

For the other items, there is no significant difference: the members of both groups consider curiosity (discovery), hedonism and traditional values as equally important factors. However, those respondents who are willing to pay a significantly (over 25%) higher price would be much more likely to pay a high price for products that are organic, locally produced, traditional and animal welfare friendly.

## SUMMARY

In recent years, as global food chains have expanded and became increasingly concentrated, there has been a growing demand for closer producer-consumer relations and the two ends of the food supply chain are re-connected by various types of short food supply chains (SFSCs). The immediate objective of the modern, innovative, and ethical forms of SFSCs is to promote locally produced food and artisanal products, to improve the visibility and recognition of local producers as well as to broaden the sales opportunities for high-quality products, which provides the opportunity for producers to sell and distribute within a maximum distance of about 40-50 km. There has been a growing demand for locally produced food and the customer attitudes are even more positive towards locavore food products.

Buying local food products can confer economic, social, cultural, and environmental benefits in the region and it contributes to maintaining the welfare and health status of the consumers due to the system's lower environmental impact.

Regarding the motivational factors, hedonism, and curiosity (discovery) are the most relevant motivational factors for young customers. Nutrition and tradition are less motivational, although all the factors had a positive motivational impact. Examining the willingness to pay more for handicraft, traditional local products, and animal welfare friendly products are found to be the most valued attributes.

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# The impact of Covid 19 on the companies in North Macedonia

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**Abstract:** Corona virus 2019 disease known as 'COVID-19' has spread rapidly across the globe and has caused a major economic shock. This is not just a medical crisis, this is an economy crisis as well. Today's companies are faced with overwhelming, competing challenges and uncharted paths as they continue to navigate the impact of the COVID-19 pandemic. Many companies are already taking "no regret" actions to appear from the pandemic stronger. These companies are facing the crisis through establishing variable cost structures, implementing agile operations and accelerating digital transformation. Companies must outmaneuver uncertainty by work correcting, again and again as circumstances change. This requires them to re-evaluate scenarios, to reassess assumptions, and strengthen their ability to sense and respond.

Macedonian companies are also affected by this pandemic. In order to research the impact of COVID in these companies, we conducted a survey of more than 100 companies in North Macedonia. The research has been conducted to assess the impact of COVID-19 on the work of this companies. The research aims to identify the constraints faced by companies in North Macedonia during the pandemic, the opportunities, the organizational performance of companies as well as their innovation. The results of this research indicate that the influence of this coronavirus is equally devastating in the country and in the companies. Also shows that COVID-19 and reactions to changes have a significant negative impact on companies. These 'new normal' changes negatively affected on employee's work, way of communication, and concentration on work significantly.

**Keywords:** Covid 19, company, performances, innovation, economy.

## INTRODUCTİON

The great uncertainty about the future is exacerbating the situation, many countries have closed their borders to foreign nationals, world trade is declining, and significant efforts have had to be made to avoid major delays in flows of goods.

Everything starts as a health crisis, far from our country, but COVID-19 led rapidly to a global economic crisis. The crisis has hit companies, although at different rates and to varying extents. Some sectors have suffered most because of the containment measures leading to lockdown and travel restrictions, namely restaurants, transport, tourism and educational institutions.

The COVID-19 pandemic, which has already infected almost 132,683,720 people in 192 countries, resulting in more than 2,879,979 deaths, has the potential to reach a large proportion of the global population. Some estimates suggest that 40-70 per cent of the world's population could become infected.[1]

Disruptions to production have now spread to supply chains across the world. Stock markets crashed, production stopped, oil prices dropped sharply, factories and shops began to close, and labour markets were disrupted.

The crisis already impacts not only demand (investment and consumption) but also supply (production of services and goods). All businesses, regardless of size, are facing serious challenges, but will be particularly difficult for Small and Medium Enterprises (SMEs) for sustaining their business operations.

[1] Figures for 07 April; Johns Hopkins University Center for Systems Science Engineering Dashboard, https://gisanddata.maps.arcgis.com/apps/opsdashboard/index.html#/bda7594740fd40299423467b48e9ecf6

In 2020 The COVID-19 pandemic and the resulting lockdown caused 114 million people to lose their jobs and a lot of companies to be closed.[2]

Following quarantine measures, border closures and travel bans, many workers cannot move to their places of work or carry out their job, which has negative effects on incomes, particularly for informal and casually employed workers. In many economies' consumers are unable or reluctant to purchase services and goods.

The pandemic is still raging as the world enters 2021, after an apparent mid-year lull in many countries, more infections and more deaths are being reported. Given the current environment of uncertainty and fear, companies are likely to delay investments, purchases of goods and the hiring of workers.

## Economic measures of the Government to tackle the crisis by COVID-19

The Republic of North Macedonia has so far adopted six packages of measures to support the economy.

The last, sixth package of measures includes seven measures targeting the sectors most affected by the coronary crisis, worth 17.8 million euros, which will support 10,000 companies, which employ about 60,000 citizens. The government takes comprehensive measures every three to four months, in consultation with all stakeholders, as well as with international financial institutions, all in order to maintain the liquidity of companies and jobs for citizens.

It is extremely important to stimulate the liquidity of the economy. Hence the measures proposed by the Ministry of Finance are in that direction. One is Liquidity Support for companies that reinvested profits for 2020 by subsidizing interest rates on loans. The second measure is the Credit Line for financial support of business entities in the field of broadcasting radio and television programs in order to reduce the consequences of the coronavirus KOVID-19, through a special credit line in the amount of 61.5 million denars or 1 million euros with 0 % interest rate to be placed through the Development Bank. The past packages of measures have shown that they give results. The government stimulus contributed to double amortization of the economic decline last year, more precisely, according to the calculations of the Ministry of Finance, it is amortized by 4.2 percentage points, without the measures the decline would have reached 8.7%.

## How does The Republic of North Macedonia deal with the pandemic in general?

After nearly a year of COVID 19 crisis in our country, the future is still uncertain. While the various vaccines give some reason for optimism, mutations in the virus and new information from the WHO (World Health Organization) about the likely persistence of the pandemic in 2021 are causes for concern. The last wave of COVID 19 hit much harder and the number of our citizens infected increased exponentially, putting enormous pressure on the health system to treat patients.

By the April 2021, the total number of diagnosed is 132.728 (6,7% of the total population) since the beginning of the epidemic, the number of cured patients is 111.765, the number of deaths is 4.073 and the number of active cases is 21.891.

The measures active as of November 2020 are the mandatory like wearing facemasks in indoor and outdoor public spaces, the restriction of public assembly of more than 4 people, restriction of the closing time of catering establishments, social distancing (2 meter) and hygiene measures remained the same.

## RESEARCH METHODOLOGY

The main aim of the research is to find out what is the impact of Covid 19 on the companies in the Republic of North Macedonia in general. The main research problem starts with the constraints faced by companies during the pandemic, the opportunities if any, the organizational performance of companies

[2] https://www.weforum.org/agenda/2021/02/covid-employment-global-job-loss/

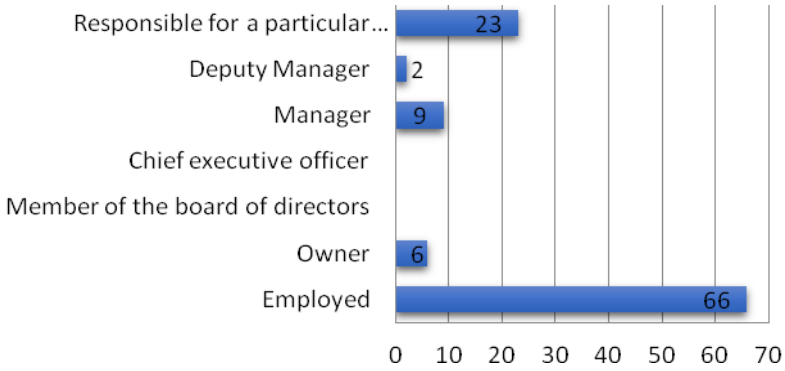
as well as their innovation. The research subject is focused on the question of interconnection between pandemic Covid 19 in the Republic of North Macedonia, and what the influence on the companies in our country.

Data were collected by means of a self-administered questionnaire, prepared in Google Docs. Questionnaire contained questions in closed ended format and a 5-point Likert scale. The questionnaire contained three sections with logically connected questions. The first section was designed to gather general information for the respondents, including the age, the gender, the work position of employees, and size and the proprietorship of the companies to which the respondents belonged. Also, respondents must answer did the pandemic has changed the way of the work in their companies, did they working from home (online), did they have some benefits and obstacles from online working and did their company apply the way of working from home after the end of the pandemic. The other two sections used questions for organizational performance and innovation in companies in terms of Covid 19. In order to complete the objectives of the study, the questionnaire was sent randomly to 400 respondents in the Republic of North Macedonia, and response was received from 107 respondents. The survey was conducted from November 1st to December 31st, 2020. Due to the scope of the research, in this paper, we will present only the first section of questionnaire. Most of the companies where respondents work according to the number of employees belong to the category of micro and large enterprises (Graph 2), most of them (48%) work only on domestic market (Graph 3) and most of the respondents (62%) are only employed in the companies (Graph 1).

## Research results

As we mentioned in the previous section, in this paper are presented results only of the first part of the questionnaire that refers to the general information about the work of the Macedonian companies in pandemic. In order to get information from the employees of all levels at the companies, we sent the questionnaire to employees of different levels. Most of them are employees, but we have answers from the managers and owners also. The respondents are presented in the following Graph 1.

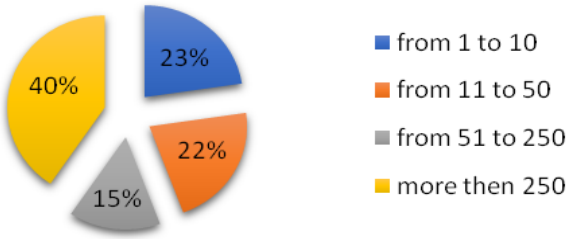
Graph 1: Position in the company of the person who answered the questionnaire




Source: author's own research

Next, the research was conduct in all companies taking into account the size of the companies, which is to be included companies of all sizes according to the general division of them. That can be seen in the graph 2.

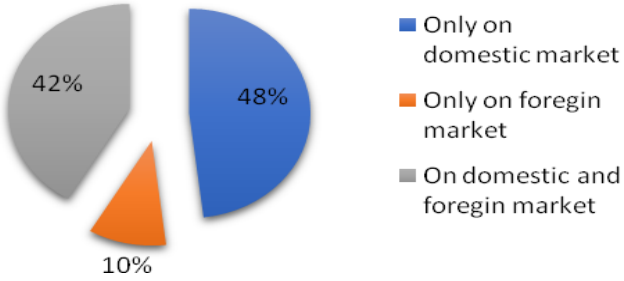
Graph 2: Number of employees




Source: author's own research

Most of the companies included in the research are companies that market their product only in the domestic market (48%) but also there is a company that market their products and services on both domestic and foreign market, as well as companies that operates only on foreign market.

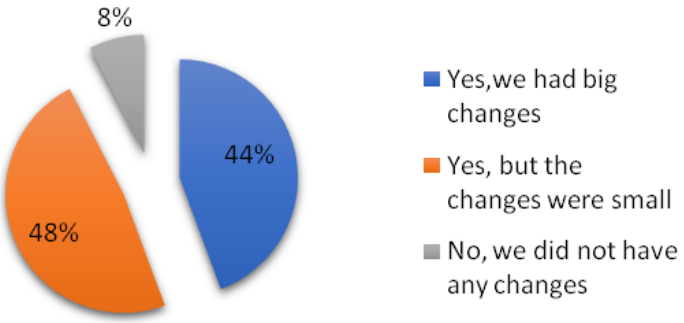
Graph 3: Market on which the company marketed its products




Source: author's own research

The most important question in the pandemic working is whether companies have changed their way of working. 92% of the respondents answered that they have some changes in the work in their companies. This is expected because the pandemic itself made changes in every aspect of the living, as well as in the companies work. The companies were forced to made changes and adjustments in the work according to the new conditions and protocols for work. From those 92% of the companies, 48% make changes but the changes were small and the others 44% made big changes. Usually, the changes are in the work of the administration staff that can work from home, with rotation of the employees or some combination. Also, the changes refer to the production and market of the products and services, communication with the clients, implementation of the protocols for work and etc.

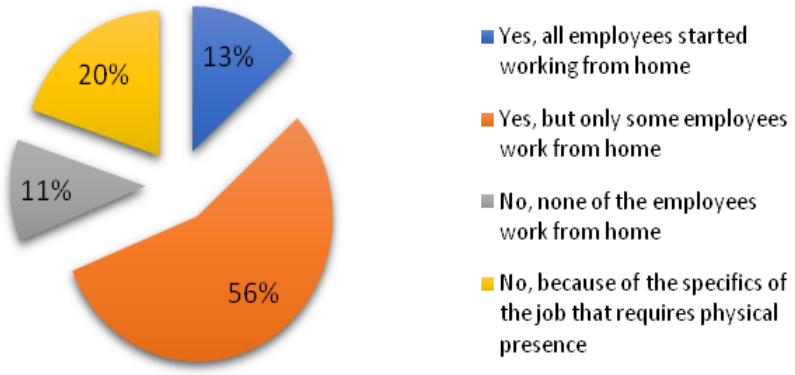
Graph 4: Whether the pandemic has changed the way of the work in your company




Source: author's own research

Consequently, to the previous question and in this question 20% of the respondents answered that their company did not apply the work from home because of the specificity of the job that requires physical presence and 56% works from home but only some employees (Graph 5). Anyway, most of the companies (56%) applied the work from home method as some way to reduce the contacts between the employees and in this way to contribute to reducing the spread of the virus.

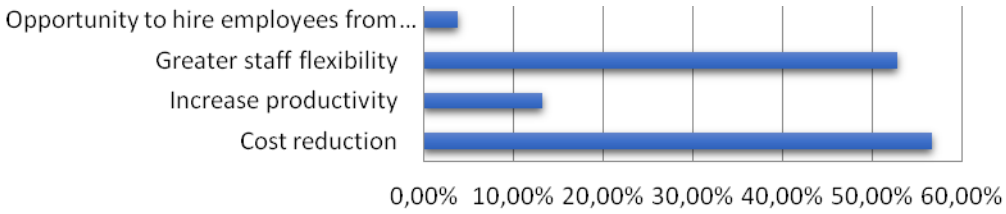
Graph 5: Does your company apply the way of working from home (online) because of the pandemic?




Source: author's own research

The work from home as a new way for working showed that has some benefits, but and obstacles too. In order to identify the benefits of it we asked the respondents. From the results obtained by the research, we can see that, the benefits that company get from working at home is cost reduction (56.60%) and great staff flexibility (52.80%). That means that company can make extra profit. Also, some of the respondents said that the productivity of the employees is increased (13,20%). The other results are presented in the Graph 6.

Graph 6: What benefits did your company get from working from home?




| | Cost reduction | Increase productivity | Greater staff flexibility | Opportunity to hire employees from abroad |
|---|---|---|---|---|
| Series1 | 56,60% | 13,20% | 52,80% | 3,80% |

Source: author's own research

Except the benefits, the companies and its employees faced with a number of limitations due the pandemic. When it comes for work from home, most of the surveyed employees have lack of technical support for work from home (38,70%) that shows that our country was not prepared for this kind of work. Our companies do not have online work experience and most of them are manufactured companies how has not allowed online working. Also, the companies faced with barriers in communication with the employees and less control over the work of the employees. 28,30 % of the respondents said that this kind of work cannot be hold in the long run. The results are presented in the Graph 7.

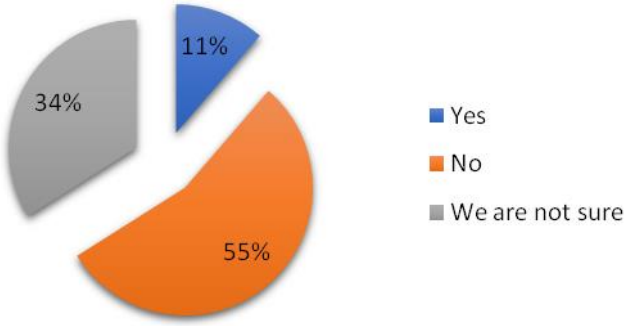
Graph 7: What limitations did you have from working from home?




Source: author's own research

According to the previous question where we can see that our companies are not prepared for this kind of work, 55% answered that would not apply the way of working from home after the end of the pandemic. 34 % answered that there are not sure if they will continue to apply the way of working from home after the end of the pandemic and 11% will continue to apply online working. These results are shown in the Graph 8.

Graph 8: Would your company apply the way of working from home after the end of the pandemic?

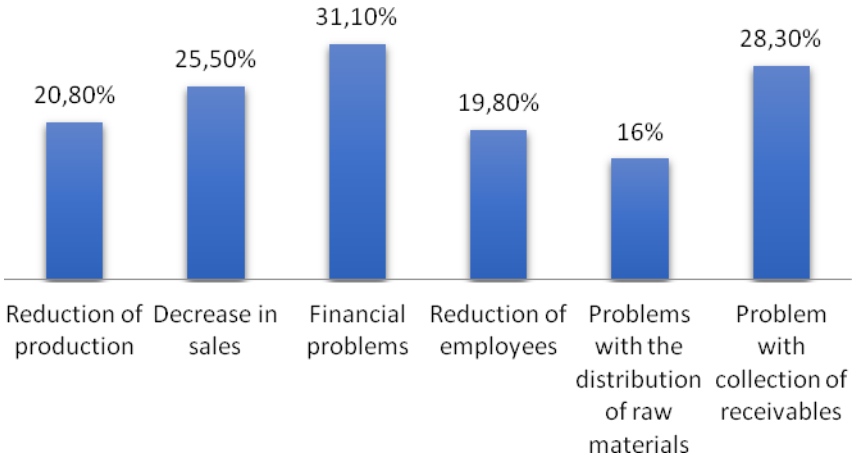



Source: author's own research

Many firms expect a long recovery period, while some firms have adjusted to the new normal. Financial problem is at the highest levels for about 31.10% percent of companies, 28,3% has problem collection of receivables and 25.5% has problem with decrease in sales (Graph 9).

It is necessary the wage subsidy support because those that have been affected more severely expect a recovery on average of about 8 months for both sales and employment. Some companies do not expect ever to return to the pre-crisis levels. Expectations of companies in North Macedonia resemble the average for the EU member countries with respect to the length of the recovery period.

Graph 9: What challenges / problems does your company face during the pandemic?




Source: author's own research

## CONCLUSİON AND RECOMMENDATİON

It is evident that the spread of the virus disrupting economic activity and have negatively impact on all businesses, especially in the developing countries. It affects all economies. The most obvious consequences include economic recession, a crisis of global governance and trade protectionism. The economic stress has started and will grow rapidly. It takes a while for the world economy to recover from the contraction.

The impact of COVID-19 was felt almost immediately in most industries and regions of the world. The Macedonian companies are facing with a lot of challenges caused of this pandemic. First, they have adopt the new ways for work in their companies, taking into consideration the new protocols and restrictions by the government. In the most of the business activities slow and some companies are seeing lower revenue resulting in less cash flow. Many of the companies in some sectors ware obligated to close their businesses in the time for the pandemic (for example restaurants for wedding are closed all the time, then restaurants, fitness clubs, sport clubs, kindergarten were closed in some period during the pandemic). This caused lot of the business to fire their employees or even to close their businesses. Despite the measures of the so called packages for support for the companies by the government, the businesses are still facing with a lot of problems in their work.

From the results we can conclude that most of the adjusted their work. Most of the employees started working from home. This change results with some problems and limitations, because most of the companies are not technical ready for this kind of work. After that, they said that in this way of work the control over the employees is reduced.

Further, the Macedonian companies faced with a lot of financial problems, decreasing of the sales and reducing the production. The consequences of the pandemic have very negative impact on the work of the most of the Macedonian companies. They will need time for recovery and a lot of additional support by the government.

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2. https://www.weforum.org/agenda/2021/02/covid-employment-global-job-loss/

# The New Strategic Architecture And The Strategic Planning Of The Greek Universities

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**Abstract:** The key concept of the present paper is the inquiry into Strategic Planning in Higher Education in Greece and the reasons that made it necessary after the latest laws, as well as the needs of modernization that arose as a result of competitiveness in Higher Education. In this context, we first attempt to briefly explain and clarify the term 'Strategic Planning', and then its structural elements are analyzed, while extensive references are made to the stages of organization of Strategic Planning and the tools used by the institutions for its implementation.

Mainly researched and compared, the efforts to formulate the strategic architecture of a central Greek University (Aristotle University of Thessaloniki- AUTH) and a regional Greek University (University of Western Macedonia-UOWM) with different characteristics both at academic and administrative level, according to the goals they have set in each category of strategic action, with the aim of locating elements of Strategic Planning at Institution level.

After locating the above elements, an attempt is made to decode the success of the drafting of the strategic plans on the same model. One of our main research questions is whether University Institutions with different structural characteristics should and where should be differentiated in the drafting and recording of their goals.

**Keywords:** Strategic planning, higher education, national strategy, strategy at institutional level, strategic action, Greek Universities, academic strategy.

## 1. INTRODUCTION

The central theme of this paper is the strategic planning in higher education in Greece.

Strategic planning has widely defined as a process used by organizations to define strategy and directions for their future actions.

Nowadays European Universities have to operate in a highly competitive international and national environment. The demands of the knowledge society have posed significant challenges for modern Universities in various areas of their operation, in the administrative, academic, technological, research and financial sector, etc. (Stukalina, 2010).

Higher education is a key element of the European Strategy, which aspires to promote sustainability and inclusive economic growth. With its contribution and the possibility of influencing social and individual progress, it is logical that it is the main factor promoting innovation and research and "provides the highly skilled human capital that knowledge-based economies need to generate growth and prosperity" (COM 2013 499 final).

The needs that have arisen through the evolution of technology, the economic data of each country and consequently of the Universities themselves, the internationalization of education but also the strong competition, have led to the need for changes in the level of strategies applied in higher education. (Kazeroony, 2012).

The strong competition between the Universities in academic, research economics and student attraction level, is perhaps the principal reason for the need to change their development strategy and strategic architectural design.

Theories of strategic development, planning and management can be the basis on which Universities will try to develop their personalized strategy.

However, we should not forget that we are talking about modern and advanced forms of Universities, with multi-level activities, and a complexity that plays its role in how its strategic goals will define and served.

The specific organizational (Tavernier, 2005) and academic characteristics of each institution must consider.

This is where the research question arises, whether the strategic planning, development and architectural strategy of each University, should fully adapted to the general National Strategic Planning for Higher Education or should give by the competent authorities flexibility in creating their strategic map in Higher Education Institutions. Thus, they will shape it, considering mainly their special characteristics in parallel with the national strategy.

We will try to examine how the theoretical framework of strategic planning is applied in practice. Our aim is to show how the structural elements of strategic planning are implemented in the effort to formulate a national strategy, we could say which was not developed at a central level for all higher education, but practically the Universities after publication of Law 4610/2019 had to resort to changing their strategic architecture, in order to meet the challenges of the newly formed environment.

Today the country at the level of Higher Education has introduced the concept of competition between the Institutions, although we are talking only about public education. What arouses the research interest is that Universities with a completely different structure at all levels, but with common academic study programs, meet this challenge.

Accepting the fact that strategic planning works in response to the changes that have taken place in recent years in higher education in Greece, we will focus on the conceptual clarification of the term, and we will present those changes that made necessary the structural change of strategic plans of all Higher Education Institutions in the country.

In the present research we have focused on two universities which have completely different characteristics at the academic, administrative and human geographical level. We try to identify, compare and refer to the goals they have set for the future and the tools they have met the same requirement.

### 1.1 Strategic planning (strategy)

Rowley & Sherman (2001) defined strategic planning as a formal process designed to help an organization identify and maintain optimal alignment between important environmental elements.

Allison & Kaye (2005) defined strategic planning as a systematic process through which an organization agrees and creates a commitment between stakeholders and the priorities necessary for its mission.

In the above definitions, what we distinguish is the positioning of strategic planning as a tool of leadership, in order to determine the future necessary organizational changes depending on what the environment in which the organization develops requires, as well as what the groups of stakeholders demands. Key elements of strategic planning, which are the central pillar are the mission and the vision.

According to Bryson (2011) Strategic planning portrayed as a deliberate, disciplined effort to produce key decisions. The fundamental decisions and actions that shape and guide an organization are what it does and why it does it. He also records the importance of mission, vision and values during the process. The mission of an organization reflects its unique identity and serves as the foundation on which we can build a strategic planning initiative, (Immordino, Gigliotti, Ruben, and Sherrie Tromp, 2016)

The literature mentions several models whose application could lead to a successful strategic planning. Some of the key ones are shown in Table 1.

Table 1: Models for Strategy planning

| **Hunger and Wheelen (2010)** | **Allison and Kaye's (2005)** | **V. Evans (2013)** |
|---|---|---|
| a. Environmental scanning | a. Get ready, | a. Strategy Statement |
| b. Strategy formulation | b. Articulate mission, vision, and values | b. Mission Vision Goals |
| c. Strategy implementation | c. Assess your situation | c. Analysis of external enviroment |
| d. Evaluation and control | d. Agree on priorities | d. Competency analysis |
| | e. Write the plan | e. Strategic Choices and proposed strategies |
| | f. Implement the plan | f. Resourses |
| | g. Evaluate and monitor the plan | g. Basic Changes |

A look at the above models and others that exist in literature shows that in order for a strategic plan to succeed, all that existed in the past as advantages must first reviewed, and control weaknesses, external threats and opportunities.

What is understand is that the models have a lot in common which mainly focuses on being able to understand what the mission of the organization is, what the internal and external influences are, as a strategic plan drawn up and what the organizational and developmental issues are resulting? On them will select the main strategic objectives, (Burkhart & Reuss, 1993; Pfeiffer et al., 1986; Roberts & Rowley, 2004).

**1.2 Strategic planning in Higher Education**

In recent decades there has been a change in the composition of Higher Education. A change associated with the rising cost of Higher Education, increased competition, public accountability, advances in technology, the development of distance education, massive open on-line courses (MOOCs), the demand for quality education, assessment but also student accessibility and satisfaction (Immordino, Gigliotti, Ruben, & Tromp, 2016).

In fact, the need for change in higher education in Greece was already visible from the mid-1970s, when rapid economic, demographic, technological and social developments, pushed non-profit organizations, including universities to adopt a strategic plan similar to that used in business (Goldman & Salem, 2015).

Other times the change is mandatory for the survival of the institution and other times it done voluntarily with the aim of improvement. In both cases, of course, the institution must be able to support this change, taking advantage of the medium and long-term opportunities, and adjust its policy appropriately to achieve the best possible results in the future.

But for an institution to support and implement change, it must have the right tools. An institution's strategic plan and action plan are some tools that can achieve change (Kohler, 2014).

We will refer to the concept of "plan". According to Kohler, "design" can be a holistic, abstract image of an object, such as a map or the design of a building, or a holistic, systematic projection of goals, purposes and processes. The second meaning of the term "plan" refers to the activities that must carry out in the present for a specific issue-problem, but looking to the future.

However, knowing that the project is an abstract concept, it should be note that within the foundation, the content of the project should not only be visible and clear, but should also gather the support of interested members of the foundation (Kohler, 2014). The involvement of stakeholders in the step-by-step process of strategic planning development on the one hand helps to achieve the desired result

strengthens through participation and collectivity the concept of "ownership" of strategic planning by the community.

But how does the concept of strategy relate to higher education institutions? We can use Clausewitz's definition, proposed two centuries ago, to argue that strategy is the coordinated use of various activities, each of which is part of a holistic perspective designed to realize the foundation's vision. Crisp (1991) defined strategic planning in higher education as the set of activities designed to determine the future direction of an institution and include specific steps that will lead in that direction (Goldman & Salem, 2015).

Based on all the above and considering the fact that strategic planning is a response to economic changes, government regulations, changes in student attraction, competition between institutions and international pressures, we understand that the planning and implementation process has a major role for a higher education institution (Goldman & Salem, 2015). According to Tromp and Ruben, strategic planning is a complex process for most organizations.

Tromp and Ruben (2010) argued that strategic planning has seven important stages. The first includes the mission, vision and values of the foundation that determine the reason for the existence of the organization, determine its future and highlight the principles and perspectives that will guide and influence the day-to-day work of the foundation and its organizational culture. The second stage focuses on identifying stakeholders and identifies their needs, expectations, and levels of satisfaction. In the third stage, reference to the external conditions according to which the social, economic, regulatory, technological and cultural environment considered and evaluated, including potential challenges. The fourth stage, clarified the objectives according to the institution's goals. In the fifth stage, we define the strategic plans and action plans according to which there is a specific and detailed formulation of the ways and procedures that will follow for the realization of the plans. In the sixth stage, a statutory document draft that articulates the strategic plan and serves for the future direction of the organization. The seventh and final stage focuses on results and evaluation. It translates goals, strategies and action plans into obvious and effective measures that can be used in monitoring and evaluating design (Immordino, Gigliotti, Ruben, & Tromp, 2016).

We refer to the SMART approach of the strategic plan but also to the Key Performance Indicators (KPI). SMART analysis based on five specific characteristics of action plans and which are categorized based on the acronym SMART into specific goals, measurable goals, commonly accepted goals, (reasonable goals) and timelines (time-bound) goals (Kohler, 2014). Respectively, Key Performance Indicators are measurable goals that describe the process or results in relation to the goal and determine the time frame for achieving the goal (Goldman & Salem, 2015).

It is necessary to point out that in order for the strategic planning process to be successful, three urgent needs must emphasize. Directly related successful completion of strategic planning to leadership, communication, and evaluation.

Regarding leadership, it should note that defining leadership roles and responsibilities is essential to the effectiveness of a project. Regarding communication, without careful planning of communication, it is possible that organizational changes will not receive widespread support from the university community. For this reason, successful communication requires attention to each team that may be positively or negatively affected by the design process and the project objectives. Finally, in terms of evaluation, it is important to be there to monitor the progress of a project and evaluate its results. The evaluations made through the evaluation provide information for the development of new strategies and for the correctness and feasibility of the set goals. The above imperative needs to be considered during strategic planning, help to create a diverse leadership team consisting of members of the academic and administrative staff, students and other stakeholders, who will have deep organizational knowledge. In addition, a common sense of need for change develops, and it gained a historical continuity and consistency regarding the efforts made to change an organization and with the efforts that have made in the past and can influence current initiatives.

The design process is open to all so that those involved in it feel a commitment to it and the idea of ownership developed by all members of the institution involved in the process to avoid ignorance and

obstruction. Finally, thanks to the evaluation, the resources required for implementing the strategic planning are estimate (Shields, Scroby & Knight in Kohler, 2014).

## 2. MATERIAL AND METHODS

The reality in Greek higher education changed in 2019 after the publication of law 4610/19." *Synergy of Universities and T.E.I, access to higher education, experimental schools, General State Archives and other provisions".* After many decades, the two poles of technology education and university education came together .

The entire process characterized as a synergy between the institutions but these are multiple procedures that differ from case to case and no specific model followed for its completion. We can find the following cases:

A. Technological institutes merge to form a University

B. A small University absorbs a large Technological Institute. (Case of University of Western Macedonia).

C. A Large University Institution in which no change has taken place (case of AUTh).

D. Small universities are merging with larger ones.

This restructuring completely changed the map of Higher Education in the country.

In 2019, there were 19 university institutions and 13 technological educational institutions in total 32. After 2019, the country has 24 Higher University Institutions.

According to the explanatory memorandum of the competent Ministry of Education, the need for this kind of restructuring of higher education in the country arose because of the now changing numbers of the international environment, the speed of technological developments, the intense mobility of increased competition worldwide and the strengthening of higher education to play an important role in all of this.

Thus, it was necessary to overcome some basic pathogens of the past and to redefine its role in order to success the challenges posed to the economic and social development of the country. The solution of the total reorganization of Higher Education chose, with a view to the future and with a vision of the creation of new strong Institutions that will include with claims in the international academic map.

Universities were invited in a brief time to organize their architectural structure and to capture the strategic planning. The difficulties they had were mainly with the priorities and the unique characteristics of each institution.

The main source of our material was the website of the Ministry of Education and the website of the Greek Parliament. We will also draw material from the sites of the universities.

It should be noted that the speed of developments has led universities to make strategic plans without yet being ready to absorb the impact of change.

So what we are mainly looking at is how they moved in order to meet the obligation. And whether it will be necessary in a short time to redefine their designs using powerful and reliable tools.

### 2.1. The case of University of Western Macedonia

The University of Western Macedonia was founded in 2003 and until 2019 had 2 Schools and 6 departments in two cities of the Region of Western Macedonia. With Law 4610/2019 (Government Gazette 70/A/07.05.2019) the University of Western Macedonia merge with the Technological Institute of Western Macedonia, which consisted of 5 Schools and 11 Departments. Today, the University of Western Macedonia has 7 Schools and 22 Departments, in 5 cities of the Region of Western Macedonia.

Under these new circumstances of particular difficulty, the university must find the formula to combine unfamiliar elements from the former technological institute, must draw up the strategic plan for the coming years.

**2.1.1. Vision and Mission**

The vision of the University of Western Macedonia is its development into an important reference institution for Greek and European science and culture. Relying on excellence, its academic completeness and the knowledge produced in it, it envisions to gain a high position in the world ranking of university institutions and to become an institution of substantial support of economic, social and cultural creation at local and national level.

The mission of the University of Western Macedonia is the promotion and consolidation of knowledge and progress for the academic community and the society. The mission of UOWM refers to the following three thematics: a) Education - Research - Culture, b) Economy - Development c) Fair, responsible and d) open society.

**2.1.2. Components and stakeholders**

The stakeholders in the activity and development policy of the University are: a. Student community and graduates, b. Academic and Scientific Community c. Society and Institutions, d) The state and the Local Government. e) The world of business and the Economy. Strong and special is the desire to meet the expectations of the local community and the Greek state during the transition from the lignite to the post-lignite era of the Region of Western Macedonia. Also known as the transition process. University Institutions can play an important role in this effort, mainly through the triptych “education, research and innovation”. Especially in areas where the private sector is less developed, such as the region of Western Macedonia, the University can become a central pillar of development.

**2.1.3. Swot Analysis**

The position of the Foundation is certain to have changed significantly because of implementing Law 4610/2019, which does not allow comparison with previous evaluations. Also, the present analysis avoided using indexes of previous years of the University of Western Macedonia (ETHAAE (ADIP)) and comparing them with the average of Greek universities, as they refer to a previous situation, where the size of the Institution was about 1/3 of the current one. The estimates presented in the analysis are empirical estimates of informants (Deans, Heads of Departments and Directors) without quantitative weight.

**Internal environment**

Strengths

1. Medium-sized and flexible university Institution

2. Sufficient number of faculty members with satisfactory research work and international recognition, competitive compared to the work of other respective Institutions

3. Internal procedures in order to upgrade the quality of the educational-research project and the operation of the Foundation

4. Opportunities for collaborations with other Institutions and bodies of the country and abroad and participation in research networks and projects

Weaknesses

1. Geographical and institutional handicaps with implications for educational and research work

2. Internal organizational and administrative deficiencies and malfunctions

**External environment**

Opportunities

1. Ability to cultivate effective synergies with local institutions, local society and economy

2. Ability to find new financial resources and prospects for improving state funding.

3. Possibilities to increase the attractiveness of U.O.W.M. because of its geographical location and its policies

Threats

1. The macroeconomic environment and pursuit central policy pose, in many cases threats,

2. Competitive threats in the market of educational services

**2.1.4 Strategic lines and Strategic targets**

The strategic lines that define the future orientation of the U.O.W.M. There are three (3) and they refer to the competitiveness, the developmental character and the cultural mission of the Foundation. These strategic axes include ten (10) strategic objectives:

1st. Quality Assurance Policy of the Foundation

2nd Upgrading of the educational process

3rd Strengthening and promoting research

4th. Excellence - Functional support of the student community

5th Improving the attractiveness and internationalization of U.O.W.M.

6th. Search for resources, Improvement of services and infrastructure of U.O.W.M.

7th. Risk management

8th. Responding to the recommendations of previous evaluations

9th.Support of Western Macedonia in the post-lignite era-Interconnection of U.O.W.M. with the Economy.

10th. Supporting Culture & Networking with Society

The strategic objectives, which derive from the strategic lines, pursue through the development of functional quality objectives. These goals pursue through specific actions that are implemented in existing times.

An example of an action to record and achieve a goal is given. Strategic Objective 4, Line 1 (Competitive University), in order to understand the way of action.

QUALITY OBJECTIVE ACTIONS 4.1. (Promoting excellence in the educational process)

4.1.1 Institutionalization of student scholarships excellence at undergraduate and postgraduate level.

4.1.2 Offer incentives and opportunities to postgraduate students with excellent performance (2nd and 3rd cycle) for an academic career.

4.1.3 Centers of excellence and linking research with education.

QUALITY OBJECTIVE ACTIONS 4.2. (Organization and improvement of student care)

4.2.1 Improvement of student welfare infrastructure (housing and food) in all cities where the U.O.W.M. operates.

4.2.2 Improving the accessibility of the disabled in the structures of U.O.W.M. in all the cities that operate and care for their technical facility (elevators, reading systems, hearing).

4.2.3 Improving services that support students' leisure and living (sports facilities, entertainment and communication facilities, canteens).

4.2.4 Attendance by students of programs and services offered by municipalities (learning dances, cultural activities, etc.), in order to be integrated in the areas where they study.

4.2.5 Consultation with the local government and local bodies for the concession - utilization of buildings that will help in the student's improvement life, as well as for the improvement of the means of transport.

4.2.6 Benefits of basic student care for students of the 2nd and 3rd cycle of studies based on specific criteria and the financial possibilities of the Institution.

QUALITY OBJECTIVE ACTIONS 4.3. (Enhancing student employability)

4.3.1 Strengthening the institution of the internship of the students of U.O.W.M.

4.3.2 Part-time employment of undergraduate and postgraduate students in services and functions of U.O.W.M. (libraries, catering, farm, etc.), either through 2-hour or 4-hour employment, or through contractors who provide services to the Foundation (catering, canteens).

4.3.3 Sending every 15-day newsletter of the career and office with the labor market of U.O.W.M.to the alumni associations and active students of PDM, with part-time or full-time jobs in the State, the local authorities, and in companies of Western (mainly) Macedonia.

QUALITY OBJECTIVE ACTIONS 4.4. (Indications supportive applications for students)

4.4.1 Development of institutional support services for the students of U.O.W.M..

4.4.2 Support and enhance a culture of gender equality.

4.4.3 Staffing and improvement of the operation of first aid stations for the students of U.O.W.M. in all the cities where it operates.

4.4.4 Operation of counseling and psychological support services for the students of U.O.W.M.. in all the cities where it operates.

4.4.5 Providing incentives for the establishment of associations of all graduates of U.O.W.M.. and link to the Foundation’s website.

QUALITY OBJECTIVE ACTIONS 4.5. (Promoting excellence in Art and Culture)

4.5.1 Awards and scholarships for excellence in Art and Culture, for undergraduate and postgraduate students who distinguish in their studies.

**2.2. The case Of Aristotle University Of Thessaloniki**

The vision of AUTh is AUTh to become an Excellent Public University with International Radiation

The mission of the Aristotle University of Thessaloniki, which will carry out with the goal of fulfilling the vision, is to offer the highest level of education, in an environmentally friendly and accessible university, to produce internationally recognized research and to contribute to its economic and social development country.

The AUTH strategy refers to 3 words “Excellent”, “Public” and “International Radiation”.

**2.2.1 Strategic Architecture**

The formation of the AUTh strategy follows an algorithm, the strategic architecture. Strategic architecture, the building of strategy, answers the basic question of where and how it will go where the organization wants to go in this case the AUTh.

In the strategic architecture of AUTH the vision “Excellent” and “International Radiation” measured and also set as goals: quantitative and temporal.

The questions that arise for AUTH the answer to which will determine the formulation of its strategy are:

What is the time horizon of the new strategy of AUTh?

Is the AUTh willing to commit to a long-term strategy that will be followed by the next rectory authorities?

The benchmark for “Excellent” are the international rankings?

Is the target for “International Radiation” a percentage of foreign students and teachers?

**2.2.2 Swot Analysis**

**Internal environment**

Opportunities - Challenges

1. The networking of world society
2. The freedom of access through the internet throughout the corpus of scientifically coded knowledge (publications, patents, etc.) make knowledge a quasi-public good.
3. The world middle class is expected to reach 2 billion people by 2025.
4. The demand for university education.
5. The creation of the Single Higher Education Area
6. EU research support programs (Horizon)
7. The Erasmus Mundus programs,
8. EU support programs (eg Cohesion Fund, EIB) and other EU institutions can cover part of the declining public funding
9. The increasing demands of the private sector for new technology and innovation.
10. The position of the Aristotle University of Thessaloniki in Thessaloniki and in the wider region and the Balkans

Risks – Threats

1. The exponential speed of change
2. The global trend of declining government funding
3. Institutional and legislative framework
4. The decreasing funding.
5. The economic situation of the country that is not expected to improve in the next period.
6. The new landscape of higher education after the mergers
7. The increasing state intervention in the operation of the universities

**External environment**

Strengths

1. Large university with a wide range of scientific fields
2. The multiplicative capacity of the Aristotle University of Thessaloniki in terms of global knowledge
3. Interest groups (positive)
4. The high quality research potential
5. High level teachers
6. High quality students

7. Quality undergraduate and graduate programs
8. The location of the Campus in the city center
9. The complete network infrastructure and one of the most advanced digital services in the country
10. The wide range of services offered that support educational, cultural and social activity
11. Well-organized Research Committee
12. Continuous interaction with the city and society
13. The international network of inter-university collaborations.
14. Experienced and competent administrative staff

Weaknesses

1. Organizational culture.
2. The organizational model of AUTh
3. Interest groups (negative)
4. The slow pace of renewal of undergraduate programs
5. The "tired" building stock, which to a large extent has not been adequately maintained
6. The aesthetic reception of the campus
7. Lack of interdepartmental courses and programs
8. The reduction of human resource's
9. Large ratio students to teachers

**2.2.3 Strategic Plan**

With the strategic development plan, the strategic vision is linked to strategic goals and defines specific, measurable and achievable results in the key areas. Thus, target values, indicators, deadlines set, in each sub-category of the educational, research and administrative activities of the Aristotle University of Thessaloniki, as well as in its extroversion and social response actions.

The main strategies and goals of AUTh are reflected:

1. Academic Development Strategy

1.1. Continuous modernization of the academic organization

1.2. Modernization of Undergraduate study programs

1.3. Competitiveness in Postgraduate programs

1.4. Lifelong learning programs

1.5. Quality and excellence in education

2. Research Strategy

2.1. Convergence of AUTh research to the respective leading Universities internationally

2.2. Increase research funding

2.3. Balanced support for all forms of research (basic / applied / humanities and social sciences)

2.4. Promoting quality and excellence

3. Organizational Development Strategy

3.1. Strategic management

3.2. Organizational and administrative modernization

3.3. Modern Human Resource Management

3.4. Improving daily operation

4. Strategy for Economic Development

4.1. Modernization of financial management

4.2. Optimizing the utilization of ELKE resources

4.3. Optimization of the utilization of the property of AUTh

4.4. Optimizing the utilization of bequest property

4.5. New sources of funding

5. Building and Spatial Infrastructure Strategy

5.1. Installation of all academic units in privately owned buildings

5.2. Utilization-modernization of building and technological infrastructures

5.3. Optimizing the use of educational infrastructure

5.4. Utilization of other infrastructures

6. Strategy for the Environment

6.1Reduction of the environmental footprint of AUTh

6.2. Aesthetic and architectural upgrade of the campus

7. Internationalization Strategy

7.1 International dimension in education and research

7.2. Optimization of the participation of AUTh in international networks

7.3. Optimization of AUTh collaborations with foreign universities

8. Social Strategy

8.1. Promoting innovation and entrepreneurship

8.2. Dissemination of research results

8.3. Optimization of the participation of AUTh in networks of institutions

8.4. Opening of the campus in the city

8.5. Creating networks with the Greek community

8.6. Creating networks with graduates

9. Student Welfare Strategy

9.1. Development of a model for the management of students' housing needs

9.2. Optimization of services

9.3. Office for the Coordination and Development of Sports and Cultural Student Activities

9.4. Development and implementation of a model for the provision of health services to students and members of the AUTh community

9.5. Development and implementation of a service delivery model for the disabled

**3. RESULTS AND DISCUSSION**

From the above data we could say that both Universities, despite the basic differences in their characteristics, basically use the model Strategic Planning in Higher Education Framework of Tromp & Ruben, in terms of the mode of action and the Swot analysis on which based on their overall design, combining of course elements from other models. However, we should not ignore the fact that in Greece the strategy of HEIs based on the planning and suggestions of the Central Government. A feasible strategic planning should primarily be based on the concept of autonomy, so that universities can devise on their own the strategy that suits their particular character and mission. However, if modern legislation allows it, the first important concern of the institutions is to secure the funds, both public and private, required for their smooth and uninterrupted operation.

Therefore, it is logical and predictable that the attempt to compile strategic plans in the same way by two so different institutions will not have the same results for both. Of course, where they differ are the priorities they set.

The next step should be to introduce innovations using new technologies in order to improve the financial situation of universities and reduce their costs. After the funds secured, the spatial restructuring of the university infrastructure should proceed in order to reduce the multi-dispersion of financial resources, but also to create a modern, comfortable and functional environment that meets its expectations. teaching staff and student-researchers. and stakeholder groups, (Gianzina-Kassotaki Olga & Kassotakis Ioannis, 2013).

The goals set by both Universities are quantitative and qualitative. However, efforts to control the performance of these objectives do not appear to be structured on a specific method. Quantifying the result and how the objectives will be measured is what is required. Through the experience of the business sector, methods could be used that with specific modifications can be adapted to the needs of higher education.

But the success of the strategy does not depend only on the correct use of individual tools. The proper goal must be to create a functional connection between the tools. Strategic planning, implementation and control are best served if they allow the institution to reflect on its development and learn about the future (Sigrun Nickel, 2011).

In this direction Benchmarking is a very useful tool of private management that is increasingly used in the business world, achieving impressive results. An extremely interesting challenge is the implementation of Benchmarking in the public sector, following the stream of public management (Keehley et al, 2008). The practice of Benchmarking could be decisive for the increase of the efficiency and the modernization of the functions of the Universities in the development of their strategic plans. Techniques, methods and functions can be an example to be imitated for some appearances of the Public Universities. Costs that may have a deterrent effect on implementation at a University can be covered as an investment, to increase efficiency in the future.

Another suggestion is to apply the Balanced Scorecard method. The Balanced Scorecard is a widely used method to diagnose and improve on an organisation's performance. It is a management tool that translates an organisation's mission and strategy into a comprehensive set of performance measures that provide a framework for a strategic management and measurement system (Rompho, N.,2008). Robert S. Kaplan and David P. Norton introduced the concept of the balanced scorecard (BSC) (1992)

with four main conventional perspectives: 1) Financial Perspective–Are we meeting the expectations of our Shareholder? 2) Customer Perspective–Are we delighting (or at least satisfying) our customers? 3) Learning and Growth Perspective–Are we prepared for the future? 4) Internal Process Perspective–Are we doing the right things?

The BSC Balanced Scorecard in Universities can be a tool for coordinating the activities of the academic and non-academic departments of a university and the mechanisms of budgeting and target agreements (Küper, 2013). The aim of the concept is to overcome the shortcomings of traditional performance measuring systems, which rely only on financial outcomes (Pietrzak et al., 2015).

**4. CONCLUSION**

Recognizing that higher education is an area characterized by a range of objectives, a diversity of stakeholders and particular forms of governance, strategic planning could be defined as a "tool" to provide guidance on the future decisions that each higher education institution wishes to take in order to meet the demands of modern society.

In what has already mentioned, a comprehensive strategic planning must have at the core of its interest the vision, the mission and the values of the institution (or the program), as these define its reason for existence, but also its identity. Universities are facing an ever-changing environment, that of globalization, demographic change, the sweeping penetration of information technology and new technologies in teaching, but also economic austerity.

For this reason, it is now imperative for institutions to change their organizational structures, to develop a solid financial base, to gain efficient operational structures, to introduce innovative processes, to use new technologies as the key factor in facilitating the learning process, while attracting high level educational and research staff (Friga et al 2003). In this way, universities will increase their quality in teaching and research, while becoming competitive in the modern, globalized environment of higher education (Hawawini 2005; Veugelers and van der Ploeg 2008).

In recent years, higher education institutions have embarked on one form or another of strategic management. Too often the results are below expectations. Mainly because models are usually copied without being appropriate. More than business, strategic management of higher education should address the specific organizational characteristics of the sector. To see what is really important for strategic decision-making in universities, we need to start with benchmarking by looking at specific decision-making cases and setting achievable goals.

It is sure that the Greek Universities, especially those that faced a huge change in their physiognomy, will be called quickly to adapt the Strategic Plans.Their strategic plans are in constant consultation until their final form. The effort is continuous, and the field is of significant research interest for the future.

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# Which factors affect the attitude of consumers to use intelligent information systems to reduce the ecological footprint?

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**Abstract:** This study presents information on the determinants of consumers' attitudes towards the use of intelligent information systems resulting in a reduction of the ecological footprint, in order to motivate companies to adopt practices to increase their profits. The empirical analysis is based on the estimation of binary logistic regression models. Four subsets of independent variables were used in this empirical analysis, namely: (i) demographic factors, (ii) economic variables, (iii) payment mood, and (iv) variables related to environmental awareness and various incentives. Empirical results show that environmental knowledge, the intention to pay extra money and the reduction of vehicle use in order to reduce the ecological footprint are the statistically significant factors. In addition, the intention of the respondents to pay more for foods that use technologies to reduce ecological footprint, is gender, educational level, but even in this case is the knowledge of the environment. All these are tools for the management of a company to implement the information systems in order to reduce the ecological footprint as a whole but also to increase their consumers.

**Keywords:** consumer attitude, information systems, ecological footprint, information systems applications, intelligent information systems and consumer

## 1. INTRODUCTION

The continuous degradation of the natural environment, the reduction of natural resources and the general degradation of the quality of life of the individual comes, among other things, from the reckless use of energy and natural resources. Global environmental problems today have become enormous and CO2 emissions are constantly increasing, and this has the effect of increasing the ecological footprint deficit in Greece (http://data.footprintnetwork.org/). Ecological footprint, means the area of productive land, drinking water and sea, which are needed to re-produce the natural resources consumed in the designated unit (man, city, country, etc.) and to carry out waste management produced, provided the technology. (Rees & Wackernagel, 1996)Also, there is a rapid development of technology and information systems and this may be a tool to help with the problem. According to (Laudon & Laudon, 2014) in 2012, in America, organizations spent over $ 540 billion on shielding and upgrading Information Systems, which means that these technologies are widely used today. Therefore, the purpose of the study is to present what are the factors that influence the attitude of consumers towards the use of intelligent information systems resulting in a reduction of ecological footprint.

The goal of this research goal is to find the variables that determine consumer behavior to reduce its ecological footprint. First, a literature review was conducted for research on practical applications of information systems technologies, then a questionnaire was compiled and then the data were analyzed in order to draw conclusions. A very brief reference will then be made to the studies studied. In the past, studies have been done with various information systems techniques to reduce the ecological footprint. In 2009 Ilicet. all, (Ilic, Staake, & Fleisch, 2009) aimed to demonstrate how the use of information systems, specifically the use of sensors, can help control vulnerable products with the ultimate goal of reducing greenhouse gas emissions. They carried out an experiment in Switzerland, taking strawberries as vulnerable products, in order to prove the reduction of the carbon footprint in the retail supply chains. The research shows that the use of sensors can reduce gas emissions, reduce waste, but also provide better management during the transportation of products, and by extension the ecological footprint.

Also in the food sector, Singhet et all 2015, showed that the use of information systems, and in particular the use of the Cloud, can help reduce the ecological footprint. (Singh, Mishra, Ali, Shukla, &

Shank, 2015) According to research, beef has high emissions of greenhouse gases (slaughterhouse, processing, sale, supply chain) as well as methane and nitrous oxide gases. The researchers propose an integrated system using Cloud Computing (CCT) technology, where all those interested in the beef supply chain can measure and minimize carbon emissions at the end, with some additional output and use of infrastructure. In the field of transport through the use of GIS, can help educate and influence consumers to help reduce the ecological footprint of a city by addressing issues such as housing, urban planning and transport. Schatz, et al., 2013 showed that reducing the ecological footprint of a community can be achieved after considering this process as a long-term investment program, as well as the use of GIS can create sustainable communities. In addition, Andersen, et. all 2013, reported in their research that using GPS can reduce fuel consumption. Eco-guidance allows drivers to use the most environmentally friendly routes and is effective in reducing vehicle emissions.

Regarding consumer behavior, according to Gordon, et all, (2021), their research there are specific frameworks that shape consumer behavior to choose a product. Regarding the product itself, the characteristics that influence the choice are its brand and price, however, there are other factors related to its selection. One factor is product differentiation, information and learning history. Other factors are the elasticity of consumer demand, the core value of brands, as well as individual differences in consumer market patterns, as well as existing laws. (Gordon Foxall, 2021)

## 2. METHODOLOGICAL ISSUES AND DATA

The research provides some insights into the determinants thatinfluence consumers' attitudes towards the use of information systems to reduce the ecological footprint, using a set of cross-sectional data from Greece. We carried out a survey of 100 consumers, from December 2019 to January 2020, using the random stratified sampling method.So in order to examine the attitude of consumers towards the use of information systems to reduce their ecological footprint, it should essentially be examined whether they are willing to pay or "suffer" more, motivated by environmental protection through the reduction of ecological footprint. Data analysis was performed through the econometric SPSS program. The questionnaire was divided into three parts. In the first part there were the demographics, in the second part there were questions about the knowledge they had about ecology, but also whether they were willing to either pay more money for products that use information systems, or to reduce vehicle use through various measures that could be implemented by the information systems and the third part was about energy saving issues.

## 3.RESULTS AND DISCUSSIONS

Empirical results are based on the estimation of the following expanded probit specification for a consumer's willingness to pay more money for food which using technologies reducing ecological footprint (i) and (ii) have positive attitude towards the use of technology in order to reduce the ecological footprint.

$$plhromi = b_1 + b_2Age + b_3gendre + b_4income + b_5trito + b_6positiv + b7Gclima + b_8goikoapot + b_9simprog + u_i$$

$$positiv = b_1 + b_2Age + b_3gendre + b_4\ income + b_5trito + b_6Gclima + b_7plhromi2 + b_8Redcarco0 + u_i$$

Where: plhromi is a dummy variable accounting for 1 the consumer is willing pay more money or foods that use ecological footprint reduction technologies and zero otherwise; Age is the respondent's age; Gender is a dummy variable accounting for 1 if the respondent is female and zero if male; Income is the respondent's monthly private income in Euro; trito is a dummy variable accounting for 1, if the respondent has completed higher education and zero otherwise; positive is a dummy variable accounting for 1 if the respondent has positive in the using of technology in order to reduce the ecological footprint and zero otherwise; Gclima is a dummy variable accounting for 1 if the respondent knows the term climate change and zero otherwise; oikoapot dummy variable accounting for 1 when the respondent knows the term ecological footprint and zero otherwise; simprog is a dummy variable accounting for 1, if the respondent would participate in environmental information programs and zero

otherwise; Redcarco0 is a dummy variable accounting for 1, if the respondent would limit the use of the vehicle in order to reduce emissions and zero otherwise; and u is an error term.

### 3.1 Descriptive Statistics

From the sample of 100 consumers in question, 48% were women and 52% were men. The mean age of the sample was 46 years with a maximum age of 83 and a minimum age of 18 years, 27% had completed higher education. The average net monthly individual income of the participants was € 607, with zero minimum income and a maximum of € 1400.

Some notable statistics were the following. Only 22% knew "what is the ecological footprint", while 20% would pay more to buy fruit that uses technologies to reduce its ecological footprint and 27% would pay more to buy beef in the same category. All of this shows that consumers are still not well informed and there is a gap in the market. For transportation, 65% used a passenger car for their transportation. For the incentives to reduce the use of the car by the respondents, 51% would limit the use of a car in order to reduce emissions, 92%, would limit the use of a car if a tax was imposed, while only 40%, would limit the use of a car if there was a reduction in road taxes due to non-use of a car. Finally, only 36% would choose a longer route if you knew it would have fewer environmental impacts. That is, it shows that the imposition of an environmental tax is the strongest incentive at the moment. A possible explanation is that, consumers are not environmentally aware. Finally, when asked if they would be given the opportunity to participate in an environmental awareness program on the ecological footprint, only 43% answered in the affirmative.

### 3.2. Probit regression analysis

Several interesting results were obtained from the empirical estimation of Eq. Table 1 summarizes the empirical results of the logit equation's estimated coefficients with respect to consumers willing pay more money or foods that use ecological footprint reduction technologies, and Table 2 summarizes the empirical results of the logit equation's estimated coefficients with respect to consumers has positive in the using of technology in order to reduce the ecological footprint. Statistically non-significant variables were omitted from model I and the final results are presented in Model II.

Table 1: estimated coefficients with respect to consumers willing pay more money or foods that use ecological footprint reduction technologies

| | Model I | Model II |
|---|---|---|
| Constant | 1,241 | 1,797 |
| age | 0,125* | 0,105 |
| gender | -5,949* | -6,332** |
| trito | 8,058*** | 7,979*** |
| income | -0,371 | |
| Gclima | 7,613** | 7,107** |
| goikoapot | 7,061** | 7,427** |
| positiv | -5,158** | -4,780** |
| simprog | 2,598* | 2,183* |
| | | |
| -2 Loglikelihood | 36,009 | 36,366 |
| Cox&Snell $R^2$ | 0,554 | 0,552 |
| Nagelkerke $R^2$ | 0,404 | 0,402 |
| *Note: ***, **, *, represent levels of significance at 1%, 5% and 10%, respectively* | | |

Table 2 estimated coefficients with respect to consumers has positive in the using of technology in order to reduce the ecological footprint

| | **Model I** | **Model II** |
|---|---|---|
| **Constant** | 22,912 | 1,156 |
| **age** | 0,093* | 0,084** |

| | | |
|---|---|---|
| **gender** | -2,664* | |
| **income** | -1,486* | -1,038* |
| **trito** | -20,232 | |
| **Gclima** | 6,228** | 4,781** |
| **plhromi2** | 2,011** | 3,037* |
| **Redcarco0** | 0,093 | 1,038** |
| | | |
| **-2 Loglikelihood** | 22,299 | 23,837 |
| **Cox&Snell $R^2$** | 0,260 | 0,247 |
| **Nagelkerke $R^2$** | 0,487 | 0,448 |

***Note: ***, **, *, represent levels of significance at 1%, 5% and 10%, respectively.***

As follows from Table 1, gender is a statistically significant factor and especially women's will pay more money. This result is in line with previous studies. Moreover, people who have high educational level are more likely to pay more money. This obviously has to do with access to information, as well as updating them. Also, this confirms that those respondents said they know what climate change was likely to spend more money and those who knew the term ecological footprint. Similarly, both variables are related to the knowledge of the respondents, as well as those who would participate in an environmental information program, were more likely to pay more money. The paradox is that those who say they have a positive attitude towards the use of technology in order to reduce the ecological footprint, are more likely to pay extra money. The results show that the fact of a positive attitude does not contribute, but stronger incentives must be given so that consumers can turn to alternatives.

Continuing on the second regression, the second model showed that as consumer's age, they are more likely to have a positive attitude towards the use of technology. This may be related to the previous regression, where it was found that as the age increases, the ecological footprint decreases. As with previous findings, those with knowledge of climate change were more likely to have a positive attitude. The importance of consumer knowledge about the ecological footprint has become apparent. Even people who would limit the use of their vehicle in order to reduce the ecological footprint were more likely to have a positive attitude. Opposite results were obtained with income, namely, as the income of the respondents increased they were less likely to have a positive attitude towards these technologies, however those who would pay more for eco-food were more likely to have a positive attitude towards the use of technology with to reduce the ecological footprint.

## DISCUSSION AND CONCLUSIONS

This paper has focused on providing information on the factors that determine consumers' intention to use intelligent information systems technologies to reduce their environmental footprint so that businesses can adopt practices to increase profits. The study presents both practices that have been studied so that businesses can adopt so that they can reduce their footprint, as well as different consumer characteristics so that they can target specific promotional practices in order to attract them. In particular, empirical results, concerning the characteristics of consumers, suggest that, the factors that influence the intention of the respondents to pay more money for the purchase of food that uses technologies to reduce the ecological footprint are gender, educational level, but even in this case it is knowledge. It is therefore very important to stress that in order to reduce the ecological footprint; measures related to both informing and educating consumers on environmental awareness must be taken. The factors that influence the attitude of the respondents regarding the use of information systems technology in order to reduce the ecological footprint are age, income, environmental knowledge, intention and the reduction of vehicle use in order to reduce the ecological footprint. Therefore, as it turns out, it is very important to have targeted actions both for each age group separately and depending on the background of ecological consciousness of each individual. However, a point of consideration is centered on the fact that results are based on consumer intent. Thus, a limitation of this study is that the conclusions are based on consumer's stated preferences.

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# The Principle of Confidentiality In International Arbitration

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**Abstract:** The principle of confidentiality is diametrically opposed to the principle of publicity, as a generally accepted principle in court proceedings. Confidentiality in arbitration proceedings is practically stated as one of its most significant features and advantages over court proceedings.

The aim of this paper is to examine the principle of confidentiality in international commercial and international investment arbitration. In this context, the author will try to answer the following questions: What is meant by confidentiality in arbitration proceedings? Is there a fundamental difference between the confidentiality and the privacy of arbitration? What does confidentiality involve? What are the future trends of the principle of confidentiality in arbitration proceedings?

For the purposes of this paper, several methods will be applied: normative analysis method, comparison, analogy, and case law method.

**Keywords:** confidentiality, commercial arbitration, investment arbitration.

## INTRODUCTION

Confidentiality is one of the basic advantages of arbitration proceedings and perhaps one of the main reasons why parties choose to arbitrate. Confidentiality is a widely accepted concept by national and international institutional and ad hoc arbitration. As Mr. Justice Brooking, in *Esso Australia Resources* v. *Plowman,* pointed out: *"I think we should recognize a rule of law that it is an implied term of arbitration agreements (which the parties may exclude if they choose) that arbitrations should be heard in private in the sense of the absence of strangers as just defined unless the parties consent to the presence of a stranger."*[1]

According to El-Awa, confidentiality means that access to arbitration information and documents is limited to a number of persons who need to access it for the purpose of the arbitration, regardless of their number, and denying this access to third parties, save for with all parties' consent.[2] El-Awa states that confidentiality as a legal duty may be analyzed into five distinct elements: (a) its addressees; (b) the items (information/documents) covered by the obligation; (c) the time frame within which the obligation stands; (d) exceptions to this obligation, and (e) the consequences of breach.[3]

On the contrary the principle of publicity in court proceedings, according to Janevski and Kamilovska and Garašić, is realized through the following elements: (a) the presence of the citizens in the procedure before the court; (b) announcing the composition of the court; (c) publishing court decisions (d) publishing reports on the work of the courts; (e) publishing the remarks on the work of the court and (f) the possibility to review and rewrite documents.[4]

An agreement on confidentiality might cover, for example, one or more of the following matters: the material or information that is to be kept confidential (e.g. pieces of evidence, written and oral arguments, the fact that the arbitration is taking place, identity of the arbitrators, content of the award); measures for maintaining confidentiality of such information and hearings; whether any special procedures should be employed for maintaining me confidentiality of information transmitted by

[1] Michael Collins QC, Privacy and Confidentiality in Arbitration Proceedings, Arbitration International, volume 11 number 3 LCIA 1995, p .323.
[2] Mariam M. El-Awa, Confidentiality in Arbitration - The Case of Egypt, Springer International Publishing, Switzerland 2016, p.15
[3] *Ibid., p.17*
[4] Mirjana Ristovska, Natasa Pelivanova, The Application of the Principle of Publicity in Macedonian Procedural Law, Conference Proceedings, Volume I. Faculty of Law, Kicevo, 2020, p. 252

electronic means (e.g. because communication equipment is shared by several users, or because electronic mail over public networks is considered not sufficiently protected against unauthorized access); circumstances in which confidential information may be disclosed in part or in whole (e.g. in the context of disclosures of information in the public domain, or if required by law or a regulatory body. [5]

As for example, a typical confidentiality clause might say: "*All aspects of (such) arbitration shall be conducted in the strictest confidence, and each party agrees not to disclose any information concerning any dispute or arbitration hereunder to any person except as may be required by law or this Agreement."*[6]

In this context, additional question arises: is there a difference among the concept of confidentiality and the concept of privacy in arbitration?

Richard Smellie gives an interesting answer to this questions. Namely, he claims that arbitration is private, but not confidential: arbitrations are private in that third parties who are not a party to the arbitration agreement cannot attend any hearings or play any part in the arbitration proceedings. Confidentiality – which is concerned with the parties' obligation to each other not to disclose information concerning the arbitration to third parties (and the arbitrator's like obligations to the parties) – does not apply to arbitration as an all-encompassing rule, and indeed in some circumstances will not apply at all. [7]

In the opinion of Trakman, the implied relationship between privacy and confidentiality has several competing features. One feature is that, if the conception of privacy in arbitration is to have commercial and procedural efficacy, it ought to be implied that parties have a duty to maintain confidentiality. This duty is not unlike the implied duty that arises in litigation. Another conception of the relationship between privacy and confidentiality is that the implied duty of confidentiality is inherent in procedure and arises out of long-standing custom and practice. This latter view holds that it is not privacy itself that provides protection from subsequent disclosure, but the efficacy of private arbitration.[8]

Privacy means excluding third parties from arbitral hearings. Only the arbitrators, parties to arbitration, their representatives and witnesses are to attend the arbitral hearings and to take part in the arbitration, save for with the parties' consent. [9] Consequently, confidentiality of arbitral proceedings, as opposed to privacy, does not refer to the ability of third parties to access and observe the proceedings without the consent of the disputing parties and possibly the arbitrator, but to the ability of the parties arbitrating, as well as others, to disclose documents and information used or related to the arbitration.[10]

Another interesting question is whether the concept of confidentiality is applicable in same manner in the investment arbitration as it is in commercial arbitration or there are some exceptions?

This issue is of particular importance, especially given the fact that "many investment arbitration cases involve public interest considerations that revolve around such issues as public health, the environment, and economic crises, and involve allegations of State misconduct and corruption making them often highly politicized and of direct interest to constituents."[11]

[5] Leon E. Trakman, Confidentiality in International Commercial Arbitration, Arbitration International Volume 18 Number 1, LCIA 2002, p.7

[6]https://www.lawinsider.com/clause/confidentialarbitration#:~:text=All%20aspects%20of%20such%20arbitration,by%20law%20or%20this%20Agreement

[7]Richard Smellie, Is arbitration confidential? Partner at Fenwick Elliott

[8] Opt.cit., p.8-9

[9] Mariam M. El-Awa, Confidentiality in Arbitration - The Case of Egypt, , Springer International Publishing Switzerland, 2016, p.15

[10] Kyriaki Noussia, Confidentiality in International Commercial Arbitration, Springer, 2010, p. 1

[11] Timothy Foden and Odysseas G. Repousis, Giving away home field advantage: the misguided attack on confidentiality in international commercial arbitration, Arbitration International, Oxford University Press, 2019, p.11

Trakman considers that exceptions to requirements of confidentiality are variously justified and they arise by agreement between the parties, through party practice and trade usage, or on account of express or implied legal duties.[12]

## LEGAL FRAMEWORK OF THE PRINCIPLE OF CONFIDENTIALITY

Nowadays, it is undisputable fact that there is no consistent approach regarding confidentiality in international arbitration. There are different legal solutions adopted by national laws and by institutional arbitration rules. Perhaps, the only common feature amongst the sources which deal specifically with confidentiality is that all leave a broad margin to party autonomy.[13]
The arbitration rules of London Court of International Arbitration (LCIA)[14] contain specific provision on confidentiality in article 30:

*"30.1 The parties undertake as a general principle to keep confidential all awards in the arbitration, together with all materials in the arbitration created for the purpose of the arbitration and all other documents produced by another party in the proceedings not otherwise in the public domain, save and to the extent that disclosure may be required of a party by legal duty, to protect or pursue a legal right, or to enforce or challenge an award in legal proceedings before a state court or other legal authority. The parties shall seek the same undertaking of confidentiality from all those that it involves in the arbitration, including but not limited to any authorized representative, witness of fact, expert or service provider.*
*30.2 Article 30.1 of the LCIA Rules shall also apply, with necessary changes, to the Arbitral Tribunal, any tribunal secretary and any expert to the Arbitral Tribunal. Notwithstanding any other provision of the LCIA Rules, the deliberations of the Arbitral Tribunal shall remain confidential to its members and if appropriate any tribunal secretary, save as required by any applicable law and to the extent that disclosure of an arbitrator's refusal to participate in the arbitration is required of the other members of the Arbitral Tribunal under Articles 10, 12, 26.6 and 27.5.*
*30.3 The LCIA does not publish any award or any part of an award without the prior written consent of all parties and the Arbitral Tribunal."*

Additionally, article 19 par. 4 from LCIA arbitration rules regulate the private character of arbitration:

*"All hearings shall be held in private, unless the parties agree otherwise in writing."*

International Chamber of Commerce (ICC) Arbitration Rules[15] also includes special provision on confidentiality. Article 22 par.3 provides that:

*"Upon the request of any party, the arbitral tribunal may make orders concerning the confidentiality of the arbitration proceedings or of any other matters in connection with the arbitration and may take measures for protecting trade secrets and confidential information."*

UNCITRAL Arbitral Rules (as revised in 2010)[16] contain implicit provisions on confidentiality, in article 28 and article 34:

[12] Leon E. Trakman, Confidentiality in International Commercial Arbitration, Arbitration International, Volume 18 Number 1, LCIA 2002, p.16
[13] Filip De Ly, Mark Friedman And Luca Radicati Di Brozolo, International Law Association International Commercial Arbitration Committee's Report and Recommendations on 'Confidentiality in International Commercial Arbitration', Arbitration International, vol. 28, no. 3 LCIA, 2012, p.359
[14] https://www.lcia.org/lcia-rules-update-2020.aspx
[15] https://iccwbo.org/dispute-resolution-services/arbitration/rules-of-arbitration/
[16] https://uncitral.un.org/sites/uncitral.un.org/files/media-documents/uncitral/en/arb-rules-revised-2010-e.pdf

*"28 (3) Hearings shall be held in camera unless the parties agree otherwise. The arbitral tribunal may require the retirement of any witness or witnesses, including expert witnesses, during the testimony of such other witnesses, except that a witness, including an expert witness, who is a party to the arbitration shall not, in principle, be asked to retire."*

*"34 (5) An award may be made public with the consent of all parties or where and to the extent disclosure is required of a party by legal duty, to protect or pursue a legal right or in relation to legal proceedings before a court or other competent authority."*

On the other side, UNCITRAL Rules on Transparency in Treaty-based Investor-State Arbitration[17] includes special provision for exceptions to transparency in article 7:

*"Confidential or protected information*

*1. Confidential or protected information, as defined in paragraph 2 and as identified pursuant to the arrangements referred to in paragraphs 3 and 4, shall not be made available to the public pursuant to articles 2 to 6.*

*2. Confidential or protected information consists of:*

*(a) Confidential business information;*

*(b) Information that is protected against being made available to the public under the treaty;*

*(c) Information that is protected against being made available to the public, in the case of the information of the respondent State, under the law of the respondent State, and in the case of other information, under any law or rules determined by the arbitral tribunal to be applicable to the disclosure of such information; or*

*(d) Information the disclosure of which would impede law enforcement.*

*3. The arbitral tribunal, after consultation with the disputing parties, shall make arrangements to prevent any confidential or protected information from being made available to the public, including by putting in place, as appropriate:*

*(a) Time limits in which a disputing party, non-disputing Party to the treaty or third person shall give notice that it seeks protection for such information in documents;*

*(b) Procedures for the prompt designation and redaction of the particular confidential or protected information in such documents; and*

*(c) Procedures for holding hearings in private to the extent required by article 6, paragraph 2.*

*Any determination as to whether information is confidential or protected shall be made by the arbitral tribunal after consultation with the disputing parties.*

*4. Where the arbitral tribunal determines that information should not be redacted from a document, or that a document should not be prevented from being made available to the public, any disputing party, non-disputing Party to the treaty or third person that voluntarily introduced the document into the record shall be permitted to withdraw all or part of the document from the record of the arbitral proceedings.*

*5. Nothing in these Rules requires a respondent State to make available to the public information the disclosure of which it considers to be contrary to its essential security interests."*

Convention on the Settlement of Investment Disputes between States and Nationals of Other States [18]does not contain explicate provision on confidentiality. Confidentiality is manifested through the article 48 par.5 that reads as follows:

[17]https://uncitral.un.org/sites/uncitral.un.org/files/media-documents/uncitral/en/uncitral-arbitration-rules-2013-e.pdf

[18] https://icsid.worldbank.org/sites/default/files/ICSID%20Convention%20English.pdf

*"The Centre shall not publish the award without the consent of the parties."*

Rules of the Permanent court of Arbitration attached to the Economic chamber of Macedonia[19] are similar to UNCITRAL Arbitral Rules in relation to confidentiality. Specifically article 58 par.3 provides that

*"The arbitral award may be published only upon accordance of both parties."*

## CASE LAW: ESSO AUSTRALIA RESOURCES LTD. AND OTHERS V. THE HONOURABLE SIDNEY JAMES PLOWMAN AND OTHERS

Esso Australia Resources Ltd and BHP Petroleum (North West Shelf) Pty Ltd were parties to an agreement with the Gas and Fuel Corporation of Victoria (GFC) made in 1975 for the supply of natural gas to GFC. A similar agreement existed between the suppliers and the State Electricity Commission of Victoria (SEC) made in 1981. BHP Petroleum (North West Shelf) Pty Ltd subsequently assigned its rights and obligations under the 1981 agreement to BHP Petroleum (Bass Strait) Pty Ltd. Esso/BHP sought price increases under the agreements, and upon GFC and SEC refusing to pay the increases, the disputes were refer-red to arbitration. The Minister for Manufacturing and Industry Development commenced a proceeding in the Supreme Court of Victoria for a declaration that all information disclosed to GFC and SEC was not subject to any obligation of confidence. By counterclaim, Esso/BHP sought declarations, based on implied terms, that each arbitration **"is to be conducted in private and that any documents or information supplied by any of the parties to any other party thereto in or for the purpose thereof are to be treated in confidence as between each such party and the arbitrators and umpire except for the purpose of the arbitration"**. GFC and SEC made cross-claims against Esso/BHP for declarations in the same terms as those sought by the Minister.[20]

In this case, the High Court explicitly held that under Australian law a general obligation of confidentiality cannot be regarded as implicit in an agreement to arbitrate. While acknowledging that privacy is an inherent feature of arbitration (in the sense that hearings are not open to the public), the Court held that confidentiality is not an

*"essential attribute of a private arbitration imposing an obligation on each party not to disclose the proceedings or documents and information provided in and for the purposes of the arbitration*

nor part of the *'inherent nature of a contract and of the relationship thereby established."* The Court did, nevertheless, acknowledge that an obligation of confidentiality could be imposed on the parties through express contractual provision.[21]

Considering the privacy of arbitration, the Court ruled as follows:

*"Subject to any manifestation of a contrary intention arising from the provisions or the nature of an agreement to submit a dispute to arbitration, the arbitration held pursuant to the agreement is private in the sense that it is not open to the public. One writer has asserted that total privacy of the proceedings is one of the advantages of arbitration (5). The arbitrator will exclude strangers from the hearing unless the parties consent to attendance by a stranger (6). Persons whose presence is necessary for the proper conduct of the arbitration are not strangers in the relevant sense. Thus, persons claiming through or attending on behalf of the parties, those assisting a party in the presentation of the case, and a shorthand writer to take notes may appear (7). It does not matter much whether this characteristic of privacy is an ordinary incident of the arbitration, that is, an incident of the subject-matter upon which the parties have agreed, or whether it is an implied term of the agreement. For the most part, the authorities refer to it as an implied term. But, for my part, I prefer to describe the private character of the*

[19]https://www.mchamber.mk/upload/Rules%20of%20the%20Permanent%20court%20of%20Arbitration%20attached%20to%20the%20Economic%20chamber%20of%20Macedonia%20-%20unofficial%20consolidated%20text.pdf

[20] https://jade.io/article/67885

[21] Filip De Ly, Mark Friedman And Luca Radicati Di Brozolo, International Law Association International Commercial Arbitration Committee's Report and Recommendations on 'Confidentiality in International Commercial Arbitration', Arbitration International, vol. 28, no. 3 LCIA, 2012, p.364-365

*hearing as something that inheres in the subject-matter of the agreement to submit disputes to arbitration rather than attribute that character to an implied term."*[22]

Taking into consideration the confidentiality, the Court was of the view that:

*"As the statement just quoted makes clear, the efficacy of a private arbitration as an expeditious and commercially attractive form of dispute resolution depends, at least in part, upon its private nature (9). Hence the efficacy of a private arbitration will be damaged, even defeated, if proceedings in the arbitration are made public by the disclosure of documents relating to the arbitration. As one text writer has observed (10):*

*"There would be little point in excluding the public from an arbitration hearing if it were open to a party to make public, for example in the press, or on television, an account of what was said or done at the hearing. It is suggested that a party would be entitled to an injunction to restrain the other party from such publication. And the same principle must apply to the arbitration as a whole, including the pleadings or statements of case, expert reports or witness proofs that have been exchanged, as well as to evidence given orally at a hearing."*[23]

## CONCLUSION

Confidentiality and privacy are particularly important features of arbitration as an alternative dispute resolution mechanism. Although the principle of confidentiality is not uniformly regulated by legal norms, it is a universal concept and synonym for arbitration proceedings.

The private nature of arbitration is an indisputable fact. Confidentiality, on the other hand, depends on the party autonomy. Therefore, the principle of confidentiality reflects the contractual nature of the arbitration.

Today, the hybrid theory of the legal nature of arbitration is generally accepted. This means that arbitration has contractual and jurisdictional elements. However, confidentiality also applies in the jurisdictional part of the arbitration under the parties will autonomy.

Therefore, it can be concluded that will autonomy of the contracting parties creates the balance between confidentiality and transparency in the arbitration proceedings.

Although the principle of publicity is one of the elements of the rule of law, confidentiality in arbitration is one of the basic elements for its efficient functioning and acceptance.

In this regard, I consider that transparency in international investment arbitration should dominate in terms of confidentiality, especially if the public interest in the country is affected.

Generally speaking, the principle of confidentiality is an integral part of the arbitration process and it will be applied in the future, with some minor modifications.

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[22] Paragraph 27

[23] Paragraph 28

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https://jade.io/article/67885

# The Latest Trends and Future Prospects For The Main Agricultural Sectors

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**Abstract:** Agriculture in is faced with increasing challenges and problems. Some of them we cannot control: world economy, climate change, weather extremes, abandonment of rural areas. What we can control is our capacity to work and our ability to overcome the health and safety problems with which we are faced.In this paper the OSH approach and performance in Bulgaria is discussed in the context of the wider EU approach to OSH and Agriculture and Rural Development policy. The demographics identified in agriculture in Bulgaria and across the EU, with an aging and generally untrained labour force, places distinct challenges to improving OSH within the sector and to the achievement of the EU 2020 Strategy and "Food Harvest 2014/2020" in Bulgaria

**Key Words:** partnership agricultural sector of Bulgaria

## 1. INTRODUCTION

Agricultural experts expect an increase in grain harvest in 2021, both in Europe and in the Black Sea region, which includes Bulgaria, Romania and Ukraine.

Wheat is expected to increase by 2% to a record 790 million tons, and the amount of corn will jump by nearly 5% to over 1 billion tons, which will also be a top achievement.

Grain consumption is expected to increase by 2.5% to over 2 billion tonnes. London analysts argue in their forecast with the growing need for cereals for human food, feed and industrial use.

This means that despite the record harvest, stocks in the largest exporting countries will increase by only 1 million to 144 million tons, mainly in the form of corn. The largest exporters of this crop are Argentina, Brazil, Ukraine and the United States. Leaders in wheat are Argentina, Australia, the European Union, Canada, Kazakhstan, Russia, the United States and Ukraine. The short-term outlook for EU agricultural markets in 2021 concludes that the EU agricultural sector is showing resilience during the Covid-19 crisis. The sector has performed relatively well thanks to increased retail sales and domestic consumption. In addition, the outlook is favorable with a dynamic global demand and resumption of food services (restaurants, bars, cafes), expected once the vaccination campaign is sufficiently advanced.

## II. LITERATURE REVIEW

In structural terms, the transitional period has affected negatively the Bulgarian processes prestruktuiranje farms, their production orientation. In structural terms, the Bulgarian agriculture is characterized by you see a group of farms with a specific specialization:

A large group of small farms , mostly in animal husbandry and horticulture, the production of products with weak market potential and orientation.

Relative a group of large, improved substantially reserves, production activities, mainly in grain production and other cultures

A particularly strong influence on the development of production structures and podotrasli in the economy after 2007 has the current framework of the Common agricultural policy single payment on the surface , which provides different levels of support to these groups. This leads to a deepening of differences in development is the creation of products, performance, profitability, opportunities for prestruktuiranje and modernization.

Structural and commodity imbalance myspreadsheet the overall competitiveness of philarmoniada. In conditions of open market economy and globalization is becoming increasingly difficult to realize the existing potential of the industry production for which it has favourable conditions and traditions, and to

maintain food security in the country from internal resources. It is, after all, creates serious difficulties for processing facilities, which can not realize fully the potential high konkurentosposobnost because of the lack of quality raw materials.

This imbalance is amplified by the fact (according to INE, 2008) that the population in rural areas in the period 1972 – 2004. decreased from 1 million people, and then to 2008. with more than 180 000, and in relation to 2007.with 0.4%. The main factors of the declining population in rural areas have a negative natural increase and migration from rural to urban areas. The reasons for this were universal , but they are mostly serotta, income, infrastructure, health and education.

In this respect GSP for the period 2014-2020 reveals some opportunities, especially for small farms and areas unfavorable for agricultural activity conditions.

In this context, one of the most difficult problems to solve remains the question of whether the individual farms and small farmers (especially in hilly and mountainous areas) , whose production is expected to be linked to the creation of specific products (boutique and traditional) agriculture. In this respect GSP for the period 2014-2020 reveals some opportunities, especially for small farms and areas unfavorable for agricultural activity conditions.

## III. THE LATEST TRENDS AND FUTURE PROSPECTS FOR THE MAIN AGRICULTURAL SECTORS

### 1. Polish cultures

Prices of all major cereals have risen, in line with global prices. World grain consumption is also expected to increase, mainly from the demand for animal feed. EU cereal production could reach 295.2 million tonnes in 2020/21, up 5.3% from last year.

Total oilseed production in the EU is expected to increase by 3.4% compared to last year and reach 16.7 million tonnes in 2021/22, despite severe weather conditions. As regards protein crops, production increased by 7.9% in 2020/21. In 2021/22, it may increase by a further 5.2%, mainly from domestic demand for food.

EU sugar production has reached a 5-year low, selling 14.4 million tonnes in 2020/21. This decline is mainly due to the widespread yellowing of the sugar beet crop in France. However, consumption must remain stable, leading to a reduction in stocks.

Fig 1. European Organization of Traders in Cereals



Good purchase prices of wheat will not be repeated this year, according to analyzes of experts in the production and trade of cereals. The levels of BGN 390-410 / ton of wheat, which together with the subsidies under all measures supporting agriculture provide an excellent yield, are about to be reduced in 2021.

The main reason for the expected lower wheat prices are data from the European Organization of Traders in Cereals, Oil Seeds, Vegetable Oils and Meal (COCERAL), which forecasts an increase in the grain harvest in the Member States of the European Union this year. from 5.2 million tons compared to 2020 to 283.48 million tons.

The largest growth is expected in the wheat harvest in France - 36 million tons, with realized 29.2 million tons of yields in 2020.

The forecast for Germany reaches 23 million tons out of 21.9 million tons, while for Poland a slight decline to 11.05 million tons from 11.9 million tons is forecast. EU wheat yields in 2021 are expected at 5.82 tonnes per hectare compared to 5.75 tonnes per hectare last year. The sown areas with cereals are projected to expand to 21.7 million hectares from 20.6 million hectares last season.

Data for the UK are given separately for the first time since leaving the EU, with soft wheat production rising to 14.9 million tonnes after last year's extremely weak 9.5 million tonnes. Yields are expected to increase to 8.2 tonnes per hectare from 6.96 tonnes per hectare last season. The experts of the trade organization also envisage a significant expansion of the sown areas with wheat in Great Britain this season to 1.8 million hectares from 1.3 million hectares last season.

For maize, EU production is estimated to grow to 63.5 million tonnes, compared to 62.3 million tonnes harvested last year. A richer harvest is expected in France - 14.2 million tons compared to 13.4 million tons in 2020, in Romania - 11.7 million tons compared to 9.6 million tons last year, and in Bulgaria - 3.8 million tonnes compared to 3.5 million tonnes in 2020. At the same time, for some of the main producers of cereals in the EU, a decline in the harvest is forecast - up to 7.3 million tonnes from 8.3 million tonnes in Hungary, up to 5.8 million tonnes out of 6.1 million tonnes in Italy, up to 3.4 million tonnes out of 3.8 million tonnes in Germany and up to 4.1 million tonnes out of 4.2 million tonnes in Poland. The average yield of maize in the EU is projected to increase to 7.23 tonnes per hectare from 7.08 tonnes per hectare in 2020, but with a slight contraction of the area to 8.78 million hectares sown last season 8, 81 million hectares.

COCERAL analysts also forecast an increase in the harvest of oilseeds in the EU this year to 29.6 million tons from 28.4 million tons in 2020. The estimate for all three major crops is for production growth - up to 16.5 million tons of 16 million tons of rapeseed, up to 9.9 million tons of 9.2 million tons of sunflower and up to 3.1 million tons of 3.07 million tons of soybeans.

## 2. Specialized crops

In 2020/21, olive oil in the EU could reach nearly 2.1 million tons, which is 10% more than in 2019/20. Following an increase in 2020, EU consumption may continue to increase by an additional 3% in 2020/21. Thanks to this growth and the expected stable exports, olive oil prices can continue to recover.

As regards the wine sector, EU wine production is expected to remain stable at around 158 million hectoliters in 2020/21. Domestic use may increase by 2% due to "other uses" such as crisis distillation. With exports expected to increase, these developments could lead to a reduction in wine stocks and a better market balance for the sector.

Apple production in the EU remains stable for 2020/21 and amounts to 11.5 million tonnes. With increased consumption at home during the Covid-19 pandemic, per capita consumption of fresh apples is expected to remain high at an average of 15.4 kg. per person.

The production of oranges in the EU 2020/21 amounted to 6.6 million tons and was 8% higher than the previous year. After high demand for fresh oranges in 2020, consumption is expected to remain high in 2020/21 at 12.9 kg per person

### 3. Milk and milk products

EU milk production is expected to increase by 1% in 2021, thanks to increased yields, while the number of dairy herds is expected to continue to decline.

Consumption of cheese and butter in the EU may increase, in particular from the reopening of food services, and retail sales must remain higher than before Covid-19. In terms of production, EU cheese is expected to absorb 21% of the additional milk produced in 2021.

Consumption of fresh dairy products is expected to decline after the peak in 2020, but is likely to remain above pre-Covid-19 levels.

### 4. Meat

Beef production in the EU fell by 1.2% in 2020 and is expected to continue to decline by an additional 0.9% in 2021, despite a recovery in demand in the second half of 2021, suggesting a gradual opening of restaurants and the return of tourism.

As regards the pigmeat sector, production increased by 1.2% in 2020 due to exports. However, after two years of impressive growth, exports will decline as the Chinese pork sector slowly recovers from African swine fever (ASF). This will lead to slightly lower production in 2021 (-0.7%).

In 2020, poultry production in the EU increased by 1% and is expected to maintain similar growth in 2021 (+ 1%). The sector has been affected by avian influenza, found in 18 EU countries, along with the closure of food services due to Covid-19, which also weighs on the market. However, a slight recovery in exports should be observed in 2021, with export bans (related to bird flu) expected to be lifted gradually.

Sheep and goat meat production in the EU increased by 2% in 2020. However, production is expected to decrease by 1% in 2021 due to a decline in herd size and less slaughter on farms in Romania and Bulgaria. Lower availability of sheepmeat on the domestic market could lead to higher prices in the EU.

## IV. CONCLUSIONS

Good purchase prices of wheat will not be repeated this year, according to analyzes of experts in the production and trade of cereals. The levels of BGN 390-410 / ton of wheat, which together with the subsidies under all measures supporting agriculture provide an excellent yield, are about to be reduced in 2021.

The main reason for the expected lower wheat prices are data from the European Organization of Traders in Cereals, Oil Seeds, Vegetable Oils and Meal (COCERAL), which forecasts an increase in the grain harvest in the Member States of the European Union this year. from 5.2 million tons compared to 2020 to 283.48 million tons.

The largest growth is expected in the wheat harvest in France - 36 million tons, with realized 29.2 million tons of yields in 2020.

The forecast for Germany reaches 23 million tons out of 21.9 million tons, while for Poland a slight decline to 11.05 million tons from 11.9 million tons is forecast. EU wheat yields in 2021 are expected at 5.82 tonnes per hectare compared to 5.75 tonnes per hectare last year. The sown areas with cereals are projected to expand to 21.7 million hectares from 20.6 million hectares last season.

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# The Pavıdemıa Kovıd -19 And Macroeconomıc Consequences

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**Abstract:** The Kovid-19 pandemic has dealt a severe blow to the world economy. No country was left without serious consequences, which were reflected in very slow economic growth. The publication provides a historical overview of the pandemics that humanity has gone through since the 14th century. In addition to the hundreds of thousands of victims who take pandemics, there is a dependency that shows that a long period of economic recovery is needed after each pandemic. What are the medium- and long-term effects of pandemics? How are they different from other economic disasters? Based on the historical approach, following the major pandemics since the 14th century and observing the levels of return on assets, it is concluded that the macroeconomic consequences of pandemics have been going on for decades. Real rates of return have been significantly suppressed, in stark contrast to what happens after a state of war. The fidelity of the neoclassical model of growth is proved: capital was destroyed during wars, but not during pandemics. Pandemics can cause relative labor shortages and / or shifts to higher levels of savings. The most pronounced macroeconomic consequences are the prolonged retention of low interest rates, accompanied by long-term stagnation of the macroeconomy. At the same time, there is an increase in wages. In such a context, the role of governments in financing various measures aimed at strengthening macroeconomic stability is growing.

**Key words:** pandemic, medium and long-term effects of pandemics, macroeconomic consequences of pandemics, neoclassical function and pandemic

## 1. Introduction

The impact of the COVID-19 pandemic on economic activity from 2020 to now has been assessed by experts as the beginning of a deep economic and social crisis worldwide. Governments and economists hope that, despite the rapid and unprecedented collapse of production, trade and employment, it is possible to weaken these processes as the pandemic begins. Historical data provide evidence that long-term economic consequences can occur over a generation or more.

Such consequences are - the long period of low real interest rates, accompanied by long-term stagnation, which can also last two or more decades. In this fact there is a good trend - such long periods of low interest rates and production are associated with higher real wages. This creates ample opportunities for governments to fund incentives to address the economic losses caused by the pandemic. As I. Nikolova rightly emphasizes, "when conducting economic and financial policy in a country, especially when planning activities for future periods… the individual elements of these policies… are analyzed by the budget for a possible increase in the costs of implementing macroeconomic policies"[1]

It is noteworthy that so far the study of the economic consequences of the ongoing COVID-19 pandemic has focused on the short-term results of the mitigation strategy and facilitation. It seems to a lesser extent that strategic tasks are set for fiscal programs aimed at combating the pandemic. In our opinion, it is very important not to lose sight of what the economy will look like in the coming years and decades.

## 2. History of pandemics

If we look at previous pandemics, beginning with the Black Death in the 14th century[2], we can learn important lessons about the possible medium- and long-term economic consequences. Of course, when

[1] Nikolova, I. (2018) Valutniyat risk v ikonomikata. NBU, p.91

[2] The plague in the 14th century killed half of Europe's population and almost 10 percent of the world's population. This is the deadliest and first pandemic to affect almost every part of the globe. More than 20 million people die from the Black Death.

we draw conclusions based on historical trends, we must take into account a very important difference. Past pandemics, as well as the aforementioned "Black Death", have manifested themselves in times when virtually no one lived to old age. Taking into account the increased life expectancy, it is possible to identify important features in the current situation. For example, mortality from COVID-19 has been disproportionately strong, affecting older people more, who are generally already out of the active workforce and tend to save more money than young people.

When studying historical data, as a rule, an event that occurs in one country or one region is considered. Local results are monitored, for a maximum period of at least ten years. At the same time, when the pandemic erupts into very large ones, the consequences spread to the whole economy or to the whole region. There are at least two reasons for this:

- or because the infection itself is widespread,

- or because trade and market integration are ultimately spreading economic turmoil.

Interesting data are presented in their study by professors from the University of California Oscar Jorda, Sanjay Singh and Alan Taylor (2020). They have taken a global look at the macroeconomic consequences of the pandemic in a number of European economies. It is interesting and instructive to review the consequences of 15 major pandemic events, each of which led to the loss of at least 100,000 human lives - Table №1.

Table №1. Information on the victims of 15 world pandemics

| Pandemic | Begining | End | Number died |
|---|---|---|---|
| **The black plague** | 1331 | 1353 | 75 000 000 |
| **Italian plague** | 1623 | 1632 | 280 000 |
| **The Great Plague in Seville** | 1647 | 1652 | 2 000 000 |
| **The Great Plague in London** | 1665 | 1666 | 100 000 |
| **The Great Plague in Marseilles** | 1720 | 1722 | 100 000 |
| **First cholera pandemic** | 1816 | 1826 | 100 000 |
| **Second cholera pandemic** | 1829 | 1851 | 100 000 |
| **Cholera in Russia** | 1852 | 1850 | 1 000 000 |
| **World flu epidemic** | 1889 | 1890 | 1 000 000 |
| **Sixth cholera pandemic** | 1899 | 1923 | 800 000 |
| **Encephalitis pandemic** | 1915 | 1926 | 1 500 000 |
| **Spanish flu** | 1918 | 1920 | 100 000 000 |
| **Asian flu** | 1957 | 1958 | 2 000 000 |
| **Hong Kong flu** | 1968 | 1969 | 1 000 000 |
| **Swine flu** | 2009 | 2010 | 203 000 |

Source: Alfani and Murphy (2017) Taleb and Cirillo(2020) available at https://en.wikipedia.org/wiki/list_of_epidemics

Historical records show that the world has gone through at least fifteen severe disease pandemics and the average death toll is at least 100,000 for each pandemic.

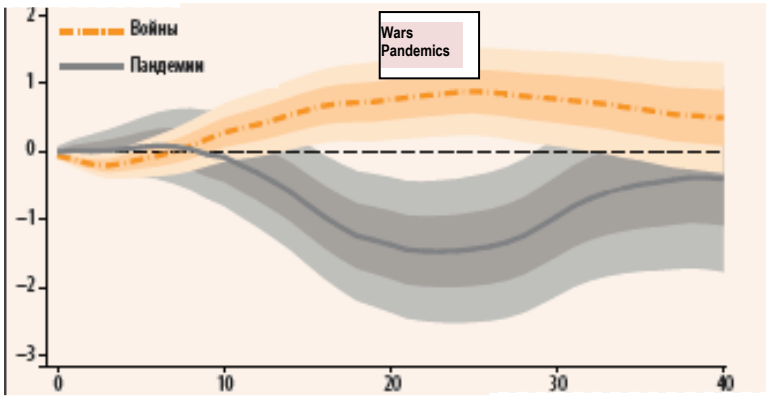
Using data on the profitability of long-term government debt dating back to the 14th century (Schmelzing, 2020), we can trace the response of the so-called real (net of inflation) natural interest rate in Europe after a major pandemic. Below, the term "natural interest rate" is simply used.

Economists speak of a natural or neutral interest rate as an equilibrium level that will allow the economy to grow at its potential rate when inflation is stable. In the long run, the natural rate of interest is determined by the relative demand and supply of borrowed funds by savings holders and borrowers.

The natural interest rate serves as an important economic barometer. For example, when the population prefers to postpone consumption and save, the relative supply of savings increases; when the rate of economic growth slows down, investment becomes less attractive - in both cases the natural interest rate decreases, restoring equilibrium.

Fig.1 Interest rates during wars and epidemics

real interest % in pandemic




years after the end of pandemic

Source: Jorda, Singh and Taylor (2020)

As it is shown in Fig.1, pandemics have a long-term impact on interest rates. About 20 years after the pandemic, the natural interest rate response has shifted down by almost 1.5 percentage points. In comparison, this decline is comparable to that which occurred from the mid-1980s to the present day. It has also been found that it takes another 20 years for the natural norm to return to its previous levels.

## 3. Consequences of epidemics

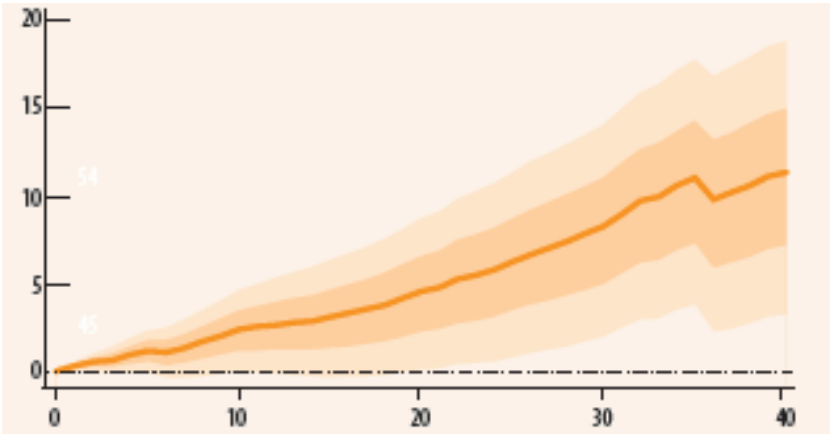
These results are indicators and illustrate the great economic impact of the pandemics observed in recent centuries. It is well known that after severe declines caused by financial crises, real safe interest rates, which are closely linked to natural interest rates, can remain low for 5-10 years (Jorda, Schularick and Taylor, 2013). But in this case the duration of the reaction is even more pronounced. The data presented in fig. 1 are in line with the well-known neoclassical growth model. Robert Solow and Trevor Swan first introduced the theory of neoclassical growth in 1956. The theory states that economic growth is the result of three factors: labor, capital, and technology. While the economy has limited resources in terms of capital and labor, the contribution of technology to growth is limitless. The loss of labor without the parallel destruction of capital leads to a balance of relative labor income and capital income.

The resulting pandemic decline in interest rates may also be exacerbated by increased savings from pandemic survivors. They are most often driven by a desire to maintain and stabilize their well-being or try to save, driven by the motive of prudence. If this explanation is true, then we must see a very different pattern resulting from a completely different type of historical event, which also leads to enormous human casualties. It's about the state of war. Like pandemics, major armed conflicts lead to the destruction of crops, land, buildings and equipment, generally speaking, to the loss of capital. For a more in-depth analysis, the initial estimates can be extended to include major military actions that cause heavy casualties, severe losses of land, buildings and other traditional forms of capital.

The results show quite emphatically that in times of war the relative loss of capital in relation to the labor force leads to a reaction of interest rates to rising rather than falling. This is shown in Fig.1. Wars, as a rule, lead to an increase in real interest rates for 30-40 years. If the neoclassical mechanism is correct, then this would be another aspect in which the consequences of a pandemic manifest themselves. To the extent that the labor-capital ratio decreases, the natural rate of interest rates must fall and the real wage must rise.

Fig.2 Sustainable economic growth

real salary in %




years after the pandemic

Source: Jorda, Singh and Taylor (2020)

In Fig.2 is illustrated the response to real wages under the influence of the pandemic. It shows the trend of how it gradually increases over the decades after the pandemic. After 40 years, real wages have risen by about 10 percent or more. These data illustrate a pattern that corresponds to the logic of neoclassical models of economic growth.

## 4. Factors for counteracting the decline in profitability

The major historical pandemics of the past millennium are, as a rule, associated with a subsequent low return on assets. If we evaluate them in terms of deviations in the natural interest rate, the results show that the pandemics were followed by long periods - over several decades - with reduced real interest rates. This may reflect a lack of necessary investment (due to excess capital and reduced labor), an increased desire to save (out of caution, greater uncertainty, or a desire to recover depleted wealth), or both.

If the historical trends that emerge from past pandemics emerge in a similar way after COVID-19, then long-term stagnation (Summers, 2014) will be a serious problem in shaping monetary and fiscal stabilization policy over the next two or more decades. .

There are at least three factors that are likely to weaken the decline in the natural rate of interest rates.

First, if current health and public health measures are more effective, the number of victims of COVID-19 relative to the general population may be less than the number of victims of some of the major pandemics in the past.

Secondly, COVID-19 mainly affects older people who are no longer engaged in the workforce and tend to save relatively more than young people, which is a remarkable difference from past centuries when people's life expectancy was shorter .

Third, active fiscal expansion to tackle the pandemic will have an additional impact on public debt growth. This in turn will reduce interest rates on savings and possibly put pressure on real interest rates.

## 5. Conclusion

In net terms, we still expect the period of low real interest rates to be extended (although this effect will be weakened by the factors considered). In this case, low real interest rates must provide governments with the budgetary space needed to actively mitigate the impact of the pandemic.

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# Complexity And Economics: Do We Need Next-Generation Systems Analysis Models?

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**Abstract:** For a long time now, social and political liberalism has been accepted as the desirable basis for societal organization. The economic theory has tried to adapt itself to this perspective and has developed sophisticated models to support the claim that individuals will self-organize into a socially desirable state. This position, however, has led to a view of the economic system that is divergent from the developments in other disciplines. While statistical physics, social psychology, and ecology have forged ahead with non-linear dynamics and complex interactions between individuals, economists have insisted on an analysis that is focused on "**optimizing behavior of fully rational and well-informed individuals in a static context and equilibria that result from that optimization**". This is a basic paradigm on which standard economic models and modern economic theory are built. Neoclassical economics is indeed a meta-theory that provides a framework in which many different approaches are possible. Ultimately, however, they all rest on the same assumptions of individualism, rationality, and equilibria. Besides, the constant appearance of economic crises shows that there are real problems with the analysis itself. While each crisis calls forth a new approach to economics, experience shows that inertia has ultimately prevailed among the scholars, and economics restores to the path that it was already following. Neoliberals removed the complexity from the real world and developed models that, by the method of comparative statics, allow for policy debate and policy choices. Without neglecting how far the economic thought has already brought us, the main point is that fundamental principles of rationality and general equilibrium do not precisely describe the reality. The new sciences of complexity can provide deeper understanding into the way groups of people behave when they (re)act together to shape the socio-economic system. This system is characterized by tipping points, non-linearities, asymmetrical relations, trade-offs, interlinkages and all other attributes of complex systems, making them difficult, if not impossible, to comply with the existing theory. But then again, do we need a generalized, coherent and simplified theoretical representation of the world? Not always! The policymakers would probably be better off if they adopt more eclectic and experimental approach driven by big data, artificial intelligence and machine learning. This paper provides an overview of the latest research on policy-making beyond neoliberalism.

**Keywords:** crisis, general equilibrium, prediction, networks, complex systems

## 1. INTRODUCTION

There is no doubt that recent events have led to the emergence of a new trajectory that goes far beyond the prevailing paradigm of growth driven by globalization. This has been seen in the new directions of American economic policy, Brexit and tensions in the European Union, China's rising position in the global economy, as well as the growing inequality in developed and even upper-middle-income countries. Additionally, many segments of national economies have been transformed by rapid technological change. The development of automation, especially artificial intelligence, is changing the number (and type) of jobs and the way they are organized, which in turn raises concerns about the "future of jobs". In a wide variety of sectors, transnational corporations, including digital platforms, have reached a point of an exceptional market power, highlighting questions about the economic and social impact they produce, as well as their implications for public policy (OECD, 2019a). At the same time, trade and investment continue to move south and east of the world as a result of the complex global production networks (World Bank & World Trade Organization, 2019). National financial regulations are hampered by the combination of a global financial system and novel financial technologies (Agénor & Pereira da Silva, 2019).

Whatever the situation, these challenges could have a profound impact. However, they come after a period in which many countries have much lower performance than those observed in the past. The size and effects of the 2008 Financial Crisis, accompanied by the absence of an early warning system, has greatly surprised the economics profession (Gertz, G. and Kharas, H. (eds) (2019). Obviously, the traditional treatment of environmental degradation and income inequality as externalities or marginal

market failure, the unrestricted pursuit of growth and consumption, and the claim that individuals left to their own will self-organize into a socially desirable state are part of the problem. There has been a steady rise in inequality, and thus a reduction in social cohesion and erosion of growth and prosperity. Many of the policies that have been implemented over the last decades have proved inadequate to improve economic and social performance. In an age where low interest rates and low growth rates seem to be quite enrooted - a phenomenon sometimes explained as a "secular stagnation" (Teulings & Baldwin (eds), 2014) - it appears that monetary policy alone is not able to produce a response. This, in turn, leaves very little room for policymakers to tackle another recession (The Economist, 2018). As the knowledge-based economy becomes more digital, and the divide between highly innovative firms and those lagging behind deepens, new approaches are needed to increase productivity and reduce inequality (OECD, 2019b).

In the run-up to 2008 Financial Crisis, the economic model (often depicted as “Washington Consensus”) was strongly determined by a specific form of economic analysis. Built around the orthodox version of ‘neoclassical’ economic theory, this model has assigned a priority to liberalized markets as a means of optimizing the economic well-being. The 2008 Financial Crisis was actually a wake-up call on the shortfalls of the traditional economic models. It has emphasized the need to observe the economic policy with more critical approaches and disclosed the limits of prevailing structural analysis tools to consider the key linkages, trade-offs and feedbacks. In fact, the crisis has sparked a debate on whether the current economic models and analysis can be incrementally improved (to integrate emerging knowledge and missing ideas - for example, by incorporating "limited rationality") or there is a need for a complete paradigm shift (Hynes, Lees & Müller (eds.), 2020).

This manuscript argues that economics will not be able to evade a radical move, primarily due to the fact that socio-economic system is swapping and self-organizing in a way that is very difficult, or even impossible, to conform with the existing theory. It is necessary to size the opportunity to develop a new understanding of the economy as an increasingly complex system that is continually evolving and is neither in, nor converging towards a steady state. Hence, forecasting cannot be rooted on extrapolation from the past or the analysis of behavior of an isolated ‘representative’ individual or firm (Hynes, Lees & Müller (eds.), 2020). Without pretending to neglect the farsightedness in the achievements of economic thought, our central motive is focused on the idea that the underlying principles of rationality and general equilibrium do not represent reality in exact terms. Notwithstanding the great knowledge about the mechanisms of growth gained by models of Solow (1956) and Ramsey (1928), the emphasis on homogenous agents makes the linkages between economic development and inequality significantly under-researched. What is required is a systems approach to integrate the evolution, emergence, tipping-points, interlinkages, synergies, trade-offs and other features of the systems. Hence, the next-generation systems analysis models need to better conform the real-world dynamics (e.g., social and behavioral heterogeneity) and thus, facilitate the assessment of systemic impacts and effectiveness of policies.

The rest of the paper is organized as follows. Section 2 summarizes the dominant economic paradigms and narratives. Section 3 outlines the need to embrace a transdisciplinary perspective, or a ‘complexity economics’ that is significantly different from traditional perspective of economics. Section 4 answers the question of what to expect from the next-generation systems analysis models. The last section concludes and recommends.

## 2. DOMINANT PARADIGMS OF ECONOMIC POLICY

Policy makers become quite intimidated when they have to think about a fundamental change in the way they create policy. But these changes have occurred twice before in the last century when two dominant schools were observed. The collapse of Wall Street in 1929 and the Great Depression contributed to establishing the Keynesian economics as a governing paradigm. This theory has offered better solutions in terms of economic recovery, while the economic policies of full employment have gained widespread support across the political ambit. This situation produced a wide range of government intervention in the markets and establishment of a welfare state. Nevertheless, during the 1970s the economy encountered a stagflation, that is a simultaneous occurrence of economic

stagnation and high inflation. Keynesian economic theory has failed to provide solutions to this problem, nor to offer explanations about the oil crisis and other shocks. Consequently, the Chicago School provided an alternative and a new paradigm of neoclassical economics (Hynes, Lees & Müller (eds.), 2020). The free market, or "neoliberal" model, developed by Milton Friedman and Friedrich Hayek seemed to provide a better economic analysis and more dynamic policy instructions.

For about thirty years up to the 2008 Financial Crisis, the dominant model of economic growth was based to a great extent on a certain form of neoclassical economic theory. In this context, there are relatively simple assumptions about the behavior of economic actors and the consequent implications for the economy as a whole. At the core of this theory is the assumption of "rational" economic behavior; individuals maximize their own utility, and firms try to maximize their profits. Hence, the "optimal" level of output and consumption (as well as wages and profits) would be attained in markets where there are as many competitive conditions as possible. In areas of labor market policy, international trade and financial markets, the dominant policy view is that markets should, if possible, be liberalized to rise their efficiency and accomplish the greatest overall benefits in output and welfare.

Most macroeconomic models before 2008 commonly assumed that households and firms behave in a homogeneous way and thus, they could be modeled as "representative agents" (Oxford Review of Economic Policy, 2018). Despite the possibility of frictions to individual markets, the economy, in the long run, tends to move towards an equilibrium state (under the usual assumption of full employment). By the way, shocks are considered to be exogenous, that is they come from outside the system. At the policy level, the neoclassical framework supported the view that high levels of government debt “crowd-out” private investment, so there should be a limited fiscal deficit, while monetary policy should be central to controlling inflation and managing aggregate demand (Goodfriend & King, 1997).

The social sciences outline these points of economic change as a "paradigm shift" - a period when old orthodoxy does not seem to provide a proper explanation or policy solutions to crisis-related conditions, and therefore a new approach is needed (Laybourn-Langton & Jacobs, 2018). At a time when more than a decade (after the global financial crisis) the world economy and most individual countries are facing multiple crises, probably, as the OECD will point out (especially through its New Approaches to Economic Challenges initiative): “the time is ripe for another such paradigm shift” (OECD, 2019c) - “A paradigm change centered on the idea of the economy as a complex adaptive system” (Hynes, Lees & Müller (eds.), 2020). This new approach will not only call for an appropriate theoretical framework, but also for a wider range of tools that will adequately reflect the outcomes of the current world.

## 3. TOWARDS A NEW NARRATIVE FOR A COMPLEX AGE

The outbreak of the latest coronavirus pandemic was actually a perfect example that we are not living in a linear world where actions bring about predictable reactions (Hynes, Linkov & Trump, 2020). Obviously, one of the greatest lessons from the crises is that the socio-economic system is rapidly evolving and moving further away from the old basic economic model. Any effort to "reform" the economy in a way that makes it similar to this model is unlikely to help. The framework that has dominated policy-making in the last few decades is no longer able to produce solutions to the challenges we face today. We need a much better analysis of the system as it is, and not as we would like it to be (Gertz & Kharas (eds), 2019). That's why complexity researchers, including Brian Arthur, Doyne Farmer, Ricardo Hausmann, Alan Kirman, and others, call for a faster transformation in economic thinking: “We believe that in order for economics to progress, it needs to fully embrace a transdisciplinary approach and modernize a number of its key concepts” (Beinhocker et al., 2019). The authors point out that what is commonly referred to as the "economy" actually represents “a highly complex, multilevel system that encompasses human biology, human behavior, group behavior, institutions, technologies, and culture, all mutually entangled in networks of nonlinear, dynamic feedback. Each of these levels in the system is subject to learning, adaptation, evolutionary, and coevolutionary processes, which means that the system is constantly changing, self-creating, and never at rest. These dynamics in turn create system-level emergent behaviors, including economic growth, inequality, and financial booms and busts. The whole system, in turn, is deeply embedded in the physical processes of our planet” (Beinhocker et al., 2019). To better ‘cope’ with this complex system,

the transdisciplinary approach of "complexity economics" differs markedly from traditional views of economics (Arthur, 2014). First, the complexity economics does not follow the concept of rational choice. While behavioral economics critique of a rational actor becomes mainstream (Naidu, Rodrik & Zucman, 2019), the economic modeling persists in applying the assumptions of rational choice. However, many empirical and experimental studies show that economic and political preferences are strongly affected by the moral and social considerations. Frequently, these preferences do not correspond to the standard economic views of self-interest and rationality. "**Homo sapiens** looks almost nothing like **homo economicus**. Instead of asocial, transactional, self-regarding utility maximizers, real humans are intensely social, highly cooperative, and other-regarding creatures who make decisions inductively, heuristically, mimetically, and through group reasoning" (Beinhocker et al., 2019). Second, complexity economics differs in its perceptions on heterogeneity. The traditional economy with its concept of "representative household / representative firm" completely misses the heterogeneity. In this context, issues such as economic inequality may have some importance in terms of social justice, but not for economic reasons. There has been a recent resurgence in inequality-related research, and many economists who address issues of inclusive prosperity have made significant contributions to this work. However, much of this work is based on empirical observation of the past, with researchers critically examining the question 'What happened?'. "Economics has yet to grapple with the harder question of how to integrate heterogeneity into its theoretical core and into the models used by policymakers to better answer the questions 'why did it happen?' and 'what do we do?'. In contrast, explicit modeling heterogeneity is central to the complexity economics agenda" (Beinhocker et al., 2019). Finally, the third difference lies in the systems-level view of the economy. That is to say, exempt for some non-traditional economists, 2008 Financial Crisis was by and large not predicted. The crisis has occurred endogenously from within the financial system, which runs counter to economic predictions that usually take only exogenous shocks disturbing the general equilibrium (Hynes, Lees & Müller (eds.), 2020). This would require a systems approach that represents a paradigm shift in economic thought and move towards network models, agent-based modelling, and machine learning.

## 4. WHAT IS TO BE EXPECTED FROM NEXT-GENERATION SYSTEMS ANALYSIS MODELS?

Statistical models often have the advantage of medium complexity, as such models explain directly the properties of aggregate economic variables. This approach has lost acceptance in recent decades since it may lead to uncertain results (as underlined by the Lucas Critique) (Lucas, 1976). However, statistical modeling persists as an important approach in constructing large-scale macroeconomic models and empirical research related to aggregate phenomena. Structural models represent a dominant approach to examine macroeconomic issues, especially through both types of general equilibrium models, such as dynamic stochastic general equilibrium (DSGE) and computable general equilibrium (CGE) models.

Next-generation systems analysis models need to better take into account the real-world dynamics (e.g., social and behavioral heterogeneity). This would help in representing the social dynamics and complex collective decision-making and thus, facilitate assessing the effectiveness and systemic impacts of policies. Mainstream modeling approaches often focus on stylized assumptions, but do so at the expense of the comprehensive behavior of modeled systems. Given the current computing power, data availability, and knowledge about the bounded rationality, it is tempting to somewhat relax the simplified assumptions of the mainstream models in order to better reflect the real events. One of the innovative dimensions is to integrate the prevailing modelling tools from different disciplines (e.g., environmental models with economic growth and trade models). This would help to extend the boundaries of modeled items and allow for a wider range of interactions that may disclose indirect vulnerabilities or strengths of policy interventions (Hynes, Lees & Müller (eds.), 2020). Additionally, opportunities to reinforce the modeling capacities beyond the integration of existing tools may include a range of new applications, innovative methodologies and tools in many important areas, such as (Hynes, Lees & Müller (eds.), 2020):

- *Multiplicity of agents with strategic interactions.* Evolutionary game theory can be applied to explain the behavior of agents pursuing their own interests by making strategic decisions based on the observation of other agents. Frequently, the consequent strategic interactions among agents lead to social dilemmas that are collectively known as the

"tragedy of commons". This phenomenon is highly relevant for managing the key challenges of many common goods on which humanity depends (for example, this approach has been applied to designing the innovative incentive systems for the protection of common goods and analyzing the institutional corruption threats (Lee et al., 2019)).

- *Bounded rationality, including consumption preferences and consumer choices.* Behavioral economics and agent-based models highlight and utilize the fact that individuals act in ways that are not entirely rational. For example, instead of acting independently (as already assumed in mainstream economics), people can make decisions based on the perceived or actual behavior of others. Agent-based models are developed on the assumption that numerous agents interact according to simple behavioral rules in a well-defined environment. Individual behavior, interactions, and changes in their structure can produce system dynamics (including high levels of complexity). Normally, agent-based models can only be solved through simulations, but increased computing power has made this approach feasible even for large-scale models. These and other simulation models are used in proposing instruments to decrease financial systemic risk (Poledna & Thurner, 2016), in analyzing transport systems and also in observing the interaction between the real economy and the financial system.
- *Complex interconnections and systemic risks*. Network theory shows that a system's structure, in the context of the linkages between its elements, is important in determining responsiveness to exogenous shocks. This theory also advises how to use information about an agent's position in the network in order to define appropriate policies and activities for that specific agent. Compared to the mainstream models that count on the simple or uniform interactions among agents, network theory provides an insight for more realistic relationships (for example, some agents in the network are better connected to others or have a central position in the network as a whole (Kostoska & Kocarev, 2019; Kostoska et al., 2020)). Given that the network structure determines the scope of shock transmission (Acemoglu et al., 2012; Acemoglu, Akcigit & Kerr, 2016; Kharrazi et al., 2017; Carvalho & Tahbaz-Salehi, 2019; Kostoska, Stojkoski & Kocarev, 2020), policy interventions can be designed to change this structure in order to obtain a desired result.

## 5. CONCLUSIONS

The growing complexity and interdependence have made the economic, health, cyber and other systems vulnerable to extensive, irrevocable, and cascading failure. There is no doubt that the system we encounter in economics is changing very rapidly, in part as a result of the conscious choice of its constituents, which in turn makes it much less predictable than biological or physical systems. The whole socio-economic system has almost nothing to do with what existed in previous centuries, and it is in vain to believe that there is a comprehensive framework based on 19th-century liberal principles that embodies the rules by which the system will function. Efforts to reform the economy in a way that resembles the old basic economic model will not help. The complexity of economy and uncertainty of future events require a paradigm shift in economics. As a matter of fact, there is no need to develop this paradigm from scratch. It is based on the modern science of complexity, neo-Austrian Economics, as well as the work of Keynes and Knight and certain aspects of cognitive psychology. This alternative paradigm emphasizes the importance of certain methods and analytical techniques, including narrative techniques, network analysis, nonlinear dynamics, evolutionary logic, historical analysis, (reverse) stress testing, etc. The integration of existing tools and the application of innovative methods will be extremely important in making new insights into policy actions (for example, they may help map out causal links that are not well articulated in traditional models, such as feedback between economic activity and natural resources). These enhanced modeling approaches are becoming increasingly viable, primarily as a result of the rising computing power that facilitates the solving of complex models or simulating the behavior of a large number of agents. Detailed models can be accompanied by stylized models that provide useful qualitative understanding and help strengthen the intuition and ability of researchers and policymakers to better understand the ways in which economic, social and environmental systems

behave and interact. However, despite the significance for next-generation models, the incorporation of social sciences and of heterogeneity among agents also imposes certain challenges. First, behavior is almost always specified according to a certain context, which in turn means that data requirements to quantify behavior are frequently too large and hard to generalize. Second, system-level properties can be extremely sensitive to detailed assumptions about the behavior, so the model makers must improve their understanding of those sensitivities and their consequences. Finally, the models must be formally validated on a routine basis, and this, in turn, may impose certain challenges due to a great uncertainty and lack of precision of the existing econometric tools. However, the increasing availability of significant data provides a solid base for calibrating complex tools, including network and agent-based models.

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# The use of social media in the time of COVID-19 crisis: The case of Slovak local self-government

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**Abstract:** Regarding the constantly growing importance of social media, public administration tries to find optimal solutions, which might help to increase the qualitative aspects of governance processes. The aim of this study is to analyze Facebook profiles of eight regional cities in Slovakia, focusing on the informational activities in the time of the COVID-19 crisis. The selected methodology aims to perform an in-depth content analysis of Facebook page usage in 2020. The main finding is based on the statement that selected group of Slovak regional cities have used their official Facebook pages to inform and to manage their citizens during the COVID-19 pandemic. This statement is also confirmed by the increased activity connected with sharing of posts during key periods of 2020 in the conditions of Slovak Republic, mainly the first wave of coronavirus in March and the mass testing of citizens at the end of October and the beginning of November. Another benefit of the article is also associated with fostering an interest in the examined issues of social media usage as a communication platform during crisis, which we hope might improve the quality of crisis management policies.

**Keywords:** public administration, city, social media, crisis management, COVID-19.

## 1. INTRODUCTION

Information communication technologies usage in the sphere of public administration is mostly discussed as important challenge of contemporary governance and the execution of public administration functions. Public administration is the key subject of contemporary governance processes. Simultaneously, the role of engaged public is irreplaceable in current democratic states governed by the rule of law. The benefits and threats of information technology implementation must be considered in parallel, weighing their consequences. Various positive, negative and contradictory impacts of information communication technologies and modern forms of communication can be discussed for a long time, but most of them relate to the fact that the role of information technologies is irreplaceable.

The widening access to modern technologies has laid the foundation for a qualitatively new meaning of information spreading by public administration. Simultaneously, the quality of information shared by public administration seems to be more important than in the past. Governments and the organizations of public administration are today disclosing more information than ever before (Porumbescu, 2016). Contemporary interaction between public administration organizations and citizens has been evolving from traditional conversation in the office to conversation on social media platforms, from traditional face-to-face to real-time online conversation or communication (Kowalik, 2021). Put differently, technological changes have opened new dimensions of fundamental aspects of democratic societies. Regarding the growing use of innovative and modern tools, public administration has started to use social media as an alternative and complementary communication platform. In this sense, the use of social media might be characterized as a crosscutting issue of contemporary governance. Public administration uses social media mainly to improve transparency and openness, as well as participation and engagement of citizens. Social media usage is also issue, which is currently discussed in its connection to pandemic situation caused by the COVID-19 disease.

The purpose of this study is to examine the use of social media as an informational platform for crisis management focusing on information shared about the COVID-19 disease by local self-government units in the Slovak Republic. More precisely, the paper is focused on the official Facebook page usage of eight regional cities in the Slovak Republic during 2020. Besides that, the article tries to provide theoretical and practical insight to the use of social media in the sphere of public administration in general and as an important part of crisis management.

The paper consists of three parts. The theoretical introduction regarding the potential of the social media concentrates its attention on the importance of social media and benefits of their usage, which relate to the use of social media by public institutions at all levels of governance. The second part examines selected aspects of social media usage in the conditions of regional cities in Slovakia, primarily informational activities of selected cities in the time of pandemic crisis and the intensity of Facebook usage during first and second wave of the coronavirus pandemic in the conditions of Slovak Republic. Regarding the findings the article ends with a discussion about the perspectives and limits of social media usage in the public administration during the crisis.

## 2. GROWING IMPORTANCE OF SOCIAL MEDIA IN CONTEMPORARY PUBLIC ADMINISTRATION

The use of information communication technologies in public administration, e-participation and engagement have mostly been discussed in their connections to social media in the last few years. Overall, social media are the phenomenon of last decade. Comparing to traditional websites, social media bring qualitatively different level of interactivity among users and official social media pages are also capable to reach broader public (Silva, Tavares, Silva & Lamairasde, 2019; Bregman 2012). Besides, social media are freely available and public administration organizations don´t need to build up expensive technological background. Social media, such as Facebook, Instagram, Twitter or YouTube, are platforms which have potential to connect billions of users and have ability to transform the way people are accessing, reading and spreading the information (Driss, Mellouli. & Trabelsi, 2019). Regarding the importance of social media in public administration the paper focuses on Facebook usage. Facebook is currently the most popular social networking site in the world (Mergel 2013; Shafritz et al. 2017). Public administration uses Facebook as a communication tool which could make communication with the public more effective (Lee & Reed 2015; Lev-On & Steinfeld 2015). Social media and their impacts on society continue to grow, and there is no evidence that this popularity is slowing or stopping (Siena et al. 2019; Toscano 2017).

The importance of social media was identified by governments as a tendency caused by their attractivity among various types of users across society. Users of social media can be distinguished into two groups, one user type with high intensity, platform preference and multiple functionalities usage, and the other user type with low intensity, no platform preference, and fewer functions of social media usage (Shwartz-Asher, Chun, Adam & Snider, 2020). The power of social media to connect people and information in real time is increasing the capacity of people to exercise power and mobilize into action, because many groups can be reached very easily, but on the other hand, they have the potential to split the persons living in one joint household (Miňová 2020; Sihi 2018; Lev-On & Steinfeld 2015; Bourgon 2011). Put differently, the use of social media and information included on social media pages affect merely each sphere of our society, especially patterns of behavior, hierarchy of values and opinions of individuals.

### 2.1. Impacts of social media on the execution of public administration functions

The importance of social media in public administration could simultaneously be identified in the daily execution of public administration functions. The use of social media is expected to contribute to the fulfilment of goals and imperatives, such as cost saving, quality of public services, citizen satisfaction, transparency, accountability, citizen participation or cooperation.

Regarding the courage of public administration organization to use social media the beginning of this journey is relatively simple. Specific groups of challenges can be identified in public sector, such as systematic challenges, organizational and cultural challenges, informational challenges, technological challenges, and legal challenges (Mergel, 2013). Public organizations could very easily create their official social media pages, but at least the following aspects of social media usage should be considered: social media policy with goals, tools and objectives, staff to make sure that content is up to date, the ability to protect and monitor the site to secure the site is not abused or hijacked (Shark, 2015). However, it is better to have fewer types of social media accounts and better interaction with community members than to engage in more types of social media with minimal interaction (Snead,

2013). The social media usage seems to be very simple and non-problematic. On the other hand, various risks and threats must be managed by the organization and administrators of social media pages. Simultaneously, the specific character of public administration must be considered. In this sense, specific contradictions need to be reconsidered: (1) the open character of social media versus the closeness of public organizations, (2) the self-organizing capacities of social media versus the focus of public administration on strict control, and (3) the horizontal character of social media versus the hierarchic structure in public administration (de Kool, 2014).

Obviously, some important challenges and discrepancies must be solved. Otherwise, the ideal of public administration, cooperating with the smart, digital and informed public through the modern technologies, would not be reached. On the other hand, we must agree with the opinion that citizens as fundamental aspect of information society is directly dependent on cyberspace with its own reality, which is their main arena for gathering of information (Župová, 2019). In this sense, social media represent key part of everyday life of dominant part of individuals in contemporary society of 21st century.

Regarding the need of a systematic approach the use of social media by public administration organizations should be based on a sophisticated strategy. Social media strategies need to be a part of a larger institutional framework for engagement policy that helps democracy work (Laforest, 2013). Besides, the core elements of social media policy include employees' access, account management, acceptable use, employees' conduct, content, security, legal issues, and citizens' conduct (Hrdinová, Helbig & Stollar-Peters, 2010). In this sense, social media activities need to be considered in wider circumstances. Social media strategies must be implemented in accordance with other crosscutting policies in public institutions.

Summing it up, the use of social media represents one of the biggest challenges of contemporary governance processes. On one hand, public administration organizations want to spread information to as many individuals as it is possible. On the other hand, citizens want information about the space and territory they live in as soon as possible. This can help citizens and governments, as partners, to be more informed, make socially responsible decisions and to transform governance system at the city, region or state level (Ručinská & Fečko 2020; Picazo-Vela, Fernandez-Haddad & Luna-Reyes, 2016; Bonsón, Royo & Ratkai, 2015). This interactive dialog is possible thanks to social media because social media helps to transform the role of citizen from a passive adopter to a co-creator of policies (Stamati, Papadopoulos & Anagnostopoulos, 2015). Finally, social media can be perceived as ideal platform to connect public administration organizations and citizens in real-time two-way interaction.

## 2.2. Social media as important communication platform in the time of crisis

Public administration organizations use social media to reach thousands of people in real-time at various levels of government and studies based on content analysis has increased in last years (Callejo-Gallego & Agudo-Arroyo 2019; Jukić & Svete 2018; Špaček 2018). The use of social media by various types of public institutions is mostly examined in the ordinary situations and mostly general aspects of sharing of information is the center of scholars´ attention. However, various existing studies focusing on social media crisis communication has changed thinking about sharing immediate information to public during the crisis (Coombs, 2015). Social media was used during various natural and man-made crisis situations, such as the wildfires in California (Sutton, Palen & Glocka, 2008), the 2010 Haiti earthquake, and Hurricane Sandy (Preston & Stetler, 2012), organizing of civil society protests (Valenzuela, Arriagada & Scherman, 2012; Abdelsalam et. al, 2013), the terrorist attacks in Europe (Smith, Smith & Knighton, 2018).

During the time of disaster or crisis, people try to communicate with their family and friends, while they seek various information about their basic needs, transportation, and enquire safety and security of their lives (Saroj & Pal, 2020). Social media can be perceived as a relatively brand-new platform, which could distribute information in real-time with no delay to almost unlimited number of users. Regarding the various budgetary restrictions and consolidation of public finances, it is imperative to reveal how social media can maximize efficiency in crisis management (Graham, Avery & Park, 2015). Put differently, social media profiles are used by public administration organizations in the time of crisis to

get information to citizens. Besides, social media helps to create virtual space, where individuals feel more informed both by governmental institutions and other individuals, which were caught in the same crisis or disaster situation.

Sharing of actual and relevant information related to crisis can be perceived as important part of the execution of public administration functions, in the opinion of the citizens. During any type of crisis, social media have become a gateway for seeking and sharing information (Liu, Austin, & Jin, 2011). Thanks to interactivity and naturalness of social media, people automatically use them to search actual information in the case of emergency. Simultaneously, public administration organizations must consider the fact that information shared on social media pages during the crisis should be various, because public divided into communities may have different information needs (Zhao, Mengqi & Liu, 2018).

The popularity of social media is evident during more than one decade. Facebook as the most popular social networking site updated his interface and add many functionalities, which help people to organize and communicate during the crisis. Social media can deal with large traffic, stay online and serve as a platform for real-time information exchange and interactive conversation (Saroj & Pal, 2020; Hand & Ching, 2011; Duffy, 2011; Yates & Paquette, 2011). During the time of crisis, people need as many information as it is possible. In this sense, the main benefit of social media is that people are less likely to go to a website for additional information during an emergency, because social media may have more up to date and timely information (Kavanaugh et. al, 2012).

Situation and measures of the governments connected with the COVID-19 pandemic should also be perceived as crisis. Governments, public health organizations and public administration organizations can take the advantage of social media to disseminate epidemic information to the public (Du, Chen, Liu & Zheng, 2021). Social media have become ideal communication channel, which have been used for sharing and seeking real-time information about the COVID-19 pandemic and related actual information (Roy, Moreau, Rousseau, Mercier, Wilson, & Atlani-Duault, 2020).

The use of social media in the time of crisis is very actual and attractive, both from the theoretical and practical point of view. This argument is not based only on the attractiveness and importance of social media usage but is underlined also by the fact that crisis and disasters will occur in our lives sooner or later. In this sense, each of us will occurs in situation, when searching for actual and relevant information about emergency around us could save our lives. According to abovementioned, social media might serve this purpose very satisfactorily.

## 3. RESEARCH DESIGN AND METHODOLOGY

Regarding the principle of subsidiarity local self-government is the key part of public administration. As it was mentioned many times before, the study concentrates its attention on regional cities in the Slovak Republic. Selected regional cities are mostly perceived as initiators of innovative solutions in Slovakia. Besides, each of the eight selected region cities has a higher population than any other local self-government unit in the Slovak Republic. It must be stated that there are only eight regional cities in Slovakia. Regional cities represent more than one-fifth of the total population of the Slovak Republic. The status of being a regional city is not associated with any special or unique legal position of these cities. According to legal norms, each local self-government unit has the same competences. The main difference between cities and other units is determined by the fact that cities realize key activities focused on the production of public services, both for their own residents and residents from the nearest territory.

The purpose of this study is to examine the use of social media as informational platform for crisis management focusing on information shared about the COVID-19 disease by local self-government units in the Slovak Republic. More precisely, the paper is focused on the official Facebook page usage of eight regional cities in the Slovak Republic during 2020. The hypothesis is based on the statement that selected cities have increased the usage of their official Facebook pages to inform citizens during the COVID-19 pandemic. In this sense, the paper tries to answer these research questions: How often did selected regional cities shared information about the COVID-19 in posts shared on their official

Facebook pages? How were official Facebook profiles used during important and crucial times during COVID-19 pandemic in 2020?

The research sample was selected intentionally. The study analyzes the official Facebook pages of eight regional cities in Slovakia (Banská Bystrica, Bratislava, Košice, Nitra, Prešov, Trenčín, Trnava and Žilina). The selection of cities was determined by the fragmentation of local self-government and the importance of regional cities in Slovakia. Data were collected between 1 January 2020 and 31 December 2020. All data were obtained by analyzing the official Facebook pages of regional cities in Slovakia. The acquired data were processed by using methods of descriptive statistics. Altogether 4,142 posts were analyzed, and all of them were checked manually. Grouping of analyzed posts to the 53 weeks of the year was selected because of clear and concise presentation of data and formulated research questions.

In the paper, content analysis was used to analyze posts published on selected official Facebook pages. Content analysis was selected because of its potential to convert qualitative data, published on official Facebook pages, into quantitative data. Abstraction was used in the context of filtering those aspects of published information, which were relevant for our research, mainly information connected with COVID-19 crisis. The attention was mainly directed to posts including information about COVID-19 disease. A synthesis was used to draw conclusions resulting from the analysis.

## 4. RESULTS AND DISCUSSION

The paper focuses on the character of information published between 1 January 2020 and 31 December 2020, mainly how Slovak regional cities have used their official Facebook pages to inform citizens about the COVID-19 pandemic crisis. Based on the methodology, the analysis was dedicated to general aspects of posts including COVID-19 theme, as well as the analysis of activity of selected local self-government units during important and crucial periods of 2020 in the conditions of the Slovak Republic.

### 4.1. Results

The research revealed that information about the COVID-19 were important part of the content, which was published by the selected group of cities in the Slovak Republic during the examined period. Selected general aspects of posts connected with the COVID-19 were analysed, mainly first shared posts and share of posts with COVID-19 theme on total number of posts published during the analysed year.

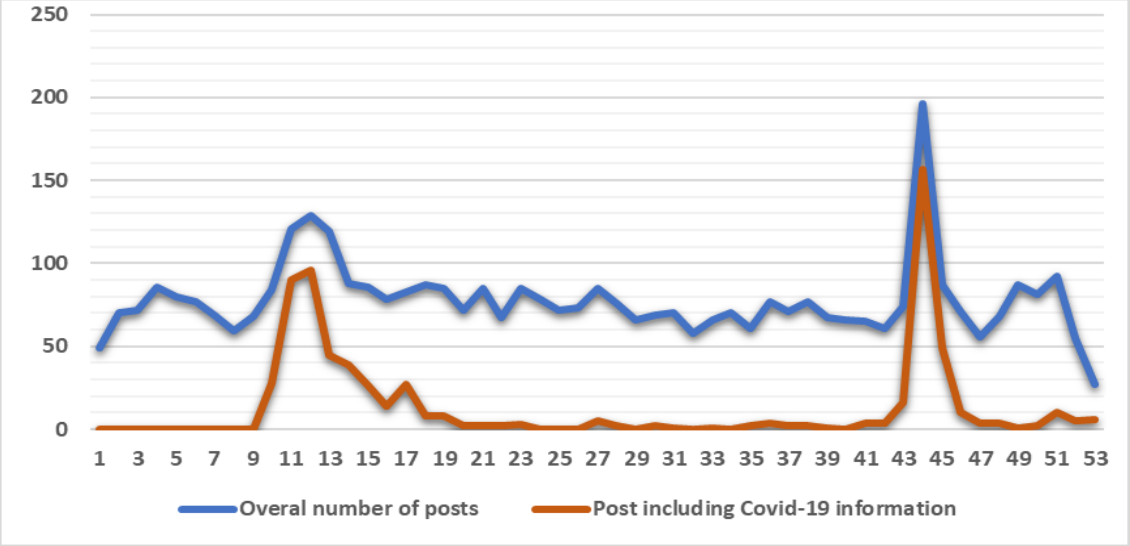
The first posts with information about the COVID-19 were published by the City of Bratislava on March 2, the City of Prešov on March 3, the City of Nitra and the City of Trnava on March 4, the City of Banská Bystrica and the City of Košice on March 5, the City of Trenčín on March 8, and the City of Žilina on March 10. The first confirmed positive case of COVID-19 disease was on 6 March in a patient in Bratislava with negative traveling anamnesis. The official Facebook pages of the selected regional cities have paid attention on keeping their citizens informed about possible threats. In this sense, some cities inform their citizens few days before first positive case in the Slovak Republic.

The key part of our analysis was focused on occurrence rate of posts, which included information about the COVID-19 disease. Naturally, there were no posts, which refers to the COVID-19 in the first two months of the year. On one hand, January and February was the period when there were first positive cases in other European countries, but there was no positive case in the Slovak Republic. On the other hand, Slovak cities did not pay serious attention on this dramatically changing situation. The in-depth analysis we performed of information included in posts allows us to identify, which posts include statement about the COVID-19. This was very important in accordance with identification of posts with the COVID-19 theme. Regarding the formulated research questions, it was necessary to find out distribution of these posts during the examined period. In this sense, the posts focused on the COVID-19 theme must be specified.

According to obtained data, the posts focusing on informing citizens about certain information about the COVID-19 represent 16,51% out of all posts of selected cities (684 posts) during examined period. Comparing this finding with other spheres of social life, the COVID-19 information was relatively as just popular as information about sport, developing of public infrastructure or public safety issues.

Important part of our analysis was distribution of these identified posts to 53 weeks in the year. This step helps us to identify weeks, which could be characterised by intensive use of social media pages. The use of official Facebook pages of selected regional cities is presented in the graph 1.

Graph 1: Number of posts published on official Facebook profiles of regional cities in the Slovak Republic




Source: Author

Based on our research, the highest occurrence rate of COVID-19 posts was identified in the 44th week of the 2020. Selected eight cities published 28 total posts in average every day during this week. Simultaneously, 80% of these posts include statement about the COVID-19. Such high value of posts published for one week was not identified in any other week of the year. The second highest number of posts published was identified in the 12th week of the year (18,43 posts per day). Similar high average value of posts published in every day of the week was identified in the 11th week (17,29 posts per day) and in the 13th week (17,00 posts per day). During these three weeks, the highest number of number of posts including COVID-19 information was published (13,71 posts per day in the 12th week, 12,86 posts per day in the 11th week and 6,43 posts per day in the 13th week). It must be stated that during the 11th and the 12th week of the year 2020, the share of posts, which include information about the COVID-19 represent 74% out of all posts published by selected regional cities. These four weeks represent period of year, when analyzed cities have used maximum potential of their official Facebook pages to inform citizens about actual pandemic situation and relevant restrictions of the Government of the Slovak Republic.

However, selected regional cities have informed their citizens about the COVID-19 pandemic all year long. On the other hand, it must be stated that especially during the summer months 5 posts, which included information about the COVID-19 was identified as maximum posts published per one week. The occurrence rate of the COVID-19 posts was also high in the next periods of the 2020. Simultaneously, there were also identified weeks, when posts including the COVID-19 theme was important part of overall posts published by regional cities, namely the 45th week with 56%, the 14th week with 44%, the 10th and the 17th week with 33%, the 15th week with 30% and the 43rd and the 53rd week with 22% of COVID-19 posts published for one week.

Summing it up, initiatives of selected regional cities connected with the ambition to inform citizens about the COVID-19 pandemic have generated higher number of total posts published in the 2020. This statement is confirmed especially in the 44th and the 12th week of the year 2020.

## 4.2. Discussion

Based on abovementioned, social media represent platform, which main benefit is to share actual and relevant information between public administration and citizens in real-time. In this sense, our attention was put on two important periods, which were important in the Slovak Republic in the case of the

COVID-19 pandemic and related measures of the Government of the Slovak Republic. The centre of our attention is the beginning of the March and the first strict lockdown, as well as the mass testing of Slovak citizens at the end of the October and beginning of the November. These important periods in 2020 are mostly characterized as first and second wave of coronavirus in the conditions of the Slovak Republic.

Increased activities of selected regional cities in mentioned days of 2020 can prove assumption, that local self-government units use social media as important communication platform for crisis management. On the March 10, the Central Crisis Staff of the Slovak Republic banned the organization of sporting, cultural and public events for 14 days and ordered a mandatory 14-day quarantine for all citizens returning from the most affected countries. Various measures have come into force during this 11th week of the year 2020. Based on data obtained, in the next week (the 12th week of the year) selected cities have used very intensively their official Facebook pages to inform citizens about general issues, but mainly about current crisis caused by new Covid-19 disease and measures adopted by the Government of the Slovak Republic. Besides another three weeks of the year can be characterized with high share of COVID-19 posts on total posts published. The occurrence rates of posts including information about the COVID-19 and measures of government vary between 30%-44% between the 13th and the 15th week.

However, the highest share of COVID-19 posts was identified in the 44th week of the year. The reason is very simple. The last 6 days of October and first day of November were mainly connected with the COVID-19 topic, because the mass testing was realized in the Slovak Republic between 31st October and 1st November. This mass testing was realized by financial and material sources, which were coordinated by the Government of the Slovak Republic but based on principle of subsidiarity mainly organized by local self-government units. In this sense, local self-government units were informing they citizens in real-time on daily basis.

We might argue that based on analysis of obtained data, selected eight regional cities have used their official Facebook profiles to manage their citizens during the COVID-19 pandemic. This statement is also confirmed by the fact that intensive activity connected with sharing of posts were identified mainly during selected periods of time in the conditions of Slovak Republic (the first wave of coronavirus and the mas testing of citizens). In this sense, official Facebook profiles can be perceived as important part of informational activities of cities´ offices and sharing information during time of crisis, the COVID-19 pandemic crisis in our case.

### 4.3. Limits of the study and future research

The use of Facebook by public administration organizations still represents a relatively unexplored field of study, and possible negative aspects have not been examined so far. The question of legitimacy is raised automatically when we talk about these new platforms. In this sense, it should always be taken into consideration that potential recipient of key message might miss information, which is relevant and significant for him/her in the time of crisis. Social media need to be perceived as complementary communication channel. However, there is no doubt that the importance of social media will rise in the coming years. The research sample was selected intentionally, and the paper examines the official Facebook pages of eight regional cities. According to this fact, the widening number of organizations could be very useful both for theory and practice.

The paper could foster future research. In this sense, the paper tried to support an interest in deeper research both in local self-government and public administration in general. The benefit of the paper might be a comprehensive view, thanks to which local self-government units could implement better social media policies in the sphere of crisis management. Moreover, the paper concentrates its attention to Slovakian cities, but findings could be inspirational for public administration organizations around the world. In this sense, the international comparison seems to be very attractive. Simultaneously, it might be interesting to examine how public administration use social media during different waves of coronavirus. Comparison of social media usage during Covid-19 crisis and other types of crisis could also be very useful.

## 5. CONCLUSION

The use of social media in the time of crisis is very actual and attractive, both for the theory and practice. This argument is not based only on the attractiveness and importance of social media usage but is underlined also by the fact that crisis and disasters will occur in our lives sooner or later. In this sense, people are seeking information during an emergency, because social media may have more up to date and real-time information than other communication platforms. The importance of social media usage in public administration during the crisis and disaster has been confirmed not only by theoretical discussion, but it has also been proven by our research. The research revealed that information about the COVID-19 were important part of the content, which was published by the selected group of cities in the Slovak Republic during the examined period.

The hypothesis has been proven. We might argue that based on analysis of obtained data, the selected group of Slovak regional cities have used their official Facebook pages to inform and to manage their citizens during the COVID-19 pandemic. This statement is also confirmed by the increased activity connected with sharing of posts during key periods of time in the conditions of Slovak Republic, mainly the first wave of coronavirus in March and the mass testing of citizens at the end of October and the beginning of November. In this sense, official Facebook profiles can be perceived as important part of informational activities of cities´ offices and sharing information during time of crisis, the COVID-19 pandemic crisis in our case.

Summing it up, the benefit of the article is also associated with fostering an interest in the examined issues of social media usage as a communication platform during crisis, which we hope might improve the quality of crisis management policies.

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# The organizational factors that impact on public sector's digital transformation and on the creation of social (public) value

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**Abstract:** The aim of the study is to investigate the internal factors that affect the results and the degree of adoption of the digital transformation, the processes and the effective governance of the public sector. More specifically, we examined how digitalization impacts on the way in which the public sector in Greece organizes, produces and provides its services, identifies key success factors related to digital transformation projects and sets out a proposed framework for quality citizen service projects, creating thus a social value (value based approach). An interdisciplinary approach and comparison has been applied among selected European Union countries in the areas where digital governance has been applied to public-to-citizen transactions, with an emphasis on the current pandemic crisis (examples include polling, biometric identification and personal identification). In addition, a quantitative survey was conducted by distributing online questionnaires to middle and senior executives of public organizations in Greece. A total of 151 questionnaires were answered and their analysis was performed using the statistical tool of SPSS. The results showed that the internal factors that influence the degree of adoption of digital governance and its successful implementation within the public organization include the technological factors that compose the quality of service and the organizational factors (training and evaluation of human resources, leadership, organizational strategy, and the creation of a digital culture). The originality and contribution of the current research lie in the fact that there is little systematic empirical evidence on how public administrations currently define digital transformation in their day-to-day practices, with the majority of research using only qualitative research methods and focusing on mainly technological components. Our results can be useful for policy makers considering the implementation of similar systems in their public administration practices.

**Keywords:** Digitalization, Digital Transformation, Public Sector, Organizational Factors.

## 1. INTRODUCTION

Implementing organizational changes is a difficult task, because although important steps have been taken towards their effective management, change programs continue to show high failure rates. Therefore, more research suggests a focus on the typical features of a successful public and private sector change program, which indicates that there is still a need for conceptual research of the field. We could also verify that most of the empirical research on digital governance and digital transformation of the public sector was qualitative using case studies, which cannot lead to generalization prospects, only to theoretical ones, and therefore it would be useful to invest in quantitative research methods in order to allow the results to be generalized. Consequently, there is also a great lack of mixed studies and, therefore, it would be more valuable to draw more attention to this. Mixed studies allow researchers or a team of researchers to combine elements of qualitative and quantitative research approaches for a broader purpose of breadth and depth of understanding and confirmation according to Schoonenboom & Johnson (2017).

Digital transformation in the public sector means new ways of working with stakeholders, creating new service delivery frameworks and new forms of relationships (European Commission, 2013). However, there is little systematic empirical evidence on how public administrations currently define digital transformation in their day-to-day practices, how they approach digital transformation projects, and what the expected results are (Eggers & Bellman, 2015). In fact, terms such as digitization, digitalization, digital governance or digital transformation are used interchangeably in the literature. Second, executives need to create a climate of empowerment and continuous improvement of digital skills and, finally, align all employees with a common vision around digital transformation. It is important for leaders to understand the digital transformation and to show a willingness to take these changes into account. Leadership seems to have a direct impact on digital maturity itself (Danailova, 2014;

Xanthopoulou and Karampelas, 2020). Ensuring success in the digitization of the public sector requires strong central leadership complemented by preventive local and regional initiatives promoted by local actors (Millard, 2010). Digital technologies alone provide little value to an organization (Kane et al., 2015). It is their use in a specific context that enables a company or organization to discover new ways of creating value, according to the enduring idea that organizational change is an emerging phenomenon (Markus and Robey, 1988) .The literature emphasizes change as well as redefining business models (Osterwalder and Pigneur, 2010) in the context of digital transformation (e.g. Morakanyane et al., Piccinini et al., 2015b). The success of e-governance and digital governance systems also depends significantly on how citizens perceive the value achieved by using these systems (Scott et al., 2016).

The present study aims to investigate those factors that affect the results and the successful adoption of the digital transformation. More specifically, it examines the key success factors associated with digital transformation projects and sets out a proposed framework for creating social value to the society. Our results can be useful for policymakers considering the implementation of similar systems in their public administration and management decisions. The digital transformation in the form of substantially new organizational practices, skills and models has become the key theme in modern public administrations and management processes. However, despite growing need for digital transformation in the public sector, current research has rarely focused on adopting specific technologies (from social media to block chain) and processes (from digitized transactions to flexible contracts). As a result, we still know relatively little about whether and how the adoption of digital technologies is associated with real transformations of entire public sector organizations, with the emergence of new public administration and policy practices, and, ultimately, with new public sector reforms. The idea of the study is to contribute to ongoing academic discussions by providing new theoretical knowledge and empirical evidence on the effects of internal organizational factors on the digital transformation of public sector organizations.

## 2. LITERATURE REVIEW

### 2.1. Digitalization and digital transformation

Arnold and Wade, (2015) describe digitalization as something "paperless" and as the application of the digital tools to all aspects of society. Jurisic & Kermek (2011) observe that almost all sectors are affected by digitalization. First, it is important to make a first distinction between the terms "digitization" and "digitalization" which are used as synonyms. The "digitization" refers to the conversion of information from something analog to a digital one (Picard, 2011) or to the automation of processes through information communication technologies (Hess et al., 2016) (for example, scanning a document or typing handwritten notes in an excel file). On the other hand, as Imgrund et al. (2018) state, "digitalization" means significant improvements in the use of information technology by organizations, the implementation of information technology strategies and information processing capabilities. Thus, we can understand that if digitization refers to the conversion of data and processes, digitalization refers to a transformation and embraces the ability of digital technology to collect data, establish trends and make better business decisions. The same conclusion comes from Gartner Group (2016) for which digitalization involves the use of digital technologies to change business models, provide new revenue and value creation opportunities. Similarly, according to Legner et al. (2017), digitalization is understood as the socio-technical process of adaptation of new digital technologies, or a process of adaptation of digital technologies that occur at the individual, organizational, social and global level.

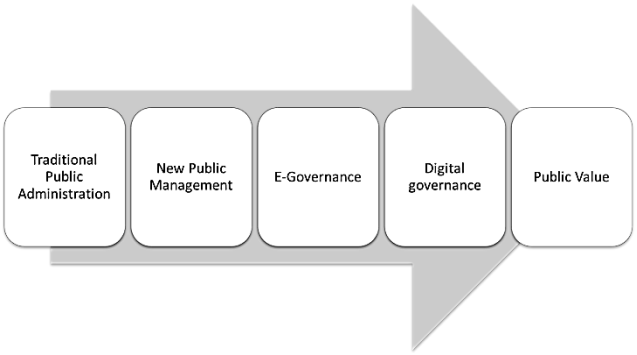
In relation to e-government, digitalization involves the transformation of traditional, bureaucratic and "paper-based" processes into digital platforms (Janssen & Estevez, 2013). In this context, digitalization is seen as the advanced form of e-government innovation that redesigns natural processes to promote efficiency and effectiveness (Irani et al., 2008; Weerakkody et al., 2011). It contributes to the promotion of democracy, transparency, accountability and freedom (Falk et al., 2017) and it also offers opportunities for governments to modernize public administration and cooperation with citizens and businesses (Falk et al., 2017). One form of public sector modernization is the simplification of

procedures through the standardization of activities to increase efficiency and reduce response time (Calvo & Campos, 2017). At the same time, digitalization leads to cost savings in public administration (Falk et al., 2017; Davison et al., 2005; Grönlund & Horan, 2004; Venkatesh et al., 2012). In general, digitalization helps to streamline costly and inefficient vertical and horizontal processes (Janowski, 2015; Janssen & Estevez, 2013; Sun et al., 2020).

Digital governance according to Luciano et al. (2018) is the way that governments use ICT to provide information and government services to citizens, to improve the quality of ICT services and to provide greater opportunities for citizen participation. It includes a new leadership style and a new way of making public policy and investment decisions (Kalsi & Kiran, 2015). Thus, digital governance has evolved as a governance model that enhances the potential of the public sector to use appropriate technologies for improving governance relations - both internal and external - at various levels of government. Its objectives are to promote democracy, the right to expression and human dignity, to support economic development and to encourage the effective and efficient provision of services to society (Saxena, 2005). Digital governance refers to the use of ICT to create public value through the cooperation of society and the provision of appropriate information and citizen participation (Kalsi & Kiran, 2015;Dawes, 2008).

In conclusion, e-government focuses on the administration and management within an organization, public or private, and it refers to the internal use of ICT (especially the Internet) for horizontal and multilevel management of organizational resources, policy and process management. Digital governance, on the other hand, can be described as a stage of e-government maturity and refers to the digital transformation required for a collaborative government / administration model, more citizen-centered that creates social, public value (Xanthopoulou, 2020). Figure 1 shows the transition from the traditional bureaucratic public administration to the creation of social value.

Figure 1: From traditional public administration to the creation of public value




## 2.2. Factors influencing the success of digitization projects

Public sector digital projects are integrated into combinations of policy reforms and organizational changes designed to establish, support, and promote transformation in public organizations (Cordella and Iannacci, 2010). In general, the nature of culture and structures / organization in the public sector can be barriers to digital innovation (Heeks & Stanforth, 2007; Irani et al., 2007; Weerakkody et al., 2011). The traditional public sector in mainly western countries is characterized by hierarchical and dissimilar structures, as well as bureaucracy and procedures based on print media (Davison et al., 2005; West, 2004) that cause deficiencies and delays (Beynon-Davies, 2007). Initially, the bureaucracy with its literal interpretation (office administration) in the public sector was initially aimed at promoting efficiency, equality and democracy (Cordella & Iannacci, 2010). Today, however, it has become a source of multiplier and recurring delays and inefficiencies (Davison et al., 2005;Wiredu, 2012). Other problems arising from the structure and culture of the public sector include functional divisions and politics (Beynon-Davies, 2007; Irani et al., 2007) as well as resistance to innovation (Seng et al., 2010; Zhao & Khan, 2013). The lack of exchange of information between departments and organizations also poses

challenges to digitalization (Davison et al., 2005). Resistance by civil servants for fear of job loss (Falk et al., 2017) also limits digitalization in the public sector. Barriers identified by international research include complex and multi-layered bureaucratic structures inherited from previous forms and schools of administration (Imran, 2013), e-literacy and inadequate ICT infrastructure (Bertot et al., 2010; Heeks & Stanforth, 2007; Hendrix, 2013). Other challenges include resistance to change, power struggles and lack of cooperation between organizations (Schuppan, 2009), as well as failure to update existing laws (Basu, 2004).

Many studies have conceptually and empirically examined the challenges and barriers to the adoption of technology in public administrations. According to Fountain (2004), how a technology is applied depends on the institutional and organizational arrangements that guide decision makers in their day-to-day behaviors. The model of Fountain (2004) is commonly used to describe the interactions between organizational forms and institutional arrangements and their implications for the design of a technological system (Cordella & Iannacci, 2010; Luna-Reyes & Gil-Garcia, 2014). Both factors - organizational forms and institutional arrangements - may hinder the adoption of new technologies in the public sector. For example, Salvoldelli et al (2014) showed that institutional arrangements have prevented the adoption of e-government solutions in the European Union. Conradie and Choenni (2014) showed similar results for open data in the Netherlands on organizational factors. Thus, the acceptance of technologies depends to a large extent on their compatibility with existing institutional and organizational arrangements. Empirical analyzes of barriers to the application of ICT in the public sector have focused mainly on e-government - from a technological point of view, a previous public sector innovation. Numerous empirical studies have found barriers to the adoption of e-government, including a lack of trust (Gilbert et al., 2004), general concerns about public safety, privacy and data protection (Schwester, 2009; Wing, 2005; Zakareya & Zahir, 2005), information quality (Gilbert et al., 2004), strategy (Wing, 2005; Zakareya & Zahir, 2005), technology (Schwester, 2009; Lam, 2005; Zakareya & Zahir, 2005), policy (Lam, 2005), leadership and management (Kim et al., 2009; Schedler & Schmidt, 2004; Schwester, 2009), accessibility (Becker, 2004; Gilbert et al., 2004) and organizational weaknesses (Chen & Gant, 2001; Schwester, 2009; Lam, 2005; Zakareya & Zahir, 2005). In their meta-analysis, Savoldelli et al. (2014) identified three groups of barriers to the adoption of e-government: technological and economic, managerial and organizational, and institutional and political. Technological factors cited in the literature as barriers to these transformation efforts include system complexity and incompatibility (Gil-Garcia et al., 2007) as well as lack of business architecture (Janssen and van Veenstra, 2005; Kamal et al., 2009), standards and interoperable systems (Ebrahim and Irani, 2005). In addition, security threats are identified as barriers (Ebrahim and Irani, 2005).

## 3. METHODS

In the present research it was chosen to distribute questionnaires to middle and senior executives of public organizations, so to conduct a quantitative survey, to executives of public organizations that use these digital services in Greece in order to evaluate the effectiveness and efficiency of this digital project (value based approach) and mainly to reveal the internal organizational factors that affect them. The analysis of the quantitative data derived from the questionnaires was carried out using statistics (SPSS) with the aim of better organizing and recording them. In order to measure the components that influence the success of digital adoption by public organizations, we used a 39-item questionnaire, a research tool that had previously been tested and validated in other studies (e.g. Abhichandani et al., 2005; Morgeson et al., 2011; Park and Blenkinsopp, 2011; Parasuraman et al., 1988; Mahmood, 2018; Al Hujran, Aloudat & Altarawneh, 2013). In total, 151 questionnaires were answered and as mentioned, the participants were middle and senior executives in public organizations, during the lockdown period from October 2020 to March 2021. This sample allows us to proceed with reasonable and reliable statistical analyzes and to draw valid conclusions. In addition, the validity of the questionnaire is ensured by the synthesis of questions of already published questionnaires in international surveys but also by the use of the findings of the literature. We examined the relationships between these components: Service Quality, Information Quality, and Perceived Impact on the organization and the dependent variable that is the Degree of Adoption (DA) of digital governance in a public organization with SOAL. Component analysis is used to reduce the number of variables to fewer component numbers, with three

ultimately retained (Service Quality (SQ), the second is Information Quality (IQ) and the last is the Perceived Impact (PI) on the organization). The Cronbach Alpha reliability test was used to measure the reliability of each component. The data were analyzed using the multiple regression routine of SPSS software version 24.

### 3.1. Results and findings

The total sample of the study consisted of N = 151 respondents, 109 (72.2%) were women and 42 (27.8%) were men. The structure of the observed correlations was determined from Table 1 of the component analysis method, identifying the groups of variables that have a high correlation. As shown in Table 1 below, the first component is Service Quality (SQ), the second is Information Quality (IQ) and the last is the Perceived Impact (PI) on the organization. Table 2 with KMO and Bartlett's Test shows that the date from the sample were adequate for the components analysis (KMO = 0,803> 0,60, Bartlett's Test significance <0,001) (Yong, 2013; Kinnear and Gray, 2011).

Table 1: Rotated Component Matrix[a]

| Rotated Component Matrix[a] | | | |
|---|---|---|---|
| | Component | | |
| | 1 | 2 | 3 |
| SQV2 | 0,71 | 0,00 | 0,00 |
| SQV3 | 0,59 | 0,00 | 0,00 |
| SQV6 | 0,66 | 0,00 | 0,00 |
| SQV7 | 0,69 | 0,00 | 0,00 |
| SQV8 | 0,66 | 0,00 | 0,00 |
| SQV9 | 0,68 | 0,00 | 0,00 |
| IQV10 | 0,00 | 0,73 | 0,00 |
| IQV11 | 0,00 | 0,75 | 0,00 |
| IQV13 | 0,00 | 0,59 | 0,00 |
| PIV23 | 0,00 | 0,00 | 0,67 |
| PIV25 | 0,00 | 0,00 | 0,75 |
| PIV26 | 0,00 | 0,00 | 0,78 |
| PIV28 | 0,00 | 0,00 | 0,56 |
| PIV30 | 0,00 | 0,00 | 0,78 |
| Extraction Method: Principal Component | | | |
| a. Rotation converged in 5 iterations. | | | |

Table 2: KMO and Bartlett's Test

| KMO and Bartlett's Test | | |
|---|---|---|
| Kaiser-Meyer-Olkin | | 0,83 |
| Bartlett's Test of Sphericity | Approx. Chi-Square | 614,754 |
| | df | 91,00 |
| | Sig. | 0,00 |

Subsequently we ran a reliability test Cronbach's alpha interpreted for the questions of each component. The results showed that the alpha coefficient for the first component (Service Quality- SQ) is 0.79, for the second (Information Quality-IQ) is 0.62, and for the third (Perceived Impact-PI) is 0.77. In most cases a reliability factor of 0.7 or higher is acceptable in social science research. The alpha coefficient for the second component (Quality Information) is 0.62 <0.7 which means that the data do not have high internal consistency (Kinnear and Gray, 201; Baglin, 2014).

Table 3: Cronbach's Alpha

| SQ | | | IQ | | | PI | |
|---|---|---|---|---|---|---|---|
| Cronbach's Alpha | N of Items | | Cronbach's Alpha | N of Items | | Cronbach's Alpha | N of Items |
| 0,79 | 6,00 | | 0,62 | 3,00 | | 0,77 | 5,00 |

Table 4: Statistics

| Statistics | | | | | |
|---|---|---|---|---|---|
| | | SQ | IQ | PI | DA |
| N | Valid | 151,00 | 151,00 | 151,00 | 151,00 |
| | Missing | 0,00 | 0,00 | 0,00 | 0,00 |
| Mean | | 3,79 | 3,66 | 4,43 | 3,37 |
| Median | | 3,83 | 3,67 | 4,60 | 4,00 |
| Std. Deviation | | 0,54 | 0,57 | 0,51 | 1,05 |
| Variance | | 0,29 | 0,32 | 0,26 | 1,11 |
| Skewness | | -1,23 | -0,05 | -1,02 | -0,69 |
| Kurtosis | | 3,63 | 1,18 | 1,36 | -0,11 |
| Std. Error of Kurtosis | | 0,39 | 0,39 | 0,39 | 0,39 |

The overall regression model was significant, the value of R^2 is greater than zero (0,125). Table 5 shows the predictive power of the independent variables, in terms of the degree of adoption (DA) of digital governance in organizations. The value of R^2 is 0.125 which shows that the independent variables (Perceived Impact-PI, Information Quality-IQ and Service Quality-SQ) explain 12.5% of the variance of the dependent variable.

Table 5: Model Summary[b]

| Model Summary[b] | | | | | |
|---|---|---|---|---|---|
| Model | R | R Square | Adjusted R Square | Std. Error of the Estimate | Durbin-Watson |
| 1 | ,353[a] | 0,125 | 0,107 | 0,996 | 1,901 |
| a. Predictors: (Constant), PI, IQ, SQ | | | | | |
| b. Dependent Variable: DA | | | | | |

Table 6:ANOVA[a]

| ANOVA[a] | | | | | | |
|---|---|---|---|---|---|---|
| Model | | Sum of Squares | df | Mean Square | F | Sig. |
| 1 | Regression | 20,82 | 3,00 | 6,94 | 6,99 | 0,000[b] |
| | Residual | 145,91 | 147,00 | 0,99 | | |
| | Total | 166,73 | 150,00 | | | |
| a. Dependent Variable: DA | | | | | | |
| b. Predictors: (Constant), PI, IQ, SQ | | | | | | |

Table 7 shows the predictive ability of the three components, concerning the degree of adoption of digital governance. Quality of service (SQ), quality of information (IQ) and perceived impact (PI) are positively related to the adoption of digital governance in an organization. Service quality, information quality and perceived impact have a statistically significant effect on the outcome variable (p value <0,05) (Yong and Pearce, 2013).

Table 7:Coefficients[a]

| Coefficients[a] | | | | | | |
|---|---|---|---|---|---|---|
| | | Unstandardized Coefficients | | Standardized Coefficients | | |
| Model | | B | Std. Error | Beta | t | Sig. |
| 1 | (Constant) | -0,06 | 0,81 | | -0,07 | 0,94 |
| | SQ | 0,47 | 0,17 | 0,24 | 2,68 | 0,01 |
| | IQ | 0,17 | 0,17 | 0,09 | 1,04 | 0,30 |
| | PI | 0,23 | 0,18 | 0,11 | 1,30 | 0,19 |
| a. Dependent Variable: DA | | | | | | |

The results presented above provide support for the findings of existing research and literature. The quality of services has a significant impact on the adoption of digital governance in a public organization and refers to concepts such as perceived ease of use, i.e. the degree to which the structure of the e-service portal is clear and easy for the user to navigate and is good aligned with the needs of individual users, it also addresses issues of availability and accessibility of the online service at any time and to the extent that the online service portal performs the service successfully at the request of citizens, operates quickly and facilitates everyday life and the online transactions of the users of the service with other companies / organizations. Next, the quality of information also has an important relationship with the adoption of digital governance in a public organization. It refers to concepts found in international literature such as "trust and security" (for example, obtaining the username and password on the portal, transaction security in the online service, the availability of a data recovery plan, reliability and sequence of the GDPR, the privacy policy so that users have easy access to the respective service while browsing the site, the use of the site of digital signatures for the authentication of users, the monitoring of citizens' activity). In terms of content, an important role is played by monitoring the activity of citizens, the updating and accuracy of information displayed on the online services portal and finally the provision of web applications for a range of services (requests, payments, etc.). Finally, the perceived impact on the organization also has a significant positive relationship with the adoption of digital governance in a public organization. In this component, important parameters related to the Equipment / Resources, the Policy / Strategy followed by the public organization as well as the Organizational culture and Leadership were examined.

## 4. CONCLUSION

In fact, terms such as digitization, digitalization, digital governance, or digital transformation are used interchangeably in the literature. In addition, we found that the majority of them focus almost exclusively on the technological factors or, if reference is also made to organizational ones, the studies concerning the public sector are few in number. Through the research of these factors in the literature, a questionnaire was created whose axes initially corresponded to four components (Quality of service, Quality of information, Perceived Impact on the organization, Other - external factors). The results of the study showed that out of the four components, only three were statistically significant for the adoption of digital governance and in particular the importance of the first three was found. The answers demonstrated the importance of both the technological factors that compose the quality of service (Perceived ease of use, Promotion of digital governance and Perceived usefulness), the quality of information (Trust and security, Content) and the perceived utility in the organization (Equipment, Policy / Strategy, Organizational Culture and Leadership) as well as organizational factors, emphasizing the importance of training and evaluation of human resources in the successful adoption of digitalization but also the impact of leadership and top management in creating a digital culture within the organization. In the context of the adoption of digital governance, the support of top management plays an important role, because the adoption of new technologies may include new regulatory requirements, a high degree of complexity, new resources, resource integration, redesign and the development of new skills and competencies.

In general, the present study confirms the findings of the literature that the barriers and conditions for a successful transformation of digital government are not limited to technological issues. Many cases that arise suggest that the introduction and adoption of new technologies by governments is often hampered by organizational, institutional, and legal issues. This is often explained by the fact that new technologies are expected to challenge almost every process, system and structure of government. However, these changes are complex and require radical transformations. The aspect of transformation is often seen in the literature as the ultimate goal of the development of digital governance and implies the transition from the digitization of public services to a wider government reforms. In order to sustain this transformation, there must be multiple processes of change and redesign, not only of the organizational processes involved, but also of regulatory and institutional aspects.

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# The Importance of Human Resources Management on Law Enforcement Agencies The Influence Factors of Hellenic Coastguard Performance

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**Abstract:** The most effective way to manage the personnel of an organization is to maximize its performance. This is the basis on which Human Resources Management was built. An increase in staff efficiency means an increase in companies revenues. But are there grounds for applying it to Law Enforcement Agencies and specifically to Hellenic Coastguard? Maximizing the performance of personnel in law enforcement agencies through the implementation of Human Resources Management may differ in terms of the result of private organizations which focus on maximizing their profits. However, the increase of law enforcement efficiency offers a very significant benefit to the state with enormous economic, social, and political implications. The contribution of Law Enforcement Agencies to the social, economic and, political stability of the country, takes place through the fight against crime and the best possible border surveillance/management of the migration phenomenon. Particular importance is placed to the above-mentioned balance of the state and the role of the Hellenic Coastguard with its additional competence in the research and rescue of people at sea and the protection of the marine environment. Maximizing the efficiency of the staff is an essential condition for achieving these objectives. The technique of the research was based on purposive sampling. Twenty structured interviews of Coastguard officers were conducted, taking into consideration as the basic selection criteria their position (intermediate ranking officers who are commanded by senior hierarchical officers and at the same time command lower hierarchical officers). According to the research results, the application of Human Resources Management plays a determining role in the performance of employees. The sample underlined that labor relations, human resources planning, training, selection, job analysis, and performance evaluation are considered the most important functions of maximizing the performance of the employees. In contrast, the working environment conditions or compensations play a less important role in officials performance and this fact proves that simply by implementing a specific management method, without imposing any financial burden on additional salaries or facilities, it is possible to maximize the performance of an organization like Law Enforcement Agencies which offer multiple benefits at a collective level.

**Keywords:** Human Resources Management, Performance Factors, Law enforcements, Hellenic Coastguard.

## 1. INTRODUCTION

The tendency of enterprises and organizations to adopt a contemporary management of their employees based more on human factors defined the meaning of Human Resources Management. The creation of this kind of human-centered management took place in order to increase the performance of employees by providing incentives and secure the so-called “competitive advantage” on the market (Dessler 2017). Maximizing the performance is the basis on which Human Resources Management is built. To support this basis, a key structural tool of this management is the emphasis on the way of handling its functions, which includes the human resources programming/planning, the job analysis, the recruitment, the selection, the training-development, the performance evaluation, the compensation, the health-safety working environment and the industrial relations of the employees. Those functions are also classified into four main categories: Staffing (planning, job analysis, recruitment, selection) Training & Development (training, development, performance management-evaluation), Compensation/ Motivation, and Maintenance (industrial relations, working environment) (Decenzo 2015).

## 2. HUMAN RESOURCE MANAGEMENT & PERSONNEL MANAGEMENT

Human Resources Management and Personnel Management are not two opposing concepts, but the first is a development of the second. The new philosophy in the management of workers reflects the difference between these two conditions. The use of the term “Human Resources” as opposed to

"Personnel" underlines the new Human Resources Management policy, which focuses on the human factor intending to align its will and ability to achieve the objectives of the organization (Hitiris 2018).

The separation of these two concepts, apart from how they are administered, is also noted in the time-scale of staff utilization. Personnel Management, manages personnel in a short-term perspective in the sense of cost, while Human Resources Management treats staff in the sense of asset for the enterprise (resources) in which invests over a long period. (Xirotiri-Koufidou 2010).

In functional procedures, Personnel Management is more closely linked to the concept of simple administration of staff. Its role appears to be purely bureaucratic; it manages staff matters relating to recruitment, dismissals, payments, and safety, showing a face more isolated. The person in charge of the Personnel Management shall hold the post of an administrator of the Agency's functional matters and shall hold the post of a simple transmitter of requests and messages between employees and employers-administration. Fear, insecurity, and the risk of dismissal are widespread in the working environment, and management is treated with caution and introspection, afraid of any negative reaction. Through the impersonal management policy with the short-term treatment of workers, the staff is restricted to individual work, deviating from any personal identification with the objectives of the organization.

On the other hand, Human Resources Management treats the personnel with long-term prospects, by estimated it as resources and capital of the enterprise and through a humane administrative character is interested in its training and development, adopting a policy of dialogue and counseling. In addition to the management activities of staff recruitment, dismissal, and payments, Human Resources Management shall give its attention to all activities that have been progressively developed in recent years, including communication relations between employees and administration, personnel evaluation, education-development and the provision of all the necessary conditions (working environment, safety, health services, etc.) which will lead to the maximum job performance of the employees.

High competitiveness and the desirability of maximizing the profits of private companies have been the main reason that today we are using the concept of Human Resources Management. Over the years, the management of the personnel, being assigned an insignificant role of supervision and mediation between senior management and its subordinate hierarchies, was led to an attempt to maximize the efficiency of workers which would maximize the profits of an organization through a management policy based more on the control and management of the performance of each employee (Torrington Hall, 2014).

The Human Resources Management essentially points out its difference from the Personnel Management through the qualitative elements it adds to its functional procedures (Papalexandris and Burandas 2016).

Table 1: Human Resources Management and Personnel Management

| **Human Resources Management** | |
|---|---|
| **Personnel Management-Functions** | **Qualitative Elements** |
| HR planning | Leadership Philosophy |
| Job Analysis | Leadership Development |
| Compensation | Organizational Learning |
| Recruitment & Selection | Management of Knowledge |
| Performance Management | Organizational and Management Development |
| Training & Development | Group Cooperation & Willingness for Performance |
| Health & Safety | Organizational Culture-Working Environment |
| Labor Relations | Internal Communication |

Note: Adapted from Papalexandris, N., & Burandas. D., 2003, Human Resources Management, Athens

The basic functions of the Personnel Management, which are the backbone of the Human Resources Command and have prevailed in international literature, are as follows (Armstrong 2006, Dessler 2017, Malik 2018, Mondy & Martocchio 2016):

- Human Resource Planning: Its main aim is to identify the needs of an organization and to process and prepare the recruitment of human resources both qualitatively and quantitatively, which will ensure the achievement of the objectives of the enterprise. To realize this, human resource planning should start with the evaluation of staff availability and, as a second step, need to strengthen the weaknesses and cover the needs.

- Job Analysis: The job analysis is essentially divided into the description of the job position of the personnel and the Job specification. The job description shall specify the tasks, competencies, responsibilities, the object of employment implied by this position, and even its spatial description. The job specification shall refer to the existence of a list containing the minimum required skills, knowledge, abilities, skills, and even personality traits (e.g. confidentiality, ethics, etc.) required to meet the obligations in this position.

- Recruitment-Selection of staff: Recruiting staff is defined as the function of the Human Resources Management which "invites" and identifies the appropriate staff to cover job vacancies. Personnel may be recruited either internally (filling positions due to promotion etc) or externally. The selection of staff shall then take place which includes the process of evaluating and exploiting candidates with the information they are entitled to and selecting them to cover specific jobs.

- Training and Development of staff: Staff training refers to the function of the Human Resources Management, which undertakes a process of learning and training personnel for the immediate improvement of performance and technical skills in their work. It has a self-centered character and aims at the personal development of the employee by covering specific weaknesses or enhancing his skills which will have immediate effects on his current work. Accordingly, development refers to a process of learning and training staff to improve their long-term performance and skills in their work. It has a more general humane character and aims to develop capacities that will have an impact on its future work.

- Evaluation of performance: Evaluation of staff performance, concerns an assessment of the performance of the work and the services provided by the personnel and its contribution to the achievement of the objectives of the organization. As a process, the performance assessment shall take into account the characteristics, skills of the worker and shall be evaluated by assessing their efficiency to increase performance and improve their weaknesses.

- Compensation of personnel: They are divided into direct and indirect. Direct economic remuneration shall consist of wages and salaries, additional overtime remuneration, productivity allowances, profit participation, etc. Indirect economic rewards include medical care, life insurance, social security, vacation, holiday allowances, provision of material resources, food, education, etc. Payments may also not be economic but may have a personal-internal form of reward such as improving the social position, developing interpersonal relations, providing opportunities for development, etc.

- Health and Safety of personnel: Health of personnel is defined as the prevention and protection of employees from situations that may harm physical, mental, and emotional health in its morbid form, while the safety of employees is defined by their protection in cases of injuries at their workplace. In addition to the safe working conditions to be offered by an organization to its staff (adequate facilities, equipment, use of safety tools - work equipment, adequate lighting, ventilation, etc.), it is also called to provide appropriate conditions for the protection of its personnel against the work stress. This is not addressed through the use of equipment or the provision of secure facilities but through the leadership of the management by understanding the personal and work problems of the employee and creating the appropriate conditions for upeasing it and the development of good spirit and cooperation within the undertaking (staff meetings, catering, entertainment programs, sightseeing tours for staff, etc.).

- Labor Relations: Employment relationships are a cornerstone of organizational well-being. They are also mentioned in international literature as internal communication. Essentially, this function refers to the relationship and communication of employees and the administration of the organization's internal issues. The issues raised may relate to negotiations on salary cases, additional benefits, health, and safety issues, common objectives, and broader cooperation. Employment relationships are a key tool in Human Resources Management, whereas one of its objectives is to deal with personnel by giving priority to understanding their personal needs and emotions. This is the function for many researchers whose application gives the anthropocentric character of management, and also defines Human Resources Management (Boxall et al. 2009).

The functions of the Human Resources Management, depending on the way they are managed, determine the difference with Personnel Management. The elements of leadership, teamwork, the organizational culture or communication as was mentioned before, underline the focus of Human Resources Management in adding values and coordinated management policies (Crawshaw & Hatch 2014). The Human Resources Management shall "build" the foundations of its functions based on:

(a) proper staffing such as the selection of suitable staff for the right post, with appropriate payment, training, and development of staff,

(b) maximizing efficiency by setting objectives, providing incentives, additional rewards, and developing initiatives,

(c) management of changes such as employee's replacement, change of jobs, attracting-recruitment of new staff and

(d) general management - coordination, such as evaluation of staff performance, training, safeguarding their legal rights, etc. (Torrington 2014).

## 3. THE IMPORTANCE OF HUMAN RESOURCES MANAGEMENT ON LAW ENFORCEMENT AGENCIES-HELLENIC COASTGUARD

The need to develop human-centered management was carried out in a competitive environment with the ultimate aim of maximizing the company's revenues by improving the efficiency of its personnel. But are there grounds for applying it to Law Enforcement Agencies? How important is Human Resources Management to bodies which are not aimed at obtaining profits? What is the benefit of applying human resources management to non-profit-making organizations such as public services and specifically Hellenic Coastguard?

The Hellenic Coastguard is responsible for inter alia, sea-port and sea borders surveillance, prevention of illegal immigration, and protection of marine pollution incidents (Hcg 2021). The significance of implementing Human Resources Management in the Hellenic Coastguard, which may lead to an increase in the efficiency of its staff, is essential if one considers the multidimensional role that it plays in a country's social, economic, and political situation. Ensuring social and economic balance through the fight against crime or political stability through the best possible surveillance of borders and management of the migration phenomenon, the maximization of staff performance through a human-centered Human Resources Management appears to be imperative. Whether the Human Resources Management functions described above affect the performance of the staff and to what extent, has been examined through qualitative research to officials of Hellenic Coastguard.

## 4. METHODOLOGY OF RESEARCH

To investigate the influence factors of Human Resources Management on Hellenic Coastguard Performance, it was considered necessary to carry out a qualitative research of senior officials of Hellenic Coastguard who were placed in specific positions. The idea of this research came to present more facts about the importance of Human Resources Management and its relation to the performance of Hellenic Coastguard personnel. The technique of the research was based on purposive sampling. Twenty structured interviews of Coastguard officers were conducted, taking into consideration as the basic selection criteria their position (intermediate ranking officers who are commanded by senior

hierarchical officers and at the same time command lower hierarchical officers). All Officers are members of the Hellenic Coastguard who hold senior positions of Central Port Authorities in Greece and Headquarters of the Hellenic Coastguard. More specifically, the officers who took part in the structured interview are presented in the following table 2.

Table 2: Sample of quantitative research

| Sample | Years of experience in Hellenic Coastguard | Current Authority |
|---|---|---|
| Officer 1 | 7 | Port Authority of Thessaloniki |
| Officer 2 | 7 | Port Authority of Thessaloniki |
| Officer 3 | 19 | Port Authority of Thessaloniki |
| Officer 4 | 5 | Port Authority of Thessaloniki |
| Officer 5 | 12 | Port Authority of Igoumenitsa |
| Officer 6 | 14 | Port Authority of Igoumenitsa |
| Officer 7 | 10 | Port Authority of Corfu |
| Officer 8 | 12 | Port Authority of Corfu |
| Officer 9 | 17 | Port Authority of Volos |
| Officer 10 | 20 | Port Authority of Volos |
| Officer 11 | 7 | Port Authority of Piraeus |
| Officer 12 | 7 | Port Authority of Piraeus |
| Officer 13 | 19 | Port Authority of Piraeus |
| Officer 14 | 5 | Headquarters of the Hellenic Coastguard |
| Officer 15 | 12 | Headquarters of the Hellenic Coastguard |
| Officer 16 | 14 | Headquarters of the Hellenic Coastguard |
| Officer 17 | 10 | Headquarters of the Hellenic Coastguard |
| Officer 18 | 12 | Headquarters of the Hellenic Coastguard |
| Officer 19 | 17 | Headquarters of the Hellenic Coastguard |
| Officer 20 | 20 | Headquarters of the Hellenic Coastguard |

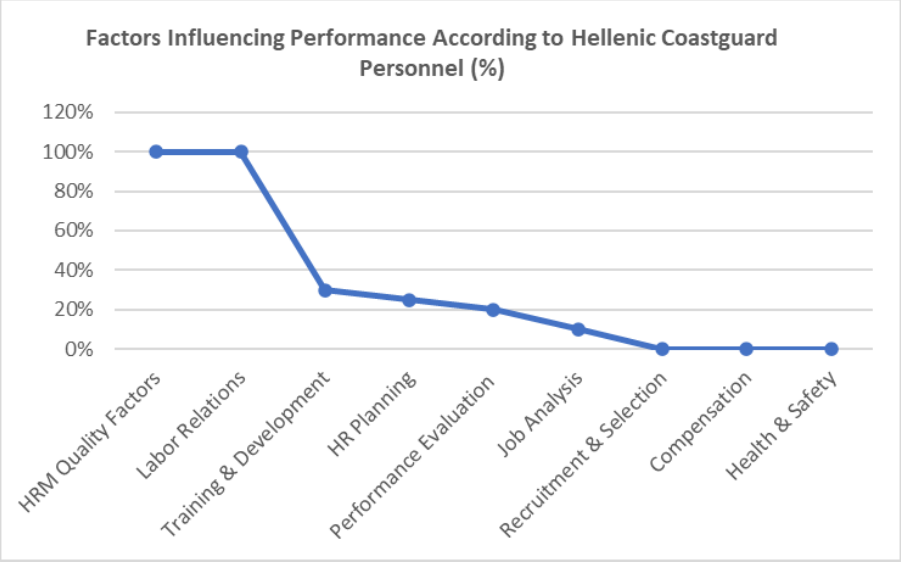
The qualitative data collection method was structured on interviews, by using pre-organized questions. This research allowed understanding the factors that affect Hellenic Coastguard personnel performance, its perception of Human Resources Management and its functions, and which Human Resources Management functions affect their performance most. About the analysis of the results of the research, a deductive approach was used in which the data were grouped and compared for similarities and differences. This approach led us to classify the type of qualitative analysis in which the answers of the interview were categorized to be summarized while assisting the purpose of tabulation, as well. Finally, a very important fact has to be mentioned in the interest of the interviewers to gain knowledge of the facts that were cited on the questions of the interview and the final results of the research.

## 5. PRESENTATION OF FINDINGS

In the first part of the interview, officers were asked about the factors that can influence their performance in the working environment. In particular, the officers were called to respond, spontaneously, about the factor that can affect their performance positively or negatively. All officers mentioned that the most important factor which can influence their performance is internal cooperation and communication among the personnel of the agency they work for (HRM function of labor relation). They referenced the characteristics of the team willingness for performance, the common staff communication, the existence of a common vision and culture with senior management, and leadership spirit by the leader (quality features of HRM). In addition, in the spontaneous recording of performance influencing factors, 25% of the sample (5 officers) reported their selection parameter at the position they desire and have the corresponding qualifications (HRM function of selection), 20% of the sample (4 Officers) reported the major influence on their performance that plays the providing training in the work they are engaged in (HRM function of training) and the objective assessment and evaluation of their performance (HRM function of performance evaluation). Finally, 10% of the sample

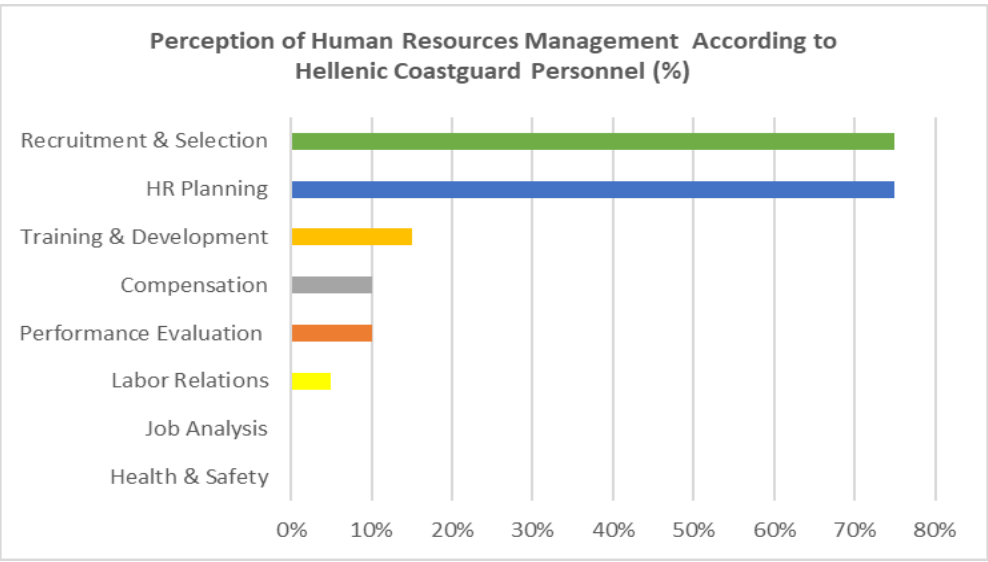
(2 officers) reported the correct description and distribution of responsibilities at the workplace they have taken (HRM function of job analysis), but also the possibility of developing them with the acquiring long-term experience and training (HRM function of development).

Figure 1: Factors influencing performance according to HCG personnel




In the second part, officers were asked about their perception of the term of Human Resources Management to understand the level of their knowledge about its principles. All officers responded that Human Resources Management is a strategy of managing employees to maximize their performance. The 75% (15 officers) responded that Human Resources Management is related to meet the needs of personnel (HRM function of planning) and place appropriate staff in appropriate positions based on objective qualifications (HRM function of selection). Also, 15% (3 officers) reported that the Human Resources Management is linked to the personnel training process (HRM function of training), 10% (2 officers) with the staff remuneration procedure (HRM function of compensation) and their evaluation (HRM function of evaluation) and finally 5% (1 officer) included the responsibility of the Human Resources Management in the employment relationships (HRM function of labor relations).

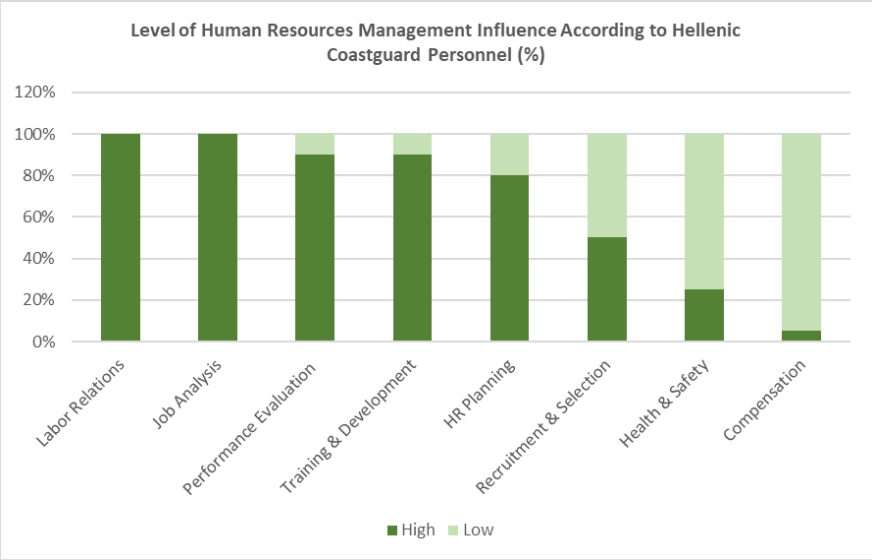
Figure 2: Perception of HRM according to HCG personnel




In the third part, explained to the officers the functions of Human Resources Management, and they were called to classify the functions that influence their performance most. It is noted that all officers, after analyzing the subject of each function separately, reported that, more or less, they all affect their performance. In particular, the function of job analysis and labor relations has a high impact on the

performance of officers (100%), the functions of training-development and performance evaluation have a high impact on the performance of 90% of officers and a low impact on the performance of 10% of officers (2 officers), the function of human resources planning has a high impact on the performance of 80% of officers (16 officers) and a low impact on the performance of 20% of officers (4 officers), the function of the recruitment and selection of staff has a high impact on the performance of the 50% of officers (10 officers) as well as a low impact. On the other hand, the function of health and safety significantly highly affects the performance of 25% of officers (5 officers) and a low level the performance of 75% of officers (15 officers) and finally, staff compensation affects to a high degree the performance of 5% of officers (1 officer) and to a low degree the performance of 95% of officers (19 officers).

Figure 3: Level of HRM influence according to HCG personnel




## 6. CONCLUSIONS

The hypothesis raised about the importance of Human Resources Management in the performance of personnel in the Law Enforcement Agencies has been fully confirmed according to the results of the research and at the same time, very important findings were discovered about the factors influencing the job performance of Hellenic Coastguard personnel.

In the first part of the research, was requested by the officers to spontaneously identify the factors that may affect their performance. The characteristics of the team cooperation and distribution for performance and the existence of a common vision and leadership of management which has been recorded, are the main qualitative characteristics of the Human Resources Management which distinguish it from the Personnel Management, as they were described in table 1. This fact, establish the need of applying Human Resources Management to personnel, to maximize its performance.

In addition, important research data highlighted the common view of all officers in the importance of internal communication and work relations between employees, which refers to one of the basic functions of Human Resources Management which characterize it most; the function of Labor Relations. Furthermore, officers recorded as factors of influence in their performance, their choice in the workplace they wish to work, the provision of training, the description of the job assigned to them, the evaluation of their performance, and their development through their work, which are all related to Human Resources Management practices of Planning, Evaluation, Education and Development of the personnel and proves its importance and affection on maximizing performance.

Completing the first part of the research, officers were asked to record how they perceive the concept of Human Resources Management, to be recorded whether the officers are aware of the link between the factors that influence their performance and the objects of the Human Resources Management. The

overwhelming majority of the sample (75%) referenced that Human Resource Planning is the main object of Human Resources Management, covering essentially the need for personnel quantitatively and qualitatively, while at a small rate referenced to the provision of training, compensation, and performance evaluation. It was impressive that the function of labor relations even though was mentioned as the most important factor influencing the performance of all officers, only one officer (5%) referenced it as a subject of Human Resources Management. This demonstrates that any failure by senior officers to implement the functions of the Human Resources Management may be due to their lack of awareness of Human Resources Management objects. In support of this hypothesis, all officers reported that they had not been educated on the subject of Human Resources Management in their academy, its functions are not being satisfactorily implemented in their service and they noted that it plays a definitive role in maximizing their performance, which confirms the original research theory.

In the third part of the research, officers were asked to classify the functions of the Human Resources Management according to the level of impact on their performance (high or low impact). As it was expected from their spontaneous records on influencing factors in the first part of the research, all officers reported labor relations as a high-performance factor, as well as the 80% to 90% of officers, the factors of education and planning. Shared importance as a factor of influence is the selection of personnel (50% of the sample reported as high and low), while the vast majority of officers mentioned low influence of their performance the function of staff salaries (95% of the sample), and health-safety environment (75% of the sample). The findings clearly illustrate which functions of Human Resources Management are more important than others. For example, an employee with the proper training, in the right position, and with the right communication and cooperation relationships with the rest of the workers, maximize its performance, regardless of the compensation factor and the conditions of the working environment. This is clearly due to the type of organization that employs the staff, and the level of influence of these factors will likely vary in the private sector. The Hellenic Coastguard is a Law Enforcement Agency that belongs to the public sector. According to the results of the research, the officers appear to have accepted the level of their salaries as they are specific for all staff working in the Coastguard (salaries are predetermined and constantly developing on a position-held scale) and even if they don't feel that they are rewarded enough, they have accepted this fact and therefore does not significantly affect their performance. Similarly, as regards working conditions and the health and safety environment, the staff appears to have accepted the conditions provided by the Public Sector and have been adjusted to work under these conditions from the outset of their recruitment. On contrary, in the private sector, these conditions could be of great importance, and staff may not be so flexible and choose to work for another organization.

In conclusion, maximizing the performance of personnel in law enforcement agencies through the implementation of Human Resources Management may differ in terms of the result of private organizations which focus on maximizing their profits. However, the increase of law enforcement efficiency offers a very significant benefit to the state with enormous economic, social, and political implications. The contribution of Law Enforcement Agencies to the social, economic and, political stability of the country, takes place through the fight against crime and the best possible border surveillance-management of the migration phenomenon. Particular importance is placed to the above-mentioned balance of the state and the role of the Hellenic Coastguard with its additional competence in the research and rescue of people at sea and the protection of the marine environment. Maximizing the efficiency of the staff is an essential condition for achieving these objectives. According to the research results, the application of Human Resources Management plays a determining role in the performance of employees. The sample underlined that Labor relations, Human Resources Planning, training, selection, job analysis, and performance evaluation are considered the most important functions of maximizing the performance of the employees. In contrast, the working environment conditions or compensations play a less important role in the officer's performance and this fact proves that simply by implementing a specific management method, without imposing any financial burden on additional salaries or facilities, it is possible to maximize the performance of an organization like Law Enforcement Agencies which offer multiple benefits at a collective level.

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# Impact of Governmental Subsidies for Albanian Farmers

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**Abstract:** This study aimed to measure the effects of subsidies that the Albanian Government has provided to farmers, through its measures for the National Agricultural Policy. The purpose of the study is an economic-political assessment of how subsidies measures to farmers in Albania are conceived, designed and implemented.

The analysis of the study began with a review of the literature on agriculture and rurality at the national and European levels. This analysis is mainly based on the documents of strategic programs in Albania in the field of agriculture, from 1992 until today. There has also been a literature review based on the Common Agriculture Policy (CAP) strategic programs, from its structural design to the present day, as Albania is already a candidate country for European Union (EU) integration.

Following the literature review, the study focused on data collection to experts at national level, to donors assisting the agricultural sector in Albania and. These data helped determine the areas and sectors where the study focused. The final data collection was carried out through field surveys, with farmers, but also through the analysis of previous studies related to this topic. The study is based in the analysis of two groups of farmers, those who have benefited from the subsidies and the farmers who have not benefited from governmental support but that they have financed with their own resources the further development of their farms.

This study is valuable for experts who work in the agricultural policy sector, but also provides a detailed point of view, both in financial and economic terms on the efficiency and effectiveness of the implementation of the National Agricultural Policy in Albania, in the context of regeneration and strengthening the agricultural sector, as a powerful engine for the development of the country's economy.

Also, studies of this type are new, but also very rare in Albania. Given the legacy of a centralized agricultural sector, but also of the problems it faces today:

- overemphasized parcelization of agricultural farms;
- lack of investment and mechanization;
- lack of irrigation and water resources management;
- lack of cooperation between farmers;
- lack of markets which can attract agricultural products;
- lack of interest in working in agriculture, especially at young ages.

By the data analysis, it is clear that farmers who have benefited from subsidies have not invested aiming at expanding the surface of their farm. While on non-subsidized farms, there is a slight growth. Subsidies have not served as an incentive for farmers to invest and increase their production capacity, compared to non-subsidized farms, which, although without any governmental support, have made more significant investments and achieved higher efficiency at production and sales levels.

The support for the beneficiary farms contributes to cover part of the financial expenditures that some farmers make for planting and investing in increasing production. However, it does not affect the orientation to manage farm production, which should also be the main objective of this support.

**Keywords:** Agricultural subsidies, agricultural sector, National Agricultural Policy economic-political assessment.

## 1. INTRODUCTION

The agricultural sector in Albania still suffers the consequences of the transition after the communist period, Until the 1990s, the agricultural sector was characterized by mass collectivized farms (cooperatives). After 1992, with the transformation of the political and economic system, agriculture also underwent a radical change. The most import transformation, at that period was the conversation of land from state owned into private property (Law No. 7501, in 1991). However, it brought a negative phenomenon, the creation of very small extremely and largely parcelized agricultural farms.

Currently, Albania is a candidate country for full membership into the European Union (EU), and as such its agricultural policy must be in line with the plans and measures implemented by the EU's Common Agricultural Policy (CAP). In the context and process of approximation, since 2007 the Albanian Ministry responsible for the Agricultural sector has implemented a National Support (subsidies) Scheme. However, although years have passed since the first implementation of the annual schemes, there are very few studies on the impact of the produced by this scheme and the lessons learned. For this reason, this study aims to contribute with concrete findings regarding this policy.

The study aims to measure the effects of subsidies provided to producers of agriculture goods, through the annual National Support Scheme. The main objective is to assess the economic-political methodology on how the measures have been conceived, designed and implemented. Also it analysis the financial impacts produced on agricultural farms.

The study is valuable for researchers and experts working with agricultural policies, and provides also a very detailed perspective in financial-economic terms on the efficiency and effectiveness of the implementation of the National Agricultural Policy in Albania.

After the fall of the communist regime, the Ministry responsible for the Agricultural Sector, in collaboration and with the assistance of different Donors, designed many development strategies for the sector, but there were the two inter-sectoral strategies (2007-2013 and 2014-2020) that brought the National Agricultural Policy closer to CAP and permitted the design and implementation of the annual National Support Scheme.

## 2. METHODOLOGY

The study assesses the relationship between the public subsidies, provided in 2007-2008 period and farm management efficiency, undertaking an analysis of the results found in the field, studying existing reports and discussing with responsible experts in drafting the subsidy scheme. With a focus on two productive crops, Olives and Vineyards, in the areas of Shkodra, Lushnje and Fier.

The subsidy scheme, in the period 2007-2012, aimed to increase agricultural production. It provided the support through several measures aimed at increasing the surface planted and orienting production in some agricultural crops. The main support was given to planting and increasing production with Olives and Vineyards. Therefore, the study is focused in the analysis of farms cultivating these commodities. After 2007, the number of farms cultivating Olives and Vineyards increased significantly. For this reason the interest to analyze, whether the main factor was the support with subsidies or they were driven by other factors. The areas of Shkodra, Lushnje and Fier received almost 1/3 of the total funds to plant Olives and Vineyards.

### 2.1. Data collection

The first data, for the study, were collected by in 2013 with two groups of farmers, those benefited from subsidies and those who did not. In May 2018, statistical data from 2013 were updated. The same farmers who were surveyed in 2013 were surveyed again. The goal was that, after 9-10 years, for Olives and Vineyards, in Shkodra, Lushnje and Fier, the full impact of subsidies could be analyzed.

Table 1: Distribution of surveys by area and typology of farm

| | **with subsidies** | | | **without subsidies** | | |
|---|---|---|---|---|---|---|
| | ***Total*** | ***Olives*** | ***Vineyards*** | ***Total*** | ***Olives*** | ***Vineyards*** |
| ***Fier*** | 60 (52%) | 50 (83%) | 10 (17%) | 40 (54%) | 37 (92%) | 03 (08%) |
| ***Lushnje*** | 30 (26%) | 0 (0%) | 30 (100%) | 28 (38%) | 04 (14%) | 24 (86%) |
| ***Shkodra*** | 25 (22%) | 13 (52%) | 12 (48%) | 06 (08%) | 05 (83%) | 01 (17%) |
| ***TOTAL*** | 115 | 63 (55%) | 52 (45%) | 74 | 46 (62%) | 28 (38%) |

Source: Personal survey's and their editing

During May 2018, 230 surveys were conducted, of which, the valid surveys that were considered are 189. In the table 1 above is reflected the distribution of surveys taken in the study.

## 2.2. Data analysis

Data collected in the surveys, during 2013 and 2018, were organized into a unified database, based. Subsequently, the data began to be selected and grouped according to the various features obtained in the analysis. To analyze the data and to come into conclusions. For this reason, two methods of analysis were used:

i. Descriptive analysis (empiric method);
ii. Propensity Score Matching (PSM).

The descriptive analysis expresses, through time variables, a constant interpretation of events in different periods:

- presentation of time variables on the factors taken into analysis in the study and elaboration of the valid statistical model;
- graphical presentation and analysis of timely data flows (i.e. surface, production, sales, etc.).

Descriptive analysis does not mean statistical tests but it is used to reflect problematics in analytical form. PSM analysis the changes in results that are dedicated only to the attribute of subsidy, by pairing farms in two groups that have similar characteristics. Common compliance methods, applied in PSM are: exact matching, optimal matching, sub-classification, nearest neighbor, optimal matching, genetic matching, etc.

To perform PSM, were selected a set of summary variables that represent the overall characteristics of the farm, as well as the main attribute “Support_2008” or otherwise the treatment variable, or the dependent variable (you received a subsidy). For the analysis, the statistical package R was used, in which the additional MatchIt function was integrated, designed for PSM. In the analysis, a match was made between 74 treated cases and 74 control cases, for both categories, shows that they are very similar in the selected variables.

## 3. STUDY RESULTS

Based on the Descriptive analysis, in the subsidized farms, the average production surface did not change. Interesting observation, in the non-subsidized farms, the surface slightly increased by 9% average. Although there has been no significant increase in the average surface of production, the number of roots has increased several times in both farms typologies. We get the conclusion that farmers converted their production toward Olives and Vineyards, by replacing traditionally planted crops. This tendency was not driven by subsidies, but by market demand, because the number of roots has increased over 8 times in in non-subsidized farms and only 3 times in subsidized farms. From the results of the survey and from the above analysis, the production of the two commodities has been in strong expansion. Nevertheless, production has almost doubled in the non-subsidized farms. This statistic proves the fact that farmers who invested their own funds were more successful and efficient than farmers who invested through subsidies.

From the data analysis, the results show that the growth of Olive as a product has been strongly influenced by subsidies, while Vineyard have not been affected by the subsidies. A preliminary study, in the design of the support scheme, would have had evidenced the market's need for Olives subsidies, as a product that should have been stimulated to increase production. Meanwhile, Vineyards could not have been subsidized, or subsidized at lower levels, because the farmers themselves, with their own funds, were willing to make the necessary investments in this commodity. The PSM model analysis confirms some of the results of the descriptive analysis, confirming the very low impact of the subsidies in the further growth and development of the two commodities in all three geographical areas. It is confirmed that the subsidies provided have not served as an incentive for farmers to invest and increase the production capacity on their farms, for the two commodities analyzed. This model also confirms that the support from the Ministry responsible for Agriculture was not provided with the purpose to orientate the agricultural sector towards the first set commodities, but was limited only to follow and support initiatives already undertaken by farmers themselves.

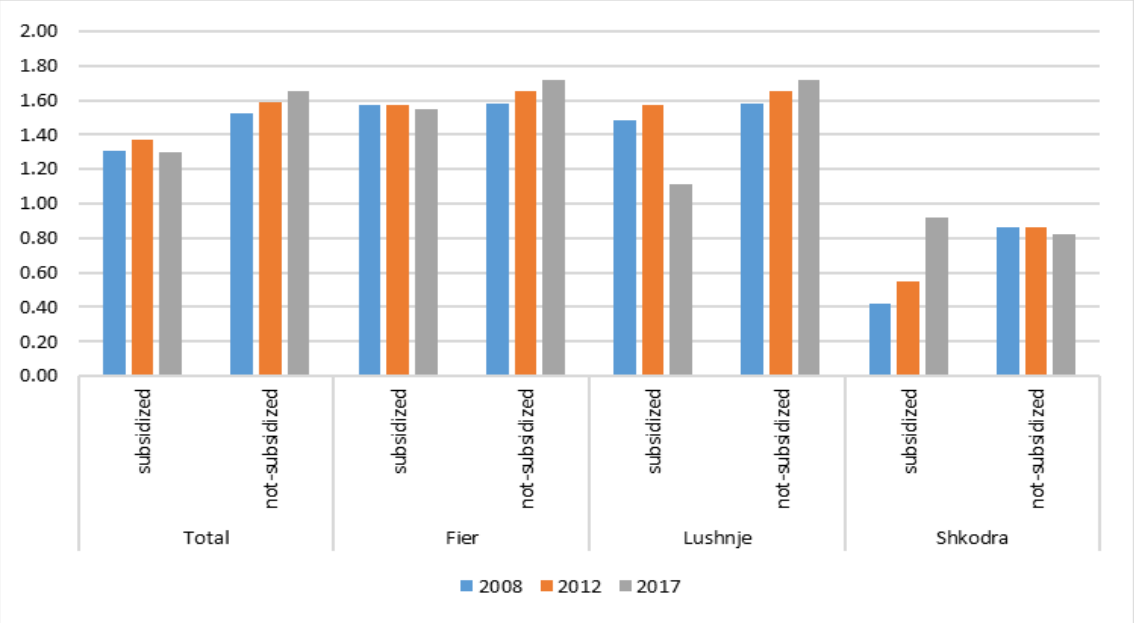
In all cases it is noticed an impact that does not exist, or sporadically, of subsidies in strengthening and developing farms which cultivate Olives and Vineyards. As assessed during the descriptive analysis, farms that did not receive subsidies, in most cases, turned out to have a more positive performance compared to the farms that benefited. There is no impact of subsidies on average farms size without subsidies. At productivity level the same phenomenon is observed, there is no impact of subsidies and non-susidized farms have increased their productivity almost 2 times more compared to beneficiary farms. Similar trend in yields levels of production, except Olives where there has been a slighter growth on supported farms.

### 3.1. Characteristics based analysis

As shown in the figure 1 below, the survey's results, for the average surface of the farm, reflects two different realities:

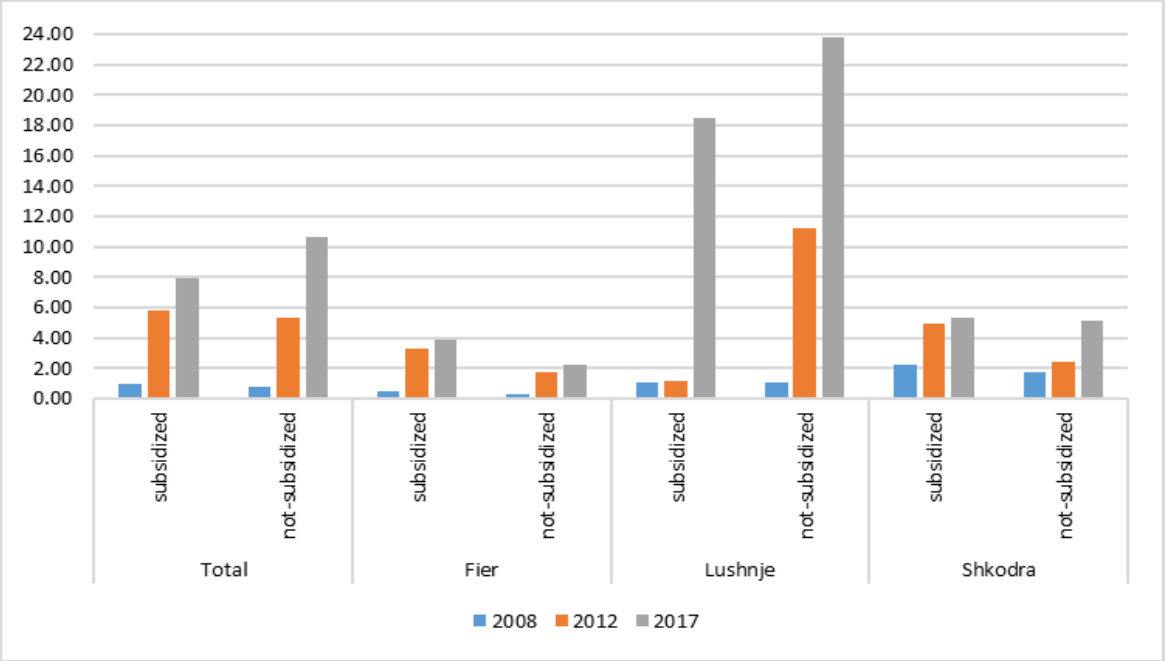
i. In Shkodra, subsidies the impact of subsidies was positive because the surface of farms has increased. The same impact was not noticed in the non-subsidized farms.
ii. In Lushnje was noticed the opposite impact. The subsidized farms slightly increased their surface, while in the non-subsidized farms no impact was noticed.
iii. In Fier the impact was quite similar to Lushnje, as an slight increase was noticed in the subsidized farms and there was no impact in the non-subsidized farms.

Figure 1: Average surface of farms in Ha, by geographical areas and subsidy provided




Source: Personal survey's and their editing

Figure 2: Average production in Tones, by geographical areas and subsidy provided



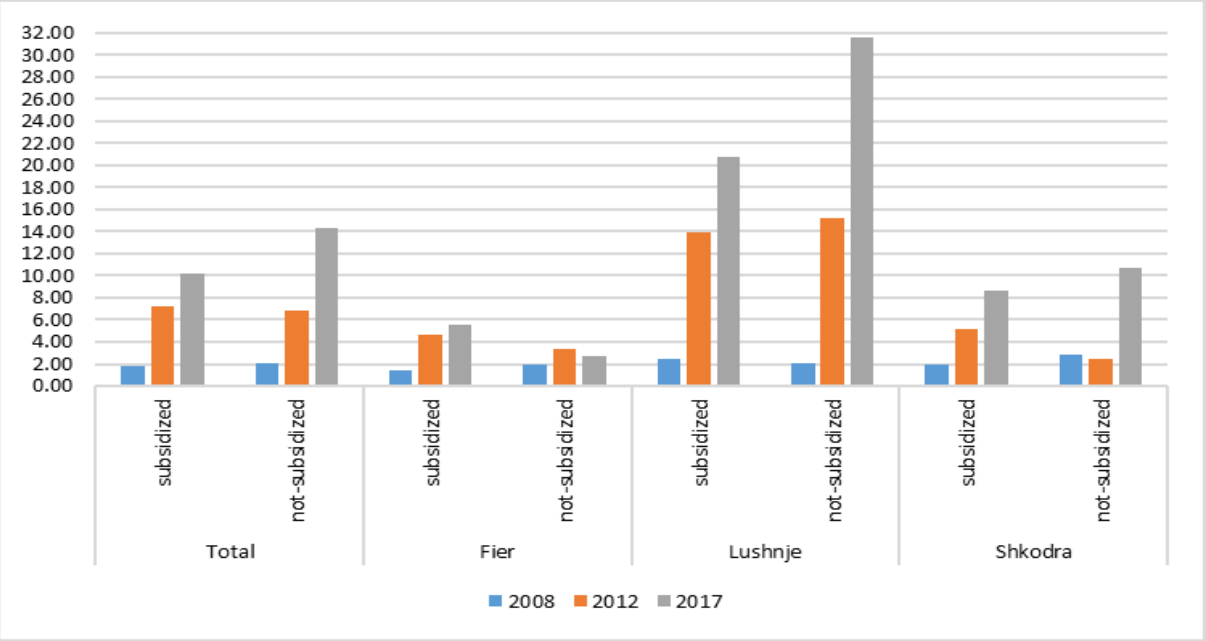

Source: Personal survey's and their editing

As shown in the figure 2 above, the survey's results, for the average production, still reflect different realities, but this time there are differences even between Lushnje and Fier:

i. In Shkodra there was a strong increase in production in the non-subsidizes farms compare to a lower increase in the subsidized farms
ii. Lushnje has the same impacts has Shkodra. Both categories of farms noticed a strong increase in their production, but in the non-subsidized farms the increase in production was quite higher than in the subsidized farms.
iii. In Fier, was noticed the opposite impact. It was noticed an increase in production in the subsidized farms, while there was no increase in the production level of the non-subsidized farms.

During the period 2008-2017, on general the production yields grew over 5 times. The opposite trend is observed in Fier and Shkodra to some extent. In Fier, on non-subsidized farms, the growth is almost negligible. Whereas in the subsidized farms in Fier and in the two typologies of farms in Shkodra, the growth is about 3 times. The farms in Lushnje have experienced extraordinary growth, where subsidized farms have increased yields by about 7.5 times, while non-subsidized farms by about 14 times.

Figure 3: Average yield (Ton/Ha), by geographical areas and subsidy provided




Source: Personal survey's and their editing

Interestingly, in both farms typologies most farmers have invested heavily in 2008-2012. It is noticed that during the years 2013-2017 the level of investments has decreased significantly, compared to the years 2008-2012. On subsidized farms in 2008, the level of investment has fallen by about 3.5 times, while on non-subsidized farms by about 2.5 times. The same downward trend is followed in the number of farmers that have invested during the 2013-2017 period. About 60% of farmers have still invested in non-subsidized farms, while only 40% of farmers have on subsidized farms.

Table 2: Investments in farms, during the years 2008-2017

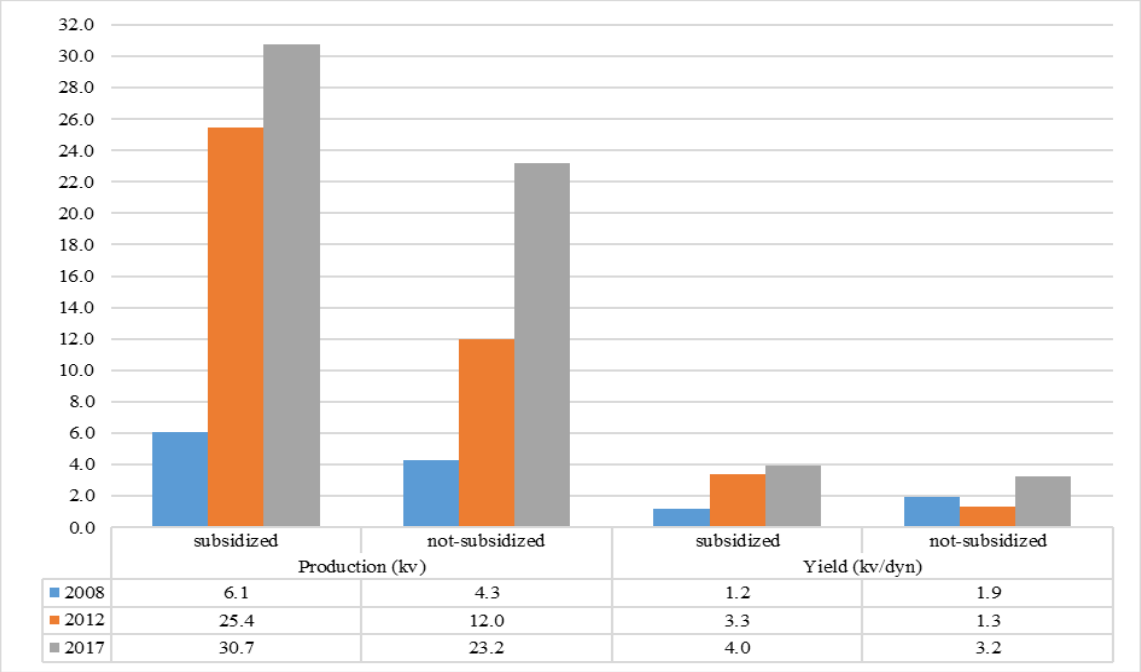
| | | 2008-2012 | | | | 2013-2017 | | | | 2008-2017 | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| ***subsidized*** | ***Po*** | 96 | 83% | 4,736,140 | 48% | 46 | 40% | 1,351,113 | 39% | 6,087,253 | 46% |
| | ***Jo*** | 19 | 17% | | | 69 | 60% | | | | |
| ***not-subsidized*** | ***Po*** | 67 | 91% | 5,149,324 | 52% | 45 | 61% | 2,074,658 | 61% | 7,223,982 | 54% |
| | ***Jo*** | 7 | 9% | | | 29 | 39% | | | | |

Source: Personal survey's and their editing

## 3.2. Commodity based results

Both production level and yields have experienced an extraordinary growth for the Olive. Yields growth rate was lower than production. On both fields, highest growth rates have been observed in the subsidized farms. Lushnje has a different trend because the highest growth rates were observed in the non-subsidized farms.

Figure 4: Olive, by geographical areas and subsidy provided, during the years 2008-2017



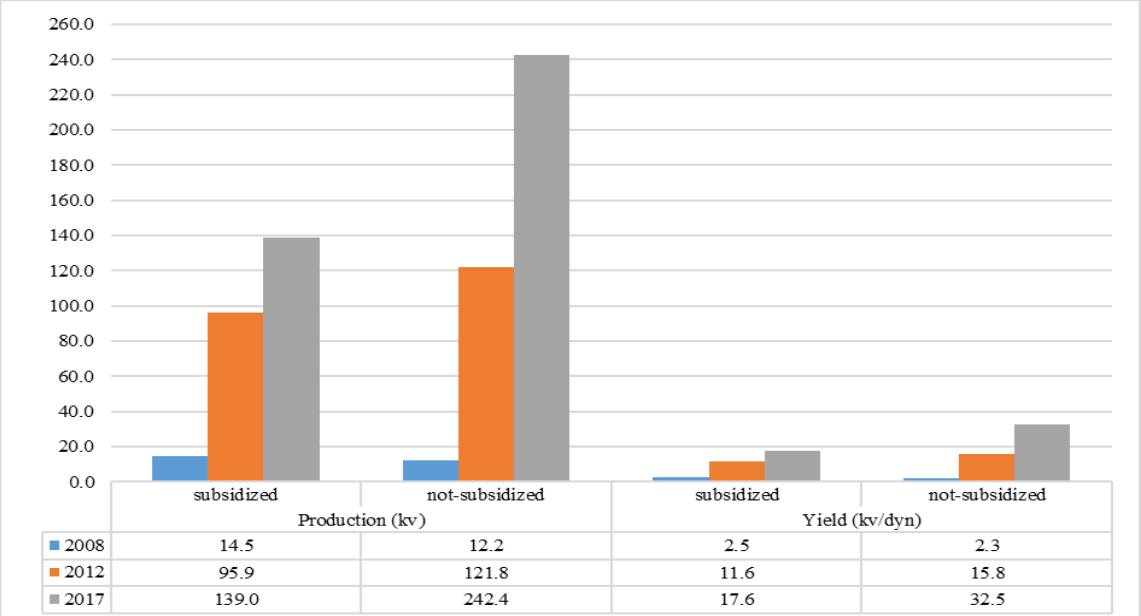

| | Production (kv) | | Yield (kv/dyn) | |
|---|---|---|---|---|
| | subsidized | not-subsidized | subsidized | not-subsidized |
| 2008 | 6.1 | 4.3 | 1.2 | 1.9 |
| 2012 | 25.4 | 12.0 | 3.3 | 1.3 |
| 2017 | 30.7 | 23.2 | 4.0 | 3.2 |

Source: Personal survey's and their editing

Olive production in Albania has experienced an extraordinary growth, with the highest growth has been noticed in the subsidized farms. Yields have also increased, surprisingly at lower levels compared to production, even in this case the highest growth has been noticed in the subsidized farms. The same trend is maintained in sales growth, where the highest rate has been registered by subsidized farms with about 8.5 times, while non-subsidized farms with almost 4 times.

Lushnje makes a difference again. Compared to Shkodra and Fier, where the highest growth is observed on non-subsidized farms. It should be noted that the sales of Olives in Shkodra have decreased. But also the decline in production yield on non-subsidized farms in Fier.

Figure 5: Vineyard, by geographical areas and subsidy provided, during the years 2008-2017




| | Production (kv) | | Yield (kv/dyn) | |
|---|---|---|---|---|
| | subsidized | not-subsidized | subsidized | not-subsidized |
| 2008 | 14.5 | 12.2 | 2.5 | 2.3 |
| 2012 | 95.9 | 121.8 | 11.6 | 15.8 |
| 2017 | 139.0 | 242.4 | 17.6 | 32.5 |

Source: Personal survey's and their editing

Vineyard production growth was even higher than Olive, almost 19 times in 2017, compared to 2008. In Lushnje the growth was slightly higher, over 21 times. In Shkodra, production has increased almost equally in both typologies of farms. Production yields have increased more in non-subsidized farms.

## 4. CONCLUSIONS AND RECOMMENDATIONS

Subsidies did not incentivized farmers whom benefited to invest aiming in expanding their farm surface. On contrary, in the non-subsidized farms there is a slight growth of 9%. Over the past decade, it was noticed a very important expansion in the production levels for the two commodities. In Olives, the highest investment have been made in the subsidized farms, while in Vineyards in the non-subsidized farms. Subsidies have affected mostly the Olive farms, while the Vineyard have not been affected at all by the subsidies provided, because the highest levels were registered in the non-subsidized farms. The analysis by the PSM method, confirms some of the results obtained through the descriptive analysis, which proves the very low impact of subsidies on the further growth and development of the two commodities, in all three areas. However, the Olive farms have been strongly affected by subsidies.

Subsidies have not served as an incentive for farmers to invest and increase their production capacity, compared to non-subsidized farms, which, although without support, have made more significant investments and achieved higher efficiency results at production and sales levels. The subsidies provided did not affected farmers orientation of production. This should be one of the primary objectives of a subsidy scheme. Especially when consider the low level of surface and productive capacity of farms in Albania. In some cases, negative externalities have been registered. Due to the continued support for commodities that have been already present in the market, the strong increase in production quantities has caused a reduction in the selling prices. In the non-subsidized farms, investments have been made based on very good designed business-plans, and the needs and bottle-necks were also better identified. This should also be the approach where farms that apply for subsidies should be oriented in the future, the core should be a detailed business plan, which contains integrated investment measures.

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# Ancient Roman fortress Sostra as a cultural and historical tourist resource

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**Abstract:** The paper is part of a research series for ancient Roman sites in Northern Bulgaria which aim to present the possibilities of creating a specialized form of cultural and historical product that ensures sustainable utilization of the Bulgarian tangible heritage. A study of the Roman fortress Sostra, located on the Via Traiani road as a cultural and historical tourist resource was conducted. The castellum is characterized as an object of cultural heritage in the region of Troyan Municipality in Bulgaria. The methodology applied in assessing the potential of the Ancient Roman fortress Sostra is primarily designed for historical and cultural sites. An evaluation was made under the following criteria: potential for development, degree of impact / interaction, degree of modification with relevant indicators. Also an expedition-field method for terrain research was applied. Summaries and conclusions were made in order to highlight the possibility of forming a tourist product of cultural and cognitive tourism.

**Keywords:** tourist resource, cultural tourism, tourism policy, regional development.

## Introduction

Bulgaria is a country with a unique cultural and historical heritage. Historically, the country existed among the most ancient civilizations and cultures such as the Thracian, Roman and Old Bulgarian. Almost 40,000 registered sites dated back to different historical eras are a proof for the richness of Bulgarian cultural heritage. Seven sites have the status of immovable cultural values of global significance and more than 10 000 have national heritage importance. Bulgaria ranks third in Europe after Greece and Italy for the number of its valuable archaeological and cultural monuments (National Strategy for the Sustainable Development of Tourism in Bulgaria 2014-2030). This makes cultural tourism a promising sector for developing and allows Bulgaria to become a regional leader in Central and South-eastern Europe. European and global trends in tourism development also support this assertion.

A survey, requested by the European Travel Commission (Ministry of tourism), which has studied preferences and reasons for travel of tourists, visiting Europe, shows that relatively high proportions of tourists who go on a holiday in European destination are the most likely to say that cultural and sports tourism are a concomitant goal to travel (39%). In turn 45% of Russian tourists visiting Europe combine the holiday with cultural activities. Tourists from Canada (60%), Japan and Korea (34%) have the same motivation to travel.

In 2018 Bulgaria was visited by a total of 9 273 345 foreign citizens (Ministry of tourism, statistics). The share of European tourists is 61,4%, Russian – 5,6%, Ukrainian – 4% and Canadian – 2%. In this regard, more than 70% of the tourist flow to Bulgaria for 2018 has a potential for diversification through cultural tourism product. However, the holiday tourism retains its leading position for the same period – 62,6% of all tourist visits. Analysis of the Bulgarian tourism market shows that the share of cultural tourism is slightly above 10%. It must be emphasized that the potential of Bulgaria to develop cultural tourism and the demand for such a product from outbound tourism market do not match the actual supply.

The contrast to Bulgaria's positioning worldwide is even more pronounced. By the Natural and Cultural Resources subindex which is a part of the Travel & Tourism Competitiveness Index (TTCI) 2015 framework, Bulgaria is rated 1.96. By this subindex ranking the country attains the 54$^{th}$ position out of 141 countries included in the survey as in the Balkans only Montenegro is after Bulgaria (Levkov, 2017). The TTCI benchmarks the T&T competitiveness of 141 economies. It comprises four subindexes, 14 pillars and 90 individual indicators, distributed among the different pillars. The Survey data is derived from responses to the World Economic Forum's Executive Opinion Survey and range in value from 1 to

7. Each of the pillars has been calculated as an unweighted average of the individual component variables (Travel & Tourism Competitiveness Index, 2015).

Reasons for poor performance of Bulgaria at cultural tourism market are complex and they are listed in founding documents for tourism development such as "Strategy for Sustainable Development of Tourism in Bulgaria 2014-2030" (Ministry of tourism, Bulgaria). Therefore, the topic will not be discussed in detail. For the purposes of this study will be pointed out that one of the main reasons for this is the insufficient readiness of objects of tangible cultural heritage from potential tourist resource to become a basis for setting up competitive tourism product.

## Material and methods

The study is part of a survey of ancient sites on the territory of Pleven and the region. As a territory bordering Romania, sites located in the region can become the basis for development both for an internal and international tourism. This will contribute to the balanced economic development of the region and the alternative employment of labor resources. In this connection, ancient sites are considered as a resource with a potential for tourism development.

The study aims to present the possibility of creating a regional tourist product based on the ancient Roman castellum Sostra. In the specialized literature the tourist product is defined as a concept that contains a substantial material substance and at the same time it is also a set of services. The tourist product also includes resources and attractions, conditions and infrastructure, activities, imaginative presentations and values. Together they have to meet the needs of a particular group of users. It is clear that services are the basis of the tourist product while it has also a material basis, such as tourist resources (Banabakova, et.al. 2017). They are one of the factors motivating potential tourists to choose a destination. In this case it is the cultural heritage in the district of Lovech, namely the ancient Roman castellum Sostra.

The following tasks will help to achieve the above goal:

1. A characteristic of the site is presented.
2. An evaluation of the potential of cultural and historical tourism resources of the ancient Roman castellum Sostra according to specific criteria is made.

In assessing the potential of ancient Roman castellum Sostra, a methodology has been applied that reviews the site as an anthropogenic tourist resource. According to the Methods for evaluation of cultural and historical tourist resources and their potential, the following three criteria for evaluating are used:

1. Capacity (potential, ability) Development (CD) - consistent with the factors and conditions for development of the resource.

2. Degree of impact/ influence – the level of attractiveness is estimated.

3. Degree of modification (resulting from the tourism) - evaluation of utility/ value/ significance of the tourist attraction.

For the assessment are used:

- ✓ method of point rating - a certain number of points is awarded by the selected characteristics of cultural and historical resources, specific indicators to measure them and aggregate subjective opinions;
- ✓ the sum of the awarded points from the total rating of the given object;
- ✓ selected characteristics and corresponding indicators have different weight in the assessment, which is defined in points (1 to 100);
- ✓ the maximum number of points for a certain object is 100 and it is formed as a sum of the points for each of the selected and evaluated characteristics and indicators;

- ✓ a scoring matrix is developed which takes into account the main characteristics of cultural and historical tourist resource Roman castellum Sostra, used in the measurement and evaluation along with their inherent indicators - significance and weight (Table 1).

The following research methods are used in the study:

- ✓ expedition field method - field work, the method of observation and interview method;
- ✓ mapping method;
- ✓ expert evaluation method as a part of heuristic evaluation.

The authors have complied with the idiographic approach that highlights the unique features and competitive characteristics of the site.

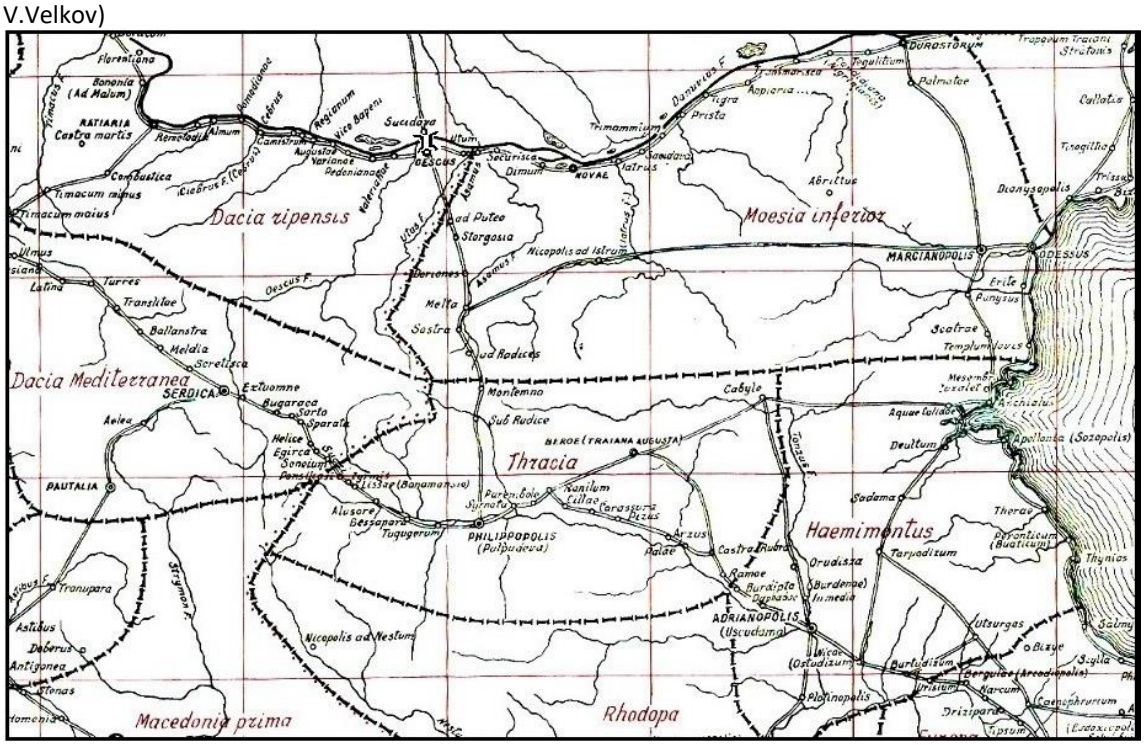
## General characteristics of Roman roadside station and castellum Sostra

In the first third of the first century AD, the territory where the Roman road station and castellum Sostra are situated was part of the Roman Empire as the province of Moesia. This is a consequence of long military campaigns completed during the time of Emperor Tiberius, reigning from 14 AD to 37 AD. Romans built many roads that serve the army, administration and trade within the Empire and beyond (Figure 1). Trajan time is part of the road system of the Roman Empire. Its construction began during the reign of Tiberius (14-37) but was finished and actively used during the Emperor Trajan (98-117) when he transformed Dacia (Dacia Trajana) into Roman province. After Philipopolis Via Traiani was incorporated into another great Roman road – starting from Singidunum (today the Serbian capital Belgrade) continuing to Serdica (mod. Sofia), Philippopolis (mod. Plovdiv) and Adrianopolis (mod. Edirne in Turkish Thrace). At certain distances along the main roads the Romans built roadside stations and ancient castrum (fortified military camp) that served as a protected place for accommodation, storage facilities for food, weapons, horses changing point, and administrative records. According to a Roman road map (illustrated itinerarium), known as *Tabula Peutingeriana*, the way stations via Trajan's road on Bulgarian territory were nine: ***Oescus 14*** Roman miles (village of Gigen, Pleven district), ***Ad Putea 7*** (village of Riben, Pleven dist.), ***Storgisia 11*** (Pleven), ***Doriones 10*** (village of Slatina, Lovech district), ***Melta 13*** (Lovech), ***Sostra 10*** (village of Lomets, Troyan district), ***Ad Radice*** (village of Beli Osum), ***Monte Naemno*** (Beklemeto), ***Sub Radice*** (village of Hristo Danovo, Plovdiv district).

The Roman roadside station and castellum Sostra is situated on a territory which in the Pre-Roman period (1 BC) is associated with the lands inhabited by the Thracian tribe of Krobyzoi. Sostra is the sixth station, serving Via Trayana. "Sostra" from ancient Greek means belt, bandaging, barrier). The castellum is located in the Osam river valley. It is part of the Troyan Fore-Balkan. It consists of low hills with an east-west stretch, cut from the rivers, in this case from the valley of the Osam River through the village of Lomets.

On the cartosheme, it is well seen (Figure 1) that Sostra is situated directly on the Roman road and it is the last one before it enters the central mountain massif.

Figure1 Schematic map of Roman roads in Bulgaria in IV –VI centuries (Source: Tapkova-Zaimova, V., V.Velkov)


Dacia ripensis
Moesia inferior
Dacia Mediterranea
Thracia
Haemimontus
Rhodopa
Macedonia prima
DUROSTORUM
MARCIANOPOLIS
ODESSUS
NOVAE
SERDICA
PHILIPPOPOLIS
(Pulpudeva)
ADRIANOPOLIS
(Uscudama)
Oescus F.
Sostra
Montemno
Sub Rudice
Ad Radices
Melta
Ad Putea
Stargosia
Nicopolis ad Istrum
Nicopolis ad Nestum
Trimammium
Cabyle
Deultum
Apollonia (Sozopolis)
Aquae Calidae
Templum Jovis
Scaetae
Pistus
Arzus
Castra Rubra
Ramae
Burdenae
Orudizza
Taryadizum
Therae
Thynias
Sadema
Utsurgas
Bizye
Sergulea (Arcadiopolis)
Burtudizum
Plotinopolis
Drizipara
Harcum
Coenophrurium
Tzurulum
Beroe (Traiana Augusta)
Augusta Variana Pedenianae
Securisca
Dumum
Iatrus
Abritus
Dionysopolis
Tomis
Callatis
Tegulium
Palmatae
Aquae Calidae
Archialus
Mesembria
Erite
Pungus
Latina
Turres
Translatae
Ballanstra
Meldia
Scretisca
Exclusmne
Bugaraca
Sorta
Sparata
Helice
Egista
Sonustorre
Pamistere
Lissae (Banamanae)
Ulmus
Timacum maius
Timacum minus
Combustica
Remesiana
Almum
Naissus
Ratiaria
Castra martis
Florentiana
Bononia
(Ad Malum)
Aulea
Tranupara
Astibus
Deberus
Antigonea
Tomenissa
Strymon F.
Axius F.
Oescus F.
Iatrus F.
Danubius F.
Tigra
Prista
Aquae ...
Tropaeum Traiani
Strutonis
Tegulitium
Dimum
Ulum
Sucidava
Augustae
Variana
Pedenianae
Vicus Bapeni
Regianum
Dimum
Ad Putea
Stargosia
Melta
Sostra
Ad Radices
Montemno
Sub Rudice
Beroe (Traiana Augusta)
Arzus
Castra Rubra
Ramae
Burdenae
Orudizza
Taryadizum
Therae
Thynias
Sadema
Utsurgas
Bizye
Sergulea (Arcadiopolis)
Burtudizum
Plotinopolis
Drizipara
Harcum
Coenophrurium
Tzurulum
Nicopolis ad Istrum
Nicopolis ad Nestum
Trimammium
Cabyle
Deultum
Apollonia (Sozopolis)
Aquae Calidae
Templum Jovis
Scaetae
Pistus
Erite
Pungus
Latina
Turres
Translatae
Ballanstra
Meldia
Scretisca
Exclusmne
Bugaraca
Sorta
Sparata
Helice
Egista
Sonustorre
Pamistere
Lissae (Banamanae)
Ulmus
Timacum maius
Timacum minus
Combustica
Remesiana
Almum
Naissus
Ratiaria
Castra martis
Florentiana
Bononia
(Ad Malum)
Aulea
Tranupara
Astibus
Deberus
Antigonea
Tomenissa
Strymon F.
Axius F.
Oescus F.
Iatrus F.
Danubius F.
Tigra
Prista
Aquae ...
Tropaeum Traiani
Strutonis
Tegulitium
Dimum
Ulum
Sucidara

Sostra was twice destroyed by the Goths in the middle of the 3rd and the second half of the 4th century, but it was recovered after these invasions. Initial archaeological studies showed that Sostra included settlements, necropolises, a roadside station and a strong fortress (castellum). The entire valley where the the fortress is situated covers an approximate area of 4 km$^2$. Sostra was founded in the middle of the 2nd century and it existed for more than 300 years. Four construction periods have been established. Sostra fort was built around 145 AD at the order of Roman Emperor Antoninus Pius during his fourth consulate (Hristov, 2011). Around 147 AD the cohors II Mattiacorum was stationed in Sostra and the construction of the the castellum began. It was so called cohors milliaria, i.e. around 1000 soldiers (milliaria). There are evidences of the presence at a later stage of Cohors I Cisipadensium in Sostra, First Spanish Gordian cohort (cohors I Hispanorum Gordiana), and part of the I Aurelian Cohort.

In the late period of its existence (IV-V centuries) barbaric mercenaries played the role of militia. With the invasions of Goths and Huns, the castle of Sostra lost its military significance and it became a civilian settlement. Sostra was completely destroyed by the Huns at the end of the 5th century. Inthe 19th century a small road inn called "Lomeshki Hancheta" was built.

Sostra is a base camp. According to Hristov (2011) the Latin term “castellum” can be used for a fortified military camp. The term is a diminutive form of “castra”. This term designated the bearings of auxiliary parts, as is the case with Sostra. It was found that the plan of this castellum is similar to a rhombus whose larger diagonal is oriented to the northwest - southeast (figure 3). The fortified territory covers an area of approximately 1.5 ha (125 m west-east x 121.5 m, north-south). Exact measurements allow the calculation of the standard sized cohors quingenaria units. In its present form, Sostra presented a plan of a fortified fortress, the achievement of which occurred at the end of the 3rd century and the beginning of the 4th century. The fortress was built in strict compliance with the natural features of the plain around the Azamus River (today Osam River). At the center of the castellum was the principia or the military headquarters (figures 4 and 5). Infront of the principia passed the main stree Via Principalis. Against it at right angles to Via Principalis passed the second main street Via Pretoria. Part of the fortification of Sostra castellum was implemented by towers at the gates and corners of the fortification. There are two types of towers - rectangular, flanking the gates in the middle of the curtain wall and rounded - at the corners (Figures 6 and 7). All towers in the castellum were covered with tegulae and imbrices.

Figure 3 Plan of castellum Sostra (source: Hristov, 2011)

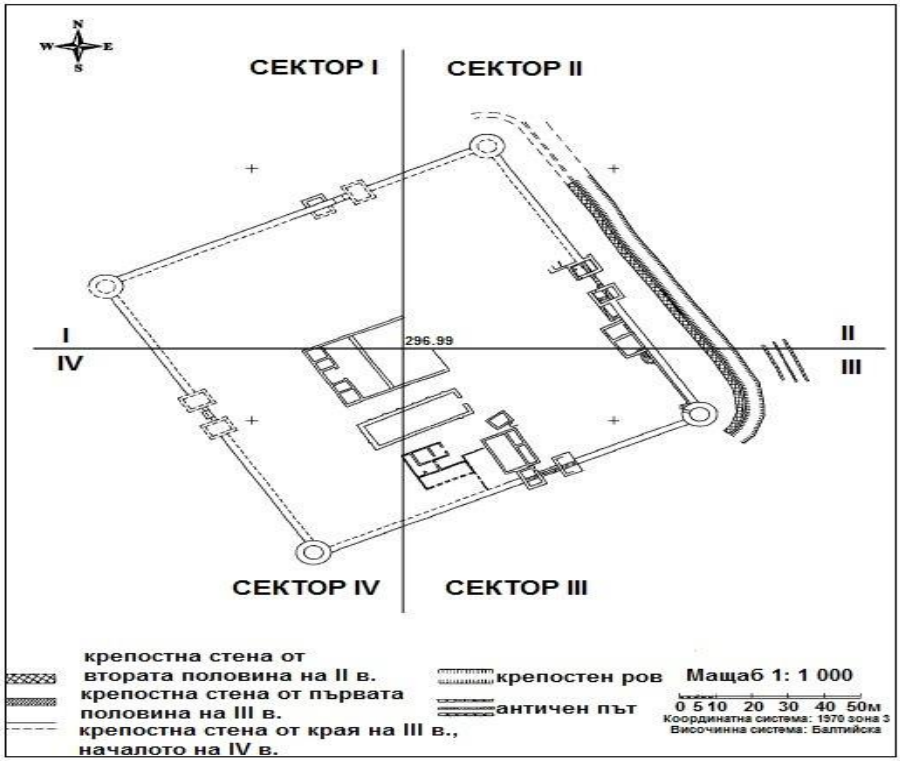


Figure 4 Via Principalis (authors' archive)



Figure 5 military headquarters (authors' archive)



Figures 6 and 7 Southeastern round tower and part of the Roman road (authors' archive)





The rectangular towers of Sostra are located in the middle of the fortress walls near the gates in order to secure and protect them. Their external dimensions, with a few exceptions, are the same 8 / 6,50 m. They are 1/3 out of the line of the fortress wall (Hristov, 2011), (figures 8, 9 and 10).

Figures 8 and 9 Eastern fortress wall with main gate and rectangular towers (authors' archive)





The Roman road passes immediately before the eastern fortress. A great length of the road is revealed, divided into two lanes with an axial line, a banquet and a width of 7 m (figure 11).

The organizational archaeological research of the Roman complex has been done by Dr. Georgi Kitov, Totyu Totevski, Assoc. Prof. Sergei Torbatov (National Archaeological Museum of Bulgarian Academy of Science) and Prof. Dr. Ivan Hristov (National Historical Museum). The first organized archaeological researches in the region of Sostra were held in 1979 under the guidance of Professor Georgi Kitov. Since 2002 there are regular exploratory and restoration activities under the guidance of Prof. Dr. Ivan Hristov from the National Museum of History and with the cooperation of the Municipality of Troyan and the Museum of Crafts. Major sections of the military camp, buildings from the civilian settlement, early Christian basilica, ceramic furnace, sanctuary of Thracian god rider, roadside station etc. were studied. During the excavations, silver coins, clay pots and jewels were found. Part of the findings are exhibited at the Museum of Crafts in the town of Troyan.

Figure 10 Reconstruction of the east gate of the castellum Sostra (authors' archive




Figure 11 Part of *Via Traiani* right in front of the Sostra castellum (authors' archive)



## Evaluation of potential of the Ancient Roman fortress Sostra as cultural and historical tourist resource

Complex evaluation of cultural and historical tourist resources of Ancient Roman fortress Sostra is 57 points from maximum 100 possible points (Table 1).

Table 1 Main characteristics and indicators for assessment of the historical and cultural tourism resources of the Ancient Roman fortress Sostra

| № | **Defining characteristics** (associated with the main criteria) | **Indicators and metrics** | **Weighting (number of points)** | | | |
|---|---|---|---|---|---|---|
| | | | **Max** | **Max** | **For the object** | **Max for the object** |
| 1 | **Attractiveness (Criterion 2)** | 1.prominence/ popularity<br>2. combined with beautiful and diverse landscape<br>3. authenticity / preservation<br>4. uniqueness<br>5. beauty / exotic<br>6. cognitive / scientific value | 1.5<br>2.3<br>3.4<br>4.5<br>5.4<br>6.4 | 25 | 1 - 2<br>2 - 3<br>3 - 4<br>4 - 3<br>5 - 3<br>6 – 3 | **18** |
| 2 | **Importance (Criterion 2)** | 1. worldwide (incl. The UNESCO)<br>2. national (incl. 100 National Tourist Sites of Bulgaria)<br>3. local<br>4. ensemble<br>5. monuments for reference | 1.8<br>2.5<br>3.2<br>4.2<br>5.1 | 18 | 1 - 0<br>2 - 0<br>3 - 2<br>4 - 1<br>5 - 1 | **4** |
| 3 | **Accessibility (Criterion 1)** | 1. all vehicles / buses (incl. oversized)<br>2. only by car<br>3. only off-road vehicles<br>4. accessible by foot | 1.5<br>2.3<br>3.2<br>4.1 | 11 | 1 - 5<br>2 - 3<br>3 - 2<br>4 - 1 | **11** |
| 4 | **Capacities/ carrying capacity (Criterion 2)** | 1. carrying capacity (number of visitors weekly, daily, per 1 hour)<br>2. facility carrying capacity<br>3. ecosystems load level<br>4. possible maximum number of visitors /per 1 m2/<br>5. ratio number of visitors - the number of beds | 1.3<br>2.3<br>3.3<br>4.2<br>5.2 | 13 | 1 - 3<br>2 - 3<br>3 - 2<br>4 - 1<br>5 – no data available | **9** |
| 5 | **Utilization for the needs of tourism (Criterion 3)** | 1. safety in use<br>2.degree of exploration<br>3. guaranteed period of operation<br>4. capital intensity | 1.4<br>2.2<br>3.4<br>4.3 | 13 | 1 - 2<br>2 - 1<br>3 - 3<br>4 - 2 | **8** |
| 6 | **Readiness to accept and service tourists (Criterion 3)** | 1. availability of tourist infrastructure and superstructure<br>2. level of staffing provision<br>3. presence / absence of guide services<br>4. degree of suitability for formation of tourist products | 1.7<br>2.5<br>3.3<br>4.5 | 20 | 1 - 4<br>2 - 0<br>3 - 0<br>4 - 3 | **7** |
| | | TOTAL NUMBER OF POINTS FROM THE MAXIMUM (100) | | | | **57** |

## Results and Discussion

By the "attractiveness" criterion 2, the site has been rated 18 by a maximum of 25 points. This is mainly due to the authenticity of the site, the beautiful landscape and its cognitive and scientific value. Under these criteria insufficient popularity is one of the weaknesses of the site. The "accessibility" criterion has the maximum rating points. The site has a built-in transport infrastructure. It is available for all types of

vehicles as well as on foot. Directly next to the main road there is a parking lot and signs are placed. A macadam leads to the fortress. A serious disadvantage is the safety of the site. Through it passes unsafe for pedestrians' railway line (figure 12).

Figure 12 Railway line Lovech – Troyan passes via castellum Sostra (authors' archive)



The indicator " Utilization for the needs of tourism" (criterion 3) is estimated at 69% of the maximum possible. This is due to the degree of exploration of the fortress, the restoration and conservation of the sites, as well as the exploitation potential that exists during the year. Lack of visitor data is an obstacle to fully assessing the subject under this indicator. This criterion has the potential for a higher grade.

For the good assessment of these two indicators is also contributed by the realized project of National Historical Museum and Municipality of Troyan related to exploration, restoration and conservation of Sostra.

Criteria "Importance" (criterion 2) has the lowest rating. In general, the site has local significance and it is not part of an ensemble. It is also not popular and interesting for tourists outside the region. Potential tourists can be attracted by incorporating the site as a cultural and historical tourist resource into a comprehensive regional tourist product.

According to the "Readiness to accept and service tourists" criterion the Roman roadside station and castellum Sostra received only 35% of the maximum points. The site has partly developed tourist infrastructure, but the lack of superstructure and trained staff reduces the its tourist value. At present, the site does not offer tour guide services. The visit mode is free. There is a lack of a permanent staff which reduces the satisfaction and aesthetic perception of the site by tourists and the opportunities for ongoing maintenance.

## Conclusions

The Roman fortress of Sostra has the potential to form a tourist product of cultural and cognitive tourism. It is an archaeological site partly prepared for visiting by tourists. A competitive advantage is the location of the site next to the main road Lovech - Troyan - Troyan Pass. At the same time, the lack of developed thematic cultural and tourist product remains the object isolated and unknown to potential tourists.

There is, however, good practice in local government to turn Sostra into an attractive tourist destination. First of all, the municipality has acquired the caste as a property. Together with the state and public-private partnership, the municipality has invested funds in exploration, conservation and restoration of the site. In the planning documents of the Troyan municipality for the period 2014-2020, the sustainable development of tourism is considered as one of the five priorities for development of the region (Municipal Development Plan of Troyan for the period 2014-2020). The authors of this paper believe that good cooperation has been achieved between the Municipality and the National history museum, as a result of which in the beginning of 2019 the investment project: "Archaeological complex Sostra - restoration, exhibition and socialization of Roman castle and Roman roadside station – 1st stage" was presented. The investment project was prepared with funds from the municipal budget. It envisages preservation, exposure and socialization of Sostra. Main activities are: recovering Sostra's vision through conservation methods and technologies, as well as readable exposure solutions; providing access for people with mobility disabilities, alleyways and artistic lighting; creating an attractive part, safe passage of visitors through the railway line; Last but not least, build a visitor center as well as a dining and accommodation facility (Minicipality of Troyan. News section). During the implementation of the project, the weaknesses in the above assessment will be removed and Sostra to a large extent will be completed as a tourist site. The question remains about the implementation of the project commitments, as well as how Sostra and other ancient sites in the region to be combined in a common thematic, regional tourist product. They are territorially located on three districts and two tourist regions. On the other hand, they are at a different stage of development as objects of cultural tourism. This makes it very difficult to coordinate efforts to achieve progress in this direction. One of the reasons for this is the weaknesses of the current tourist zoning of the country (Levkov&Lakov, 2018). More than 5 years the destination management system is not working properly which could be one of the possible solutions to the discussed problem.

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# Some Reflections on Legal Culture and International Business

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**Abstract:** In recent decades, under the influence of the so-called "cultural turn" in the social sciences and the process of globalization, scientific and professional interest has increasingly focused on comparing and understanding the similarities and differences between legal cultures, as well as interpreting the impact that different legal cultures can have on international business and vice versa. Starting from a review of different definitions of the concept of legal culture as one of the most complex and controversial concepts in the study of law and society, this paper focuses on "external legal culture". The aim of this paper is to present and analyze the relevant literature to point out the double impact and connection between legal culture and international business. Firstly, legal culture can be analyzed as independent variable in research of the impact and connection between culture and international business. In this sense, this paper emphasizes and analyzes the application of some results of Hofstede's research model of "national culture". Accent is on "uncertainty avoidance" and "individualism/collectivism" as cultural dimensions in Hofstede's model. Results and theoretical connotations regarding these dimensions are associated with other cross-cultural studies of values and attitudes relating to law and legal culture. Secondly, national legal cultures are strongly influenced by various processes of globalization, to the extent that today we can point to the possibility of moving to a global legal culture. According to Friedman, modern or global legal culture is directed towards the convergence of legal cultures, and towards the culture of individualism, with special emphasis on human rights. However, such idea may be related to the Anglo-American view of legal culture, but there are more „legal cultural families" in the world which should not be left out from the analyzes of the impact of globalization on legal cultures and related challanges. The concluding part of the paper points out varius approaches in researching and understanding legal cultures such as different theoretical approaches (determining, essentialist approach or understanding culture as a hybrid, heterogeneous and fluid), different methodological approaches (positivist or hermeneutic and interpretative), different levels of analyzes (within-country and cross-national, or local and global) etc. Nevertheless, various approaches and problems regarding the legal culture as a concept, as well as the research problems which this concept opens up, should not be the reasons for abandoning it; rather the reason for further interdisciplinary studies of legal cultures and its implications on international business.

**Keywords:** legal culture, uncertainty avoidance, individualism/collectivism, global legal culture.

## 1. INTRODUCTION

In recent decades, under the influence of the so-called "cultural turn" in the social sciences and the process of globalization, scientific and professional interest has increasingly focused on comparing and understanding the similarities and differences between legal cultures, as well as interpreting the impact that different legal cultures can have on international business, as well as the research of the impact of the globalization on law and legal cultures. Since the cultural turn in the 1980s, thousands of journal articles and books have been published with "law", "culture" or "legal culture" in the title emphasizing the need for cultural study of law, indicating a connection between law and culture and analyzing culture as unavoidable theoretical concept (Silbey, 2010: 470). While analyzing the cultural turn in socio-legal literature Silbey (2010) concludes on the following three important changes. First, research abandoned a "law-first" approach with empirical focus on legal materials and actors and turned "to the everyday life-world of ordinary people" (Silbey, 2010: 473-474). Second, the cultural turn affected the change of research focus from measurable behaviour to analyses on actor's meanings and interpretation of social relations in the field of law (Silbey, 2010). Third, and for this paper the most important change is that the turn to everyday life and cultural meanings of social action also meant turn to "an analytically conceptualized unit of analysis, the researcher's definition of the subject: legal culture" (Silbey, 2010: 474). Another important context for analyzing this topic is the process of globalization. It is a complex process, but we can point out that globalization consists of different dimensions such as economic, cultural, political, legal, informational, technological, etc. (Abercrombie, Hill and Turner, 2008, 113). The economic dimension of globalization includes creating a global market

and free trade, free movement in goods and services, expansion of global financial markets, the spread of neoliberalism, development of multinational companies, the growth of international trade, globalization of production etc. (Abercrombie et al., 2008, 112-113). In such a context, the following question began to be asked frequently: Could free movement in goods and services be "matched by free movement in legal rules"? (Ogus, 1999, 409). Besides, due to the huge growth of multinational organizations and international business, an increased interest in removing cultural barriers in doing business has arisen; therefore more research has been conducted on how to achieve greater or maximum efficiency in management as well as greater business efficiency in an international context. Modern management considers that it is better to understand the local business and cultural environment, because "long-standing cultural habits cannot be changed, nor would it be useful: production and market cycles are relatively short anyway" (Katunarić, 2007, 177). Therefore, efficient business in a global context assumes management based on knowledge of the interaction of different cultural elements in building successful business relationships (Bahtijarević-Šiber, Sikavica and Pološki-Vokić, 2008). Establishing frequent interactions, interdependence and business cooperation between different cultures in order to achieve successful business relationships, raising efficiency and achieving competitiveness in the global market presupposes gaining knowledge and willingness to understand the impact of different dimensions of culture on international business, international trade, organizational behaviour etc. (Bahtijarević-Šiber et al., 2008). In that context, the question of the impact of globalization on legal culture is increasingly being asked in the literature. In this sense, views and approaches differ: first, while according to some authors we can speak of convergence between different legal cultures, others emphasizes that such convergence is not possible, and speak of divergence between different legal cultures; second, while according to some authors we can speak of the creation of a global legal culture, others point out that independently of the various globalization influences, national legal cultures continues to differ. Therefore the aim of this paper is to present and analyze the relevant literature to point out some different approaches which analyze that double impact and connection between legal culture and international business: first, the impact of legal culture on international business and second, impact of global international business on legal cultures. However, the concept of legal culture is multilayered, and its definition and conceptualization, the unit(s) of legal culture, use and usefulness of this concept etc., have long been a subject of debate in the socio-legal literature (Nelken, 2016; 2012; 1995; Silbey, 2010). Besides, frequent use of the term legal culture led to conceptual confusion about this term and concept (Nelken, 2016; 2012; 1995; Silbey, 2010). Within the discourse on legal culture Friedman (1994: 119) noticed that legal culture is sometimes recognized as a "legal consciousness", or "as knowledge and opinion about law"; Silbey (2010: 475-476) found the following four phrases and concepts as alternatives to legal culture: "legal ideology", "legal consciousness", "legalities or cultures of legality" and "the structure of legality"; according to Husa (2012: 2), although some authors prefer the term "legal traditions", there is no important epistemology difference between the concepts of "legal culture" and "legal tradition"; according to Nelken (2016: 46), more alternative concepts could be find, like "law in action", "legal discourse", "legal mentalities", "legal styles" etc. Therefore in the following part of this paper we will start from the definition of the concept of legal culture and different uses of this concept in the socio-legal literature.

## 2. THE CONCEPT OF LEGAL CULTURE

Lawrence M. Friedman (1969: 34) is the creator of the term "legal culture", and in his famous article entitled "Legal culture and social development" he has distinguished between the structural (the institutions and their forms and processes), the substantive (the laws, the rules and formal decisions) and the cultural components of the legal system, defining the cultural elements as "the values and attitudes which bind the system together, and which determine the place of the legal system in the culture of the society as a whole". Those three elements (structural, substantive and cultural) form a legal system, interact with each other and they are influenced by "external or situational factors" from the larger society (Friedman, 1969: 34). According to Friedman (1969: 34-35), the cultural elements in the legal system, or the legal culture, "influence all of the legal system", and for example, "it is the legal culture, that is, the network of values and attitudes relating to law", which determines when and why and where people turn to law or government, or turn away", as well as "which rules work and which do

not, and why". As Friedman (1969: 35) noted, legal cultures "differ in ways that cut across the conventional similarities and differences of legal systems". In short, different legal systems and different legal cultures are "part of an eternal dialogue between different ways of looking at the world" (Friedman, 1969: 36). Besides, legal cultures are "historically shaped and conditioned" (Varga, 2012, 26). Therefore, law "is not self-contained; it is culturally very specific", and "some parts of the living law are deeply imbedded in national culture" (Friedman, 1969: 37-38). Moreover, culture is "the sole source of effectiveness of law" and important changes in law are not possible unless they are preceded by cultural change (Friedman, 1969: 41). In addition, Friedman distinguishes external and internal legal culture: "external legal culture is the legal culture of the common people; internal legal culture is the legal culture of those members of society who perform specialized legal tasks" (Friedman, 1975, in: Ravlić and Čehulić, 2020: 150). Although external and internal legal cultures are interconnected and interdependent, in the following chapter of the paper we are focusing on "external" legal culture. After Friedman's writing on legal culture, interest and use of the term legal culture is growing, and below we will highlight some more definitions of that term and concept.

According to Vrban (2006: 200-201), legal culture is a multidimensional concept which consists of "legal knowledge" (common among broad population), "specialized (professional) knowledge" (common among lawyers and officials), "knowledge of alternative and subsidiary norms" (which coexist with the official legal system), values as the concept of desirable, and "a legal sense" or "legal ethos". Apart from the value of justice, "legal culture exists on a subconscious level as permeation with other values" that can be displayed in the form of "binary codes: universalism versus particularism, individualism versus communion, rationality versus irrationality" (Vrban, 2006: 200). Emphasizing the importance of different knowledge and values, this Vrban's definition of legal culture is in line with similar definitions according to which the notion of legal culture "refers to the attitudes, values and opinions that exist in society in relation to law, the legal system and its various parts" (Ravlić and Čehulić, 2020: 147). According to Ravlić and Čehulić (2020: 147), parts of legal culture are also parts of "general culture - customs, values, way of acting and thinking - which bind social forces to law or alienate them from it". Moreover, "every person has a legal culture, just as every person has a general culture, and a social culture", but at the same time, each person is a "part of collective, a group, a social entity, and shares in the ideas and habits of that group" (Friedman, 1994, 118). In this regard, according to Friedman (1994: 118), "legal culture is the source of law", because its norms get transmuted into law and create the legal norms, and it is also, "what determines the impact of legal norms on society", because subjects of law are the people, "the living human beings with thoughts, ideas, minds, habits, behaviours" and they react to "orders and institutions of law, and their reactions determine the effect of these orders and institutions". Friedman (1994: 118) also emphasizes that "legal culture is a kind of *intervening variable*", because "social forces make law, but they do not make it directly". Still, legal culture is measurable, it is not a mysterious concept: "we can measure it directly, by asking people questions; or indirectly, by watching what people do and inferring their attitudes from what we see" (Friedman, 1994, 119). Therefore, in the following part of the paper we will focus on the results of measuring and analyzing values of different legal cultures in terms of their average tendencies[1].

## 3. CULTURAL DIMENSIONS AND LEGAL CULTURES

In this part of the paper, we will present and analyze some results of Hofstede's research model of "national culture"[2], that is one of the most famous and globally popular model for studying cultural impact on intercultural cooperation, development, organizations, management, organizational cultures etc. For the purpose of this paper, we will focus on different Hofstede's cultural dimensions in order to emphasize some reflections about different cultural dimensions of "national cultures" (that is "a country culture" in his model) and law and legal culture as a part of that culture. Hofstede (2001: 2) defines culture as "collective programming of the mind", or "software of the mind", whereby the phrase "mental programming" is not interpreted literally that people are programmed in the same way as a computer, but it is a theoretical construct by which Hofstede assumes that "each person carries a certain amount of mental programming that is stable over time and leads to the same person's showing more or less the same behavior in similar situations". Actually, "every person carries within him – or herself certain patterns of thinking, feeling, and potential acting that were learned throughout lifetime",

and "much of it has been acquired in early childhood", when everyone is going through a period of primary socialization (Hofstede and Hofstede, 2005, 2). Culture is therefore relatively permanent and stable; "a collective, not an individual attribute"; "common to some, but not all people"; shared by individuals and groups within society; differs from the other "mental software"; learned in the process of socialization; "not directly visible but manifested in behaviours"; her core is formed by values (Hofstede, 2007, 16). Hofstede (2001) distinguishes five main dimensions on which "national cultures" differ: *power distance, individualism/ collectivism, masculinity/ femininity, uncertainty avoidance* and *long-term/ short-term orientation,* and since 2000s, owing to research by Minkov, a sixth dimension, *indulgence/ restraint* has been added to the model (also known as dimension about happiness) (Hofstede, Hofstede and Minkov, 2010). Thereby, "national cultures" as "statistical combinations" of that dimensions are "unique and unrepeatable", and yet closely related to other "national cultures" in the world (Katunarić, 2007, 182). Although all dimensions of culture are important for analyzing the connection between „national cultures" and international business and cooperation, due to the extensiveness of this topic, we will emphasize only the connotations of some dimensions which are particularly interesting for describing different legal cultures. Therefore, we are focusing on "uncertainty avoidance[3]" (as the extent to which a culture programs its members to feel either uncomfortable or comfortable in unstructured situations) and "individualism/ collectivism" (as the relationship between the individual and the collectivity that prevails in a given society) as cultural dimensions in Hofstede's model (Hofstede, 2001).

According to Hofstede and Hofstede (2005: 167), "uncertainty avoidance" dimension (from strong to weak, or from high to low) can be defined as "the extent to which a culture programs its members to feel either uncomfortable or comfortable in unstructured situations", and "this feeling is, among other things, expressed through nervous stress and in a need for predictability: a need for written and unwritten rules". In other words, this dimension is used to measure whether the society would rather prefer structured than unstructured situations, where structured situations are those to which the clear rules of behavior can be applied (Hofstede and Soeters, 2002). "Uncertainty avoidance" is the level Hofstede (2001) uses to measure the intensity of feeling threatened by uncertainty, unknown and insecure situations, and the fundamental question of this dimension of culture is how different cultures deal with this uncertainty, or if those vague and unstructured situations cause more or less anxiety in society, while the basic dillema of this dimension is dealing with the unknown, or dealing with the uncertainties. Thereby, the law as "all formal and informal rules that guide social behavior" is helping us to defend ourselves from the uncertainties in the behavior of others (Hofstede, 2001, 146). The following highlights some of the Hofstede's theoretical connotations of "uncertainty avoidance" dimension in legislation. Low "uncertainty avoidance" include[4]: "few and general laws and regulations; citizens positive toward legal system; laws usually on my side; rule of law should prevail" (Hofstede, 2001, 180). Furthermore, "if laws cannot be respected they should be changed; fast result in case of appeal to justice" (Hofstede and Hofstede, 2005, 194). High "uncertainty avoidance" include[5]: "many and precise laws and regulations; citizens negative toward legal system; laws usually against me; laws should be broken if unjust" (Hofstede, 2001, 180). Furthermore, "laws are necessary even if they cannot be respected; slow result in case of appeal to justice" (Hofstede and Hofstede, 2005, 194).

In addition, we will emphasize the "individualism/ collectivism" dimension ("I" – consciousness versus "We" consciousness) as the degree to which people in society prefer to act as individuals rather than as members of groups; level of connection, in a way that individualism represents a weak connection between individuals whereby everyone takes care of themselves and their immediate surroundings, while collectivism represents integration into a group and the advantage of group goals over individual ones (Hofstede 2001; Hofstede and Hofstede, 2005). The following highlights some of the Hofstede's theoretical connotations of the "individualism/ collectivism" dimension in legislation and political systems. Low "individualism" include[6] that collective interests are "supposed to prevail over individual interest"; economy is based on "collective interests"; "private life is invaded by public interests"; opinions and votes are "predetermined by in-group memberships"; "laws and rights differ by group according to tradition and religion"; "in wealthy countries, low human rights ratings" (Hofstede, 2001, 251). In regard to legal culture, we could also emphasize that collectivist cultures have lower crime rate than individualistic (Hofstede, 2001). High "individualism" include[7] that individual interests are "supposed to prevail over collective interest"; "economy is based on "individual interests"; "everyone

has a right to privacy"; "everyone is expected to have a private opinion: one person, one vote"; laws and rights are "supposed to be the same for all"; "in wealthy countries, high human rights ratings" (Hofstede, 2001, 251).

Results and theoretical connotations regarding these dimensions are associated with other cross-cultural studies of values and attitudes relating to law and legal culture. For the example, according to Hofstede (2001) countries that have higher "uncertainty avoidance" index will have a greater need for legislation and rules than those with lower "uncertainty avoidance" index. "Uncertainty avoidance" is, among other things, expressed through a need for written and unwritten rules, or in short, strong "uncertainty avoidance" countries tend to have more and more precise laws than in those with weak "uncertainty avoidance" (Hofstede, 2001). According to Hofstede and Hofstede (2005: 190), the effect of "uncertainty avoidance" on a society's legislation depends also on its degree of "individualism and collectivism", whereas in strongly uncertainty avoiding and individualist countries, rules will tend to be explicit and written into laws like Hall's "low-context communication", while in strongly uncertainty avoiding and collectivist countries, rules are often implicit and rooted in tradition, like Hall's "high-context communication". Still, it should be emphasized that no culture exists exclusively at one end of that high - low context continuum (Hall, 1976). For example, Hall (1976) compares some differences in the way the law (more precisely trials) relates to context in different cultures. According to Hall (1976: 107), the "opinion rule" to which "only established facts, stripped of all context in background data, are admissible as evidence" is good example of the "US courts as the epitome of low-context systems". In contrast, the French courts "allow great leeway in the testimony admitted as evidence" and the court "wants to find out as much as possible about the circumstances behind the surface acts that brought people before the bench" (Hall, 1976, 108). In other words, "the French trial is much higher-context than the United States trial" (Hall, 1976, 109).

According to Hofstede (2001: 174) "uncertainty avoidance" dimension is strongly correlated with some results of the study by Gibson and Caldera (1996) on "The Legal Cultures of Europe". Gibson and Caldera (1996) investigated "three components of mass legal values-attitudes toward the rule of law, perceptions of the neutrality of law, and the relative valuation attached to individual liberty". In short, regarding the legal cultures, Gibson and Caldera (1996: 69-70) suggested three major clusters within the EU: the first cluster is formed by Greece, Belgium, Luxembourg, Portugal and East Germany, and "in these countries, regard for the rule of law is not strong, support for individual liberty is weak, and alienation from law is fairly common"; the second cluster is formed by Spain, Italy, France and Ireland, and in these countries, "somewhat mixed views prevail"; the third cluster is formed by Great Britain, West Germany, The Netherlands, and Denmark, and "the people of these countries tend to value individual liberty, to support the rule of law, and to reject the proposition that law is an external, repressive force" (Gibson, Caldera, 1996, 69-70). Comparing these three major clusters with the Hofstede's results on some dimensions of culture, we can find following common features between them: (1) the first cluster is formed by high "uncertainty avoidance" countries, high and moderate "collectivism", except of more individualistic Belgium, and high and moderate "hierarchical distance"; (2) the second cluster is formed by high "uncertainty avoidance" countries, except of low "uncertainty avoidance" Ireland, high "individualism", except of moderately collectivistic Spain, and from low to high "hierarchical distance"; (3) the third cluster is formed by low "uncertainty avoidance" countries, high "individualism", and low "hierarchical distance" (Hofstede, 2001). Furthermore, Gibson and Caldera have "distinguished two dimensions of legal values: (1) legal alienation (feeling that law is usually against me) and (2) (no) rule of law (okay to break a law I consider unjust)" (Hofstede, 2001, 174). Hofstede (2001: 174) founded that across eleven countries, both legal values are strongly correlated with his "uncertainty avoidance" index (r=.88 and r=.78). In other words, in high "uncertainty avoidance" countries "people more often felt the law was against them and said it was okay to break an unjust law" (Hofstede, 2001, 174). The third dimension referred to "valuation of liberty (people should not be allowed to express extreme ideas)", and this was not correlated with "uncertainty avoidance" at all, but was correlated with Hofstede's "individualism" dimension (Gibson and Caldera, 1996). Namely, Gibson and Caldera (1996: 77) hypothesize that "in more individualistic cultures support for individual liberty is more widespread", and founded that "individualism and support for liberty do go together (r=.33)". That relation was significant in most countries, with the exception of four countries (Belgium, the UK, Ireland

and Luxemburg), which are located in different clusters, but they have following values in common: "law in support for liberty and high on individualism"(Gibson and Caldera, 1996, 77).

For next example, we will emphasise that Hofstede and Hofstede (2005: 81) founded that Inglehart's bipolar dimensions (*secular-rational* versus *traditional values*, and *well being or self-expression* versus *survival* values) significantly correlate with their cultural dimensions. More precisely, "secular-rational versus traditional authority was associated with small versus large power distance", and "well being versus survival was strongly correlated with individualism versus collectivism" (Hofstede and Hofstede, 2005, 81). Besides, in the context of legal cultures, we can emphasize that according to Inglehart and Welzel (2007), self-expression values have a great impact on liberal democracy; emphasize participation in making decisions in economic and political life, emphasize civil and political rights, civil and political freedoms, freedom of choices, individual rights, gender equality, tolerance on foreigners, different minority groups, etc. In this sense, we can also emphasize that according to Inglehart and Welzel (2007: 144), "the degree to which expressive values (or individualism) prevail over the values of survival (or collectivism) reflects the level of socio-economic development of some society". That conclusion is in line with Hofstede's conclusions on a high positive correlation between a country's economic development and individualism as a value system (Hofstede, 1986). Namely, according to Hofstede (1983: 58) individualistic cultures are economically more advanced than collectivist ones, and finds empirical evidence for such a claim in the data according to which in his research on 40 countries and three regions, correlation between the index of individualism and the economic wealth of the country is high (r = 0.82). Therefore, richer countries tend to individualism, and poorer ones to collectivism (Hofstede, 1983). Or in other words, individualist cultures actually have a high GNP per capita (Hofstede, 1983). Such conclusions can undoubtedly be criticized, but that goes beyond the subject of this paper.

For an example of the application of the Hofstede's model we will firstly highlight that Švarc and Lažnjak (2017: 19) conducted research of regional innovation culture in Croatia, and that research is based on the presumption that each of the Hofstede's cultural dimensions "represent a set of value orientations and norms which influence innovation" and enterpreneurial capacities at the regional level. According to the Hofstede's theoretical connotations on different dimensions, Švarc and Lažnjak (2017: 144) expected that a higher level of innovativeness and higher levels of economic prosperity and entrepreneurship are related to "higher levels on individualism and masculinity, and lower levels of the remaining four dimensions". In this regard, we could emphasize "the positive relationship between innovation and uncertainty acceptance", because "innovative activities imply acceptance of insecurity, tolerance to risk and change" (Švarc and Lažnjak, 2017, 146). Another example is the application of the Hofstede's model for designing the European management and the possibility of establishing cultural clusters [8] based on the results of Hofstede's research with the aim of achieving a competitive advantage of European management in the global market (Bahtijarević-Šiber et al., 2008). Namely, such an idea about the association of European countries is based on the similarity of their cultural dimensions, resulting with the differentiation of the Anglo-Saxon, Germanic, Scandinavian and Latin-Mediterranean cluster (Bahtijarević-Šiber et al., 2008). In addition of this chapter, we will highlight another well-known analysis of legal cultures.

According to sociological or anthropological "law as culture" approach to comparative law, "the concept of legal culture emphasises that law is more than just a set of rules" because "it is also a social practice within a legal community" (Hoecke and Warrington, 1998: 5). Namely, "law and legal practice are one aspect of the culture to which they belong", or shorter, "legal cultures are part of more general cultures" (Hoecke and Warrington, 1998: 5). Within a "law as culture" approach and from the perspective of the western legal culture, Hoecke and Warrington (1998: 10) distinguished four legal cultures (or legal cultural families) in the world by using the opposites "individualism-collectivism" and "ratinalism-irrationalism" as the key concepts: "(a) African culture, (b) Asian culture, (c) Islamic culture" and (d) Western culture (those cultures with European roots – Europe, America, Oceania). By *individualism* they mean "a belief in the autonomy and total liberty of the individual in, and possibly against society" and this "conception is diametrically opposed to the notion of *collectivism* or the idea of the submission of the individual to the community" (Hoecke and Warrington, 1998: 10). Under *rationalism* they mean "a belief in the infinite possibilities available to the human spirit to know, structure and master reality in an objective manner", and this conception is opposed to *irrationalism*

where the belief is based on sentiments and metaphysical elements (e.g. religion) (Hoecke and Warrington, 1998: 11). In short, according to their analysis: Western legal culture is individualistic and rationalist; Islamic legal culture is less individualistic, and less rationalist then the Western one, while African and Asian legal culture both appear as neither individualistic, nor rationalist (Hoecke and Warrington, 1998: 10-17). While comparing African, Asian, Islamic and Western legal cultures, they conclude that "there appear to be fundamental differences among these cultures as regards the role of law in society and the attitudes of people towards law" which may be analysed on the basis of basic oppositions "individualism-collectivism" and "ratinalism-irrationalism" (Hoecke and Warrington, 1998: 43). Besides, Hoecke and Warrington (1998: 29) emphasize that distinctions within same "cultural family" could be drawn (*intra-familial* distinctions) on the basis of their similarities and differences, such as distinction between Latin-American legal systems and North American Common Law, between the common law and civic law countries within Western legal cultures, between the legal systems of EU countries and non EU countries etc. In addition, Hoecke and Warrington (1998: 21-22) conclude, that "(legal) cultures are constantly influencing each other", particularly under the influence of economic exchanges, global market, the influence of mass media etc. and although we may witness "a slow change in most cultures towards some new common basic culture at a world level", and legal cultures are constantly interacting and therefore changing, cultural differences "are still too important to be overlooked", and we still need to explore them and their various "average tendencies".

## 4. MODERN OR GLOBAL LEGAL CULTURE

First question is about convergence (leading to unity) and divergence (leading to diversity) between national legal systems as a result of the impact of the globalization and Europeanization on laws and legal systems (Bouthinon-Dumas, 2018; Ogus, 2002; Ogus, 1999; Legrand, 1996). The same question includes legal cultures, as a part of legal systems or in other words as "public attitudes toward law in various countries" (Friedman, 1994, 126). That question is sometimes called as "the convergence issue", or "the convergence debate", distinguishing the following two main views: first view emphasizes that "there has been a tendency for legal principles from different jurisdictions to converge" (except in the domain of "moral or religious norms", e.g. family law); second view emphasizes that such convergence is not possible because there are "real differences emanating from divergent legal cultures" (Ogus, 1999, 405). Following this division, we could also distinguish approaches considering that harmonization of the law, particularly in the international trade, is desirable (with the exception of the moral and religious domain), and approaches considering that "genuine transplantation of concepts from one legal tradition to another is impossible" (e.g "transplants will be rejected") or produces "unintended and unwanted consequences" (Ogus, 1999, 405-406; Ogus, 2002, 419). Or in other words, as Varga (2012: 28) emphasize, "the introduction of any new legal solution presupposes a living legal culture in the background", and the acceptance of such solution, or **"**its future working will be the function of its socially and culturally sensible interpretation". Still, we are living in a world and in the age when "considerable efforts are being made to integrate legal systems, particularly in the European Union" for the economic reasons, with economic forces that lie behind that harmonization (Ogus, 2002, 420). Therefore, for the purpose of this paper, in addition we will highlight some of those different socio-legal and economic views regarding to this convergence debate.

In this regard, firstly we will single out some reflections on the contemporary civil law versus common law debate from the sociology of law perspective. Namely, one of the best-known divisions or typologies of law is one that points to two major "families" or "systems" of law in the world: continental European law (civil law, codified law, statutory law) and Anglo-American law (common law, case law or judge-made law) (Vrban, 2006: 195). According to Vrban (2006: 195), these two systems differ according to two basic features: "first, by accepting/ not accepting court decisions as a source of law and second, by the influence or absence of the Roman legal tradition". Thus, in the common law system, court judgments are an important source of law, while in Europe "court decisions are not in principle recognized as sources of law", and in contrast, the European continental order is based on the statutes and laws as the main source of law (Vrban, 2006: 195). However, according to Vrban (2006: 195) the usual distinction between English and Romano-Germanic law in the modern development of the law of the EU member states is increasingly fading, so "both in the UK and Ireland, the impact of legislation and

European guidelines as new transnational legislation is increasing, while on the other hand the influence of the courts is increasing on the continent". As examples, Vrban (2006) emphasizes the European Court of Human Rights, and the European Court of Justice in Luxembourg, because their decisions are superior to the decisions of member states.

From a comparative law and economics perspective, national legal systems and major legal "families"(common law, civil law etc.), as well as relationships between them are studied in "order to highlight the importance of legal factor in economic development"(Bouthinon-Dumas, 2018: 303). As example, Bouthinon-Dumas (2018) emphasizes the "Doing Business in 2004: Understanding Regulation" World Bank report. Namely, in that and other similar reports World Bank investigates "the scope and manner of regulations that enhance business activity and those that constrain it"(World Bank, 2004: viii). Among other topics, "Doing Business" reports study "improving law and order", while the impact of regulations is measured by their relationship to economic outcomes (World Bank, 2004: x). The underlying ideology of rankings of the most efficient legal systems from an economic point of view (e.g. rankings of the World Bank) is described as follows: first, there is "the idea of an economic superiority of common law over systems of civil law", and second, that idea is related **"**to the liberal preference for self-regulation or judiciary regulation over the so-called tendency for the countries of civil tradition to intervene in the economy"**(**Bouthinon-Dumas, 2018: 304). Still, according to Bouthinon-Dumas (2018: 305), fast-growing economies, such as that of China, are "not based on legal frameworks that are usually viewed as conducive to economic development". Therefore, Bouthinon-Dumas (2018:305) emphasizes that the economic attractiveness of laws is not based "on the substance of laws, but also on the legal systems' position in the market". In addition, this author points to the fact that there is no such thing „as a market for legal systems or a law market"**(**Bouthinon-Dumas, 2018: 313). Namely, by analyzing the convergence of legal systems at first sight, one can conclude that written laws and regulations can be easily changed by political will, so that states can adopt "policies strategically in order to position their law compared to the other legal systems", or shorter, for the purpose of "competitive oriented lawmaking"(Bouthinon-Dumas, 2018: 310). However, if the topic is studied more deeply, one will notice that legal concepts in different legal systems are different in a way that it is difficult, and sometimes even impossible, to translate them into another language and apply in practice[9] (Bouthinon-Dumas, 2018). Still, this author concludes that for the purpose of economic analysis of the interaction and competition between national legal systems, there are two coexisting strategies: "differentiation strategies feed divergence between legal systems, while alignment strategies constitute a vector of convergence between national legal systems" (Bouthinon-Dumas, 2018: 320-321).

As a contribution to the analysis of tendencies of convergence or divergence between legal systems, Ogus (1999:418) concludes that "competition between jurisdictions will generate a tendency for national legal principles to converge in those areas of law designed primarily to facilitate trade". According to this author, the best examples could be found in "facilitative law", corporate law, contract law etc. (Ogus, 1999; Ogus, 2002). On the other side "there is no reason to expect this phenomenon to apply to interventionist areas of law" because national preferences about the level of protection of defined interests are likely to differ (Ogus, 1999, 418). According to Ogus (1999: 413), this covers tort and regulatory law but also "those aspects of contract, property and corporate law which confer protection on parties assumed to be disadvantaged by processes of free bargaining" (e.g. consumers, employees etc). In terms of distinction between private law and public law, private law is more "deeply entrenched in national legal culture" (Ogus, 1999, 416). In short, according to Ogus (2002:434), forms of alternative culture will be more available "for particular branches of the law", not the law in general. Therefore, Ogus (1999:418) emphasizes that "institutionally led harmonization is weaker" then those who believe that there has been a tendency for legal principles from different jurisdictions to converge, tend to assume. It is also interesting to emphasize that for those economists advocating convergence, traditional or cultural dimensions may be analyzed as factors "that resist the evolution towards efficiency" (Mattei, In: Ogus, 1999, 410).

In addition, we will emphasize some more reflections on why the European legal systems are interacting, but not converging (Legrand, 1996). Namely, according to Legrand (1996) two problems should be singled out. First problem is about rules. This author highlights that the rules are a component of a culture ("collective mental programme"), and that rules are "the outward manifestation of an

implicit structure of attitude and reference", so they are "a reflection of a given legal culture" (Legrand, 1996, 57). Hence, the rules contain a socio-cultural component or dimension which "remains inherent to rules" (Legrand, 1996, 57). Second, law is social subsystem, therefore "the conception of law as a discrete subsystem of (legal) rules within society, operating independently from society, must be abandoned" (Legrand, 1996, 58). In short, "the legal" cannot be analytically separated from the "non-legal" reality of culture and society (Legrand, 1996, 58). In this regard, Legrand (1996: 60) emphasizes that if we want to understand societies and the legal cultures, we must "move away from rules and concepts and embrace habits and customs". In other words, when one moves away from rules and concepts, then "it is no longer at all clear that the civil law and common law worlds are converging" (Legrand, 1996, 60). To elaborate this, Lagrande (1996: 62) reminds us that "manners and customs cannot be changed by law, but have to undergo change themselves"[10]. This process of changes takes time, and it won't happen overnight, or simply by some political or economic decision according to which it would be efficient or more competitive to change them for the purpose of unifying or a convergence of legal cultures. Moreover, according to Legrand (1996: 62), a convergence is impossible due to the "fact that the differences between the common law and the civil law *mentalities* at the epistemological level are irreducible". To elaborate this claim, this author indicates six following examples of epistemological differences between the common law and the civil law: first, *the nature of legal reasoning* ("common law reasoning is analogical, civil law reasoning is institutional"); second, *the significance of systematization* ("the common law was never systematised", while civil law emphasise systematization); third, *the character of rules* (the common law does not consist of "rules" in the sense of the meaning of rules in civil law); fourth, *the role of facts* (common law emphasise the facts of legal cases, while the civil law emphasise the rules, like the difference between questions put by the courts: "Quid facti?" and "Quid juris?"); fifth, *the meaning of rights* (in English law, someone's rights "are in fact those which are protected by a cause of action", while in the civil law tradition "the object of legal science is the right, in particular the subjective right"); sixth, *the presence of the past* ("the common law does not have a beginning: it dates from time immemorial", and in a such a way that the common law is "there", it was "never made", it has "only to be found", therefore it is "established and unchallengeable", while the civil law has always insisted "upon the concepts of will, command and legislator", and tended therefore to encourage the idea that "each institution has originated at a particular time in the will of a particular individual who had established it in substantially its present form" (Legrand, 1996, 64-74). Still, Legrand (1996: 78) highlights that he does not represent or encourage some kind of essentialism with its binary logic of conclusions, but emphasizes the need to apply what Edward Said calls "an irreducible subjective core", while understanding differences between legal systems. In short, the point of such understanding is that "a civilian can never understand the English legal experience *like an English lawyer*" (Legrand, 1996, 78). In this regard, as a contribution to the common law and civil law convergence debate at the European law level, we could also emphasize Varga's (2012: 100) conclusion that "Europe is far from being a single concept on any axiomatic plane". Moreover, according to Varga (2012: 100), "it is neither unitary nor coherent", and it can be expressed more easily as a tendency, sublimating its continued identification through the endless process of mutations".

Second question in this chapter is also related to this convergence debate, but it is about the possibilities of the creation of the global legal culture. According to Friedman (1994), the creator of the term "legal culture" and probably the creator of the term "modern legal culture", the globalization of law leads to convergence among systems, and as the modern law is rapidly changing, the legal culture of modern law, or modern legal culture is creating. This is also the legal culture of modern, industrial societies which are constantly changing, or legal culture of western modernity which easily "crosses borders" in the world of globalization, instant communication and fast moving of ideas, news, "ways of thinking and behaving" from one to another society (Friedman, 1994: 119). Besides that, the modern or global legal culture is directed towards the culture of individualism, with special emphasis on human rights (Friedman, 1994). In other words, the basis of modern West legal systems (and therefore the modern West legal culture) is "a profound individualism", and the individual "is the unit of legal analysis" as opposed to those legal systems who were strongly communal (and the unit of legal analysis was the family, the group etc.) (Friedman, 1994, 125). At the "core of individualism is the notion of right", or individual rights (Friedman, 1994, 125). Therefore, Friedman (1994: 117) concludes that the

modern legal culture "stresses fundamental human rights and is strongly individualist". However, such idea may be related to the western legal systems, or Anglo-American view of legal culture, but there are more „legal cultural families" in the world which should not be left out from the analyzes of the impact of globalization on legal cultures and related challanges, as well as approaches that emphasize the divergence between legal systems and dismiss the possibility of creating a unified global legal culture.

Envisioning how a global legal culture would look like in the future Koch (2003:2) concludes that "this legal culture will initially derive from national legal culture and yet, over time, will transform national legal cultures". Koch (2003: 3) predicts that global legal culture will be "dominated by some blending of civil law and common law". Such a prediction is made on the following contemporary data: "33,8% of the world's jurisdictions, encompassing 55,6% of the world's population are based upon the civil law model", while "28,24% of the jurisdictions and 14.68% of the world's population" are based upon the common law model (Koch, 2003, 2). Together, they cover "over 70% of the world's population in over 62% of the jurisdictions" (Koch, 2003, 2). In this regard, Koch (2003: 19) emphasizes the E.U. (representing the civil law tradition[11]) and the U.S. (representing the common law tradition) impact on a global legal culture (as author notes, at least at the early stage of development of global culture). According to Koch (2003: 18), they both have already developed adjudicative bodies for trade and human rights, and that experience will enable them to adjust "a common legal culture in trade and rights" (as author notes, global legal culture in those areas is possible). Then, they both represent liberal democracy: the parliamentary and presidential (Koch, 2003, 21). Besides, Koch (2003: 76) emphasizes the fact that "both are federal in the sense that they represent a union of several sovereigns, and hence their experience with legal unification will serve" them in making the global legal culture. Lastly, they are very influential on both "world culture and the world's economy", and that will support their dominance in the future global legal culture (Koch, 2003, 76). However, it needs to be emphasized that Koch (2003: 76) is fully aware of the possibility that other legal cultures, e.g. Islamic (Islamic law covers in some way about a "billion people, nearly 19% of the world's population or the same as coverage of the common law"), or Hindu legal family (that covers about 450 million people and that is "a greater population than the U.S. or all the E.U. countries combined"), or Chinese, Japanese etc., will also have impact on the development of the global legal culture, but in his reflections (his paper) he didn't deal with that due to the extensiveness of the topic. In this regard, we should emphasize once again that in this sense the use of the term global culture is not suitable, and that we should rather use the term western modern legal culture, or contemporary Anglo-American legal culture, until such analyses and predictions about global legal culture in the future do not include different "legal cultural families" in the world (so that we can call it global at all).

## 5. CONCLUSION

This paper has provided a review of how the concept of legal culture has been used in different analyzes of the impact and connection between legal culture and international business. In this regard, some more conclusions could be drawn. Therefore, in the concluding part, we will start from pointing the different meanings of the concept of legal culture that were used in this paper. Namely, as Nelken (2016: 45) summarizes, the term of legal culture is used for a "variety of meanings", and that includes from "treating it as a variable that explains the turn to law, to exploring law and culture in different settings". In this sense, he suggests that following three key issues need to be distinguished while analyzing legal cultures: first, "legal culture as fact"; second, "legal culture as approach", and third, "legal culture as value" (Nelken, 2016, 46-55). Following his division, below we will point out three different uses of the concept of legal culture that we have presented in this paper.

Namely, while analyzing the impact of different cultural dimensions of Hofstede's model of "national culture" on law, therefore on legal culture we treated this concept as variable (independent and intervening), and used the concept of "legal culture as fact". In such a way, ideas, values and attitudes belonging to "external legal cultures" can be statistically analyzed, measured, we can compare them etc. By using Hofstede's model we also treated "nation states" as "units of legal cultures"; it should be emphasized that for Nelken (2016: 48) treating "nation states" as the "unit of legal culture" is problematic. In other words, we assumed that "national cultures" (or "a country culture" in his model)

could be treated as fact. In this regard, we should also emphasize that although Hofstede's analysis of "national cultures" could be the subject of criticism on that account, Hofstede alone criticizes the process of describing the culture in the form of "typical features", and emphasizes that they are "average tendencies". Therefore, with this model we can describe the specific culture in the context of the "average" and "moving equilibrium of various tendencies" (Katunarić 2007, 186). Besides, the value of Hofstede's model should be seen in the conclusions such as that "cultures are more different in the regional than in the national sense" (Katunarić, 2007, 170). In this regard, Hofstede's model has been presented in this paper for illustrating "average tendencies" of values and attitudes that belong and create legal cultures, and the use of this model was presented for examining similarities and differences between legal cultures on different levels of analysis: first, at the level of national legal cultures (or "country cultures"); second, at the macro level analysis; for example, differentiation of the European cultural clusters for the purpose of European management; and third, for micro level of such analysis; for example, research of regional innovation culture in Croatia. Besides, research on the legal cultures of Europe conducted by Gibson and Caldera (1996) included also the analysis of sub-cultural differences in legal values[12], and this research together with research by Hoecke and Warrington (1998), in which they are distinguishing the four legal families, are also examples of using the concept of "legal culture as fact". In addition, while presenting different approaches towards convergence and divergence between national legal systems, and the possibility of creating the modern, global legal culture, we used the concept of "legal culture as value" (Nelken, 2016). In this part of the paper we used the broader notion of legal culture (external and internal). Using the concept of "legal culture as value" was most obvious while we were presenting the convergence approaches according to which "differences in legal culture have market consequences" (Nelken, 2016, 52). In this regard, as example we could emphasize World Bank reports that study "improving law and order", and rankings of the most efficient legal systems from an economic point of view (World Bank, 2004, viii). Another example is Friedman's Anglo-American view on modern legal culture that is directed towards the culture of individualism and with special emphasis on human rights (Friedman, 1994). Besides, while presenting some differences between the common law and civil law legal systems, we used the concept of "legal culture as approach" (Nelken, 2016). It was most obvious while we were presenting the examples of epistemological differences between the common and civil law legal systems (differences in legal reasoning, meaning of rules, the role of facts etc) (Legrand, 1996).

In order to summarize various approaches in researching and understanding legal cultures, in addition we will point out some main issues concerning different theoretical and methodological approaches, as well as different levels of analysis. Firstly we will point out different theoretical approaches to legal cultures. This could be presented as difference between determining, essentialist approaches to legal culture (in which legal culture is seen as unique, homogeneous, closed, static, territorialized, national, constrains "individual choices" etc.), and approaches that arise from "cultural turn" and "interpretative turn" in which culture is seen as "an endless interpretation of interpretations", as diverse, hybrid, heterogeneous, open, fluid, dynamic, de-territorialized, transnational etc. (Nelken, 2012, 15-20). Secondly, we will point out different methodological approaches to legal cultures. This could be presented as difference between positivistic, quantitative approaches, and hermeneutic and interpretative, qualitative approaches. This could also be described as "explanation or interpretation" question (Nelken, 2012, 32-34; Nelken, 1995, 441-443). Thirdly, we will point out different levels of analysis. In this regard, it is necessary to distinguish intra-cultural or within-country analysis from cross-national or cross-cultural comparison of legal cultures. Besides, we can also add a distinction between global and local legal culture, which corresponds to the distinction between globalization and localization as parallel processes. Namely, for the purpose of this paper we have presented some reflections on creating a global legal culture, but it should also be emphasized that frequent contacts between cultures often "stimulates cultural diversity by confirming group members in their own identity" (Hofstede, In: Legrand, 1996, 80). For example, according to Legrand (1996: 80), with linking the common law and civil law legal systems, the European Community has also emphasized their diversity, and has made "possible a new awareness of differences (or 'otherness')". Therefore, as Nelken (1995: 438) emphasizes, the real question is about boundaries of legal cultures. Namely, according to Nelken (1995: 438), "our focus can range from the World system" (in Wallerstein's terms), to the "nation state", the "families of legal systems", the "third cultures" (in Featherstone's terms) of

"international trade, communication networks or transnational processes associated with globalization or other developments", global culture, regional culture, local culture (as for example "the culture of local courts") etc. Nevertheless, various approaches and problems regarding the legal culture as a concept, as well as the research problems which this concept opens up, should not be the reasons for abandoning it, rather the reason for developing further interdisciplinary knowledge about legal cultures, and due to topic of this paper, further studies of its various implications on international business.

## ENDNOTES

[1] In this regard, Friedman (1994: 120) emphasis that legal culture is like general culture, "a body of ideas, values and attitudes", and that when we talk about the legal culture of some community, this does not mean that "that everybody share the same ideas", what we refer to are "patterns, tendencies, trends".

[2] According to Švarc and Lažnjak (2017: 21), there are "big five" theories of national cultures, "those of Hofstede, Schwartz, House (GLOBE project), Hampden-Turner and Trompenaars and Inglehart". For more on their theories of national cultures and respective dimensions, see pp. 70-119.

[3] Hofstede's theoretical connotations regarding the "uncertainty avoidance" dimension in connection to law and legal cultures have been described and analyzed in previously published paper (Jeknić, 2016, 796-803).

[4] The most weak UA countries from the Hofstede's IBM database were Hong Kong, Sweden, Denmark, Jamaica, Singapore etc. (Hofstede, Hofstede, 2005, 169).

[5] The most strong UA countries from the Hofstede's IBM database were Greece, Portugal, Guatemala, Uruguay, Belgium, Salvador, Japan etc. (Hofstede, Hofstede, 2005, 168).

[6] The most low "individualism" countries from the Hofstede's IBM database were Guatemala, Ecuador, Panama, Venezuela, Colombia, Pakistan, Indonesia etc. (Hofstede, Hofstede, 2005, 79).

[7] The most high "individualism" countries from the Hofstede's IBM database were United States, Australia, Great Britain, Canada, Hungary, Netherlands, New Zealand etc. (Hofstede, Hofstede, 2005, 78).

[8] For example, result of Hofstede's (1983: 69) cluster analysis is the distinction of thirteen clusters of national cultures according to four cultural dimensions.

[9] As example, Bouthinon-Dumas (2018: 315) emphasizes that "the concept of remedies has no equivalent in the French language", pointing to the divergence between the English common law and the French civil law tradition.

[10] Namely, "societies … have ways of conserving and passing on mental programs from generation to generation with an obstinacy which many people tend to underestimate" (Hofstede, In: Legrand, 1996, 62). As Legrand (1996: 62) concludes, "only later can the laws and institutions of a nation, through experience, learning and reason; be accommodated to the new manners and customs", and this process takes time.

[11] For example, codes in civil law tradition perform a "unifying function", and that could be attractive to the global legal culture because globalization leads towards unification, and a "code is an effective technique for centralization" (Koch, 2003, 30).

[12] Gibson and Caldera (1996: 71-79) founded that level of education and social class have a significant impact on legal values, while ideology, gender, age or religion did not proved to be statically significant ("those who are more educated tend to support the rule of law more, favor individual liberty more and believe in the neutrality of law", just as opposite to values of the working class in their research).

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# A socio–economic thesis on food safety: more consumption, education or religiousness?

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**Abstract:** Demographic dynamics, growing pressures from new tech or challenges from the pandemic Covid–19 and the consequences represent just some of the concerns on food safety in the markets in 2021. Socio–economic developments of recent years and changes in the structure of consumption, can also affect the level of food safety in local markets in the city of Tirana, in Albania. Verification of the thesis of the impact of socio–economic factors on food safety, represents a trilemma of interest especially between the factors of consumption, education and the religiousness. The paper's objective is an evaluation impact of the factors such as: age, safety knowledge, gender, consumption quantity, domestic tomato consumption, imported tomato consumption, greenhouses tomato consumption, field tomato consumption, Muslim religiousness, Christian religiousness to the food safety of vegetables, by illustrating with a case study from the agri–food markets in Tirana. The results of the statistical model used shows that variables safety knowledge, domestic tomato consumption, greenhouse tomato consumption, imported tomato consumption, field tomato consumption, primary education, middle and university education affect very significantly up to significantly to food safety. The findings can serve especially to professionals and future studies and also to the food agencies and market actors.

**Key words:** food safety, safety knowledge, consumption, education, religiousness, Albania.

## 1. Introduction

Demographic dynamics, growing pressures from new technologies or challenges from the Covid–19 disease, and the consequences represent just some of the concerns for food market security in 2021. The mobility of the young and highly qualified population abroad, as everywhere even in Albania, has brought implications for families, with consequences for income stability and growth. Interaction with major factors, such as climate change, technological and e-commerce transformations, e-services etc., food production through 3D technology and the industrial massification of their production, have further increased the complexity of concerns over the production, consumption and food security, exposing more to these potential and still unstudied consequences small and unintegrated markets. The issue of food security has always been a major public agenda for researchers and policymaking, but currently this issue has become particularly primary and challenging due to the unpredictability of the situation created everywhere by the Covid–19 pandemic and the consequences for the stability of the economic system, functioning of markets and the trade, production and sustainable consumption.

The consequences of the Covid–19 pandemic, socio–economic developments and new demographic trends have had their impact on the functioning of markets and the issue of food safety in Albania. In the agri–food markets of the city of Tirana, several times there have been concerns which have identified the problem of production standards, product quality and their food safety. Given that a significant part of the food supply is provided through domestic agricultural production, the problems identified among vegetable agricultural products have raised concerns about their food security as an issue that affects the consumer and the functioning of markets on the one hand, as well as domestic producers, their competitiveness, exports and imports on the other hand. From this point of view, a research on the possible impact of some key socio–economic factors on food safety in the food markets of the city of Tirana is reasonable and represents a thesis of interest to better understand the problem in terms of factors by further offering possible adjustments needed for improvement.

Recent socio–economic dynamics and changes in the structure of consumption in the city of Tirana, can also affect the level of food safety in local markets. Food safety is related to factors such as age, gender, including level of education or safety knowledge, but can also be influenced by consumption and the religiousness. A perspective between the main categories of vegetable consumption, such as domestic production, imported, produced in greenhouses and field production and the quantity of consumption along with demographics as well as factors of safety knowledge and religiousness towards food safety can provide a more specific overview on this issue. The analysis of the above factors can contribute especially to: (1) consumer protection agencies and institutions, (2) market institutions and participants, as well as (3) local agricultural producers, given the fact that food safety from recent decades has been seen as well as a market sub–policy; or expressive of the competitive advantage of producers. The study investigates the impact of factors such as age, safety knowledge, gender, consumption quantity, domestic tomato consumption, imported tomato consumption, greenhouses tomato consumption, field tomato consumption, Muslim religiousness, Christian religiousness to food safety in the food markets of the city of Tirana in Albania. Annual studies on the impact of the socio–economic factors to the food safety are lacking and the verification of the above thesis or possible trilemma for more consumption, education or religiousness towards food safety represents a topic of research interest and may serve to the field professionals for further studies.

Researchers have dealt with the impact of changing socio–economic factors to food safety. The age is a strong predictor of perceptions on food–related health risks and food safety[1]. Persons at least 40 years old reports safer food patterns[2]. The lack of food safety knowledge affect to food safety[3]. Consumers safety knowledge affect to food safety[4]. The most concerned on food safety tend to be woman[5]. Gender is an important predictor of perceived food safety[6]. Food consumption quantity affect in diferent ways to the food safety between EU countries[7]. Rising of food consumption quantity has rised concerns about over–aplications pesticides and chemical contaminants and their impact on food safety in China[8]. Increasing consumption and demand for domestic vegetables in Vietnam has caused state failure in food safety protection[9]. Over the last decade great attention has been paid to food safety due to the increases of demand for domestic food products which has caused increase of diseases by chemical residues[10]. The rise of more than triple of food imports value from China has raised public concerns to

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food safety in the US[11]. U.S. agricultural imports have increased significantly in recent years and several recent incidents have raised concerns about food safety[12]. The rapid growth of greenhouses vegetable production has raised attention to consumption and food safety[13]. Dietary exposure of heavy metals through vegetable consumption produced in greenhouses has been identified as a potential risk to human health and food safety[14]. Disease outbreaks originating from fresh field agricultural produce are a major concern for public health and food safety by causing foodborne illnesses (46%) and hospitalizations (38%) in the US[15]. The continuous rise in the number of outbreaks of foodborne illnesslinked to fresh field vegetables is related with the enteric pathogens on plants represents a complicated challenge to food safety[16]. Consumers representative of Muslim religiousness are inclined to consume brand food products rather than others due to percepton as suitable for food safety standards and intended to advance their well–being[17]. Based on their trustworthiness and food quality and safety specific logo foods are regarded by consumers of Muslim religiousness as one of the healthy food available in the markets[18]. Studies find positive links between Christian religiousness of persons and tendencies for a nutritious diet associated with quality "healthy nutrition" and food safety factors[19]. There is a positive connection of safe and nutritious food diets which contributes greatly to the good health and nutritional status among the representatives of the Christian religiousness in the area of Crete compared to others[20]. Preparation of skilled students during primary education for comprehending microorganisms and their pathogenic effects is of crucial importance on the consumer level and food safety[21]. Primary educational level is one of the demographic factors that influence on low knowledge of consumers concerning food safety[22]. Studies revealed that students were lacking in food safety knowledge by practiced some risky food–handling behaviors and the middle school students

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offer an ideal target group for food safety efforts[23]. There is a need of actions on adolescients groups at the middle education level by considering influence to food safety[24]. Observations on students attending college suggest that students continued to use risky practices and the risks of food safety remain[25]. A study among college students in China confirm a optimistic bias on food safety issues, based on recommendations were made to increase public awareness affecting to food safety[26]. University students knowledge and behaviours affect to food safety[27]. Studies have noted shortcomings in food safety behaviour among university students by resulting on wider implications to food safety issue and its problematic[28].

## 2. Objectives and hypotheses

The objective of the paper is to evaluate the impact of several factors of a socio–economic nature such as the age, safety knowledge, gender, consumption quantity, domestic tomato consumption, imported tomato consumption, greenhouse tomato consumption, field tomato consumption, Muslim religiousness, Christian religiousness to the food safety of vegetables (the case of tomatoes) in the agricultural food markets of the city of Tirana in Albania.

- The study hypotheses are:
- H1 — the age of consumers affects food safety;
- H2 — safety knowledge of consumers affects food safety;
- H3 — consumers gender affects food safety;
- H4 — consumption quantity affects food safety;
- H5 — domestic tomato consumption affects food safety;
- H6 — imported tomato consumption affects food safety;
- H7 — greenhouses tomato consumption affects food safety;
- H8 — field tomato consumption affects food safety;
- H9 — Muslim religiousness of consumers affects food safety;
- H10 — Christian religiousness of consumers affects food safety;

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Considering the importance of the education factor under the influence of new demographic dynamics a question of research interest is also formulated. Does education according to degrees: (1) primary, (2) secondary, (3) college/institute, and (4) university affects food safety?

The above variables have been tested through interviewing, and they are: age; safety knowledge; gender; consumption quantity; domestic tomato consumption; imported tomato consumption; greenhouse tomato consumption; field tomato consumption; Muslim religiousness; Christian religiousness, primary education; middle education; college education; and university education.

## 3. Measurement procedure

A questionnaire was construct to perform a quantitative measurement and provide an extensive database which was further used in the study area (220 interviews) by random selection. The variables are measured by scales (1–5) and consumers have been responded to the questions. Based on data provided a statistical model is used. The significance of the variables is presented by table 1.

Table 1. The significance of variables by linear statistical model.

Dependent variable: Food safety

| | *Coefficient* | *Std. Error* | *t–ratio* | *p–value* | |
|---|---|---|---|---|---|
| const | 1.77211 | 0.607042 | 2.919 | 0.0039 | *** |
| Age | 0.0809955 | 0.0691338 | 1.172 | 0.2427 | |
| Safety knowledge | 0.306062 | 0.0633671 | 4.830 | <0.0001 | *** |
| Gender (0 if female, 1 if male) | −0.104161 | 0.113492 | −0.9178 | 0.3598 | |
| Consumption quantity | 0.149273 | 0.114538 | 1.303 | 0.1940 | |
| Domestic tomato consumption | 0.241512 | 0.0651342 | 3.708 | 0.0003 | *** |
| Imported tomato consumption | −0.158579 | 0.0462034 | −3.432 | 0.0007 | *** |
| Greenhouse tomato consumption | 0.143188 | 0.0535648 | 2.673 | 0.0081 | *** |
| Field Tomato Consumption | −0.193743 | 0.0471373 | −4.110 | <0.0001 | *** |
| Religion_1 (1 if Muslim, 0 otherwise) | −0.0428817 | 0.175479 | −0.2444 | 0.8072 | |
| Religion_2 (1 if Christian, 0 otherwise) | 0.238585 | 0.184817 | 1.291 | 0.1982 | |
| Education_2 (1 if 8 year, 0 otherwise) | −1.06789 | 0.292432 | −3.652 | 0.0003 | *** |
| Education_3 (1 if Middle, 0 otherwise) | −0.459207 | 0.237785 | −1.931 | 0.0549 | * |
| Education_4 (1 if College, 0 otherwise) | −0.524020 | 0.371312 | −1.411 | 0.1597 | |
| Education_5 (1 if University, 0 otherwise) | −0.393446 | 0.223285 | −1.762 | 0.0796 | * |

Statistics based on the weighted data:

| | | | | |
|---|---|---|---|---|
| Sum squared resid | 805.8578 | | S.E. of regression | 1.992421 |
| R–squared | 0.469287 | | Adjusted R–squared | 0.432686 |
| F(14, 203) | 12.82173 | | P–value(F) | 2.52e-21 |
| Log–likelihood | −451.8365 | | Akaike criterion | 933.6731 |
| Schwarz criterion | 984.4405 | | Hannan–Quinn | 954.1788 |

Statistics based on the original data:

| | | | | |
|---|---|---|---|---|
| Mean dependent var | 2.922018 | | S.D. dependent var | 1.059681 |
| Sum squared resid | 174.3755 | | S.E. of regression | 0.926819 |

Source: Data processed by authors.

## 4. Conclusions and discussions

The paper in accordance with the objective of the study investigates the impact of the above variables to food safety in the agri–food markets of Tirana, Albania. Age, gender, consumption quantity, Muslim religiousness, Christian religiousness and college education are factors which do not impact to food safety (table 1). The perception on food safety issues has no differences between demographic factors. Consumers representing the Muslim and Christian religiousness's despite differences do not affect food safety and this is an important finding for policymaking. The college level education affect in different way food safety compared to other levels of education. Given the average age and low presence of the respondents of college education, the fact that does not affect to the food safety compared to others (primary, middle and university educ.) may be related to self–identification (of age 50+), where respondents with Higher education can be identified more with the university than the colleges level degree. This can be explained as a simple routine reaction of self–identification of the interviewees or a matter of self–confidence and it may deserves further studies.

Safety knowledge, domestic tomato consumption, greenhouse tomato consumption, imported tomato consumption, field tomato consumption, primary education, middle and university education affect very significantly up to significantly to food safety (table 1). The safety knowledge affects very significantly to food safety and this implies the importance of training and actions to be taken in the long–proactive way to spread the knowledge and culture of food safety. Consumption of domestic vegetables (tomatoes) and consumption of vegetables from greenhouses affect very significantly food safety. In a sense these two categories may even overlap, given that the greenhouses tomato has a longer presence in the markets than field production, and the positive attitude of consumers also implies continuous improvements in production safety standards. Imported tomatoes and tomato field produced also affect very significantly food safety but are negatively related. This finding can justified by consumers unsafe perception f for these categories and it deserves attention. Studies support the low level of food safety of the field vegetables due to the presence of pathogens as E.coli[29] or listeria, salmonella, etc. and we have submitted also during the literature review. Primary education affect very significantly to food safety, while the middle and university education affect significantly and also are related negatively. There seems to be a reactive and further more proactive perception among the consumers according the levels from the primary to middle and university education to the food safety and negatively related. Specific education on culture and food safety knowledge and actions increasing credibility of actors in the market regardless of demographic/religiousness factors are recommended measures for professionals dealing with local markets. Education actions are effective in changing attitudes practices and personal relationships on food safety and culture[30]. Actions on contemporary safety knowledge would bring closer the actors in the chain wholesalers–retailers–consumers, increasing the reliability as a key issue to food safety.

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# Consumption of domestic products, some myths and truths: is it yet a safe choice?

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**Abstract:** Consumption of domestic food products is important for the economy everywhere. Concerns about this activity create implications for (1) growth, (2) farmers 'income and (3) the markets functioning. Studies on the consumption of local products in the market of Tirana in Albania in the light of new development dynamics are lacking. The paper's objective is an evaluation of factors such are the age, food safety, education, consumption quantity, income, price preference, family members, status of employment represented by workers and consumers safety knowledge to the consumption of domestic agricultural products in the markets of Tirana, Albania. The results of the statistical model used shows that variables age, consumption quantity, price preference, food safety and social status of interviewers represented by workers affect significantly to very significantly to the consumption of domestic products. Findings appeal for attention on the issue offering possible ways for improvement.

**Key words:** Consumption of domestic vegetables, food safety, price preference, workers, Albania.

## 1. Introduction

Consumption issues in developing countries are very specific and still unexplored. Nowadays the growing influence of technologies or even the consequences of the Covid–19 pandemic have increased research curiosity on the problem of consumption. Among this wide range of issues, the implications for the consumption of domestic products have been and remain a preferential subject among researchers and of particular interest to economies with low access to resources and factors. The consumption of domestic products is an important source (1) of economic growth, (2) income of farmers' producers and (3) the functioning of markets. In the markets of Tirana several times have been evidenced reclaims (photo 1), raising concerns over the consumption of domestic produce and the income of farmers' producers. Given these developments a study on the factors that affect the consumption of domestic products may be of interest, throwing more light in this regard.

Photo 1. Tomato problems in the market of Tirana.



Source: agroweb.org.

The consumption of domestic products is influenced by economic and social developments. Overseas labor movements and their effects on factors can affect the consumption of domestic production in several ways. The focus of this paper is an assessment of factors: age, food safety, consumption quantity, income, price preference, number of family members, status of employment and safety knowledge to the consumption of domestic products in the markets of the city of Tirana, Albania. Measurements on the consumption of local food products in the case of Tirana markets are missing. More research in this area can contribute to the identification of problems and respective adjustments, by sensitized also for more attention about its importance from policy practitioners or professionals.

About variables under consideration has a broad support literature. The age effect on domestic consumption and a number of studies reports very similar effects for different age ranges[1]. The age composition affect strongly to the domestic consumption[2]. The consumption level of specific foods is influenced by future changes in food safety[3]. Food safety is emerging as an attribute demanded by consumers[4]. Findings show that the quantity consumption by households play a significant role in explaining variations in consumption[5]. Household characteristics expressing possession and utilization of consuming affect to overall consumption[6]. Demand for food consumption is a function of capita income[7]. The increase of incomes in developing countries has influenced the increase on the demand for food consumption[8]. Price preference affect to foods consume[9]. Price preferences affect to the food consumption and especially on soft drink case[10]. Family size expressed by members hypothesized to influence on food consumption[11]. Multi–member household model affect to food consumption[12]. Workers tend to consume more during time–work to socialize with other colleagues[13]. The labor status

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impacts the structure of food consumption[14]. Food–handling practices and safety knowledge affect to consumption[15]. Adolescents' food consumption affected by knowledge safety [16].

## 2. Objectives and hypotheses

The objective of this paper is to evaluate significance of some variables such as the age, food safety, consumption quantity, income, price preference, family members, consumers' status of workers and safety knowledge to the consumption of domestic vegetable products, illustrating with a case study on consumers preferences to domestic tomatoes in the agri–food markets of Tirana in Albania.

The study hypotheses are:

- H1 — the age of consumers affects to the consumption of domestic tomato;
- H2 — perception on food safety of consumers affects to the consumption of domestic tomato;
- H3 — consumption quantity by consumers affects to the consumption of domestic tomato;
- H4 — income level of consumers affects to the consumption of domestic tomato;
- H5 — price preference of consumers affects to the consumption of domestic tomato;
- H6 — family members of consumers affects to the consumption of domestic tomato;
- H7 — consumers status of workers affects to the consumption of domestic tomato;
- H8 — safety knowledge of consumers affects to the consumption of domestic tomato;

The above variables are measured by an interviewing procedure in the markets of Tirana, Albania and they are: age; food safety; education; consumption quantity; income; price preference; family members; workers; and safety knowledge.

## 3. Measurement procedure

A questionnaire was used to conduct the study in order to provide a large database in the study area (the agri–food markets of Tirana), by random choice procedures and interviewing face to face (220). The variables are measured by an increasing scales (1–5) according to the respective questions.

Based on data provided has become an overview of preferences for domestic tomato consumption as follows (table 1; figure 1).

Table 1. Preference for domestic tomato consumption.

| Domestic tomato consumption | Total |
|---|---|
| 1 | 1 |
| 2 | 22 |
| 3 | 39 |
| 4 | 58 |

[14]Regmi A., Dyck J. (2001): Effects of urbanization on global food demand. ERS WRS 01–1. Economic Research Service, United States Department of Agriculture, Washington, D.C.

[15]Redmond E.C., Griffith C.J. (2003): Consumer Food Handling in the Home: A Review of Food Safety Studies. Journal of Food Protection, Vol. 66, p. 130–161.

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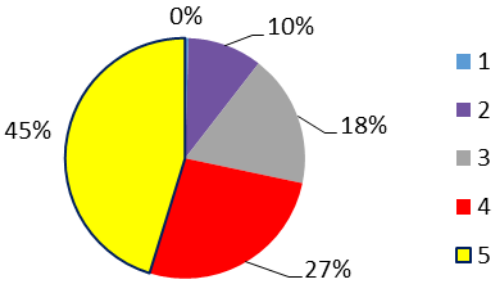
| | |
|---|---|
| 5 | 99 |
| (blank) | |
| Grand Total | 219 |

Source: Data processed by authors.

Figure 1. Preference for domestic tomato consumption expressed as a percentage.




Source: Data processed by authors.

The data provided demonstrate a high level of preference for domestic tomato consumption.

The significance of the above variables was estimated through a linear statistical model (table 2).

Table 2. The significance of variables estimated by linear statistical model.

Dependent variable: Domestic tomato consumption

| | *Coefficient* | *Std. Error* | *t–ratio* | *p–value* | |
|---|---|---|---|---|---|
| const | 3.32331 | 0.556243 | 5.975 | <0.0001 | *** |
| Age | 0.156119 | 0.0728627 | 2.143 | 0.0333 | ** |
| Food safety | 0.261480 | 0.0691132 | 3.783 | 0.0002 | *** |
| Education | −0.0103515 | 0.0702200 | −0.1474 | 0.8829 | |
| Consumption quantity | −0.267051 | 0.121277 | −2.202 | 0.0288 | ** |
| Income | −0.0345530 | 0.0524571 | −0.6587 | 0.5108 | |
| Price preference | −0.267442 | 0.130385 | −2.051 | 0.0415 | ** |
| Family members | 0.0952773 | 0.102214 | 0.9321 | 0.3524 | |
| Workers | 0.166792 | 0.0880628 | 1.894 | 0.0596 | * |
| Safety knowledge | −0.0702652 | 0.0701805 | −1.001 | 0.3179 | |

Statistics based on the weighted data:

| | | | | |
|---|---|---|---|---|
| Sum squared resid | 563.1550 | | S.E. of regression | 1.649411 |
| R–squared | 0.143085 | | Adjusted R–squared | 0.105828 |
| F(9, 207) | 3.840469 | | P–value(F) | 0.000163 |
| Log–likelihood | −411.3815 | | Akaike criterion | 842.7630 |
| Schwarz criterion | 876.5620 | | Hannan–Quinn | 856.4164 |
| Statistics based on the original data: | | | | |
| Mean dependent var | 4.050691 | | S.D. dependent var | 1.037363 |
| Sum squared resid | 210.3963 | | S.E. of regression | 1.008170 |

Source: Data processed by authors.

## 4. Conclusions and discussions

Paper provides an overview on discussions about the problems of consumption of domestic products, by referring a case study of the vegetable consumption in the city of Tirana. Variables income, family members, safety knowledge and education do not effect on the domestic vegetable consumption.

Individuals, regardless of income, family size, education, etc., tend consumption of the domestic products. A number of complex factors with interdisciplinary scope interact on the consumption of domestic products. Consumption of domestic products is a myth and very popular in every country. This can be explained by the fact that consumer choice is not based much on the process of critical thinking and rational behavior and here interact also other factors, such as ethnocentrism and feelings of patriotism. Consumers' ethnocentrism and patriotism are stronger determinants of domestic consumption than rational considerations (the cognitive mechanism) [17].

Age, consumption quantity, price preference impact and very significantly (table 2) to the domestic vegetable consumption. The increase in consumption quantity affects the decrease in the consumption of domestic products. Consumers may find of interest products of other origin, or even other competing vegetables (except tomatoes) and this trend deserves further attention. With age, individuals tend to consume more domestic production and this is an important finding for consumption in the markets of Tirana, given the new demographic dynamics. Price preference is an influential factor to consumption. One of the characteristics of domestic production is its presence in the markets throughout the year and this is related not only to the production of the field but also to the fact that a dominant part of the annual supply is provided by greenhouses where the country has known advantages. Considering the size of the offer of domestic production from greenhouses, high prices during the cold seasons, but also strong price amplitudes during the year, adjustments in agri-food markets and fair prices are necessary to stimulate the consumption of domestic products.

Food safety and social status of interviewers represented by workers are also very influential factors to the consumption of domestic products. We explained that the consumption of domestic production is popular regardless of social status. Workers are driven by nationalist consumer tendencies and increasing their market presence increases the tendencies for increasing consumption. Food safety impact significantly for increasing of consumption. Eating is a behavior, this implies an interaction and food safety in some cases appears as a factor and attribute. Food safety and food concerns in the century XXI are exclusivities of scientific expertise. Along with other reclaims of domestic production in the market, the vivipary phenomenon e.g. (photo 1) a very rare phenomenon does not have to be so frequent and unaddressed. The range of factors that can affect this problem is very wide, including environmental factors, etc. up to the genetic problems of the varieties used, etc., etc. This is not a myth: this is a truth that requires solutions from the responsible institutions.

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# Consumption of Imported Vegetables: A Socio–Economic Observation on Demand Factors

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**Abstract:** The increasing speed of change and social effects as a result of new technologies and the spread of information represent a phenomenon that everywhere has modified the functioning of the economy and consumption. A study on the impact of socio–economic factors on decisions on the consumption of imported vegetables by the citizens of Tirana in the context of these new dynamics is a topics of research interest. Agarwala et al. (1972), argue impact of socio–economic factors to the consumption. The paper's objective is a measurement impact of socio–economic factors such as age, food safety, purchasing quantity, income, price preference, number of family members and status of employment represented by workers to the consumption of imported agricultural products in the markets of Tirana, Albania. The results of the statistical linear model used shows that variables age, price preference and purchasing quantity not affects to the consumption of imported vegetables, while income, food safety, the employment status represented by the workers and the number of family members are influential factors. Findings show an interaction of socio–economic phenomena to consumption.

**Key words:** Consumption, income, price preference, workers, imported vegetables, Albania.

## 1. Introduction

The dynamics of developments during the last 2 decades in Albania has caused transformative infrastructural, economic and social developments. However, rapid urban migration from rural and sub–urban areas in recent years has been replaced by youth emigration and most qualified abroad, expanding the heterogeneity of challenges and bringing under a status–quo sustainable development. Moreover, the increasing speed of change and the social effects as a result of new technologies and the spread of information have shown an impact everywhere and especially on production and consumption. These dynamics have rapidly modified the functioning of the economy and markets by prompting new ideas and formulations for adaptation. The job mobility and human capital or the rapid expansion of e–commerce (also from the Covid–19 pandemic), e–payments, e–services, etc. and the functioning of markets are part of the contemporary debate, which has stimulated research interest everywhere on the impact of socio–economic changes on consumption factors generally.

Increasing the speed of change specifically requires attention in the case of the functioning of food markets, given the importance for production, consumption and the need for adequate–fast responses. In the food markets of the city of Tirana in recent years have been discussions on food safety and sales domestic products. This situation has increased the general disadvantages of domestic products, leading to a declining perception of consumers. The discussion on identifying the influential factors in the structure of consumers demand in the conditions of major socio–economic changes is of key importance to recognize the consumption trends of imported products, adjustments and possible adaptions in food markets of Tirana and lessons also for domestic production. The measurement of factors such as age, food safety and income, purchasing quantity, price preferences, family members and employment status to the consumption of imported products may help for a wider understanding.

While a comprehensive sensitization on sustainable consumption is more important for the sustainability of the economic system and the well–functioning of markets; an overview of the factors influencing the consumption of imported food products may be a more call for policy practitioners.

Moreover, considering the new socio–economic dynamics and the speed of change as a result of increased mobility and the spread of information on a an assessment of the above factors may be useful for (1) market actors, including domestic producers, (2) food market monitoring institutions, and also serving as an information manual for (3) the consumer protection associations. Such a studies on the consumption of imported vegetables in markets of Tirana and the impact of changes in socio–economic factors such as age, food safety, income, purchasing quantity, price preferences, number of family members, and employment status are missing and may be a topics of interest.

Many researchers see socio–economic factors and their possible changes in interaction with changes in consumption. The consumer parameters are strongly influenced by socio–economic factors[1]. The age significantly affect the decision to consume[2]. An older family member usually consumes less than does a young family member[3]. Food safety in developing countries is facing a particularly transformative period due to the link with increased demand for food and consumption[4]. Food consumption in European countries is affected by exposure to hazardous chemicals present in seasonal foods and food safety[5]. Purchases food quantity affect to consumption[6]. Agricultural economists generally agree that economic development which also implies the higher purchases quantity stimulate the expansion of consumption[7]. Income variable accounted for most of the variability in consumption[8]. By Friedman, when a consumer unit experiences an increment of income this component is added to its assets in the form of consumption[9]. Paul Samuelson emphasizes that the economic theory of consumer's behaviour it is largely built up on the notion of "revealed preference" based on costs and preferential price of goods.[10]. Price preferences broadcasted to consumers through new technologies such as mobile app affect to consumption[11]. Changes in family members consmuption habits its related with family

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[11]Wang B., Hu B., Qiu Ch., Chu P., Gadh R. (2015): EV Charging Algorithm Implementation with User Price Preference.

IEEE Innovative Smart Grid Technologies Conference, February, p. 1–5.

decision–making in consumtion[12]. In the center of shoping theory is analysis of consumption and idea that everyone and every day obtain goods also for other pepole as a driving force behind our responsibilities to provide others and within a family often it is used as an example of everyday moral practice[13]. By Keynes' in its General Theory, the consumption is related to the level of employment[14]. While the implications of changes in consumption patterns are complex, the case studies show that the consumption as a socio–economic phenomenon can be understood as a performance of consumer identity rather than a 'mere' worker[15].

## 2. Objectives and hypotheses

The objective of the paper is to provide an assessment of some factors of economic–social nature such as the age, food safety, purchasing quantity, income, price preference, family members and the status of employment represented by workers to the consumption of imported agri–products in the in the agri–food markets of the city of Tirana.

The study hypotheses are:

- H1 — the age of consumers affects to the imported tomato consumption;
- H2 — perception on food safety of consumers affects to the imported tomato consumption;
- H3 — purchasing quantity by consumers affects to the imported tomato consumption;
- H4 — income level of consumers affects to the imported tomato consumption;
- H5 — price preference of consumers affects to the imported tomato consumption;
- H6 — family status of consumers by members affects to the imported tomato consumption;
- H7 — consumers employment represented by status of workers affects to the imported tomato consumption;

The above variables are measured through interviewing in Tirana food markets during the period October 2019 – January 2020 and they are:

- Age;
- Food safety
- Purchasing quantity
- Income
- Price preference
- Family members
- Workers

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## 3. Measurement procedure

A questionnaire was construct to provide a broad database and after testing in a focus group with some adjustments it was used in the study area (the agricultural–food markets in the municipality of Tirana), by interviewing consumers (220) by random choice procedures. The variables are measured by scales (1–5) and interviewed consumers have been responded to the respective questions.

Based on data provided a statistical model is used to test the above variables. The significance of the variables is presented in the following table (table 1).

Table 1. The significance of variables by linear statistical model.

Dependent variable: Imported tomato consumption

| | *Coefficient* | *Std. Error* | *t-ratio* | *p-value* | |
|---|---|---|---|---|---|
| Const. | 3.02574 | 0.491042 | 6.162 | <0.0001 | *** |
| Age | 0.0120255 | 0.0805529 | 0.1493 | 0.8815 | |
| Food safety | −0.303696 | 0.0703898 | −4.314 | <0.0001 | *** |
| Purchasing quantity | 0.0248435 | 0.144965 | 0.1714 | 0.8641 | |
| Income | 0.356025 | 0.0661212 | 5.384 | <0.0001 | *** |
| Price preference | 0.0864303 | 0.146091 | 0.5916 | 0.5547 | |
| Family members | 0.218037 | 0.118485 | 1.840 | 0.0671 | * |
| Workers | −0.428818 | 0.0938001 | −4.572 | <0.0001 | *** |

Statistics based on the weighted data:

| | | | | |
|---|---|---|---|---|
| Sum squared resid | 539.4949 | | S.E. of regression | 1.599015 |
| R–squared | 0.298210 | | Adjusted R–squared | 0.274928 |
| F(7, 211) | 12.80854 | | P–value(F) | 1.10e-13 |
| Log–likelihood | −409.4685 | | Akaike criterion | 834.9371 |
| Schwarz criterion | 862.0497 | | Hannan–Quinn | 845.8871 |

Source: Data processed by authors.

## 4. Conclusions and discussions

The paper provides an analytical overview with focus on food consumption of imported vegetables and the socio–economic factors that affects to consumption, according to consumers perception in the markets of agricultural–food products in the city of Tirana, Albania.

The age, price preference and purchasing quantity, are factors which do not have an impact on the consumption of imported tomatoes. Imported tomatoes have a high presence in the markets mainly during the cold seasons. During the spring–summer season it competes from domestic tomato produced in the field, which has precedence due to price. Imported tomatoes have a stable and competitive offer during the autumn–winter season and compared to large fluctuations in domestic production prices during the seasons it fluctuates very little in price. The stabilized price affects the stabilized demand in the market and this may explain why the quantity of purchases (approximately a constant) does not affect consumption. In the categories that prefer this product there seems to be a consensus between consumers without the influence of age and preferential price to consume imported tomatoes, proving that this product has a reputation. The number of family members is an influential factor in consumption and this is related to the pattern of family consumption and the fact that vegetables represent a useful food diet in Albanian families. Higher consumption of vegetables affected by lifestyle, making that people who live together in families tend more to the consumption of vegetables than others and this goes hand in hand with the way it is hypothesized. While families with a higher number of members or cohabiting individuals affect the consumption rates of imported tomatoes, age, price preference and purchasing quantity are factors that do not affect.

The food safety and employment status represented by workers have a high impact and are negatively related to consumption. With increasing food safety the trends are to reduce the consumption of

imported tomatoes. We pointed out that imported tomatoes are generally characterized by a stable price and this goes along with a stable performance in terms of production standards, commercial appearance and food safety in the market. Increasing perception on food safety means increasing information and civic awareness on safe food and this is generally accompanied by an increase in the critical mentality of citizens and eventually increasing skepticism. Surveys among EU countries highlight the critical approach and the degree of distrust in the products of daily food consumption despite the high standards of food safety. The fact that the increase in perception on food safety of imported products has a very significant impact on the decline in their consumption may be related to consumer confidence in more competitive alternatives such as domestic production, for example. It is a well–known the fact that imported tomatoes produced in greenhouses have a high content of heavy metals (Cd, etc.) and this finding deserves more attention. The employment status represented by consumers employed as workers has a very significant impact on consumption: with the increase of consumer–workers, also increases the possibilities to reduce the consumption of imported tomatoes in the markets of Tirana. Moreover, the consumption of imported products seems to correspond to the social status of consumers. Among workers, the consumption of imported vegetables may be an impossible myth, influenced by economic factors of income and food diets inaccessible to them and/or cultural factors related to the use of imported vegetables on annual basis. Consumption inequality affects sustainable consumption, social cohesion and sustainable development. The development of an employment oriented towards university work and industrial activities with high returns, is a priority argument for sustainable production and consumption.

Income has a very significant and positive impact on consumption. In fact the income variable is very important to consumption and this goes hand in hand with the way it is hypothesized. The literature broadly supports the impact of income factor on consumption in developing countries. Moreover, for the same increase in the level of income between the high–income countries (HIC) the low–income and the middle–income countries (LIC, MIC), the differences in consumption follows respectively different trends. This affects to the daily turnovers and especially consumption and demand for food. The level of income in the countries with the lowest incomes deprives many groups–categories of basic means of consumption. In lower income countries (LIC, MIC) to provide basic food items need on average 3/5 to 4/5 of working days realized during 1 month and in this context income represents a critical factor for food consumption. The impact of the income to consumption represents a finding that is supported by previous studies conducted in Albania.

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# Consumption of Domestic Vegetables Produced in Greenhouses: A Socio–Demographic Profile of The Consumer

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**Abstract:** In recent years farmers producers of vegetables in greenhouses of Albania have faced a number of problems within this cluster such as production standards, costs and sales. The decline in sales is related to domestic consumption; the facts from the markets of Tirana, support that the consumption of domestic products may not yet be a priority of consumers. The decline in consumption of domestic products affects farmers' incomes and the well–functioning of markets. Consumption of domestic vegetables produced in greenhouses can be affected by demand factors, including age, perception on food safety and consumers' education. The literature supports impact of the above factors to the consumption. The paper's objective is a measurement of the potential impact of variables such as age, food safety, consumers' education and family members to the consumption of domestic products in the markets of Tirana. The results of the statistical model used shows that above variables affects to the consumption. The findings provide a socio–demographic profile of the consumer of domestic agricultural products produced in greenhouses and may serve for other future researchers.

**Key words:** Consumption, age, food safety, education, family members, domestic production.

## 1. Introduction

The production of vegetables in greenhouses represents an important industry for Albanian agriculture. Over the last 30 years this activity has expanded and mainly in the south–western area, which represents the largest agricultural production region in the country. Between the years 2000–2016 the surface of greenhouses in Albania has expanded by 462ha–1403ha[1]. Greenhouse farmers favored by annual temperatures and the advantages of specialization for years, have the capacity to produce 3 agricultural crops during 1 calendar year. However, in recent years farmers have faced a number of complicated problems; some of which are related to global events, such as the pandemic Covid–19 (2019–and the effects thereafter) and some others related to problems within this cluster, such are production standards, costs and consequently sales in the market. The decline in sales has particularly affected farmers' their family economy and sustainable regional development.

Production standards and technology followed affect the safety of agricultural products and consequently consumption, and several times this issue has been the subject of discussions in Tirana markets. In this theater of developments the dynamics are also characterized by various other interactions. Worrying have been e.g. migration indicators, especially among youngest and the most qualified, and these socio–demographic changes may have also an impact in this context. Given the changes in the structure of consumers demand, there may be changes in demand factors and consumption of domestic agricultural products produced in greenhouses. The facts from the markets of Tirana, support that the consumption of domestic products may not yet be a priority of consumers. In fact, sustainable consumption have a multi–plane importance, influencing the realization of production and the well–functioning of markets, sustainable development, economic growth, etc.

The sustainable consumption represents a "puzzle" of importance in the picture of the economy, if we look it in the light of the competitiveness of domestic production and more specifically of domestic

[1]INSTAT. (2017): Albanian Institute of Statistics. www.instat.gov.al.

consumption and implications. *Consumption* of domestic vegetables produced in greenhouses can be affected by socio–demographic changes with an impact on demand factors, including *age*, perception on *food safety* and the consumers' *education*. Testing the above factors and assessing their impact on the consumption of domestic agricultural products, illustrating with a case study from the markets of Tirana represents a subject with curiosity (1) theoretical and research and (2) practically informative for market actors or consumer protection organizations. (3) Assessing the functioning of domestic markets and the potential implications represent a primary task for market monitoring institutions.

The research literature in recent years has a growing and multidisciplinary focus on the issue of food consumption and the most influential factors in different countries. The age have an influence on fruit and vegetable consumption[2]. High vegetable consumption may be associated with slower rate of cognitive decline with older age[3]. The proportion of a low consumption of vegetables increases with age[4]. Concerns about food safety influence the way in which consumers confront the question of where, how and from whom they buy their fresh vegetables[5]. While the safe vegetable production and distribution affect to the wide spread of the consumer trust, the state failure in food safety protection reported widely between developing countries[6]. There is augmentation of respondents "worrying about food–safety problems" in EU and it comprise a significant share of 48% of European consumers (and Bulgarian consumers 75%) indicate that consumed food by using improper using pesticides/chemicals "very or fairly likely" can damage their health[7]. Increases in education leads to higher likelihood of preferences for vegetables[8]. The lower paternal educational level it is negatively associated with the consumption of vegetables[9]. Factors, especially the age and the level of education influence to the consumption of fresh fruits and vegetables[10]. Acording to social class and household members or being married, compared to being single may affect a persons vegetables intake via eating and socio–cultural norms or home availability of vegetables and so on[11]. Previous research have demonstrated that family members' eating habits are similar, by reveals that vegetable intake predicts also the vegetable intake

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by spouses, children and adolescents[12]. The age of consumers, educational level and the perception safety, are the main determinants of consumer's[13].

## 2. Objectives and hypotheses

The main objective of the paper is to test the potential impact of several variables, such as age, food safety and consumer education of the interviewees to the consumption of the agricultural domestic products, illustrating with a case study from the markets of Tirana and more specifically with the consumption of tomatoes produced in greenhouses.

*Specific objective*

Through findings and recommendations, to create a socio–demographic profile of the consumer in the markets of Tirana who consumes agricultural domestic vegetables produced in the greenhouses.

The study hypotheses are:

- H1 — the age of consumers affect to the consumption of domestic produced tomatoes;
- H2 — perception of food safety affect to the consumption of domestic produced tomatoes;
- H3 — the education of consumers affect to the consumption of domestic produced tomatoes.

A research question of interest has also been formulated for research purposes; does the family structure (expressed according to the number of family–members) affect to consumption of domestic tomatoes produced in greenhouses?

The above variables and the research question are measured by the perception of consumers in the markets of agricultural–food products in the city of Tirana (October 2019 – January 2020). They are:

- Age;
- Food safety
- Education
- Family members

### 3. Measurement procedure

A questionnaire was construct for the realization of the paper and after testing in advance in a focus group and adaptation with some adjustments it was used in the study area (in the agricultural–food markets in the municipality of Tirana), by interviewing consumers (220) according to random choice procedures. The above variables are measured by scales (1–5) and interviewed consumers have been responded to the respective questions according to scaling applied.

Based on data provided a linear statistical model is used to test the above variables. The significance of the variables under review is presented in the following table (table 1).

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Table 1. The significance of variables by linear statistical model.

Dependent variable: Greenhouse domestic tomato consumption

| | *Coefficient* | *Std. Error* | *t–ratio* | *p–value* | |
|---|---|---|---|---|---|
| Const. | 2.14772 | 0.581600 | 3.693 | 0.0003 | *** |
| Age | −0.187793 | 0.0736681 | −2.549 | 0.0115 | ** |
| Food safety | 0.137132 | 0.0812592 | 1.688 | 0.0929 | * |
| Education | 0.135518 | 0.0837695 | 1.618 | 0.1000 | * |
| Family members | 0.268099 | 0.0962954 | 2.784 | 0.0058 | *** |

Statistics based on the weighted data:

| | | | | |
|---|---|---|---|---|
| Sum squared resid | 656.3224 | | S.E. of regression | 1.747187 |
| R–squared | 0.113160 | | Adjusted R–squared | 0.096661 |
| F(4, 215) | 6.858465 | | P–value(F) | 0.000033 |
| Log–likelihood | −432.3992 | | Akaike criterion | 874.7984 |
| Schwarz criterion | 891.7665 | | Hannan–Quinn | 881.6505 |

Statistics based on the original data:

| | | | | |
|---|---|---|---|---|
| Mean dependent var | 3.495455 | | S.D. dependent var | 1.168450 |
| Sum squared resid | 280.2938 | | S.E. of regression | 1.141793 |

Source: Data processed by authors.

## 4. Conclusions and discussions

The paper in accordance with the objectives provides an analytical presentation of the problem of consumption of domestic vegetables according to consumer characteristics, by presenting a case study from the markets of agricultural–food products in Tirana, Albania.

*The age*, according to linear statistical model (table 1) results a very influential factor to the trend of tomato consumption in the markets of Tirana. With increasing the age of consumers, demand trend for domestic vegetables produced in greenhouses falls and this also can be explained by the decline in consumption generally with aging. However it is important to note that dietary foods with vegetables of older age affect to the healthy nutrition, longevity and protect against disease and this problem in addition to consumption has a number of implications. Findings indicate that higher consumption of vegetables is significantly associated with a lower risk of depressive symptoms[14]. The migration of the youngest abroad may also affect the decline in consumption generally.

*Food safety,* results an influential and positive factor to the trend of consumption of domestic tomatoes. With increasing of standards of food safety throughout the chain from production to marketing the chances increase for the consumption of more domestic vegetables in the markets. Important external and internal factors may be involved. Increased competition with foreign products may call into question the production practices and standards of domestic products. Consumers may be faced with other more competitive alternative offers. The perception is important for the consumer behavior of

[14]Cheng H.Y., Shi Y.X., Yu F.N., Zhao H.Z., Zhang J.H., Song M. (2019): Association between vegetables and fruits consumption and depressive symptoms in a middle–aged Chinese population: An observational study. Medicine (Baltimore), vol. 98 (18); e15374.

buyers and consequently deserves more attention to possible causes. The issue of food safety is related to production, sales in the domestic market, exports and competitiveness.

*Education,* according to measurements results an influential factor to the trend of tomatoes consumption. We pointed out that the vegetable diet is recommended for nutritious food being widely considered as a diet with multifaceted and positive effects. Information on nutritious and healthy food goes hand in hand with the levels of consumers' information, their culture, their social status and their level of education. Similarly, the problem of domestic products produced in greenhouses quickly sensitizes consumers' with a higher level of education, resulting in consequences for their consumer readiness. Higher levels of education correspond to youngest and the migration may have an impact on declining consumption. Studies suggest that education improve vegetable liking and intake[15].

*Family members,* results a very influential factor. Even intuitively in fact this finding is not a surprise. The family or coexistence between individuals is an entity that is identified by values, beliefs and common attitudes. Moreover, in the case of a multi–member family, parents develop an important responsibility not only for providing and preparing food for other family members, but also for orienting preferences towards more nutritious foods and this is a natural function of parenting. This experience is further transferred between older and younger children. On the other hand, for many reasons the family with more members tends to be more oriented by cooking at home than by other alternatives. Promoting consumption of a multi–member family maybe deserves more attention.

The paper presents a socio–demographic profile of potential consumer of the domestic agricultural products in the markets of Tirana. However the question for future research is still valid: Who consumes domestic agricultural products produced in greenhouses?

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# Azerbaycan'da Modernleşme Koşullarında Göç Süreçlerinin Düzenlenmesi

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**Özet:** Beşeri Sermayenin Geliştirilmesi Beşeri sermaye, işgücü verimliliğinin artırılmasında, sürdürülebilir ekonomik büyümede, imalat ve hizmet sektörlerinin rekabet gücünün artırılmasında ve ülkenin küresel pazarlara entegrasyonunda çok önemli bir rol oynamaktadır. Azerbaycan'da ekonomiyi dönüştürmek için uygulanacak reformların ayrılmaz bir parçası olarak, beşeri sermayenin gelişiminde sürekliliği sağlayacak, işgücü verimliliğini artıracak ve ekonomik kalkınmada bilginin rolünü artıracak önlemler özel bir rol oynayacaktır. Bu, iki düzeyde sağlanacaktır:

1. beşeri sermayenin oluşumu ve gelişimi için her düzeyde eğitim kalitesinin iyileştirilmesi;

2. İnsan sermayesinin sürekli gelişiminin teşvik edilmesi, işgücü verimliliğini sağlamak için araştırma ve geliştirmeye yatırım

Azerbaycan'da göçün yasal düzenlemesine bazı yönlerden ekonomik düzenlemeler eşlik ediyor. Bu yönlerden sadece ikisi - işgücü piyasasının ve göçmen işçi dövizlerinin serbestleştirilmesi ve bu süreçlerin Azerbaycan'daki makroekonomik etkileri, "beyin göçü" üzerindeki etki de dahil olmak üzere - daha önemlidir. Bununla birlikte, hem yaşamak hem de çalışmak için elverişli koşullara sahip olan ülkeler göç için seçilmiştir. Bu, iki belirleyiciyi daha ortaya çıkarır: göç eden ülkedeki yasalara uyum düzeyi ve göçmenin topluma entegre olma yeteneği. Bu belirleyicileri kullanarak, Tinbergen tarafından ülkeler arasındaki dış ticareti analiz etmek amacıyla önerilen "çekim modeli", uluslararası göç akışlarına yapılan diğer değişikliklerde uygulanabilir.

**Anahtar Kelimeler:** işgücü piyasası, uluslararası göç, hizmet sektörı.

## Giriş

Araştırmalar, politik duyarlılık göz önüne alındığında, çoğu durumda bu yöntemlerden ikincisinin, yani göçün serbestleştirilmesinin daha az tercih edildiğini göstermektedir . Bununla birlikte, gelişmiş ülkelerdeki işgücü potansiyelindeki düşüş, kalifiye işgücü için artan bir küresel talebe yol açmıştır. İşgücü için artan küresel talep, uluslararası trafik maliyetlerinin azalması ve hareketin kolaylaştırılması nedeniyle, GATS'ın dördüncü yöntemine artan bir odaklanma var. Azerbaycan, dünyanın en yüksek göç oranına sahip ülkelerinden biridir. Göçmenlerin çoğunluğunu Ermenistan'dan sınır dışı edilen Azeriler oluştururken, çeşitli amaçlarla veya daimi ikamet için Rusya Federasyonu'na ve diğer ülkelere seyahat eden Azerbaycan vatandaşları ise göçmenlerin çoğunluğunu oluşturuyor. Azerbaycan'daki göç süreci ve çeşitli yönleri ilgili mevzuatla düzenlenmektedir. Azerbaycan Cumhuriyeti Anayasası ve göç süreci ile bağlantılı olarak kabul edilen tüm kanunların, insanların serbest dolaşımına ilişkin uluslararası hukuk ve normlarla uyumlu hale getirildiği unutulmamalıdır. Azerbaycan Cumhuriyeti Göç Kanunu , Azerbaycan Cumhuriyeti "Göçmenlik Kanunu" , Azerbaycan Cumhuriyeti "Gidiş, Giriş ve Pasaportlar" , "Tek Pencere "Göç Süreci Yönetiminde İlke" Azerbaycan Cumhuriyeti Cumhurbaşkanı Kararı [6], Azerbaycan Cumhuriyeti "Yabancılar ve Vatansız Kişilerin Hukuki Statüsü" [7] ve diğer yasama işlemleri ve değişiklikleri ve çeşitli zamanlarda yapılan eklemeler, Azerbaycan'daki göç sürecini düzenlemek için yasal bir temel oluşturmaktadır.

## Azerbaycan'da göç süreçlerinin dinamikleri

Azerbaycan dahil herhangi bir ülkede göçün yasal düzenlemesine, bazı yönlerinin ekonomik düzenlemesi (veya serbestleştirilmesi) eşlik eder. Çalışmamızda, bu yönlerden sadece ikisini inceliyoruz - işgücü piyasasının ve göçmen dövizlerinin serbestleştirilmesi ve ayrıca bu süreçlerin Azerbaycan'daki makroekonomik etkileri, "beyin göçü" üzerindeki etkisi dahil.Azerbaycan'dan işgücü göçünün ana belirleyicisi, göç eden ülkede daha yüksek gelir elde etme olasılığı ile ilgilidir. Bununla birlikte, hem yaşamak hem de çalışmak için elverişli koşullara sahip olan ülkeler göç için seçilmiştir. Bu, iki belirleyiciyi daha ortaya çıkarır: göç eden ülkedeki yasalara uyum düzeyi ve göçmenin topluma entegre olma yeteneği. Bu belirleyicileri kullanarak, Tinbergen tarafından ülkeler arasındaki dış ticareti analiz etmek

amacıyla önerilen "çekim modeli", uluslararası göç akışlarının diğer değişikliklerine uygulanabilir. Göç akışları ayrıca 1) ülkelerin GSYİH'sine ve 2) bu ülkeler arasındaki mesafelere bağlıdır. Böylelikle göçmenler, yaşam koşullarının daha iyi ve işlerin daha kolay olduğu ülkelere gidiyor. Göçmenler için temel koşul istihdam ve güvenliktir. Ancak ülkeler arasındaki mesafe de önemlidir. Bu nedenle, göçmenler, zaman zaman ailelerini ziyaret etmek zorunda oldukları için daha düşük seyahat masraflarıyla ilgileniyorlar. Uzun mesafelerin bir diğer dezavantajı da göçmenlerin topluma uyum sağlamasıdır. Komşu ülkelerde göçmenler topluma daha hızlı uyum sağlar. Azerilerin Gürcü veya Rus toplumlarına adaptasyonu Avrupa toplumlarına göre daha kolay ve hızlıdır. Bu nedenle göç sürecindeki diğer göstergeleri de hesaba katmak önemlidir. Örneğin, 1) ülkelerdeki işsizlik düzeyi; 2) ülkelerdeki ortalama maaş seviyesi; 3) nüfusun ortalama geliri; 4) ortalama yaşam giderleri; 5) ülkelerde ekonomik özgürlük; 6) uluslararası etnik yakınlık, 7) dil ve iletişim sorunları, 8) uluslararası vize rejimi; 9) doğal iklim koşulları, 10) ülkelerdeki sosyo-politik durum (savaşlar vb.) Ve diğer faktörler göç sürecini ciddi şekilde etkiler

Azerbaycan'ın diğer ülkelerle olan göç ilişkilerinin analizi, bağımsızlıktan son yıllara kadar ülkeden gelen toplam göçmen sayısının toplam göçmen sayısını keskin bir şekilde aştığını göstermektedir. Son 25 yılda göçmen sayısı 200.000 ile 400.000 arasında azaldı. Toplam göçte de keskin bir düşüş var. Bu nedenle, göçmenlerin çoğu, SSCB'nin çöküşüyle bağlantılı olarak 1990-95'te diğer ülkelere giden insanlardı. İlerleyen yıllarda, 1) göçmenlerin belirli bir kısmı diğer ülkelerin vatandaşlığını kazanarak daimi ikamet hakkını elde eder; 2) belirli bir parçanın iadesi; 3) ayrıca her yıl göçmen sayısındaki azalma, toplam göçmen sayısında keskin bir düşüşe neden olmuştur . 2014 yılında petrol fiyatlarındaki keskin düşüşün Azerbaycan'dan Rusya'ya göçmenlerin sayısı üzerinde önemli bir etkisi olduğu, ancak Kazakistan'a göçmen işçi sayısının önemli bir etkisi olduğu unutulmamalıdır. Böylece, Uluslararası Göç Örgütü'ne göre, 1990'dan 2020'ye kadar Azerbaycan'dan Kazakistan'a göçmen sayısı istikrarlı bir şekilde 35.800'den 49.600'e yükseldi. Rusya'daki Azerbaycanlı göçmenlerin sayısı 1990'dan 2020'ye 100.000'den fazla azaldı. Şu anda Rusya'da 700.000'den fazla Azeri göçmen çalışmaktadır .Azerbaycan'da 2005 yılından itibaren manatın dolar karşısında güçlenmesi ve gelirlerdeki artış, göç hacmini azaltmış, tersine göç hacmini artırmıştır. Veya 2014'te Rusya'daki rublenin keskin devalüasyonu, Rusya'daki göçmen hacmini önemli ölçüde azalttı.

Son yıllarda Azerbaycan manatının keskin devalüasyonu Azerbaycan'dan göçü yeniden artırdı. Dolayısıyla, ulusal para biriminin devalüasyonu, yaşam kalitesi ve yaşam maliyeti üzerinde ciddi bir etkiye sahip olduğu için göçü şu ya da bu yönde hızlandırır. Rusya, Azerbaycan'dan gelen kalıcı veya geçici göçmenlerin büyük bir kısmını oluşturmaktadır. Etnik, dil ve dini bakımdan Azerbaycan'a yakın ve hatta daha yakın olan Türkiye'ye seyahat eden Azerbaycan vatandaşlarının sayısı Rusya'dakinden çok daha az.Azerbaycan'dan göçün belirleyicileri tüm ülkeler için tespit edilemiyor. Uluslararası Göç Örgütü'ne göre, Azerbaycan'dan Ermenistan'a 87.000'den fazla ve İsrail'e 13.000'den fazla kişi göç etti. 2015 verilerine göre göçmen sayısında Rusya, Ukrayna ve Kazakistan baskındır. Ancak bu ülkelere göç sürecinin belirleyicileri tamamen farklıdır. Örneğin, Ermenistan'a göçmenler, Ermenistan'ın Azerbaycan topraklarına yönelik saldırganlığı nedeniyle yaşanan ulusal ihtilaf sonucunda ülkeyi terk etti. Amerika Birleşik Devletleri'ne ve İsrail'e göç edenlerin çoğu, kalifiye işçi olarak daha iyi yaşam koşulları elde etmek için kalıcı olarak yaşamak üzere Azerbaycan'dan ayrıldı. Rusya, Ukrayna veKazakistan'a göç edenlerin çoğu işçi göçmenleridir. Bu insanlar Azerbaycan ile düzenli temas halindedir ve Azerbaycan'a para aktarırlar.

Azerbaycan'dan gelen göçmenlerin çoğu, farklı bölgelerdeki 30'dan fazla ülkeden geliyor. Emekçi göçmenlerin çoğunluğunun Rusya, Ukrayna, Kazakistan, Türkiye ve Gürcistan gibi ülkelerde bulunduğu varsayılabilir. İşçi göçmenleri hakkında diğer göç türlerinden farklı istatistikler elde etmek zordur. Özellikle, yıllık göçmen akışı için istatistiksel bir temel olmadığından, göçün ekonomik etkilerini ayrıntılı olarak analiz etmek zordur.Azerbaycan vatandaşlarının göç ettiği başlıca ülkeler arasında Rusya, Ukrayna, Kazakistan, ABD, Almanya ve Türkiye yer almaktadır. Asıl nokta, bu ülkelere göçün 2017 yılında 2015'e göre azalmamasıdır. Özellikle, azalan petrol gelirlerinin arka planında, Rusya'daki ekonomik gerileme durdukça Rusya'ya göç artmaya başladı. Bir başka ilginç nokta, son iki yılda Birleşik Krallık ve Çek Cumhuriyeti'ne göçün azalmasıdır. Muhtemelen, bu tür azaltımların ana nedeni, Azerbaycanlı göçmenlerin bu ülkelere geri dönmesi değil, Avrupa Birliği içinde yer değiştirmeleri olabilir. Bu nedenle, Avrupa ülkelerinden Azerbaycan'a göçmenlerin dönüşü çok nadirdir. Şekil 3'teki diyagramlar ayrıca

Azerbaycan'dan Avrupa ülkelerine göçün giderek arttığını göstermektedir. Azerbaycan'ın 2010 yılına kadarki ekonomik gelişimi ve küresel ekonomik kriz Azerbaycan'dan gelen göç dalgasını önemli ölçüde zayıflatsa da 2015 yılından itibaren göç yeniden artmaktadır.Azerbaycan'dan diğer ülkelere göçün belirleyicileri, hedef ülkedeki kişi başına düşen GSYİH, bu ülkelerdeki işsizlik düzeyi veya ülkeler arasındaki mesafe ile sınırlı olmamalıdır. Göçün ana belirleyicileri arasında, uluslararası kültürel bağlar veya dil yakınlığı ile topluma daha kolay entegrasyon fırsatları bulunmaktadır. Öte yandan, bazı durumlarda, ülkede kanunun yüksek düzeyde korunması, göçü kolaylaştırmaktan çok zorlaştırmaktadır. Örneğin, Rusya'daki iş ortamı Polonya'dakinden daha elverişsiz. Bununla birlikte, Polonya'ya göç Rusya'dakinden daha zordur. Rusya'da gayri resmi iş yapmak veya Rus toplumuna entegre olmak daha kolaydır. Dil, din, hane halkı, kültürel ve diğer benzerliklere rağmen Azerilerin Rusya'ya göçü Türkiye'ye göç etmekten daha kolaydır. Tüm bu faktörler, göç sürecinin ekonomik belirleyiciler düzeyinde analizinin tek taraflı olduğunu ve sorunun ayrıntılı olarak tanımlanmasına izin vermediğini düşündürmektedir. Bununla birlikte, göç sürecini niteliksel olarak değerlendirmek için, bazı ekonomik belirleyicilerin göç değişiklikleri üzerindeki etkisini niteliksel olarak değerlendirmeye çalışın. Azerbaycan'dan gelen göçmenler tarafından seçilen varış ülkeleri, göç açısından birçok karşılaştırmalı avantaja sahiptir. Birincisi, bu ülkelerin çoğunun daha yüksek bir küreselleşme seviyesi var. Göçmenler, kendilerininkinden daha küreselleşmiş bir hedef ülkeyi tercih ediyor. İkincisi, çoğu hedef ülkede GSYİH Azerbaycan'dakinden daha yüksektir. Üçüncüsü, neredeyse tüm hedef ülkelerde, maaşlı işçilerin toplam istihdam içindeki payı Azerbaycan'dakinden daha yüksektir. Asgari ücret alt endeksindeki ülkeler arasındaki farklılıkların göç için karşılaştırmalı bir avantaj yaratmadığı unutulmamalıdır. Azerbaycan'da son 20 yıldaki göç dinamikleri ve çeşitli göstergeleri; 1) küreselleşmenin derecesi; 2) a.b. GSYİH; 3) Gini indeksi; 3) maaşlı çalışanların toplam işgücü içindeki payı; 4) Asgari ücretin alt endekse bağımlılığını düşünün. Azerbaycan'dan diğer ülkelere göçmenlerin ana nedeni ekonomik olmakla birlikte, bu ülkelerin ekonomik avantajları bu tür bir göç için hedef ülke seçiminde kilit bir rol oynamamaktadır. Yukarıda belirtildiği gibi, göçmenler için ana hedef ülkeler olarak Rusya ve Ukrayna'nın seçilmesinin devam etmesi, büyük ölçüde bu ülkelerdeki Azerilerin etnik muamelesinden kaynaklanmaktadır. Ekonomik faydalar, sosyal ve etnik yakınlıktan ve göçmenlerin topluma daha kolay entegre olabilmesinden daha az önemlidir . Araştırmalar, küreselleşme endeksinin göç hacminin logaritması , mesafe hacminin logaritması, mesafe, GSYİH, ücretlilerin toplam çalışan sayısı içindeki payı ile toplam çalışan sayısı arasındaki ilişkide daha önemli bir rol oynadığını göstermektedir. küreselleşme endeksi. Her halükarda, Azerbaycan'dan diğer ülkelere göç sürecinde hedef ülkelerin özgürlük düzeyi önemlidir. Araştırmalar, Azerbaycan'daki göç sürecinin özünde ekonomik faktörlerin de küçük bir rol oynadığını gösteriyor. Azerbaycan'a gelen göçmen sayısının azlığı ve bu tür göçmenler arasında ücretsiz işçi göçmenlerinin küçük payı, hedef ülke olarak Azerbaycan'ın henüz göç için bir avantaja sahip olmadığı anlamına geliyor. Göçmenler hakkında kabul edilen yasaların burada da etkisi var. Bu göstergelerin bir grubu "göçün nedeni" (işsizlik, ortalama ücretler, ortalama gelirin yanı sıra ortalama yaşam maliyeti, ekonomik özgürlük seviyesi vb.) Ve bir diğer grup "göç yönü" dür. (örneğin, göç ülkesindeki yaşam standartları, yaşam standartları). maliyetler, vize rejimi, etnik bağlantı, dil bağlantısı vb.). Yukarıdaki 7 gösterge (GSYİH, ülkeler arası mesafe, işsizlik oranı, ülkedeki ortalama maaş seviyesi, ortalama gelir, ortalama yaşam giderleri, ülkedeki ekonomik özgürlük seviyesi) ölçülebilir ve diğer 5 gösterge (uluslararası yakınlık, dil ve iletişim sorunları), uluslararası vize sorunlar, doğal iklim koşulları, uluslararası siyasi durum) modele hayali bir gösterge olarak dahil edilebilir. Bununla birlikte, ilk yaklaşımda, göç hacminin 3 göstergesi vardır - 1) Göç ve göç ülkelerinin GSYİH'si (Yj); 2) uluslararası mesafe (Dj); 3) işsizlik oranına (U j) bağımlılık incelenebilir. Tabii ki, bu durumda, yukarıda listelenen diğer 8 veya daha fazla gösterge dikkate alınmadığı için model tam olarak kabul edilemez. Tinberg'in göç için "yerçekimi modeli" uygulamasının bazı özelliklerine dikkat etmek önemlidir. Böylelikle göç sürecine dinamik bir süreç olarak değil, statik bir süreç olarak yaklaşacağız ve burada zaman faktörü dikkate alınmayacaktır. Göç süreci, bağlı olduğu göstergelerin çoğunun önceki dönem değerlerine bağlıdır. Bu yıl herhangi bir ülkedeki göç sürecini incelersek, en azından birkaç yıl boyunca bağlı olduğu göstergeleri incelemeliyiz. Öte yandan, göç hacmini, yani ülkeler arasındaki mesafeyi etkileyen ana faktör olarak değerlendirilen ikinci gösterge, yalnızca eyaletlerin başkentleri arasındaki mesafe olarak alınmıştır. Ancak göç sürecinde daha fazla sınır bölgesinin kullanıldığı dikkate alınmalıdır. Uluslararası işgücü göçü için yerçekimi modelinin uygulanmasının bazı avantajları not edilebilir: 1) yerçekimi modeli, belirli bir yakınsama aralığında uluslararası ticaret, göç ve finansal akışların nitel ve nicel değerlendirmesi için önerilen basit bir modeldir; 2) kütleçekimsel modelin avantajı, teorik modelden özel bir durum olarak da alınabilmesidir, örneğin, rasgele faydanın maksimizasyonu modelinden 3) yerçekimi modeliyle ilişkili

analitik zorlukları hesaplamak için farklı yöntemler vardır; 4) Ampirik bir model olarak, çekim modeli ek değişkenlerle genişletilebilir. Çekim modeli uygulamasının eksiklikleri de şu şekilde gruplanabilir: 1) Çekim modeli, iki ülkenin ekonomileri hakkında farklı bilgiler gerektirir. Çoğu durumda, bu tür bilgileri elde etmek zordur; 2) Yerçekimi modelindeki bazı değişkenlerin yaklaştırılması, sonuçların ciddiyeti konusunda şüphe uyandırır. Örneğin ülkeler arası uzaklık olarak hangi mesafe daha uygundur: ülkelerin başkentleri arasındaki mesafe mi yoksa sınıra en yakın yerleşim yerleri arasındaki mesafe mi?3) Herhangi bir ülke için yerçekimi modeli aracılığıyla işgücü göçünü tahmin ederken mümkün olduğunca çok belirleyici kullanmak önemlidir. Aksi takdirde, bu modelin işgücü göçünü tahmin etmede kullanılması daha zordur. Göç süreci ve ekonomik etkileri üzerine araştırma yürütmedeki ciddi zorluklar, göçmenlerin ve göçmenlerin güvenilir istatistiksel dinamiklerini ülkeye göre ve belirleyicilerle ilgili istatistiklerin elde edilmesinin zor olmasından da kaynaklanmaktadır. Uluslararası Göç Örgütü'nün istatistiklerinde belirleyicilere ilişkin istatistik eksikliği, göçmen işçi işçilerinin doğru raporlanmasına izin vermemektedir. Örneğin, 1989-1990'da Ermenistan'dan sınır dışı edilen Azeriler, BM istatistiklerinde hâlâ göçmen olarak listeleniyor. Benzer hatalı istatistikler diğer ülkelerde bulunabilir. Bu nedenle, yerçekimi yöntemiyle göç sürecini inceleyerek elde edilen sonuçlar gerçek resmi önemli ölçüde değiştirir. Bununla birlikte, yerçekimi yöntemi, ilk yaklaşımda göç sürecinin manzarasını niteliksel olarak değerlendirmek için kullanılabilir. Bu göç değerlendirme modelinden de görülebileceği gibi, iki ülke arasındaki göç hacmi doğrusal olarak bu üç faktöre bağlı olmayabilir. Göç hacimleri için bir "yerçekimi modeli" inşa ederek, gelecek için göç ve göçün hacmi kabaca tahmin edilebilir. Ancak bu durumda, tüm göstergeleri olabildiğince dikkate almak önemlidir. Tüm ülkelerde olduğu gibi, işçi göçmenleri ve öğrenciler Azerbaycan'ın göçünde kilit rol oynamaktadır. Göçmen işçi dövizleri, Azerbaycan'a yapılan mali transferlerin önemli bir parçasıdır. 2000-2015 yılları arasında göçmen havaleleri, doğrudan yabancı yatırımdan sonra ülke için ana finansman kaynağıydı. Bu tür finansal kaynaklar ile DYY arasındaki temel fark, doğrudan hane halkına yönlendirildikleri için nüfusun sosyal sorunlarının çözümünde önemli bir rol oynamalarıdır. Tablo 6, Azerbaycan'daki büyük mali transferlerin dinamiklerini göstermektedir. Tablo, göçmen dövizlerinin ülkeye yapılan resmi kalkınma yardımını çok aştığını göstermektedir. Bazı yıllarda bu miktar 2 milyar dolara yaklaştı veya kişi başına 210 dolardan fazlaydı. Azerbaycanlı göçmen işçi göçmenlerin diğer ülkelere, özellikle Rusya'ya, genellikle daha az uzmanlık gerektiren işlerde para transferi, hanehalkının sosyal sorunlarının bir bütün olarak çözümünde olumlu bir etkiye sahiptir. Ancak uzun vadede bu, ülke ekonomisinin zayıflamasına zemin oluşturuyor. Çünkü çeşitli amaçlarla ülkeden gelen ortalama bir göçmenin eğitim, bilgi ve becerileri ulusal ortalamanın üzerindedir. Bu nedenle, bir göçmen varış ülkesinde çalışmak için en az iki dil bilmeli ve belirli bir bilgi ve beceriye sahip olmalıdır. Bu tür bireylerin ülke ekonomisinden uzaklaşması hem ekonomik büyümeyi hem de hanehalkını zayıflatmaktadır. Belli sayıda göçmenin, özellikle de genç göçmenlerin kendi ülkelerine dönmediğini hesaba katarsak, o zaman devletin başka bir ülkenin ekonomik kalkınması için beşeri sermayeye harcadığı ortaya çıkıyor. Öte yandan, yüksek eğitimli veya deneyimli profesyonellerin ayrılması bir "istihbarat akışı" yaratır

Ekonomik liberalleşmenin göçmen işçi dövizleri üzerindeki etkisine ilişkin ekonomik literatürde ilginç çalışmalar bulunmaktadır. Örneğin, Mookeijee ve Roberts , Niimi ve diğerlerinin yanı sıra Bettin ve diğerlerinin çalışmaları, finansal serbestleşmenin göçmen dövizlerinin ana belirleyicilerinden biri olduğunu göstermiştir. Freund ve Spatafora , artan göçmen transferlerinin gelişmekte olan ülkeler için önemli bir finansman kaynağı olduğunu düşünmektedir. Göçmen havalelerinin ve işletme maliyetlerinin belirleyicilerini inceleyerek, işçi dövizlerinin göçmen sayısı ile pozitif yönde, işlem maliyetleri ve döviz kuru kısıtlamaları ile olumsuz yönde ilişkili olduğu sonucuna varmışlardır. Ülkenin finansal sistemi ne kadar liberal ve döviz kuru ne kadar istikrarlı olursa, işletme maliyetleri o kadar düşük olur. Yüksek işletme maliyetleri nedeniyle, göçmenler havalelerini bankalar yerine diğer gayri resmi kanallardan göndermeyi tercih ediyorlar. Kose ve diğerleri , Obstfeld Rodrick ve Subramanian tarafından yapılan çalışmalar da finansal serbestleşmenin göçmen dövizlerindeki işlem maliyetleri üzerindeki etkisini ele almıştır. B. James, M. Aniruddha ve U. Phanindra, 1990-2005 döneminde 84 ülkede finansal serbestleşmenin göçmen işçi dövizleri üzerindeki etkisini incelemişler ve finansal reformların serbestleştirilmesinin veya direncinin göçmen dövizleri üzerinde farklı bir etkiye sahip olduğu sonucuna varmışlardır. Mali sektörde devlet kontrolü azaldıkça ve serbestleşme arttıkça, kredi kullanımı genişler ve ekonomi üzerindeki olumlu etkiler artar .

Göçmen transferlerinin düzenlenme mekanizmasını daha iyi anlamak için, transfer kanallarının basitleştirilmiş şemasına bakalım . Göçmen göçünün serbestleştirilmesi derken, devletin bu sürece dayattığı kısıtlamaların azaltılmasını kastediyoruz. Şekil 14'teki diyagramdan da görülebileceği gibi, göçmen dövizlerinin sınırlandırılması veya serbestleştirilmesi sadece işçi dövizleri için değil, aynı zamanda alıcı kanallar için de geçerli olabilir. Bu kanallardan yalnızca ikisinin (yani kuryeler ve akrabalarla taşınırken) nakit veya mal aktarması nedeniyle bu alanların daha kısıtlı olduğu unutulmamalıdır. Azerbaycan mevzuatına göre, bu şemadaki herhangi bir kanal para transferleri için kullanılabilir. Ancak transferin miktarı belli kısıtlamalar uygulanır. Bu tür kısıtlamalar hem transfer kanalları hem de devlet tarafından uygulanabilir.

Göçmen havalelerinin hacmi, öncelikle göçmen işçi sayısına bağlıdır. Azerbaycan için, ülkeye yapılan havalelerin büyük bir kısmı diğer ülkelerde çalışan göçmen işçi işçilerine düşüyor. Azerbaycan'dan diğer ülkelere yapılan transferlerin büyük kısmı, farklı ülkelerde okuyan veya geçici olarak yaşayan Azerbaycan vatandaşlarına düşüyor. Azerbaycan'dan diğer ülkelere göçmen dövizlerinin hacmi yüksek olmasa da göz ardı edilemez. Bunun nedeni Azerbaycan'a diğer ülkelerden gelen işçi göçmenlerinin sayısının Azerbaycan'dan gelen işçi göçmenlerinin sayısından çok daha az olmasıdır. Diğer ülkelerde olduğu gibi Azerbaycan topraklarından çeşitli amaçlarla ayrılan Azerbaycan vatandaşları da ülkeye belli bir miktar para aktarıyorlar. Bu transferlerin hacmi 2000 yılından bu yana önemli ölçüde artmıştır. Böylece, 2000 yılında kişi başı göçmen transferleri 7,1 $ olurken, 2012 yılında transfer hacmi 214,1 $ 'a çıkarak son 15 yılda maksimuma ulaştı. 2014 yılında Rusya'da yaşanan ekonomik krizin ardından transfer hacmi 2015 yılında 131,6 ABD dolarına, 2016 yılında 65,88 ABD dolarına gerilemiştir. Bununla birlikte, bu hacim aynı zamanda nüfusun gelirinin önemli bir bölümünü oluşturmaktadır. Görüldüğü gibi, göçmen transferleri, doğrudan yabancı yatırımdan daha az olmasına rağmen, nüfusun doğrudan sosyal durumu üzerinde daha büyük bir etkiye sahiptir ve ülkeye yapılan mali transferlerin önemli bir kısmını oluşturmaktadır (yaklaşık% 50). Rusya'da ekonomik krizden sonra bu tür transferlerin hacmi önemli ölçüde azalırken, göçmen transferlerinin manatın döviz kuru üzerindeki etkisi bir nebze olsun oldu.

## Sonuçlar

1. Ulusal paranın zayıflaması veya güçlenmesi, yaşam kalitesi ve yaşam maliyeti üzerinde ciddi bir etkiye sahip olduğu için göçü şu veya bu yönde hızlandırır.

2. Azerbaycan vatandaşlarının göç ettiği başlıca ülkeler arasında Rusya, Ukrayna, Kazakistan, ABD, Almanya ve Türkiye yer almaktadır.

3. Azerbaycan'dan gelen göçmenler tarafından seçilen çoğu varış ülkesinde küreselleşme seviyesi daha yüksektir.

4. Azerbaycan'dan gelen göçmenlerin GSYİH'si çoğu hedef ülkede Azerbaycan'dakinden daha yüksektir.

5. Azerbaycan'dan gelen göçmenlerin neredeyse tüm varış ülkelerinde, toplam çalışan sayısı içinde maaşlı çalışanların payı Azerbaycan'dakinden daha yüksektir.

6. Ülkeler arasındaki asgari ücret farklılıkları, göç için karşılaştırmalı bir avantaj yaratmamaktadır.

7. Azerbaycan için, ülkeye giren para transferlerinin büyük bir kısmı diğer ülkelerde çalışan göçmen işçi işçilerine düşüyor.

8. Göçmen transferleri, doğrudan yabancı yatırımdan daha az olmasına rağmen, nüfusun doğrudan sosyal durumu üzerinde daha büyük bir etkiye sahiptir ve ülkeye yapılan mali transferlerin önemli bir bölümünü oluşturur.

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# Perspectives of Investment Funds in the Republic of North Macedonia

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**Abstract:** Investment funds, as institutional investors at the capital market, are financial institutions that mediate between the owners of free financial resources, on the one hand, and the corporate sector, which needs financial resources, on the other. In this way, investment funds raise assets that are invested in the international financial market by creating a diversified investment portfolio. The attractiveness of investment funds is based on the possibility of achieving a higher rate of return compared to the conventional way of savings the money in banks.

Investment funds are one of the fastest growing financial institutions, whose role and importance is especially emphasised in developed market economies. However, these institutional investors play a negligible role in the capital market in developing and transition countries since they are still in their initial phase of their development and they are unknown to the general public.

There are 17 open-end investment funds in the Republic of North Macedonia, managed by 4 investment fund management companies. Despite the small market share, investment funds have enormous importance, because, in addition to risk diversification and professional asset management, they offer small investors the opportunity to be indirectly exposed to capital markets. Compared to other institutional investors, Investment funds recorded the highest returns by the end of 2019. Growth was also evident in 2020, despite the negative trends appearing at the beginning of the year, as a result of the consequences with the first wave of the Covid 19 pandemic.

Having in mind the previous findings, the main objective of the research in this paper is analysis of the current position and perspectives for development of investment funds in the Republic of North Macedonia, with special emphasis on the measures to increase public awareness of how investment funds function and the benefits of investing in them.

**Keywords:** Capital market, Investment funds, Investment Fund Management Companies

## 1. INTRODUCTION

Financial intermediaries are the most important institutions in the capital market because they connect the entities that have excess capital with those that need that capital for their business activities or personal needs. They play a major role in the development of the capital market, providing stronger competition in the financial market, stimulating financial innovation, encouraging the development of regulation and modernising the market infrastructure. However, in order for the capital market in a country to function successfully, it is necessary to have good regulation and supervision, as well as appropriate institutional participants such as stock exchanges, brokerage companies, investment funds, investment companies and others.

Investment funds are characterised by collective investment, which means that investors have the opportunity to raise funds, in order to generate income and lower investment risk. The property of the investment funds is managed by the investment companies (investment fund management companies). They are specialised companies that invest the investor's funds in a portfolio of securities, for a fee.

Mutual funds appeared in 1924 in the United States as a result of the rapid development of capitalism. Today, they are distributed almost all over the world, and the total value of the property is estimated at around 50,000 billion dollars. The main leaders in this field are the United States, whose total value of net assets of open-end funds is about 45% of total assets worldwide (Jeremic et al., 2019).

In the European Union, the first classic investment fund is considered to have been established in 1868, but a significant development of open-end investment funds, in the modern sense, did not occur until 1990. Today there are more than 60,000 investment funds.

In our country, the first preconditions for the emergence of investment funds are created by the adoption of the Law on Investment Funds in 2000. However, the first open-end fund management company was not established until 2007. There is an opinion within the academic community that this is due to the underdeveloped securities market in Macedonia, lack of interest from foreign investors, insufficient knowledge of the advantages of this type of financial institutions and poor investor protection within that period.

In the next thirteen years, the pace of establishing investment fund management companies and the establishment of investment funds significantly increases, despite the fact that this type of institutional investors are far from the role they play in Europe and the world. Therefore, since 2009 several amendments to the legislation have been made, correlating it with the directives of the European Union (UCITS - Undertakings for Collective Investment in Transferable Securities), which creates a greater opportunity for opening the Macedonian market of capital for foreign investors, through greater protection of the interests of investors and greater control over investment funds.

The emergence and development of investment funds is of great importance to our economy because it raises the banking and financial sector to a higher level and promotes and encourages different ways of saving. This increases the overall savings in the economy and the efficiency of investments, primarily by investing in the most profitable securities with a certain level of risk.

## 2. INVESTMENT FUNDS - CONCEPT, TYPES AND REGULATORY

An investment fund is a financial institution that raises funds for small individual investors, to whom in return it issues shares or certificates of participation in the fund's financial assets (units) (Soskic et al., 2009). The realised funds are invested by the investment funds on the domestic or international financial market in securities, creating a diversified portfolio. Each action of the investment fund represents a proportionate share in the portfolio of securities under its management.

With regard to investment funds, the question often arises as to why investors would invest in mutual funds. There are several reasons for this:

- Portfolio diversification. Diversification means the process of combining securities in the portfolio, in order to reduce the total risk to an acceptable level, ie to minimise the risk for a given profitability and liquidity of the portfolio.
- Professional securities management. Investment fund management is outsourced to professional portfolio managers supported by good teams of analysts. They can more easily see the changes in the stock markets and select the appropriate securities.
- Lower service costs. Investors receive the services of investment advisers at a lower cost than contacting them directly. Also, through investment funds, transaction and other costs and commissions are reduced.
- Reliability. Given the fact that investment funds everywhere in the world and in our country, are subject to legislation aimed at protecting the interests of investors, it gives a high degree of certainty that their assets will be managed in the best possible way.

All of the above makes investment funds ideal for small investors, who are willing to take a higher risk, compared to term deposits in a bank, but therefore the return they can achieve is higher.

According to the way in which funds are mobilised, there are two types of investment funds:

- Open-end investment funds and
- Closed-end investment funds.

*Open-end investment funds* are the most important type of investment funds, not only in terms of the opportunities they offer, but also in terms of the assets at their disposal and their quantity.

The open-end fund itself does not have the capacity of a legal entity, that capacity is held by the fund management company, which established the fund. The owners of shares have the right, in addition to

the right to a proportionate part of the fund's profit, to demand payment of the share documents at any time, thus withdrawing from the fund. That is the essential feature of open funds.

The open-end funds purchase the issued shares on request, at a price calculated daily, based on the net value of the fund's assets per share. The net asset value per share - NAV (net asset value per share), is calculated by subtracting the value of the fund's liabilities from the market value of the portfolio on a given day and then dividing by the number of shares:

$$NAV = \frac{\text{Portfolio market value} - \text{Amount of total liabilities}}{\text{Number of shares}}$$

Closed-end funds have a fixed number of shares traded on the secondary market. Unlike open-end funds, closed-end funds operate like any other corporation in the financial market, ie they do not buy their own shares. They are usually listed on the stock exchange or on the OTC markets. In closed-end funds, in contrast to open-end funds, the number of shares remains the same. Closed-end funds are smaller in number than open-end funds, but have tended to increase in recent years.

Our legislation allows the establishment of open-end and closed-end investment funds. But so far, no closed fund has been established.

Due to the growing share of investment funds in the global market, there is a global need for the highest possible degree of harmonisation of regulations in this area. The main goal is to protect the investors' interests, so the companies that manage the funds are subject to increasingly strict regulation of their operations.

The supporting pillar of regulation is the United States, as the country with the most developed securities market. The basic regulation is the Investment Company Act of 1940, the rules of which are still applicable today.

In the European Union, operations are defined by certain directives (UCITS) and the principles of IOSCO (Objectives and Principles of Securities Regulation), which are based on three basic principles of regulation of operations (https://www.iosco.org):

- Investor protection;
- Ensuring that markets are fair, efficient and transparent and
- Reducing systemic risk.

In Macedonia, the operation of investment funds is regulated by the Law on Investment Funds, adopted in 2000, and amended several times to date.[1] This Law defines the term investment fund, the conditions for establishing fund management companies, the manner of operation of the management companies, the content of the company statute, the limitations and responsibilities of the company, the costs for managing the funds, the conditions for establishing funds, types of investment funds, statute and prospectus of the fund, selection and operation of the depository bank, manner of control over the operation, fines for misdemeanours and more.

## 3. OPEN-END INVESTMENT FUND IN THE REPUBLIC OF NORTH MACEDONIA

Investing in open-end investment funds on a global scale has a long history and offers many greater advantages over classic savings. The shares in these funds are very liquid, they are professionally managed, and there is a large dispersion of risk. It strengthens the confidence of investors and increases the number of investors on a daily basis.

[1] Since its adoption, it has been amended several times, 2007, 2009, 2010, 2011, 2013, 2015, 2016 in order to overcome the shortcomings and comply with EU directives. The last change was made on February 10, 2020, Sl.Vesnik of RSM 31/2020

Although open-end investment funds in Macedonia represent a very small part of the financial market, they have nevertheless, been characterised by high dynamics and growth in the last five years including highest returns by the end of 2019, compared to other institutional investors. Growth was evident in 2020, despite the negative trends that appeared at the beginning of the year, as a result of the consequences of the first wave of the pandemic with Covid 19 (SEC, 2020)

Currently, there are 17 open-end investment funds in North Macedonia (Table 1 – Open-end Investment Funds):

Table 1: Open-end Investment Funds in Republic of North Macedonia

| | |
|---|---|
| Grave Global | Generali BRIK |
| VFP 100% Bond | Generali Kesh Depozit |
| VFP Dividenda | Generali Nova EU |
| VFP Kesh Depozit | Generali Top Brendovi |
| VFP Premium Invest | Ilirika Global Rastechki Pazari |
| KB Publikum - Balansiran | Ilirika Jugoistochna Evropa |
| KB Publikum - Parichen | Ilirika Kesh Fond |
| KB Publikum - MBI 10 | Inovo Status Akcii |
| KB Publikum - Obvrznici | |

Source: Securities and Exchange Commission (SEC)

According to Low on the Investment Funds, Open-end investment fund presents separate assets, without the capacity of legal entity, whose shareholders have the right to proportional part of the fund's profit and who at any time have the right to request payment of the share, wherefore they will step out of the fund (Sl.Vesnik na RM, 2009).

The open-end fund is established by raising funds in the amount of at least 300,000 euros in denar counter-value, by means of a public call for subscription of shares in the investment fund. The Securities and Exchange Commission of RNM is the regulatory body that issues a license for the establishment of the fund, upon a previously submitted request by the fund management company.

The basic characteristics of open-end investment funds are the following:

- Liquidity - possibility for fast payment of purchased shares, at the request of the investor. The company that manages the fund is obliged to pay the funds to the investor's account within seven days;
- Reliability and yield - risk dispersion due to portfolio diversification and return on average 5 - 15%;
- Entry and exit costs - must not exceed 5% of the total value of the share;
- Guaranteed data confidentiality;
- Awareness shares' status at any time .

According to the type of investments they make, the open-end funds in RNM can be:

- Share funds;
- Bond funds;
- Mixed funds;

- Cash funds.

The entire portfolio of equity funds is in shares. It is the most precarious type of fund, but at the same time it has the opportunity to make the biggest profits. It is more commonly used for long-term investments, generally exceeding ten years.

Bond funds have full or mostly bonds in their portfolio. They are intended for conservative investors, who do not accept high risks. These funds carry less of a risk, they guarantee high security, but on the downside, they do not give the opportunity to make big profits at once. They are suitable for short-term investments.

Mixed funds (balanced or hybrid) contain stocks as well as bonds in their portfolio. They are riskier than bond funds, but have the opportunity to make more profit. It is recommended that investing takes place for a longer period of time, for example, five to ten years.

Cash funds generally have a steady and moderate growth. They invest in short-term securities and are characterised by low risk due to short maturity.

Most of the total assets of open-end funds in Macedonia are monetary funds, followed by equity funds, with bond funds being the least represented.

## 4. MANAGEMENT OF OPEN-END INVESTMENT FUNDS IN THE REPUBLIC OF NORTH MACEDONIA

The first open-end investment fund management company in Macedonia started operating in 2007.[2] Then new ones were established and by the end of 2009 there were six companies managing open-end investment funds. At present, four companies operate, after the acquisition of KD Fondovi AD and Ilirika Fund Management AD, by the Slovenian Generali Investments AD. The total number of investment funds that were being managed by the end of 2020 was 17 and they are all open-end investment funds. The number of open-end investment funds is increasing, which is indicated by the fact that by April, 2021, two more new investment funds had been founded.

The total net value of the assets of the open-end investment funds managed by the investment companies is shown in Table 2 - Net assets value of the investment funds managed by the investment funds management companies.

According to the data presented in the table, it can be concluded that KB Publikum Paricen, VFP Premium Invest and Generali Kesh Deposit have the largest share in the total value of open-end investment funds. A significant increase of 147.31% in the net value of the funds at the end of 2020 is evident, which indicates the fact that the value has more than doubled, compared to the initial period covered by the analysis.

The main purpose for creating the company which manages investment funds is to manage the property of the investment fund. In addition, the company can promote the investment fund and sell the shares in the investment funds. The scope of the company's work must include all administrative matters such as: keeping business ledgers and preparing financial statements, determining the investment fund's property value and calculating the share price, distribution of the fund's profit, keeping a register of share owners, ie shareholders and so forth. The company can also perform investment consulting, cooperation with the depository bank and other services.

A common practice and one which is legally permissible is for a company to manage multiple funds. In this way, a family of funds is created and managed by one company. This gives a significant advantage to the company's market performance in terms of knowledge use, greater concentration of funds and greater supply and competitiveness. The families of funds managed by one company are especially important for investors, because they enable the transfer from one fund to another with lower costs, which ultimately leads to greater diversification of investment risk.

[2] Ilirika Fund Management AD Skopje is the first investment management company in the Republic of North Macedonia

By managing the assets of investment funds, the goal of the management company is to maximise the investor's profit, not its own profit. In fact, it also strives to maximise its own profits, but only through the policy of good investment in the interest of investors.

Within the legislation related to the management of investment funds, various investments restrictions are prescribed in order to reduce risk investment. More importance is given to the following:

- Investment in securities (up to 10% of the net value of the fund's assets) not listed on the stock exchange is limited, due to the high risk that those securities carry;
- Investing in individual securities (per issuer) is limited to 10% of the net asset value of the fund;
- Investing in bonds is also limited to 25% of the total value of bonds of one issuer.
- The same restrictions apply to voting shares. The investments must not exceed more than 10% of the voting rights that the securities give to the shareholders, in order to avoid a dominant influence in the management of the companies.
- Investments of one investor in the fund are limited, as well as investments in real estate and more.

Table 2: Net assets value of the investment funds managed by the investment funds management companies[3]

| Investment Fund | Net value in EUR (at the end of a year) | | | | |
|---|---|---|---|---|---|
| | 2016 | 2017 | 2018 | 2019 | 2020 |
| Grave Global | 0 | 0 | 0 | 553.525 | 573.489 |
| VFP 100% Bond | 0 | 1.014.474 | 1.774.008 | 3.705.784 | 5.594.149 |
| VFP Dividenda | 0 | 0 | 0 | 0 | 0 |
| VFP Kesh Depozit | 6.357.893 | 8.102.808 | 10.547.624 | 10.945.512 | 9.863.918 |
| VFP Premium Invest | 4.206.386 | 8.418.449 | 11.737.600 | 16.639.589 | 22.746.094 |
| KB Publikum - Balansiran | 2.484.751 | 5.110.324 | 6.266.063 | 7.308.815 | 7.570.449 |
| KB Publikum - Parichen | 25.222.933 | 31.246.823 | 38.322.445 | 54.402.470 | 52.025.861 |
| KB Publikum - MBI 10 | 0 | 3.152.278 | 4.528.590 | 10.729.577 | 10.814.382 |
| KB Publikum - Obvrznici | 4.041.376 | 9.495.688 | 2.196.713 | 3.168.794 | 3.108.966 |
| Generali BRIK | 851.228 | 811.791 | 713.814 | 660.703 | 836.753 |
| Generali Kesh Depozit | 8.889.481 | 13.161.986 | 18.748.415 | 20.125.588 | 19.303.163 |
| Generali Nova EU | 409.583 | 400.765 | 370.812 | 396.496 | 372.195 |
| Generali Top Brendovi | 1.378.052 | 1.305.118 | 1.123.418 | 2.274.882 | 4.504.751 |
| Ilirika Global Rastechki Paza | 770.290 | 1.035.012 | 1.156.829 | 1.398.511 | 1.573.105 |
| Ilirika Jugoistochna Evropa | 559.001 | 832.399 | 1.024.980 | 1.320.520 | 1.240.742 |
| Ilirika Kesh Fond | 2.568.023 | 2.580.920 | 3.278.401 | 5.644.278 | 3.924.830 |
| Inovo Status Akcii | 910.725 | 978.066 | 1.025.269 | 1.048.074 | 995.886 |
| **Total** | **58.649.724** | **87.646.900** | **102.814.982** | **140.323.117** | **145.048.733** |

Source: Securities and Exchange Commission (SEC)

## 5. OPERATION INDICATORS OF OPEN-END INVESTMENT FUNDS IN THE REPUBLIC OF NORTH MACEDONIA

Open-end investment funds are new institutions on the financial market in North Macedonia, but from their inception until now, they have shown a fairly rapid growth. According to the Financial Stability

[3] All values expressed in EUR are determined according to the average exchange rate of the NBRNM, on the last day of the year for which the data are presented in the table.

Report for the Republic of North Macedonia for the last five years, we can see a continuous increase in their share in the overall structure of the financial system (NBRNM, 2020), Table 3 - Structure of total assets in the financial system of North Macedonia.

According to the data in the table, the period between 2015 and 2019, saw a continuous increase in the investment fund's share of the total assets, ie from 1.8% to 2.3%.

Table 3 - Structure of total assets in the financial system of North Macedonia[4]

| Financial Institutions | Total assets in EUR | | | | |
|---|---|---|---|---|---|
| | 2015 | 2016 | 2017 | 2018 | 2019 |
| Banks | 6.878.319.076 | 7.232.780.102 | 7.513.201.183 | 8.187.153.427 | 8.944.679.730 |
| Pension Funds | 662.427.124 | 798.195.221 | 947.118.833 | 1.072.298.561 | 1.262.409.410 |
| Insurance Companies | 285.121.934 | 300.579.689 | 325.740.315 | 347.491.666 | 389.001.652 |
| Investment Funds | 46.789.740 | 58.944.848 | 87.850.683 | 103.715.749 | 140.683.347 |
| Other Institutions | 140.872.510 | 144.141.624 | 178.043.184 | 207.415.237 | 252.790.897 |
| **Total** | **8.013.530.385** | **8.534.641.484** | **9.051.954.198** | **9.918.074.640** | **10.989.565.036** |

| Financial Institutions | Structure in % | | | | |
|---|---|---|---|---|---|
| | 2015 | 2016 | 2017 | 2018 | 2019 |
| Banks | 85,8 | 84,7 | 83,0 | 82,5 | 81,4 |
| Pension Funds | 8,3 | 9,4 | 10,5 | 10,8 | 11,5 |
| Insurance Companies | 3,6 | 3,5 | 3,6 | 3,5 | 3,5 |
| Investment Funds | 0,6 | 0,7 | 1,0 | 1,0 | 1,3 |
| Other Institutions | 1,8 | 1,7 | 2,0 | 2,1 | 2,3 |
| **Total** | **100,0** | **100,0** | **100,0** | **100,0** | **100,0** |

Source: National Bank of the Republic of North Macedonia (NBRNM)

### 5.1 Net assets value of open-end investment funds

One of the basic parameters of investment funds is the net assets value of the fund (NAV). NAV is calculated at the end of each trading day based on the closing market prices of the portfolio's securities, ie at the closing of the stock exchange on which they are listed and which are valid until the next day. By multiplying those prices by the quantities, ie. the number of corresponding securities in the portfolio and by adding other types of assets, the total value of the fund assets is obtained. When this value is reduced for the fund's liabilities and divided by the number of shares outstanding, the net asset value of the fund per share (NAV) is obtained. This value is also called bid or sell price and is the basic price at which it is possible to sell the share or units of the open-end investment fund.

According to the data of the Securities and Exchange Commission, shown in Table 2, the total net value of the assets of the investment funds on 31.12.2020 was 145 million euros and was 3.72% higher than the assets last year, ie 148.31% in terms of assets at the end of 2016.

In terms of the structure of total assets, the highest value of net assets shows KB Publikum - Parichen, with almost 36% of total net value. And in terms of net asset value per share, the highest is the value of Generali Brik (https://www.sec.gov.mk/AnalitikaFondovi), shown in Table 4 - Net asset value of open-end investment funds.

[4] The category of other institutions, presented collectively in the table, includes all other institutions with a share of less than 0.5%, such as: saving houses, leasing companies, financial companies, brokerage companies, etc.

Table 4 - Net asset value of open-end investment funds

| Investment Fund | Net asset value in EUR on 31.12.2020 | Participation in total assets % | Net asset value per share in EUR |
|---|---|---|---|
| Grave Global | 573.489 | 0,40% | 0,88 |
| VFP 100% Bond | 5.594.149 | 3,86% | 1,17 |
| VFP Dividenda | 0 | 0,00% | 0,57 |
| VFP Kesh Depozit | 9.863.918 | 6,80% | 2,50 |
| VFP Premium Invest | 22.746.094 | 15,68% | 1,85 |
| KB Publikum - Balansiran | 7.570.449 | 5,22% | 2,78 |
| KB Publikum - Parichen | 52.025.861 | 35,87% | 2,51 |
| KB Publikum - MBI 10 | 10.814.382 | 7,46% | 2,10 |
| KB Publikum - Obvrznici | 3.108.966 | 2,14% | 1,99 |
| Generali BRIK | 836.753 | 0,58% | 19,55 |
| Generali Kesh Depozit | 19.303.163 | 13,31% | 2,22 |
| Generali Nova EU | 372.195 | 0,26% | 1,95 |
| Generali Top Brendovi | 4.504.751 | 3,11% | 1,81 |
| Ilirika Global Rastechki Pazari | 1.573.105 | 1,08% | 1,88 |
| Ilirika Jugoistochna Evropa | 1.240.742 | 0,86% | 3,18 |
| Ilirika Kesh Fond | 3.924.830 | 2,71% | 1,81 |
| Inovo Status Akcii | 995.886 | 0,69% | 0,57 |
| Total | 145.048.733 | 100,00% | |

Source: Securities and Exchange Commission (SEC)

**5.2 Structure of investments of open-end investment funds**

Open-end investment funds in Macedonia differ significantly in terms of investment structure, depending on how much risk is assumed by the fund, ie how much potential return it expects or seeks to achieve. According to the investment structure, the funds invest in the domestic and foreign markets in short-term securities and deposits, investment funds, shares and various types of bonds. The structure of investments, apart from the type of property in which is invested and the geographical exposure, can also be analysed according to the sectoral and currency exposure.

According to the Quarterly Report of the Securities and Exchange Commission in 2020, in terms of types of investments (equity, bond and cash), cash funds have a dominant position with a share ranging from 59 to 67%. The share of the equity funds ranges from 28 - 32%, and the bond funds participate with about 5% in the total net value.

According to the activity in which the open-end investment funds invest, most of them are financial services - up to 23% of the total funds at the end of the year, up to 18% are in healthcare companies, non-cyclical consumption up to 13% and information technology up to 11% of the funds .

According to the geographical exposure of the investment funds, at the end of 2020, majority of the funds, ie more than 70% of the fund's total assets, were invested in the Republic of North Macedonia. About 12% of the total funds raised were invested in the member states of the European Union, while the rest of the funds were invested in the United States, Russia and other countries. This geographical structure of investments is primarily due to the policy of investing funds in deposits, which according to the Law on Investment Funds, can only be deposits in Macedonian banks.

In regards to the currency structure of investments, most of the funds are invested in denars - 58%, in euros are 30%, in dollars 9%, the rest are in other currencies, with insignificant share (Quarterly Report, 2021).

### 5.3 Return on investment in open-end investment funds

The basic and most reliable measure of the investment fund's success is the growth of the share's value ie the return of the investment fund.

Mutual funds can gain profit in three ways: on the basis of dividends and interest earned from securities in the portfolio, if the sale of a security is a profit or capital gain that usually belongs to investors, and if the value of the securities from the fund's portfolio grow, and with that to increase the value of the NAV.

Yield actually represents the difference between the purchase and sale value of shares. That is, the yield is a percentage increase in the value of the share at the end compared to the beginning of the observed period. It is usually expressed as a percentage of the purchase price of the fund's share.

The total return, in addition to the profits on all the above bases (realised), also includes the unrealised capital gains which are expressed through the growth of NAV.

The return of the individual investment funds at the end of 2020, according to the data on open-end investment fund management companies, is shown in Table 5 - Open-end investment fund's yield.

Table 5 – Open-end investment fund`s yield

| Open-end Investment Fund | 1Y | 2Y | YTD |
|---|---|---|---|
| Grave Global | 0,46 | / | 0,76 |
| VFP 100% Bond | 0,17 | 0,42 | 0,31 |
| VFP Dividenda | / | / | / |
| VFP Kesh Depozit | 0,09 | 0,10 | 0,15 |
| VFP Premium Invest | -0,03 | 0,94 | 0,42 |
| KB Publikum - Balansiran | 1,37 | 0,57 | 0,72 |
| KB Publikum - Parichen | 0,12 | 0,13 | 0,18 |
| KB Publikum - MBI 10 | 2,33 | 1,18 | 1,45 |
| KB Publikum - Obvrznici | 0,62 | 0,21 | 0,35 |
| Generali BRIK | 2,41 | -0,09 | 0,42 |
| Generali Kesh Depozit | 0,11 | 0,12 | 0,20 |
| Generali Nova EU | 1,66 | 0,14 | 0,16 |
| Generali Top Brendovi | 2,10 | 0,62 | 0,51 |
| Ilirika Global Rastechki Pazari | 0,31 | 0,33 | -0,09 |
| Ilirika Jugoistochna Evropa | 1,33 | 0,03 | 0,28 |
| Ilirika Kesh Fond | 0,10 | 0,12 | 0,19 |
| Inovo Status Akcii | 0,21 | 0,03 | 0,10 |

Source: Securities and Exchange Commission (SEC)

The companies managing the open-end investment funds have a legal obligation to publish quarterly reports of the average rate of return of the fund they manage (Sl.Vesnik na RM, 2010). The rate is calculated for the following periods: one week, one month, six months, one year, two years and five years or from the date of establishment of the fund, until the day of reporting.

Table 5 presents the basic data on the rate of return for one year (1Y), two years (2Y) and from the date of establishment (YTD). For a period of one year, the highest yield rate was achieved by Generali Brik, and KB Publikum - MBI 10, the highest rate for the period longer than one year. This is due to the quality of the instruments in which the managing companies have invested the assets of these funds.

## 6. PERSPECTIVES FOR DEVELOPMENT OF OPEN-END INVESTMENT FUNDS IN THE REPUBLIC OF NORTH MACEDONIA

The development of investment funds in each country is directly related to the development of the capital market. In order for the capital market in a country to function efficiently, it is necessary to have good regulation and supervision, as well as developed stock exchange and financial operations. It is also a condition for successful transformation into a highly developed market economy with a developed capital market.

Although they exhibit dynamic growth, investment funds in North Macedonia are still at the intitial development stage, compared to their market share in developed countries. To encourage their development, the legislation since its initial adoption, to date, has been amended several times and harmonised with the principles of the International Organisation of Securities Commissions and the legislation of the European Union.

A step forward in the development of investment funds in North Macedonia is expected with the amendments to the Law on Investment Funds, proposed at the beginning of 2021. It is believed that these changes will open opportunities for the formation of new types of investment funds, will improve transparency and efficient management of investors' funds.

The development of investment funds also depends on the development of the Macedonian Stock Exchange and the offer of attractive financial instruments that will enable optimisation of the investment fund portfolio and risk diversification.

The degree to which potential investors in North Macedonia are informed, is also a key factor for the development of investment funds. It is considered that its citizens and the corporate sector lack sufficient information about opportunities offered by investment funds. The banking sector, having gained people's trust through traditional saving habits, still plays a dominant role in the capital market.

It is important to note that in North Macedonia, despite underdeveloped investment activities, a great deal has been done in recent years and significant steps have been taken to alleviate the administrative barriers that exist to enter the capital market. There is a significant improvement of the entire legislation, high level digitalisation in all sectors of the economy, good regulation of the financial sector, introduction of fiscal incentives and of course regular updates from the government and other organisational bodies. This should have a positive effect in strengthening the capital market in North Macedonia and greater affirmation of investment funds.

## 7. CONCLUSION

Investment funds are relatively young participants in the Macedonian capital market, but they are of vital importance to our economy because they raise the financial sector to a higher level and encourage different ways of saving. There are several reasons why investors would invest in mutual funds: the possibility of portfolio diversification thus minimising investment risk; professional securities management; lower costs for services and the relatively high level of investment security provided by the regulation and supervision of this segment of the capital market.

Currently in North Macedonia there are only open-end investment funds, but with constant improvement to legislation and alignment with EU directives, the development of other types of investment funds is expected including an improvement of the overall infrastructure of the capital market.

Open-end investment funds are still a small segment of the financial system of North Macedonia with a share of 1.3%, although the analysis indicates a continuous growth trend in recent years, which is expected to continue in the future. In support of this conclusion, is the significant increase in the net asset value of open-end investment funds by 147.31% at the end of 2020, compared to the value in 2016. These are important indicators of the rapid market development in RNM, especially given the fact that it is a small and underdeveloped capital market.

The Securities and Exchange Commission's data for the period ending 2020 indicates that in North Macedonia, the largest investments are made in cash funds, and most of the investment funds' assets are bank deposits, of which more than 70% are in the Republic North Macedonia. However, the most important measure of an investment fund's success is the return on investment. The latest official data indicates that in North Macedonia, the return on investment is at an all-time high.

Despite the fact that investment funds are still at their initial stage of development, regulation surrounding them is constantly improving; the supply of securities is being enriched and the level of awareness among potential investors is on the rise. This should ensure further growth and development of investment funds and the capital market while being a step closer to European and global markets.

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# Investment In Product Innovation - A Driver For Business Growth And Resilience

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**Abstract:** This paper examines innovation and its effects on organizations, with a focus on product innovation and aims to advance the understanding in the related innovation implications. In the current highly competitive environment, with product life's cycles getting shorter, firms need to turn to innovation as means to survive and grow. Investment in innovation is recognized as a source of profitability for the firm and the means to create a competitive advantage and achieve sustainable growth. However, Investment decisions for innovation and product development are complicated as the failure rates for such efforts are high and the resources constrained. In respect of these restraints the firm should continuously engage in investment and divestment decisions, which are necessary for the firm to effectively allocate its resources and become flexible to improve its innovation activities. This should be done with a focus on the long-term results of the company and quality reporting, with valuable accounting information can help to this direction.

Through literature review, we additionally investigate the current main drivers for innovation, the process of developing new products and the key characteristics that they need to embody to have a successful market reach. Innovation efforts can add a great level of complexity in the business and its management. Different parts of the firm can have conflicting views on the innovation characteristics so, a clear strategy to manage the innovation process is necessary to direct them. The firm needs to evaluate the environment and its capabilities to find the strategic approach that will be the most suitable for its needs.

Overall, the importance of innovation is evident in the literature and essential for the economic growth and survival of the firm. However, there are many issues with the development process ,the successful market launch and the management of innovation activities with the firm having to evaluate many different factors in order for its innovative activities to be successful.

**Key Words:** Innovation, Innovation Investments, Innovation drivers, New product Development

## 1. Drivers for product innovation

In the current highly competitive environment, firms that strive to be successful, turn to innovation, as they attempt to meet the changing demands of their customers. In the literature one can find a wide range of determinants that drive innovation. There are "positive" factors such as market demand (changes in customer needs), advances in knowledge, development of new technologies, market opportunities, the entity's search for improvement (Mendoza-Silva, 2020) and "negative factors" such as decline in sales volumes and profits, intense local and international competition, or drastic environmental changes (Pradhan et al 2020).

Governments and countries also play an important role to innovation (Sossa et al, 2021). Public funding is needed to support R&D funding of private firms. According to OECD (2015) innovation supports the growth of all economies, with innovation being responsible for up to 50% of total GDP growth, depending on the country. This growth is derived from different aspects of innovation including a) Investment and innovation in processes that are internal to the firm b) product innovation and c) the effect of creative destruction, when new firms enter the market taking the place of ineffective ones (Kogan et al, 2020).

Oslo manual (OECD/EU, 2018), which issues guidelines for reporting on innovation, distinguishes two broad types of innovation, while identifying more sub-categories. 1)Product innovation that changes the

company's products and 2) Business process innovation that alters a process of the firm. Product innovation satisfies market needs, while process innovations improve, internal capabilities and processes of the firm. These types may affect differently firm performance. Product innovation is assumed to have a positive effect on sales volumes and revenues while, process innovation effects can be more diverse, for example it could lead to cost-cutting, or it could improve product quality leading once again to product innovation (Zhang et al, 2020). In the case of services, the process and product innovation are intertwined. For both types, there is evidence to support that innovation can improve the position of the firm to the market and create value (Huang et al, 2021). Firms that are efficient in innovation are found to have a superior future operating performance, market valuation and stock returns (Hirshleifer et al., 2013)

Product innovation is recognized as a source of profitability and growth for the firm (Li et al, 2007). It can increase the market penetration for both local and foreign markets (Lentz & Mortensen, 2016). Academic research supports that innovation is a source of superior performance for the firm (D'Aveni et al., 2010) and a way to create the desired competitive advantage (Porter, 1992. Falahat et al, 2020). Without product innovation firms can fail in markets they used to be successful, exemplary is the case of KODAK that directed its innovation efforts, in improving film quality and not to the development of digital cameras which proved to be the customer trend, out of fear of cannibalizing its film products. This gradually led the firm to bankruptcy. Therefore, product development with a strong focus on customer needs, is important for survival and renewal of the firm (Zhou et al, 2020)

The customers' demand for product variety is also a key driver, to turn management to product innovation (Li, 2021). Theories for product variety, have been developed in various aspects of economics, management, and marketing. In the neoclassical economics view of customer choice, people are rational in making choices, they identify the product characteristics they value in accordance with their price, they focus on maximizing utility. When given the choice among similar products, it is assumed that the customer would consume all the products available for a certain range of prices. However, these views do not take into consideration product positioning, or design. From the marketing point of view, each consumer has their own preference for product specifications, so an increased variety is needed to fulfill that need. Marketers find that consumers may change their preferred product to a similar one simply to fill their need for variety (Gourville and Soman 2005). However, product variety can have negative effects as well, it can increase costs and consumer confusion. Supply chain management, preferer a smaller range as variety can create inefficiency in supply chains and reducing in economies of scale (Wan & Sanders, 2017).

## 1.1 Current need for innovation

It has been suggested that innovation happens as a response to economic downturns as, it can generate resilience and economic development (Nah and Siau, 2020). Specifically, product innovation has been identified as the most important to improve company performance (Hernandez et al, 2009). Crises caused form wars, natural disasters or pandemics like COVID-19 are shocks that disrupt normal economic activity, rising uncertainty and reducing available resources. The current pandemic and the ongoing quarantines that governments have used worldwide, have resulted in business closure, rise in unemployment rates, with the first estimations for GDP in Euro areas showing a decrease by 6.8% compared to 2019 (Eurostat,2021). Although governments have developed schemes to assist firm survival, these seem insufficient and companies need to turn to innovation, to alter their offering in accordance to the needs of the customer during the pandemic. Video conference innovation for example has seen a boost during this period, as it has responded directly to the drastically changed customer needs. Innovation can be a source of survival in such events, even with the optimization of the production processes with the use of Internet and communication platforms that can be very helpful in this direction(Caballero-Morales, 2021).

In these cases of economic distress, contrary to the normal product development we assume that the environment resources are restrained, so the product development has the following characteristics (Liu et al 2020). 1) Innovation process uses resources economically to create a more affordable products 2) Supply of resources focuses on easily available and of lower cost ones 3) a better fit between price and

performance is pursued to reduce production costs 4) Products are designed to be marketed to lower income customers.

## 2. Products and innovation

The efforts for new products require a previously designed Innovation Strategy. It is vital for the firm to have a constant flow of new products that must be resilient for the firm to survive (Ortiz-Villajos & Sotoga,2018). The need for product innovation and product differentiation is also evident from the product life cycle concept, according to which every product will reach a decline stage when sales drop.

New products can be radically new (involving new technologic developments), or they could be an expansion to an existing product with the alteration of certain features (line extension), with changes in quality, in its design or its marketing. A new product could be new either to the company or to the customer. New product developments could simple be a differentiation in the price, features, channels of distribution, after sales service or a re-launch of an existing product.

The process of launching new products is time and resource consuming while on the same time involves high risks and failure rates. According to Clayton Cristensen every year 30.000 new products are launched and 95% of them fail (HBR, 2011). Nielsen statistics presents that 80-85% of new CPG products fail (Nielsen, 2018). Consultant Jack Trout has found that American families, on average, repeatedly buy the same 150 items, which constitute as much as 85% of their household needs; making it hard for new products to be successful (KPMG, 2019). Other empirical studies show that new product failure rates much lower and varying among industries between 35%-48% (Webb, 2016), in any case the conveying message is that new product development success is not an easy task.

Dozens of ideas for new products need to be developed to result in one successful new product. During this process of evaluating new ideas, most of them will be rejected by the firm, to ultimately decide on the products most likely to be successful and for which the expected earnings will exceed the involved development costs.

Every Year producers overwhelm their customers with thousands of new products, putting them under stress, with the paradox of choice taking effect, according to which more options make choices harder, and the choices taken, create less satisfaction. Johnson and Fornel claim that the more experienced the consumer is on a certain product type the less difference in his expectations and the actual product qualities, so the company should easier satisfy the targeted market. Reality shows, that this is not always true as great number of the offered products fail. Causes of the failure vary. Often new products fail to meet customer needs-the new developed product might even have better features from the existing products, but their price is too high, or the established competitors might take aggressive counter actions (Kim & Lee, 2020). The expected market demand may never happen (Cheng et.al 2010), or the information on which the innovation was based could be faulty.

Even when the innovation leads to a successful product marketwise and gives to the company a competitive advantage, it still might not lead to an improved performance for the firm as the value is appropriated by firm stakeholders (MacDonald and Ryall,2004). There are studies that identify a negative relationship between innovation and performance (Thornhill,2006).

## 3.Accounting for Innovation

Accounting information is an important tool for managers of innovative companies, it is used in resource planning and in the evaluation of innovative activities. Research claims that when the firm produces high quality accounting information, this will have a positive impact on the company's innovation performance outcome (Latifah ,er al 2021)

To understand the benefits and the motivation of the firm to innovate it is necessary to measure the costs involved and the output of the innovation. The innovation efforts of an institution are often evident in their R&D efforts.

The relationship between firm performance and R&D intensity is a subject of research with many challenges and inconclusive results. There is research showing both positive (Gunday et al. 2011) and a negative (Knecht, 2013) relationship. Research shows that firms that invest in R&D have higher growth rates, productivity, and profits (Manogna & Mishra 2020). We can find that leading companies have large R&D accounts; for example, Amazon only in 2017 spent $22,6b to develop new technologies, or Phizer during 2020 expended $9.4b in R&D increasing by $1b, compared to 2019 mainly due to development of COVID-19 vaccine.

The account R&D expenditures is the most used and available measure for innovation. However, there are issues arising with its usage, as the ways that R&D is reported and more broadly the choices of financial reporting can have an impact on innovation. Often, to the difficulties in financial reporting of innovative firms, they are likely to be of lower quality (Lobo et al,2017)

First there is the suggested lag effect, R&D may not influence company performance on the same year. Since the benefits of innovation are often uncertain, accounting standards require all R&D to be expensed at the time they occur and not to be capitalized. Such a reporting that highlights past and current performance may create barriers for innovation (Baranchuk et al.2014).

Not capitalizing R&D expenses could have an impact on the ROA (return on assets) and ROIC (return on invested capital),as total assets will not include the total amount invested in them. Both IFRS and GAAP require R&D to be expensed on the time of occurrence, however with IFRS if the firm can prove that the development will become viable and will generate revenue, then the involved costs can be capitalized, and some R&D expenses can be reported on the balance sheet instead of the P&L. However, R&D budgets can be very different from year to year and this effect will be evident in net income making more difficult to calculate the outcome of the innovation efforts, this could feed misleading information to management for decision making and to external investors (Breuer et al, 2020).

With this expensing approach that focuses on short term results, the “Management myopia” takes effect, as managers with the pressure of counterparts and capital markets to achieve performance targets, they inflate earnings by cutting expenditures such as R&D, not investing in the long-term firm value with innovation (Fu et al 2020, Huang et al, 2021)). Kraft et al 2018 find that US listed firms decrease investments, following a reporting frequency increase. Mizic and Jacobson HBR,2007, have found that firms that did such expense adjustments for the appearance of improved prospects they ended up losing profits in the long term, with their market value to fall even to more than 20% after four years

On the other hand, even the attempt to capitalize R&D expenses would be challenging as we need to estimate the life span of the new product, to use it for amortization. R&D in most cases are investments that expand in more than one year and can influence revenues for many years. Not capitalizing them also seems to differ from one of the accounting principles, that is the matching principle, which requires companies to use the accrual basis of accounting, where expenses need to be matched with revenues.

Another issue arises, if the adopted reporting involves disclosures, this will also create difficulties in measuring and may prohibit external financing, harshening innovation activities. In this case comparability becomes more difficult (Roychowdhury et al, 2019). Studies document a positive relationship between accounting comparability and innovation efficiency (Chircopet al. ,2020). This seems to happen because accounting comparability with competitors from the same industry facilitates a learning process from those firm’s investments when they are successful innovators. Although this may also increase chances of information leakages to competitors.

## 4. Investment –Divestment relationship for innovation

Economic theory has stressed the importance of investments and innovation in growth. To achieve growth, companies need to invest in innovation to expand into new markets and customers (Carbonni & Medda,2021). Investment decisions in regard of the developing and launching new products are essential for the firm to survive (Schumpeter, 1942) However, Investment decisions are difficult due to their uncertainty, with the main barriers being the financing and knowhow involved.

Any new development requires investments in technology, know-how, employees, capital equipment, R&D which are necessary for the new production activities. However, the resources of the firm are not infinite, innovation processes compete with other parts of the business for the same financial resources (Szutowski, 2019). To deal with this, companies should evaluate their developments, products and other innovative activities and engage in divestments of those that are unnecessary, or do not yield the expected results, to free up funds and allocate them in more promising innovative activities (Carnes et al 2017).

Divesting, even though it has been seen as a negative thing, since it is often connected with survival plans, it is an opportunity for the firm to reevaluate its activities and remain flexible, respond to market changes, and allocate their resources in an efficient way (Kim et al, 2021). To do so they should continuously engage investment and divestment decisions, the one is needed for the other to happen and is necessary for the innovative efforts of the firm. To improve innovation performance divesting is equally important to investing for example in technological assets (Kim et al, 2021).

Divestments happen for various reasons and they lead to business restructures. The firm might have diversified in a way that is costly to the firm. Haynes et al (2003), claims divestment to be the way for the company to return to an optimal level of diversification. Another reason is that the firm might have invested in a new product that has failed, so divestment should follow. Divestment is also a choice for declining markets where future profits are uncertain (Silva & Moreira, 2019).

When deciding on a divesture the firm should evaluate if the involved investments are essential for the positioning of the firm, so not to damage its branding and whether they should have more value for other companies in order to get the most value by selling them.

## 5.Designing new products

Designing the innovation process of the production will gradually acquire a certain autonomy. The company's ability to innovate, requires an innovation system which is a set of intertwined processes that guide the innovation activities and gradually develops an innovative culture (Dziallas, Bliand 2019). Production planning will not be adequate if it does not involve innovation planning. However, even if the firm has a stock of innovations planned for production this does not necessarily mean that these innovations can be put into production straight forward.

The process of designing, creating, and launching a new product has three main stages:

-The choice of the ideas that will turn to products (Idea screening).

-Product Design. This will include Concept development and testing, marketing strategy development, Business analysis, product development, Test marketing.

-Market launch and Distribution

Each of these stages will take certain periods on its own respect. The more substantial and time consuming will be the design of the product and its market entry (Kootatep et al 2020).

The company's innovation as a function, will pursue the timely launch of a product with high quality, on the least possible manufacturing and marketing costs in accordance to the target market. The whole new product development project should focus on the market (Cooper, 2019)

The desired traits of the innovation process and products are identified and accounted for during the designing stage, when a study for the product innovation is developed from the inception to the market distribution. Until though the innovation is considered successful by creating profits, increasing sales volumes and market penetration, the company to evaluate management activity takes into consideration the unit cost of the developed product or the materialized designing efforts.

## 6.Design, creation, and market launch of the new product

The process of product innovation could be viewed as structured in two parts "motivation for product innovation" and "the production of the new product". The motivational part is not directly translated to innovation management but: First, to processes which include – market research to discover the target market and the shift of customer demand, analyzing the competition and the market segmentation. Second, designing the ideas for new products, in accordance with the market trends. Third forming the criteria to evaluate the achieved results from the market's point of view (Salmen, 2021).

While creating a new product Marketing, production and supply chain management have conflicting views in product development and especially in respect to an extended product line. Of paramount importance is, how they can better coordinate those decisions. Understanding the cost and value of the suggested product developments is of paramount importance. The innovation needs to be managed in accordance with the innovation strategy.

## 7. Success factors of new products and innovation

The majority of great ideas and technological invention does not make it to successful products. This "innovation paradox" is frustrating for everyone involved. For example, in pharmaceutical industry the current estimate is that less than 10% for those that reach the startup stage are turned into a product (Cunningham S. ,2020)

Researchers have identified five factors that effect on the success of the new product. These determinants are:1) product superiority 2) Integration 3)Complexity 4)Easiness to test 5)Replenishability

1) Product superiority. The company needs to answer the question; Does the new product has advantages over existing similar products, and does it satisfy better the targeted customers need? The product must differentiate from the competition at least in one feature (Cooper ,2019)

2) Integration. With the term we mean the level that the new product preserves the qualities and the customers' experience on using the product. The new product should fit the brand and its values .For example while software changes continuously and the level of complexity in usage increases, the end user can adapt his acquired experience from previous versions.

3) Complexity. The degree of difficulty in understanding and using the novelty from the consumer. For example, microwave ovens are continuously incorporating new technologies, but the simplicity of usage helps for market spread.

4) Easy to test. The new product will have a better chance at success if the customer can try it, to understand the benefits that the product has to offer. Many methods are used to achieve that, such as presenting prototypes or offering free samples at the beauty and FMCGs.

5)Replenishability. The ability to replace parts of the product. It reduces the consumer skepticism . ex The replacement of car seat covers or of household appliances

## 8.Innovation and new product development Strategies

Innovation processes can add a great level of complexity in their management. Therefore developing strategies is a necessity for the firm to effectively use its resources. Developing a strategy will help the firm in many ways; to better identify the targeted market and its needs, to define of the product and its features so that it will make a better fit in its market and to help in avoiding unnecessary costs in development. For the company to choose as strategy, management should account for the environment and the market attractiveness: the size of the market, its growth rate, the competitors in the market, the margins and pricing trends (Garcia-Manjon, 2020).

Without a clear innovation strategy, the innovation process can become very confusing, since different parts of the organization can have conflicting views and priorities. R&D may choose to focus into new technologies as the driver for the innovation, sales may want to focus on targeting large clients needs, marketing might identify opportunities in a specific market niche, CEOs might focus on their specific

targets in P&L. All of them need to be aligned by the strategy for innovation. This should provide guidance by clearly defining the goals of the project up to the point of the expected return on investment.

The innovation approach for strategy of the firm can be proactive or reactive. A proactive approach involves a commitment in investing in R&D, so that the firm can be ahead of its competition in developing new products, however this involves higher costs. A reactive approach, is more defensive of its existing products and their differentiation stems from responding to the competition and market changes.

Strategies for developing new products include:

- -Investment in R&D. In 2019 investments worldwide in R&D were $2,3 trillion (Mc Kinsey, 2020), around 2% of world GDP. Firms expect to develop a radical new technology product to stay ahead of competition and capture markets.
- -Outsourcing product development. This can have benefits such as reduced costs and time frames. On many occasions the firm might not have developed the important parts of R&D to develop the wanted products, so they choose to outsource them. Again, there are involved risks for example the interaction between the managing team and the designing team they might have communicating problems to clearly convey the message of the goals. (Doran et al., 2020)
- -Alliances. Cooperation between competitors is an increasingly discussed strategy (Yami and Nemeh, 2014). Firms can pool resources without taking the full risk of developing a new product . The joining companies need to agree upon a set of rules of behavior, obligations and benefits, co covey trust and work closely to the common goal. A typical example are companies in automotive industry. However, differences in the culture and capabilities of the joining company can create issues as well as the decision making process can become more complicated.
- M&As. A firm can acquire new products, customers, and technology. However there are many issues that can arise which has led many M&As to failure These include difficulties in Integrating due to incompatibility or overpaying for the acquired firm. Companies increasingly use M&As to get the disruptive innovation growth opportunities. In 2012 globally companies spent $78 billion in M&A deals in 2016 this rose to $291 billion. Large corporations in the fear of staying behind acquire smaller firms with promising technologies or products( Li and Wang, 2020).
- «Second but better». The product enters the market later from competition but with improved characteristics. This could even lead to disruptive innovations since the new products offered could be less complex and offer more convenience at a lower cost (Gobble, 2016).
- Crowdsourcing. An approach with increasing interest over the last decade. The idea is to open the process of innovation to everyone instead of relying to experts. Research has found that this approach can lead to faster and more efficient problem solving (Acar et al 2020). The vast majority of the literature focuses on crowdsourcing for the idea development of new products. This approach helps to engage customers, get instant reactions for customer satisfaction at an early stage (Vignieri, 2021).
- Blue ocean strategy. Theory of innovation by Kim and Mauborgne(2005) where there are opportunities in every market to move away from intense competition by creating a new market space and focus on the customer needs of that niche (Yunus et al., 2021).
- Imitation. Copying products of competitors. Products are usually of lower quality and at lower prices. To be successful with this approach, firms need to actively look for ideas that can generate revenues and for those ideas that the firm has the capabilities to produce a cheaper product (Wang &Chen, 2020)

## 9. Innovation and irrational product variety.

It is a trend over several years, especially in the food industry, for companies to innovate by diversifying products that are traditional to the country. Product characteristics that are unconventional to those products are incorporated into them. Marketeers turn to this type of "modernization" of products to increase the market share in modern food products retailing in less developed markets such as in Bulgaria. Food industries alter traditional products such as yogurt, cheese, butter by replacing milk with plant-based fats.

Market segmentation is a helpful tool in dealing with "imitator" products. The brand has to take a certain position in the customers' mind regarding the specific quality and characteristics that tis products resemble to separate from competition. Imitation products could be seen as misleading when the customer assumes that the product has the traditional approach.

This approach of altering and assuming the positioning of a certain product is related to market launching modified products in existing markets. Brands promote these 'new products' in an attempt to expand the market for this type of product. In many cases they target a market share that is more sensitive in lower prices. For example

## 10. Conclusion

The aim of this paper is to examine the innovation processes of the firm and especially product innovation and understand the drivers behind it, the processes and the risks involved. We find that companies turn to innovation to meet the changing needs of their customers, survive, and grow. The company needs to continuously invest in such efforts while also divests from unsuccessful or unnecessary developments to remain flexible. Investments in innovation can produce a competitive advantage and profits for the company, however innovation investments have high risks and failure rates , so the firm need to focus its efforts with a strategy that is appropriate for its environment, target market and capabilities.

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# Leadership and Ethics. A Systemic Approach of the Leadership Phenomenon in the Management of Changes

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**Abstract:** The objective of this study is to examine the question of leadership and the leader in the light of its ethical dimension in the field of the management of changes, which take place in the Organizations as a necessary condition of their adaptation to the modern socioeconomic developments. The ethical political philosophy of Aristotle ("Rhetoric" and "Nicomachean Ethics"), which is orientated towards connecting leadership, as a political guiding art and power which aims at happiness (eudaimonia), with rhetoric, as an art of persuasion, is the main theoretical background which leads the research to the systemic approach of the leadership phenomenon and the analysis of characteristics which compose the personality of the leader. Leadership as power and influence focuses on the personality of the leader, the Aristotelian "orator", who knows the art and theory of "rhetorics", ethics, politics, and education, that is a fundamental methodological tool to achieve change. The orator, through his skill of persuasion (logical and psychological) and his ethical, mental and stylistic virtues, wins the reliability and trust of people and in combination with his knowledge of human passions and the characteristics of people also wins their commitment, "heart" and "mind". The orator through his political thought and action is, according to Aristotle, a modulator and regulator of the rules of civic virtue which aim at the common welfare and at what is useful and beneficial for the community.

Leadership means change and based on the methodological approach of changes and their management, when examining the Organizations as open dynamic systems which are subject to changes due to their need to adapt to the socioeconomic developments, the dynamic relation between the power of politics, the socioeconomic changes, knowledge, and learning emerges. The change of culture is a basic condition in order to comprehend the logic of change, and the work of leadership is to form a mature environment for its accomplishment through the multilevel, analytical thought, perception and interpretation of the progress and the individuality of the spirit of the leader, skills that remind us of the Aristotelian orator.

The purpose of this study is to highlight how the ethical political philosophy of the Aristotelian Orator has contributed to the way of thinking and the actions of the modern leader based on the dynamic relation of his power and influence and the power of advancements.

For the study, primary and secondary sources have been used in comparative analysis and the concepts under examination were analyzed in the framework of reflective reasoning following a methodological, systemic approach.

**Keywords:** Leadership, ethics, Aristotle, orator, management of changes

## 1. INTRODUCTION

This study examines the question of leadership and the leader in the light of its ethical dimension in the field of management of changes which take place in the Organizations as a necessary condition for their adaptation to the modern, global socioeconomic developments. The ethical political philosophy of Aristotle, as depicted in the two works of the ancient Greek philosopher, the "Rhetoric" and the "Nicomachean Ethics", is orientated towards connecting leadership, as a political guiding art and power which aims at “eudaimonia” (happiness), with rhetoric, as an art of persuasion. Thus, it constitutes the theoretical background which leads research to the systemic approach of the leadership phenomenon and the analysis of characteristics which compose the personality of the leader. Leadership as an expression of power and influence, focuses on the personality of the leader, who, as an Aristotelian "Orator", is asked to modulate and regulate rules of civic virtue using his political thought and action, in a constantly evolving and developing environment, an environment that is constantly changing. On the basis of the power of socioeconomic developments and the power of knowledge and learning to change the culture, seen as the basic condition of management and ethical control of changes, the objective of

this study is to spot the influences of the ethical political philosophy of Aristotle and of the personality of the "Orator" in the thought, action, personality and power of the modern leader and highlight their timeless contribution.

Following this direction, the first part introduces the theoretical ethical philosophical approach of the matter, in accordance with which the dominant position of the political leader in the society and the political action, as a power of influence towards the ultimate good, the “eudaimonia” (happiness) of all mankind, is embodied in the Aristotelian "Orator". Based on the power and the influence of the leader, the second part attempts a systemic approach of the leadership phenomenon with a view to highlight the traits that contribute to achieving its results in a dynamic and constantly changing environment and to examine their interconnection with the corresponding results of the ethical Aristotelian reflection. In the third part, the dynamic of the socioeconomic reformations in the understanding of the logic of changes directs the study to the systemic methodological approach of their management, particularly to the systemic thought and perception of the leader for their accomplishment, this way leading to the conclusions of the study.

## 2. LEADERSHIP AND ETHICS

### 2.1. The Ethical Leadership of Aristotle

The ethical political philosophy of Aristotle, as depicted in the "Nicomachean Ethics" and the "Rhetoric", addresses ethics as a science and treatment to the behavior and actions of people (Lipourlis, 2006) and in this regard "the intention of the deliberative orator is to persuade or dissuade"[1] and he shall know "about which good or evil"[2] so as to give his advice. According to the spirit of the Aristotelian ethics, leadership is a power of guiding to the right conduct through the power of influence it has, thereby making these two traits, attributes of the leader. Leadership, according to Aristotle, has a dominant position in society and the political action, since as a power of influence aims at the ultimate good, the “eudaimonia” (happiness) of all people. This “ultimate good”[3] is the subject of the political art/science, which occupies the first position in the hierarchy of arts/sciences, and according to Aristotle "sets the rules of what we shall and what we shall not do, the end... that should be the good for the man"[4]. And as long as "what this art/science mostly ensures is giving citizens a certain quality: make them good and capable of making good actions"[5], this direction plausibly connects leadership, as a political - guiding art, with rhetoric, as an art of influence.

According to Aristotle, the practice of the ethical political leadership focuses on:

- the character of the leader - politician, who, according to Triantari (2020), shall be "thinking and acting as a wise legislator, thus creating virtuous political circumstances"[6] , defending with prudence and fairness - basic Aristotelian virtues (Aristotle, Rhetoric A΄, 1366b) -, the legal goods of the citizen and the people (Aristotle, Rhetoric A΄, 1368b),
- his knowledge and regular training on the city issues (Aristotle, Rhetoric A΄, chap. 4, 1359b, 1360a) (knowledge on every issue, experience, information), in order to be able to negotiate a common

[1] True translation of the original text : «το έργο του συμβουλευτικού ρήτορα είναι η προτροπή ή η αποτροπή», Αριστοτέλης, Ρητορική Α’, 1358b.

[2] True translation of the original text: «περί ποία αγαθά ή κακά», Αριστοτέλης, Ρητορική Α΄, Κεφ..4, 1359b

[3] True translation of the original text: «υπέρτατο αγαθό», Αριστοτέλης, Ηθικά Νικομάχεια, Α΄, 1094b.

[4] True translation of the original text: «ορίζει με τους νόμους της τί πρέπει να κάνουμε και τί όχι, το τέλος, … το οποίο θα πρέπει να είναι το αγαθό για τον άνθρωπο», Αριστοτέλης, Ηθικά Νικομάχεια, Α΄, 1094b

[5]True translation of the original text: «αυτό για το οποίο κυρίως φροντίζει αυτή η τέχνη/επιστήμη είναι το να προσδώσει μια συγκεκριμένη ποιότητα στους πολίτες: να τους κάνει καλούς και ικανούς να πράττουν ωραίες πράξεις», Αριστοτέλης, Ηθικά Νικομάχεια Α΄, 1100a.

[6] True translation of the original text: «…οφείλει να σκέφτεται και να πράττει ως φρόνιμος νομοθέτης δημιουργώντας μία ενάρετη πολιτική συνθήκη», Τριαντάρη Σ., 2020:71

agreement, in the framework of a code of moral values, a balance between the personal good and the common good, the “eudaimonia” (happiness) of all people, as the moral end result (Aristotle, Nicomachean Ethics A΄, Chap. 4),

- his virtuous behavior and the quality of his character, on his ethos, the turning unifying point between the logical and psychological persuasion (Aristotle, Rhetoric A΄, 1356a),
- his knowledge on the human psyche in relation to the passions, the addictions, the ages and the fates (Aristotle, Rhetoric B΄,1377b-1391b), in order to be able to bring people to a certain state using prudence and good spirits by projecting himself as a person who has certain qualities, which are of great importance for persuasion (Aristotle, Rhetoric B΄, 1377b),
- his experience, in order to be able to influence the choices and actions of people through his attitude and his personality (Aristotle, Rhetoric A΄, Chap. 8, 1366),
- the knowledge of rhetorics, the ability of the logical and psychological persuasion, which is achieved, according to Aristotle "sometimes by the character of the orator, other times by the specific mood he created at the soul of the listener and other times by the proving or seemingly proving arguments that his speech consists of"[7] and
- the Art of Rhetoric, which, according to Aristotle "is a combination of the analytical science and the political science that relates to the ethical issues"[8].

In the ethical work of Aristotle, the "Nicomachean Ethics", the ethical teaching of the ancient Greek philosopher reaches its main point, the definition of “eudaimonia” (happiness) as the perfect virtue: "eudaimonia is a principle; it is for its sake that we all do what we do... eudaimonia is the activity of the soul, in accordance with the perfect virtue"[9]. Thus, “eudaimonia” (happiness) is an activity and not a state, an activity of the human soul in accordance with the rules of the perfect virtue, the end and the perfection in every aspect and politics is a practical science, based on the personality of the political orator and his power of influence towards the reassurance of unity and harmony.

**2.2. The Aristotelian Orator**

The "Rhetoric", according to Triantari (2020), is a future-proof, structured handbook which refers to the multifaceted, spiritual, and ethical, education and culture of the orator, so that «he can lead his people, as an ethical and spiritual leader and act as a compass of personal and social change”[10]. The "Rhetoric" analyses, in a theoretical and practical level, the art of rhetoric, the use of the language and the techniques of the verbal style, the formation of arguments to achieve the logical persuasion and more generally the persuasive ethical rhetoric speech, which rises from the character and the personality of the orator, the mood he chooses to provoke and the knowledge of forming logical arguments.

The Aristotelian Orator

- has the four ancient Greek virtues: “wisdom”, “prudence”, “justice” and “courage”[11]and the abilities of self-awareness, self-control of his feelings and his thoughts as well as self-management and regulation of his desires, choices, and actions.

[7]True translation of the original text: «άλλοτε μέσω του χαρακτήρα του ρήτορα, άλλοτε μέσω της συγκεκριμένης διάθεσης που δημιουργεί στην ψυχή του ακροατή και άλλοτε με τα αποδεικτικά ή φαινομενικά αποδεικτικά επιχειρήματα που περιέχει ο λόγος του", Αριστοτέλης, Ρητορική Α΄, 1356a.

[8] True translation of the original text: «είναι ένας συνδυασμός της αναλυτικής επιστήμης και της σχετικής με τα ηθικά θέματα πολιτικής επιστήμης", Αριστοτέλης, Ρητορική Α΄, 1359b.

[9] True translation of the original text: «η ευδαιμονία είναι αρχή˙ για χάρη της πράγματι κάνουμε όλοι όλα τα άλλα… η ευδαιμονία εστί ψυχής ενέργεια τις κατ΄ αρετήν τελείαν», Αριστοτέλης, Ηθικά Νικομάχεια, Α΄, 1102a5.

[10] True translation of the original text: «να καθοδηγήσει το λαό του ως ηθικός και πνευματικός ηγέτης, να λειτουργήσει ως πυξίδα προσωπικής και κοινωνικής αλλαγής», Τριαντάρη Σ., 2020:325

[11]True translation of the original text: «σοφία», «φρόνηση», «δικαιοσύνη» «ανδρεία», Αριστοτέλης, Ρητορική Α΄, Κεφ. 9, 1366b, 1367a.

- By knowing the human passions, - "rage", "mildness", "friendship (=love)" and "hate (=rivalry)", "shame" and "shamelessness, "grace (=kindness, nice behavior)", "mercy", "frustration", "envy" and "jealousy"[12] as well as the ethics, namely the characters of the people in comparison with the passions, the habits[13](virtues and vices), age and fates (Aristotle, Rhetoric B', chap. 2-17), the orator has the ability to penetrate into the psychology of people, handle their feelings and through his passion and ethical, persuasive and qualitative speech, motivate and inspire them.
- He inspires the credibility and trust of people through his "ethical virtues", as "a result of ethos"[14], of his «intellectual virtues» which "owe their genesis and their increase mostly to teaching (and that is why what is needed for it is experience and time)"[15] and his «virtues of style»[16]. His intellectual virtues relate to the ethos and pathos of the orator, which, in combination with the virtues of style (hypocrisy), the tension, the harmony and the rhythm of the voice, enhance his persuasiveness by provoking the mood, passions and emotions of people (Aristotle, Rhetoric C', Chap.12 ; Triantari,2020:25-26).
- He is driven by empathy, one the most basic ethical virtues with psychological dimensions in the interpersonal relations and a basic characteristic of the modern leader, since, according to Triantari(2020:27-32,235) this is the background of persuasion, an extremely important tool of promoting communication relationships, where the power of speech meets the power of ethos and soul, of passion (Aristotle, Nicomachean Ethics B', 1104a, 1104b).

In his work "Nicomachean Ethics", Aristotle tried to define "emotional intelligence" by examining the definition of the "golden mean"[17], as an «excellent ethical virtue» concerning the moderation of the expression of passions and actions in the context of interpersonal communication. "One may feel scared or show courage, may feel desire or rage or compassion, may generally feel content or discontent, in a greater or a lesser extent, and none of these is good. But if all of these are felt at the right time, regarding the things that they should be felt for, regarding the people that they should be felt for, for the reason that they should be felt for and in the way that they should be felt, then that is in a sense, the mean and the best"[18].

The framework of the conduct of the orator and his communication skills is set in the Aristotelian model of emotional intelligence. By exercising and developing his "ethical virtues" ("prudence", "fairness", "honesty", "wisdom", "respect", "goodwill")[19] and his "intellectual virtues" ("ethos" and"

[12] True translation of the original text: «οργή», «πραότητα», «φιλία», «μίσος», «ντροπή» και «αδιαντροπιά», «χάρις», «οίκτος», «αγανάκτηση», «φθόνος» και «ζηλοτυπία», Αριστοτέλης, Ρητορική Β΄, Κεφ. 2-17

[13]True translation of the original text: "τις έξεις», Αριστοτέλης, Ρητορική Β΄, Κεφ. 12, 1389a.

[14] True translation of the original text: "η ηθική αρετή είναι αποτέλεσμα του έθους», Αριστοτέλης, Ηθικά Νικομάχεια Β΄, Κεφ.1.

[15] True translation of the original text: «Η διανοητική αρετή χρωστάει και τη γένεση και την αύξησή της κατά κύριο λόγο στη διδασκαλία (γιαυτό και εκείνο που χρειάζεται γι΄ αυτήν είναι η πείρα και ο χρόνος», Αριστοτέλης, Ηθικά Νικομάχεια Β΄, Κεφ. 1.

[16] True translation of the original text: «αρετές ύφους», Αριστοτέλης, Ρητορική Γ΄, Κεφ. 12

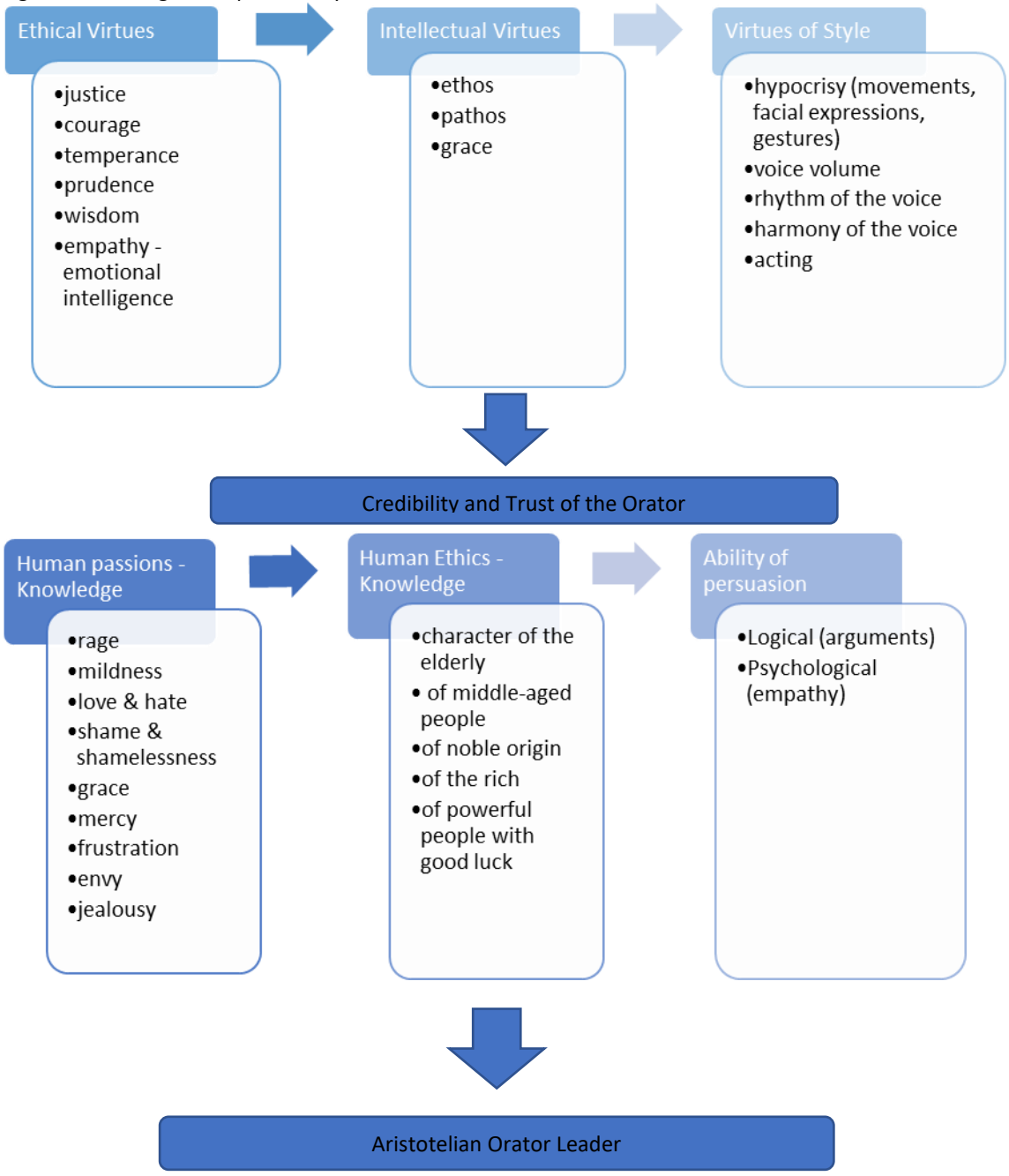
[17] True translation of the original text: «μεσότητα» ως άριστη ηθική αρετή, Αριστοτέλης, Ηθικά Νικομάχεια Β΄, 1106b.

[18]True translation of the original text: " Μπορεί κανείς να φοβηθεί ή να δείξει θάρρος, να επιθυμήσει, να οργισθεί ή να σπλαχνισθεί, γενικά να νιώσει ευχαρίστηση ή δυσαρέσκεια, και σε μεγαλύτερο και σε μικρότερο βαθμό, και ούτε το ένα ούτε το άλλο από τα δύο αυτά είναι καλό˙ να τα αισθανθεί όμως όλα αυτά τη στιγμή που πρέπει, ενσχέσει με τα πράγματα που πρέπει, ενσχέσει με τους ανθρώπους που πρέπει, για τον λόγο που πρέπει και με τον τρόπο που πρέπει, αυτό είναι, κατά κάποιον τρόπο, το μέσον και το άριστο», Αριστοτέλης, Ηθικά Νικομάχεια Β΄, 1106b.

[19] True translation of the original text: «ηθικές αρετές» («φρόνηση», «τιμιότητα», «ειλικρίνεια», «σοφία», «σεβασμός», «καλή διάθεση»), Αριστοτέλης, Ρητορική Α΄, Κεφ. 9, 1366b

pathos")(Aristotle, Nicomachean Ethics B΄), the power of these virtues is showcased in the management of the soul and the emotions and the control of the judgment of the audience.

Figure 1. Profiling of the personality of the Aristotelian Orator




Source: Aristotle "Rhetoric" and "Nicomachean Ethics"

## 3. SYSTEMIC APPROACH OF LEADERSHIP

### 3.1 Leadership, Power and Influence

Having as a theoretical background the philosophical current of the ethical leadership of Aristotle, the modern definitions for leadership and the leader focus on the power and the influence relation for the handling of changes in the modern, complex, and constantly changing environment.

Thus, according to Mpourantas (2005), leadership is change and "it could be defined as the process of influencing the thought, emotions, attitude and conduct of a large or small, typical or atypical group of people or even a people by one person (leader) in such a way, that they voluntarily, willingly and with the right cooperation do their best to meet their goals that stem from the group's mission and their ambition to achieve progress or a better future"[20]. It constitutes the most representative definition, in which two of the most fundamental traits of leadership and the leader are found. Firstly, the ability of the leader to exert influence on other people. Secondly, according to Aristotle (Nicomachean Ethichs C', chap.1), the voluntary will of people to strive for the accomplishment of goals that have to do with ambitions or ideals for progress or a better future.

Leadership, according to Mpourantas(2005:199,200), is a process that is exercised through power and influence. The meaning of power is referred, according to Weber(1980), as "the ability of a man to impose his wishes to other people by influencing their behavior through a social relationship despite their opposition"[21]. The meaning of influence refers to the change of thought, ideas, emotions, attitudes, abilities, and expectations and mostly to the conduct of a person or a group or a people through the impact of the power of another person (leader). Thus, the power (legitimate power - authority, of the knowledge and abilities - of the specialists, of information) and the influence (of the attitudes, emotions, and conduct) of people, are the means used by the leader to direct, guide and encourage to exercise leadership.

### 3.2. The Systemic Approach of Leadership

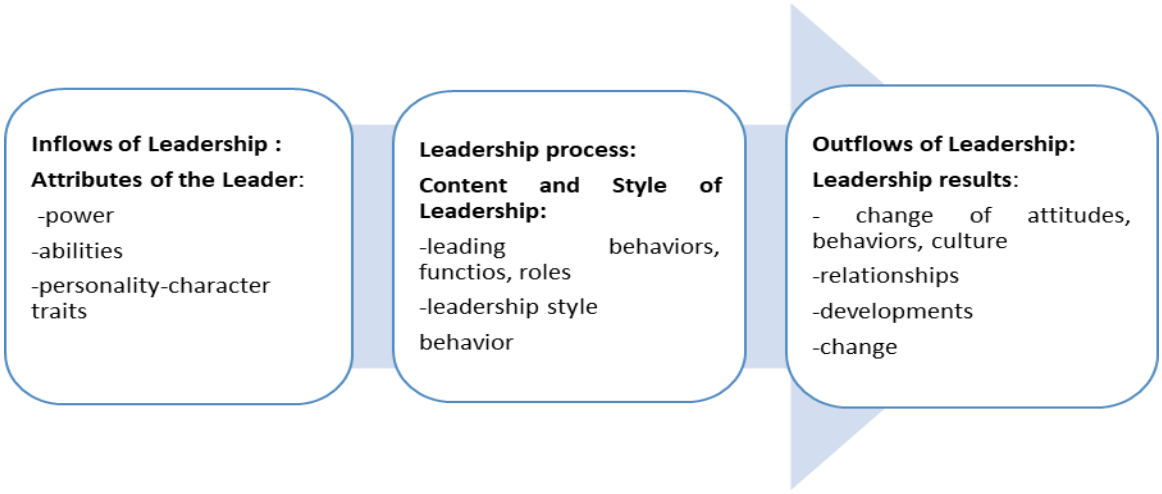
Leadership means influence and based on its systemic approach, the promotion of its fundamental aspects is pursued both in the dynamic relationship of interaction between them and the constantly changing, dynamic and complex environment of change in which it takes place. Under the systemic logic, leadership is studied and analyzed as an open system which consists of its inflows, the process, and its outflows. According to Mpourantas(2005:206),

- the inflows of leadership have to do with aspects - characteristics that the leader should have, namely the power, abilities, values and personality traits, his character.
- The process of leadership includes the leader's conduct, his actions, and roles as well as the way he exercises his leadership (style).
- The outflows of leadership refer to its results, the change of attitudes, conducts, culture, and developments.
- The environment includes the context in which the leadership is exercised (culture, nature of the work, climate, structures, opportunities, complexity, uncertainty, changes etc.).

[20] True translation of the original text: «η ηγεσία θα μπορούσε να ορισθεί ως η διαδικασία επηρεασμού της σκέψης, των συναισθημάτων, των στάσεων και των συμπεριφορών μίας μικρής ή μεγάλης, τυπικής ή άτυπης ομάδας ανθρώπων ή και ενός λαού από ένα άτομο (ηγέτη) με τέτοιο τρόπο, ώστε εθελοντικά και πρόθυμα και με την κατάλληλη συνεργασία να δίνουν τον καλύτερό τους εαυτό για να υλοποιούν αποτελεσματικά τους στόχους που απορρέουν από την αποστολή της ομάδας και τη φιλοδοξία της για πρόοδο ή ένα καλύτερο μέλλον», Μπουραντάς, Δ., 2005:199

[21] True translation of the original text: «§16 Macht bedeudet jede Chance, innerhalb einer sozialen Beziehung den eigenen Willen auch gegen Widerstreben durchzusetzen, gleichviel worauf diese Chance beruht", Weber, M.,1980:28.

Figure 2: The systemic approach of leadership

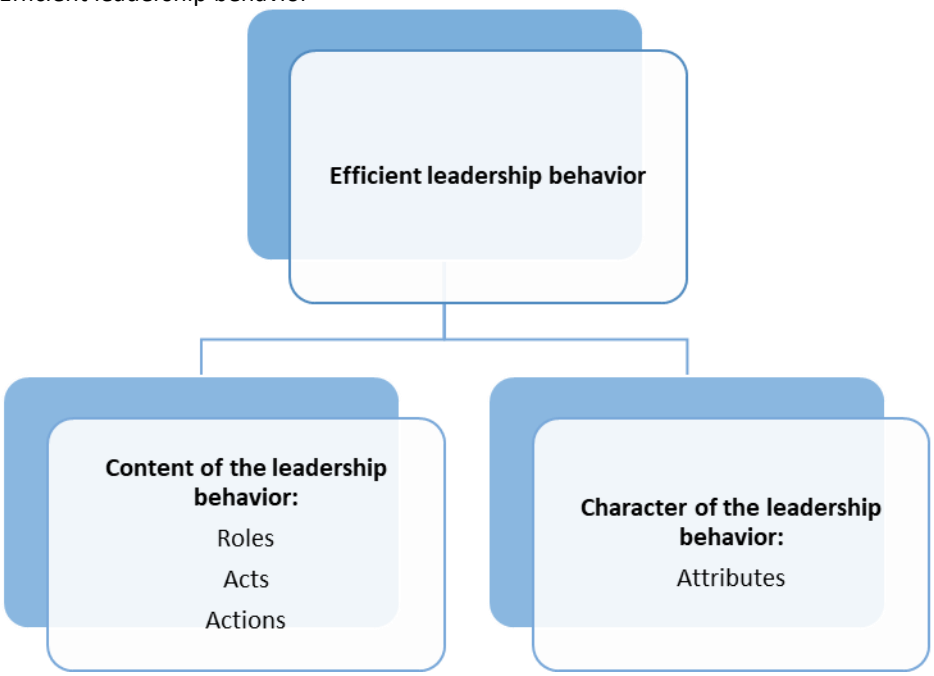



Source: Mpourantas (2005:206)

Based on the aforementioned systemic logic, the effective leadership is characterized by the achievement of the results of the leader, which is defined, according to Ulrich D. and Jenger J.(1999), as the product of the leadership behavior (content - character of the leader) and the results of the leader, "efficient leadership = leadership behavior x results" and not as their sum, thus, if one of the coefficients is zero then the product is also zero. Namely, the leader does not actually lead (Mpourantas, 2005:206).

Therefore, the achievement of the results of the leader merely depends on his leadership behavior, which is further defined by the quality of his character, the ethics of his speeches and his actions, his values and attitudes, his abilities and virtues, his personality as a whole, in order for the Aristotelian "Orator" to influence, persuade, inspire, motivate, encourage, guide, lead, challenge the status quo, bring change.

Figure 3: Efficient leadership behavior




Source: Mpourantas, 2005: 214

## 4. MANAGEMENT OF CHANGES AND LEADERSHIP

### 4.1. The Systemic Approach of the Management of Changes

"There is nothing harder than study and design, nothing more ambiguous than success and nothing more dangerous than management, administration of new institutions", states Machiavelli (1991) in his work "The Prince", attributing resistance to change "to all those who profit from the old institutions", and the tepidity to change "partly to the fear and partly to the disbelief of people, who do not truly believe in innovations, before gaining experience"[22].

Change means transition from a given situation to a new one (Mpourantas, 2005.:691; Papoulias, 2016) and its achievement requires a scientific approach, supervision and interpretation of things, the knowledge, and the political will as a process of negotiation, to the understanding of complexity and conflicts.

Figure 4: Conditions for change




Source: Papoulias, 2016

The scientific way of thinking has to do with the systemic perception of the dynamics and evolution of human systems, which, just as biological systems based on the wisdom of nature, consist of the external and internal environment(Papoulias,2016). Thus, according to the reflective logic, the business reality is evolving in a global state of complexity, conflicts, uncertainty and instability, elements that attribute to it a sense of flux "everything flows"[23]according to Heraclitus. The same reflective logic sees modern organization as a dynamic system, which goes under constant changes of its internal and external environment and, as in the natural world, a constant development takes place, a constant qualitative transformation, "the genesis and the decline" according to Aristotle (Lipourlis, 2004.:34). All these are accompanied by endless potentials and choices, making the future development of the system unpredictable. However, the system must adapt, based on the dynamic image of the natural world, attributing a sense of adaptability to it (Papoulias, 2016).

Modern organizations, as open dynamic systems, go under these constant changes of the internal and the external environment and their changes, especially in innovation, in education, in their social and intellectual capital, constitute a necessary condition of adjustment to the constantly changing socioeconomic changes (Mpourantas, 2005:174;2015:687-688), showcasing the dynamic relationship of the society and governance, the dynamic relationship of interaction between the power of politics and the socioeconomic changes with the power of knowledge and learning.

From the content of the scientific field of the Management of Changes, which consists of the scientific supervision, knowledge, concepts, theories, models and techniques (Mpourantas, 2005.:690-713), the importance of understanding the complexity and the conflicts, of understanding the logic of change (culture) is showcased as the basic condition and process of negotiation in order to comprehend the introduction and institutionalization of general strategic changes (structures, systems, processes). So, in the phrase coined by Drucker P. «culture eats strategy for breakfast»[24] (Papoulias, 2016), the

[22] True translation of the text: «…δεν υπάρχει πράγμα πιο δύσκολο από τη μελέτη και το σχεδιασμό, πιο αμφίβολο από την επιτυχία και πιο επικίνδυνο από τη διαχείριση, εισαγωγή των νέων θεσμών…για το λόγο ότι …έχει εχθρούς όλους εκείνους που επωφελούνται από τους παλιούς θεσμούς …Και η χλιαρότητα προέρχεται εν μέρει από το φόβο ..,και εν μέρει από τη δυσπιστία των ανθρώπων, οι οποίοι, πριν αποκτήσουν μια καινούρια εμπειρία, δεν πιστεύουν πραγματικά στις καινοτομίες», Μακιαβέλλι, Ν., 1991:40,41.

[23] True translation: «Τα πάντα ρει» κατά τον Ηράκλειτο.

[24] https://www.managementcentre.co.uk

reorganization of perceptions and mentalities, the moral relocation, the development of organizational education (culture) are showcased as the basic conditions for the institutionalization and accomplishment of broader changes.

Thus, the work of management of changes, according to Bennis (1989), primarily has to do with the complex, educational and strategic change of knowledge, beliefs, attitudes, values, mentalities and conduct of every person at first with a view to adjust to the new technologies, the new facts and the new challenges. It has to do with the political will for change, the leadership of changes.

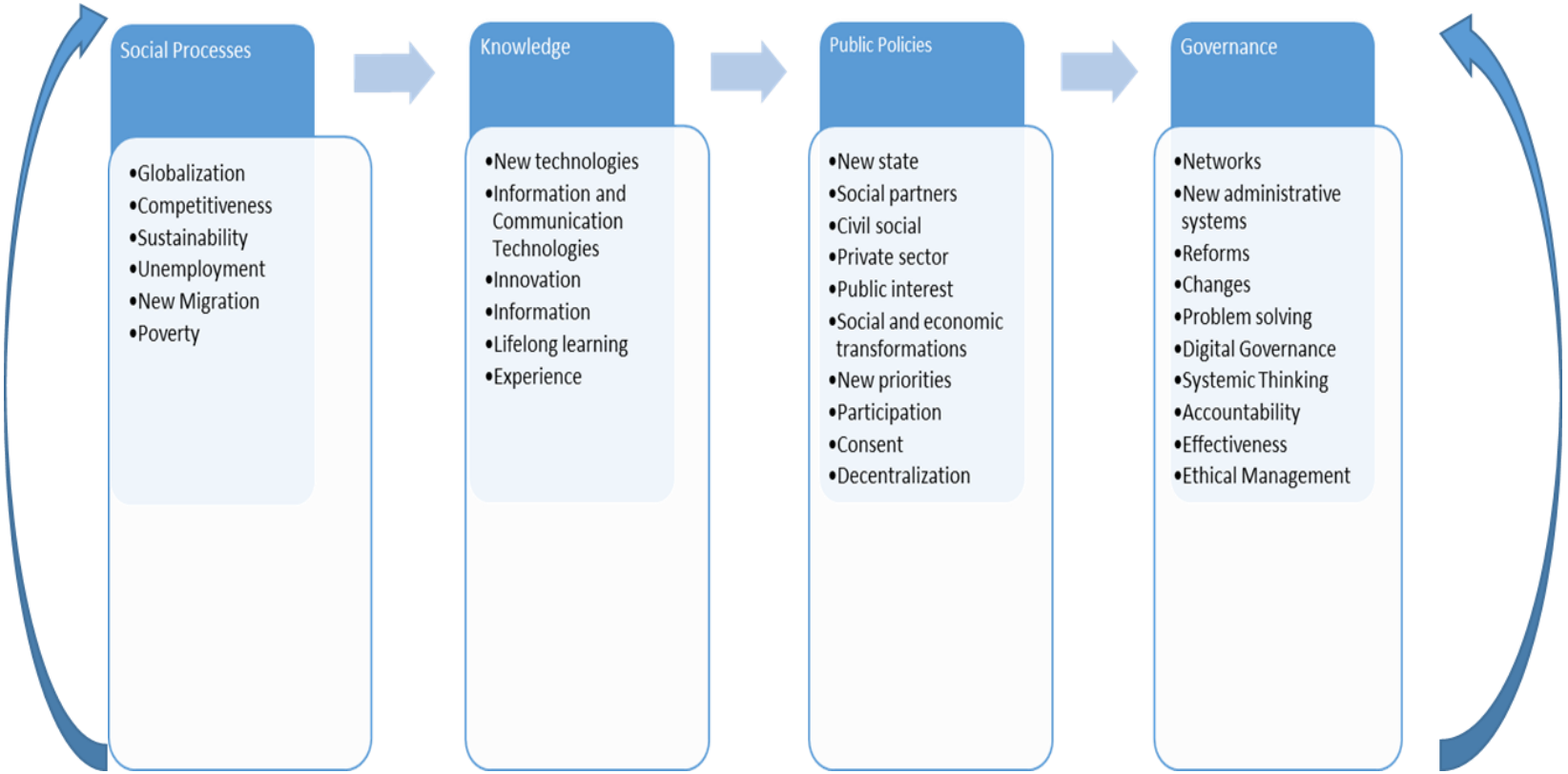
### 4.2. Leadership and Management of changes

According to Morgan (2002), achieving changes requires the ability of multilevel analysis, systemic thought, and interpretation of the several angles that constitute modern organizations. Approaching organizations from eight different, in a figurative way, angles, as a machine, as a biological organism, as a brain, as a political system, as a mental prison, as flow and transformation and as an instrument to dominate which correspond to a specific doing of things (limited angle), to an expansion of the limits of thought like the natural evolution, to the step by step evolution of the human science, to the attitudes and perceptions, to the political dimension and analysis, to the lock-in to a specific view, to the most important and most powerful angle of flux of things, to the state of natural and social dominance respectively, the understanding of organizational phenomena (for instance, of the failure to change, of the incitement of the workers) requires, according to Morgan, the ability to recognize the above-mentioned angles and their complex interpretation. Thus, changes are based on observation, on analytical thought and interpretation of things, on repetition and drawing of conclusions, on evolution.

Having approached the concepts and the content of leadership and changes systemically, the conclusions of this study can be summarized as follows:

- Leadership is a process of influencing the thought, the emotions, the attitudes and conducts of a small or large, typical, or atypical group of people or a people in such way that they voluntarily, willingly and in cooperation with each other do their best for a better future (Mpourantas,2005).
- Leadership is exercised through the power and the influence of the leader.
- The effective leadership focuses on the personality of the leader, the power, the abilities, the values and the character of the leader, aspects that further define his leadership behavior, a basic variant regarding the achievement of his results.
- The accomplishment of change requires political will, scientific approach and interpretation of things and knowledge.
- The changes in Organizations constitute a basic condition for their adjustment to the modern socioeconomic transformations and their conservation on the basis of the natural flux and evolution of things.
- The management of changes requires the change of culture, the reorganization of perceptions and mentalities, the moral relocation, the development of organizational education (culture) of every individual in order for them to adapt to the new circumstances.
- The modern leader, in the context of complexity, of the dynamic of the socioeconomic reformations and the ethical management of developments, should have the ability of multilevel, systemic analysis, thought and perception of things, should be characterized by an independence of mind on the basis of a system of values, by intellectual and moral maturity, thus reminding of the qualities of the Aristotelian orator, the Aristotelian ethical political thought, analysis and action.

Figure 5: The dynamic relation between Society and Governance




The power of politics, of social and economic transformations and the power of knowledge and learning.

Source: Papoulias, 2016

## 5. CONCLUSION

"There is nothing better than a good theory. And that is because a good theory successfully turns action to knowledge for wisdom" states Lewin (1951) and in this study, the Aristotelian ethics, the ethical political philosophy of leadership and the leader, as shown in the two works of the ancient Greek philosopher, the "Rhetoric" and the "Nicomachean Ethics", makes its influences obvious to the modern approaches of the leadership phenomenon and the way leadership is exercised in a dynamic changing environment. In the context of the modern socioeconomic developments and the complexity of things, of the conflicts and disputes, the power of politics and its dynamic connection with the power of knowledge and learning is showcased as a necessary condition of adjustment to the new circumstances, as a need for action and change of state. Thus, according to the Aristotelian ethics, leadership as a guiding power of influence towards the right conduct and having as an ultimate goal to pursue the personal and social happiness, focuses on the personality of the political leader, who, as an "Aristotelian" orator is asked to inspire, motivate and guide the actions for change, learning and new knowledge based on a negotiating and mediating spirit.

On the basis of the comparative analysis of the Aristotelian current and the systemic approach of leadership and the changes based on their dynamic connection, the contribution of the Aristotelian ethics is showcased in the modern reflective logic for the thought and action of the modern leader, summarizing the most basic influences of ethical and political philosophy of leadership and of the political orator on the personality of the political leader at the following:

- Leadership is a guiding political art/process of influencing the thought, the attitudes, the emotions, and the conducts of a group of people or a people by an individual (the leader), in order for them to voluntarily do their best for a better future, for the achievement of “eudaimonia”(happiness).
- Leadership is exercised through the power and the influence of the leader.
- Leadership focuses on the personality of the leader, on his character and his behavior, his values and attitudes, his knowledge and his abilities, his intellectual and ethical maturity as a whole.
- Leadership is based on rhetoric, on the knowledge of forming logical arguments and the intellectual, according to Aristotle, virtue of the emotional intelligence for the accomplishment of logic and psychological persuasion.
- Leadership is an art of rhetoric "a combination of the analytical science and the political science that relates to the moral issues"( Aristotle, Rhetoric A′, 1359b)

More specifically, in the context of the modern socioeconomic developments and reformations, the complexity of things, the conflicts and disputes, the modern leader should have the ability of multilevel, systemic analysis, thought and perception of things, should be characterized by an independence of mind on the basis of a system of values and by intellectual and moral maturity, thus reminding of the qualities of the Aristotelian orator and the Aristotelian ethical political thought, analysis and action, in order for him to be able to:

- Inspire by adopting a code of ethical values and independence of spirit.
- Gain the credibility and trust of people through his ethics, culture, and maturity.
- Understand the complexity of things through his systemic and analytical thought.
- Captivate "the heart" through his empathy and knowledge of the human psyche.
- Captivate "the mind" through his ability to form logical arguments.
- Act in a negotiating and mediating way through his right conduct and the moral quality of his personality.
- Know what the common welfare is, what is useful and beneficial, and which is his final objective.

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# Comparative Analysis and Mutual Relation between Dynamic Methods for Selection and Evaluation of Investment Projects

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**Abstract:** Investments are an important determinant for the development of enterprises, but they are also one of the factors of economic and innovative development of one country. They are a necessary condition for making progress as a whole. From that aspect, investment projects should be a priority for all companies that want to be successful on the market scene. In the process of managing investment projects, choosing the optimal option (the most useful alternative) between several projects is one of the most important phases for ensuring stability and development of the enterprise. For this purpose, there are several methods for evaluating and selecting projects. In this paper the emphasis is put on dynamic methods for evaluation of investment projects. The research is conveyed on the basis of systematic analysis of the existing scientific literature, inductive and deductive method, comparison method and mathematical methods.

The advantages and disadvantages (limitations) of each of the dynamic methods will be presented in the paper and comparative analysis will be made. Also their interdependencies through mathematical formulas, which are equally important for the success of the investment process will be presented. The general purpose of the research in this paper is to see the methodological problems in the application of individual dynamic methods for evaluation and selection of investment projects, i.e. the conflict in the ranking of projects in the use of different methods and the need for multi-criteria analysis to understand all factors which influence the adoption of an investment decision to give priority to the realization of one of several alternative investment projects.

**Keywords:** dynamic methods, investment project selection, project evaluation, comparative analysis, interdependencies

## 1. INTRODUCTION

When making an investment decision, the investor has opportunities for many alternative investment options. The task of the investor is to choose an investment that will best meet the objectives of the investment project. In order for an investment to be realized, it is necessary to create a document that plans and especially outlines the form of the investment project. Many methods and techniques have been developed, tested and modified to best assess the value of investment projects. The results given by these methods are usually contradictory, making it difficult for the investor to make decisions. Due to the fact that the results of assessment methods are often different, it is necessary to take into account that there are a number of criteria that need to be examined in order to make the best investment decision. The literature often states a method of project efficiency that is superior. However, that choice is usually based on the assumption of perfect and efficient markets, project independence, safety of the project's life, without capital rationalization, etc. Most of these assumptions are not valid in real life. In the real world, different risk factors and market inefficiencies require managers to focus on both risk and the profitability and liquidity of capital investments. Multi-criteria analysis can be used to rank potential investment projects and improves the decision-making process needed to meet investment objectives. In this paper the emphasis will be put on the dynamic methods, as well as their efficiency for the realization of investment projects, which are an important part of an organization in the process of making investment decisions. In order to see which method is most optimal to apply in appropriate conditions, this paper will develop the criteria, as well as the advantages and disadvantages of dynamic methods with critical review, the relationship between individual methods and their comparative analysis.

## 2. IMPORTANT CHARACTERISTICS OF INVESTMENT PROJECTS

Basically, the project is a series of complex, unique, non-routine and interrelated activities that are limited in time, budget, resources and specifications for realization. In general, the goal of projects is to achieve some desired individual, corporate or social change. Characteristic of the projects is that they focus on solving certain problems or needs of a specific group, i.e. meeting certain requirements and expectations by using new ideas and techniques, but also upgrading the constant possible potentials. According to (Lock, 1977) the project is a special attempt that can not be repeated. It usually means achieving the planned results within a certain period of time and the available financial resources. Each project is unique and therefore its outcome can not be predicted with particular certainty. Therefore, projects are ventures that cannot be predicted. Each project contains two important elements: uniqueness and risk. Uniqueness can be two-sided, as originality, i.e. it is not identical with other projects, but also as an inability to repeat the same project, because the goal has already been achieved. Risk is also an important element of business ventures, especially in investment projects. The essential elements of an investment project are:

- The project is an venture that will take place in the future;

- The project is limited in time and for single use;

- The project is a unique and unrepeatable venture;

- The project is aimed at achieving the defined goals;

- The project engages resources: costs, time and resources;

- The project is a venture, which requires coordination of activities;

- The project is a risky venture;

- The project is realized if it is justified to realization;

Investment projects are a special type of business ventures, which refer to the construction of plants, business buildings, energy facilities, traffic facilities, introduction of new equipment and all other types of investment of financial resources intended for creating various types of fixed funds, as well as introducing innovations, improvement trainings of the staff and the organization, investments in research work etc. Starting from the general characteristics and elements of the project, the investment project is a system of activities undertaken by a subject, in a certain space, at a certain time, under certain conditions and assumptions for realization, which are aimed at achieving programmed effects in the future. As elements of the investment project are: system of activities, subject, space, time, conditions and assumptions, effect and risk.[1]

### 2.1. EFFICIENCY OF THE INVESTMENT PROJECTS

The assessments for Investment efficiency can be performed using static and dynamic methods for assessing investment efficiency. The static rating assesses the profitability of the investment project by implementing numerous so-called "simple" static criteria. These criteria are calculated taking into account the parameters of the single period of exploitation in a normal year, claims (Jovanovic, 2000). As a standard or normal year in the period of exploitation, i.e. as a representative year, (Bendekovic, 2008) considers that this year reflects or provides:

- Maximum possible use of the project capacity is achieved;

- The project still has ongoing loan repayments.

This method of examining investments can offer a wrong image, because only a certain period of time of the entire economic life of the investment is taken into account. These indicators do not follow the dynamics of investments. A particular disadvantage of this method of assessment is that it does not

[1] Lock, D., (1977). Project management, Grower Press, London

provide information on reducing the effects of investments in the initial and last period of exploitation, and therefore does not offer the opportunity to plan interventions and improvements, claims (Nicin & Pusara, 2011). In order to eliminate this problem of static indicators, a reduction process is performed. Accelerating static indicators involves reducing individual annual costs and the effects of investments (income, expenditure and total investment) to the present value or calculating the average annual value for the entire economic life of the project. These methods are also divided into:

- Methods that do not use discounted cash flows (NDCF techniques);

- Methods that use reduced cash flows (DCF techniques).

Decision makers are not able to reach the maximum value of the shareholder using NCDF techniques because these methods do not combine or meet all three basic conditions for their claim (Volarevic & Davosir Pongrac, 2010). The disadvantage is that they do not include the discount factor in the calculation and, therefore, do not assess any risk associated with future cash flows. Methods that do not use current cash flows include the following indicators:

- Return period;

- Accounting yield rate;

- Cumulative cash flows;

- The rate of return.

For the investment management system the choice of the optimal option between several available investment projects is one of the most vital stages of ensuring the steady operation and development of an enterprise. Because of that, the efficiency of investments largely depends on the application of appropriate methods for selecting an investment project.[2] [3] [4]

## 3. CLASSIFICATION OF SELECTION METHODS AND ASSESSMENTS OF INVESTMENT PROJECTS

Project selection methods refer to measuring the advantage and benefits of a particular project of the organization implementing it. In other words, selection methods measure the total value of certain products, services, or other project results that an organization may have. The amount to be measured when selecting and ranking projects is represented by factors such as market share, financial return, return on investment, customer relations and public opinion. There are two types of selection methods: benefit measurement methods and mathematical models. These methods are more commonly known as decision models and calculation methods. Decision-making models examine the various criteria used in the decision-making process, while calculation methods allow the calculation of the value of the project during selection. Mathematical models, better known as limits optimization methods, use linear, dynamic, multipurpose, and integral programming in the form of algorithms, that is, they have predefined steps in solving certain problems. In the investment decision-making process, classical investment performance assessments are most often used. These estimates can be classified according to the dynamics of calculating the parameters of static and dynamic methods. The static methods last only one representative year and for it the parameters for individual investment studies are calculated. They are usually used in the pre-investment period, as their calculation is quite easy and simple. Dynamic methods take the effects of investment into all years of the economic age and are used with

[2] Goncharov, V.M., and al. (2013). The investment component of ukrainian agrarian enterprises' development in conditions of land reform, *Actual Problems of Economics*, *10*(148), 118-125.

[3] Kuksa, I., and al.(2019). State regulation of innovative employment in the context of innovative entrepreneurship development, *Management Theory and Studies for Rural Business and Infrastructure Development*, *41*(2), 228-236. https://doi.org/10.15544/mts.2019.19

[4] Hnatenko, I., Kuksa, I., Naumenko, I., Baldyk, D. & Rubezhanska, V. (2020). Infrastructure of innovation enterprise: features of formation and regulation in modern market conditions, *Management Theory and Studies for Rural Business and Infrastructure Development*, *42*(1), 97-104. https://doi.org/10.15544/mts.2020.10.

discounted cash flows. They are applied after a short list choice is made between the investments that can be realized. The reason for this is the complexity of the calculation process. Due to the difference between these estimates and the coverage period, dynamic methods for assessing the return on investment are most commonly used. In addition to the classical methods for assessing the return on investment, modern methods are used, which take into account a wider range of factors for analysis. Usually these factors are risk, uncertainty, social acceptability, optional approach, opportunity costs, etc. Modern methods are much more complicated to calculate than classical methods and they are used when reducing a project. When making investment decisions, all factors that can affect the positive outcome of investments should be taken into account, and not just consider cash flow projections

## 4. TYPES OF DYNAMIC METHODS

The dynamic approach, i.e. the method for assessing the efficiency of investments, takes the entire economic life of the project and calculates the parameters using discounted cash flows. That is why in the world literature these methods are called "Discounted cash flows techniques" (DCF).

According to (Volarević & Pongrac, 2010), the application of dynamic methods for assessing the return on investment maximizes the wealth of shareholders because, as a rule, these methods meet all three basic assumptions.

When applying these methods, it is necessary for the decision maker to define in advance the discount rate that he will apply in the calculation. The discount rate needs to be determined precisely as it can greatly affect the results obtained by using dynamic methods to assess the return on investment. Methods that are classified as dynamic are:

1. Net present value (Net present value - NPV)
2. Internal rate of return (Internal rate of return - IRR);
3. Modified internal rate of return (Modified internal rate of return -MIRR);
4. Profitability index (Profitability index – PI);
5. Discounted payback period of the investment (Discounted payback period – DPP).[5]

### 4.1 Net present value (NPV)

This is a classic method that is most often used in the evaluation of investment projects. The most important assumption for using this method is the objective selection of criteria on the basis of which the selection of investment projects is performed, i.e. selection of criteria as a lower limit of profitability. It can be assumed that the limit is expressed by the average cost of capital in the enterprise. The average cost of capital is used as a discount rate by which the expected annual revenue, i.e. the net cash flow from the operation of the project in the economic life of its duration is reduced to present value and thus becomes comparable to the amount of capital cost in the project, which is also expressed in present value. Considering the abovementioned, the method of net present value of the project can be defined as the difference between the present value of expected net cash receipts of the project discounted at a rate that approximates the cost of capital of the enterprise and the present value of capital expenditures in the project. NPV is the sum of all future net cash flows reduced by present value using the discount method. In addition to future net cash flows, the initial investment is included. When all net cash flows are reduced, the initial investment is deducted from their amount. If the net income varies by years, which is usually the case in the economic life of the project, the net present value can be calculated as follows:

[5] Gordon M. Dividends, Earnings and Stock Prices. Review of Economics and Statistics. 1959; 41 (2): 99-105.

$$NPV = \sum_{t=1}^{n} \frac{NP_t}{(1+i)^t} - I_0 \quad (1)$$

Where:

$NPV$ - Net present value

$NP_t$ - Cash inflows

$n$ - Duration of the project (the number od periods)

$i$ - Discount rate

$I_0$ - Cash outflow in time 0 (initial investment)

The criteria for a NPV investment decision are:

- NPV > 0 – the project is efficient;

- NPV = 0 – the project is neutral;

- NPV < 0 – the project is ineffective.

If the NPV result is greater than 0, it means that the investment is justified. The reason is that if the company invests in a project whose NPV is zero, the company will achieve a return on the cost of capital during the operation of the project, and if the NPV is greater than zero, the company will achieve a rate higher than the cost of capital. The NPV indicator can usually be "improved" in the following ways: by increasing the length of the investment exploitation period, by increasing the investment time (investing funds), by reducing the amount of invested funds and by reducing the rate at a discount. This method, like all other methods, is accompanied by certain positive and negative features.

***Advantages of this method are:***

- shows whether the investment increases the value of the company;

- considers cash flows;

- considers the variable time value of money;

- considers the risk for future cash flows (through the cost of capital).

***Disadvantages of this method are:***

- an estimate of the cost of capital is required to calculate the net present value;

- is expressed in value, not as a percentage;

- does not sufficiently consider the length of the exploitation period (only the mass of discounted net income is significant, regardless of the period for which it is realized).

**4.2. Internal rate of return (IRR)**

The internal rate as a method for assessing the economic effectiveness of investments is the annual rate of return on capital investments in a project. This rate of return is equal to the interest rate where the present value of the net cash receipts from the project under consideration equals the present value of the capital expenditures on that project. Internal rate of return means the interest rate at which the present value of all payments and payments relating to any period of time is equal to zero. When determining the internal rate, it is necessary to find the discount rate that reduces the current value of the project to zero. This discount rate is the internal rate of return on the investment project.

If $P_1, P_2, ...P_h$ are cash income (payments) in the moments $t_1, t_2, ...t_h$ and if $C_1, C_2, ...C_k$ ce expenditures (payments) in the moments $t_1, t_2, ...t_k$ . According to the definition the internal rate is:

$$p_1(1+i)^{-t_1} + p_2(1+i)^{-t_2} + \ldots + p_h(1+i)^{-t_h} = c_1(1+i)^{-t_1} + c_2(1+i)^{-t_1} + \ldots + c_h(1+i)^{-t_1} \quad (2)$$

Therefore the formula for the internal rate can be performed i.e.:

$$i = \sqrt[t_p - t_c]{\frac{p_1 + p_2 + \ldots + p_h}{c_1 + c_2 + \ldots + c_h}} - 1 \quad (3)$$

$$i = \frac{p}{100} \quad (4)$$

$$p = IRR = 100\left(\sqrt[t_p - t_c]{\frac{p_1 + p_2 + \ldots + p_h}{c_1 + c_2 + \ldots + c_h}} - 1\right) \quad (5)$$

Where:

$p = IRR$ - internal rate of return

$$t_p = \frac{P_1 \cdot t_1 + P_2 \cdot t_2 + \ldots + P_h \cdot t_h}{P_1 + P_2 + \ldots + P_h} \quad (6) \qquad t_c = \frac{C_1 \cdot t_1 + C_2 \cdot t_2 + \ldots + C_k \cdot t_k}{C_1 + C_2 + \ldots + C_k} \quad (7)$$

Or Internal Rate of Return is the discount rate that causes the net present value of future cash flows from an investment to equal zero:

$$NPV = \sum_{t=1}^{n} \frac{NP_t}{(1+i)^t} - I_0 = 0 \text{ where } i = IRR \quad (8)$$

Or

The internal rate can be obtained via interpolation according to the following formula[6]:

$$p = IRR = p_1 + \frac{NPV_{p1}(p_2 - p_1)}{NPV_{p1} - NPV_{p2}} \quad (9)$$

$p_1$ - discount rate with a positive net present value,

$p_2$ - discount rate with a negative net present value,

$NPV_{p1}$- positive net present value (with discount rate $p_1$)

$NPV_{p2}$ - negative net present value (with discount rate $p_2$)

The criteria for an IRR investment decision are:

- IRR> rmin- the project is efficient;

- IRR = rmin- the project is neutral;

- IRR <rmin- project is ineffective.

If the IRR exceeds the cost of capital, the project may be considered and eventually accepted, and vice versa if the IRR is less than the cost of capital, the project should be rejected. It sometimes happens that in some years the net cash flows from the exploitation of the project are negative or consequently significant capital investments have to be made, so the cash flows become "unusual". In such cases more IRR can be obtained, so it is impossible to decide whether to accept or reject the project. When such cases occur, the IRR should be modified or the NPV method used. The IRR method sometimes does not allow ranking of investment projects, while the NPV method always allows ranking. This method, like all other methods, is accompanied by certain positive and negative characteristics.

***Advantages of this method are:***

- shows whether the investment increases the value of the company;

[6] Ednota Stevi S. (2010), *Finansijska matematika, osnovi i primjena*, Brko: Ekonomski fakultet

- considers the cash flows of the project;

- considers the variable time value of money;

- considers the risk for future cash flows (through the price of capital according to the rule of decision);

***Disadvantages of this method are:***

- an assessment of the cost of capital is required to make a decision;

- a correct decision for maximizing the value may not be made when used to compare mutually exclusive projects;

- a decision may not be made to maximize value when used for project selection when there is capital rationalization;

- can not be used in situations in which the fluctuation of the cash flows of the project changes more than once during the life of the project.

**4.3. Modified internal rate of return (MIRR)**

If the IRR is significantly higher than the cost of capital and is, for example, 25% or more, the question arises as to whether there is sufficient opportunity for the extras generated in the project to be further invested with such high returns. (Bendeković, 2008) claims that, when this is unlikely, it is useful for the investor to determine the rates of return expected to be achieved through reinvestment and thus to make the project more objective, allowing for a modified internal rate of return.

MIRR is a rate that equates the discounted positive cash flows at the end of the project life cycle with the discounted negative cash flows at the beginning of the period. It is calculated using the following form:

$$MIRR = \sqrt[n]{\frac{FV}{PV}} - 1 \qquad (10)$$

Where:

$MIRR$ - Modified Internal Rate of Return

$FV$ - Future value of the net cash inflows from investment assumed to be re-invested at the re-investment rate

$PV$ - Present value of the net cash outflows incurred using the investment period discounted at the cost of capital (at the financing rate)

$n$ - Duration of the project (the number of periods)

MIRR is used in cases where there is a clash of rankings using various indicators to assess the profitability of investment projects. The MIRR investment decision criteria are:

- MIRR> r - efficient project;

- MIRR = r - neutral project;

- MIRR <r - inefficient project.

$r$ - discount rate (cost of capital).

The decision is the same as for IRR except that instead of the minimum acceptable price, a reinvestment rate is used. The main disadvantage of using the MIRR criteria for investment in relation to the IRR criterion is the fact that in this case there is no possibility of obtaining more than one value for the MIRR. MIRR calculates the return on investment based on the more prudent assumption that the cash inflows from a project shall be re-invested at the rate of the cost of capital. As a result, MIRR usually tends to be lower than IRR.

This method also has its own characteristics, so that:

***Advantages of this method are:***

- shows whether the investment increases the value of the company;

- considers the cash flows of the project;

- considers the variable time value of money;

- considers the risk for future cash flows (through the price of capital according to the rule of decision);

***Disadvantages of this method are:***

- an assessment of the cost of capital is required to make a decision;

- a correct decision for maximizing the value may not be made when used to compare mutually exclusive projects;

- the decision to maximize value when used for project selection may not be made when there is capital rationalization;

**4.4. Profitability index (PI)**

The project profitability index is the ratio of the present value of future cash inflows to the starting price. It has to do with the starting price of the investment. This method shows the relative profitability of the project.

This method is calculated in the following way:

$$PI = \frac{NPV}{I_0} + 1 \tag{11}$$

Where:

$PI$ - Profitability index

$NPV$ - Net present value

$I_0$ - Initial cost (initial investment)

Or

$$PI = \frac{PV_{FCF}}{I_0} \tag{12}$$

Where:

$PV_{FCF}$ - Present Value of Future Cash Flows

PI is a relative measure of value because it is a numerical amount that shows the ratio of two absolute quantities, namely net present cash flows and initial investment. When the PI is one or more, the investment proposal is acceptable. When calculating the profitability index, the net index is calculated, not the aggregate index. Criteria for investment decision with PI indicator is:

- PI> 1 - the project is efficient;

- PI = 1 - the project is neutral;

- PI <1 - the project is not efficient.

A value of profitability index greater than 1 indicates that the project does not produce a loss and it can be accepted. Conversely, a profitability index of less than 1 indicates that the project will produce a loss. The aggregate index is the ratio of NPV to the present value of cash costs. Although it shows a relative measure of value, this criterion is used less than the NPV criterion. (Van Horne, Wachowich Jr., 2002)

claims that the reason is that the NPV shows whether the project should be accepted or not and expresses the absolute contribution that the project makes to the wealth of shareholders. In contrast, PI expresses only relative profitability. This method, like all other methods, is accompanied by certain positive and negative characteristics.

***Advantages of this method are:***

- shows whether the investment increases the value of the company;

- considers the cash flows of the project;

- considers the variable time value of money;

- considers the risk for future cash flows (through the cost of capital);

- is useful in the selection and ranking of projects when the capital is rationalized.

***Disadvantages of this method are:***

- it is necessary to estimate the cost of capital to calculate the profitability index;

- a correct decision may not be made when used to compare mutually exclusive projects.

**4.5. Discounted payback period (DPP)**

The indicator for the return of the investment tells us the time for which the return on initial investment is made. (Volarević & Pongrac, 2010) claim that DPP is the time required to repay the original investment by applying discounted future cash flows. This indicator is calculated by first making discounted values of cash flows, and then forming their cumulative values and determining between which two years the cumulative cash flows of discounts have been positive. If it is for example between 5 and 6 years means DPP is 5 years and something. And it is calculated more precisely with the following formula:

$$DPP = (n-1) + \frac{I_0 - CPV_{CF}^{\,n-1}}{PV_{CF}^{\,n}} \tag{13}$$

Where:

$DPP$ - Discounted Payback Period

$I_0$ - The initial cost of investment

$CPV_{CF}^{\,n-1}$ - Cumulative Present Value of the Cash Flows from investment at the end of the Year (n - 1)

$PV_{CF}^{\,n}$ - Present value of Net cash flow in Year n

$n$ - Year in which the cumulative present value of cash flows from investment exceed the initial cost.

$n-1$ - The year prior to n.

The question is whether this indicator should be included in the dynamic methods for assessing project effectiveness. The reason for this is that he does not use the net cash flows from the entire economic life of the project, but only those flows to which the initial investment returns. Based on this, he uses only part of the net cash flows. If the result of the return on investment is the period from the penultimate to the last year of the economic life of the project, then this indicator covers the entire period of work and can then be fully classified into dynamic methods for assessing the efficiency of investments. Namely, from the table in part 6 it can be seen that in terms of some features it exceeds the NPV method, and therefore this method can be used to supplement it.

***Advantages of this method are:***

- considers the variable time value of money;

- considers the riskiness of the cash flows of the project (through the cost of capital).

***Disadvantages of this method are:***

- there are no specific decision criteria that indicate whether the investment increases the value of the company;

- an estimate of the cost of capital is required to calculate the payback period;

- ignores cash flows outside the discounted payback period.

## 5. MUTUAL RELATIONS AND DEPENDENCES ON DYNAMIC PROJECTS EVALUATION METHODS

Both in theory and in practice, it has been proven that there are strong relations between the values created in the enterprise. One of these core values is the NPV which determines the increase in the value of the enterprise from the implemented project. At the same time, thanks to the NPV method, it is possible to determine how much the increase in value of the enterprise is due to the implementation of several projects at the same time. A feature of the NPV method is the ability to aggregate individual NPV values for project results. This is also directly related to the type of investment decision made, which usually distinguishes the division of investment decisions into individual projects, which are mutually exclusive or as a whole. Since, in the company, all the investment decisions made create a complete picture of its investment policies, then it would be assumed that the level of implementation can be measured by the results of the NPV method of total undertaken projects. In other words, the selected investment policy framework followed by the projects will distinguish the maximum or minimum possible for the total NPV score of all projects in the enterprise. Among the methods elaborated in Table 2, the NPV method has only advantages. Other methods, including MIRR and PI (profitability index), have limitations that have already been identified. There are close dependencies and relationships between the methods, which follow directly from the definition of IRR, which is the discount rate at which the result of NPV is 0. This relation is described by the following formula:[7]

$$NPV = \sum_{t=1}^{n} \frac{NP_t}{(1+IRR)^t} - I_0 = 0 \tag{14}$$

An IRR is a result that is expressed in the form of an interest rate on the return on investment that is estimated, or can be defined differently, namely it is the discount rate of present value of cash flows (investment income) equal to the present value of cash costs related to the construction and operation of the project investment, which can be illustrated as the following equation:[8]

$$\sum_{t=1}^{n} \frac{NIP_t}{(1+IRR)^t} = \sum_{t=1}^{n} \frac{NOP_t}{(1+IRR)^t} \tag{15}$$

Where:

$NIP_t$ - the present value of cash flows (investment income)

$NOP_t$ - the present value of cash expenditure related to the construction and operation of the project investment

[7] Pike R., Neale B. Corporate Finance and Investment. Harlow: Pearson Education Limited, Inc. 2003.

[8] Tworek P. Capital budgeting in enterprises: mutual relationships and dependencies between discount methods used in project evaluation. Bratislava: Ekonomická Univerzita v Bratislave. 2014, pp. 278-287.

Because IRR is expressed as a percentage, it corresponds to the rate at which the project allows a return on investment costs. Therefore, another connection occurs here, i.e. between IRR and DPBP, which can be written as follows:

$$DPP = \frac{1}{IRR} \tag{16}$$

However, in order to eliminate the assumptions for the reinvestment rate equal to IRR, the internal rate of return is modified in the form of MIRR (Modified Rate of Return) which shows the following mathematical notation:

$$MIRR = \sqrt[n]{\frac{\sum_{t=1}^{n} NIP_t (1+r_i)^{n-t}}{\sum_{t=1}^{n} NOP_t (1+r)^{t}}} - 1 \tag{17}$$

Where $r_i$ is the rate of capital reinvestment. It is clear from the equation that MIRR, like IRR, is defined as a discount rate that equates the updated residual value of the project with the updated value of the incurred investment costs. For a project to be financially viable, the PI ratio must be at least equal to or greater than 1. This ratio, together with its modified form, informs investors how much money will be generated from the project as a result of the investment costs incurred, which in mathematical form is expressed by the following formula:

$$PI = \frac{PV}{I_0} \tag{18}$$

Where:

$PV$ - Present value

When PV is in simpler formula for NPV follows:

$$PV - I_0 = NPV \tag{19}$$

In the case of a typical investment, the IRR can be represented by a universal linear interpolation formula, namely:[9]

$$IRR = r_0 + \frac{NPV_0}{NPV_0 - NPV_1}(r_1 - r_0) \tag{20}$$

Where $r_0$ is the lower discount rate accepted for calculation, and while $r_1$ is the higher discount rate accepted for calculation, $NPV_0$ is the result of NPV calculated for the lower discount rate, $NPV_1$ is the result of NPV calculated with the higher discount rate. The application of this equation is common in the practice of investing and the essence of using this formula lies in the calculation of the NPV results for a given investment with two rates $r_0$ and $r_1$, as long as the mathematical function that reflects the NPV and the result changes from positive to negative, namely NPV changes its sign from positive to negative or from negative to positive. Generally, an IRR estimate is to find the zero value of a function. On the other hand, there are projects that have two parallel IRR rates, but may have three or more, as the investment life can extend to + ∞). This means that the IRR method has a major drawback, namely, it is not reliable in case of investments with unconventional cash flow and should not be used in practice for this type of projects. In addition, it is not credible to establish a hierarchy of projects that differ in investment size and lifespan. Theoretically, there is a situation in which the IRR for a given investment can not be estimated at all. However, the NPV and IRR for different projects are calculated differently,

[9] Pike R., Neale B. Corporate Finance and Investment. Harlow: Pearson Education Limited, Inc. 2003.

i.e. there are appropriate modifications to the formulas. Financial effectiveness is calculated differently for investments in the real estate market and differently for large industrial and commercial enterprises, and yet quite differently in the case of public sector projects. There is always a need to adapt the method to a particular situation, including investor expectations.

## 6. COMPARATIVE ANALYSIS OF DYNAMIC METHODS FOR EVALUATION AND SELECTION OF INVESTMENT PROJECTS

When selecting a project from a group of investment projects, the investor uses methods that assess the effectiveness of these projects. At the same time, there may be a ranking conflict between these methods. In order to make the right decision, it is necessary to take into account all the criteria. Before determining the ways to do this, it is necessary to establish the relation between these criteria. If one of the criteria is not related and gives contradictory results compared to the other criteria, its impact should be reduced, but it is still used in making a final decision. The methods for analysis of multiple criteria are an excellent tool with which it is possible to insert all the criteria in the final decision, which is why in this paper a comparative analysis of the dynamic methods for evaluation and selection of investment projects is done. These methods are a way to invest when a decision is made by including all the criteria. Making a decision with only one criterion implies a question of correctness because through the work it can be seen that the results contradict the other results of the criteria and such a decision is incomplete and incorrect. Starting from the previously presented characteristics of the dynamic methods for evaluation and selection of investment projects, it can be concluded that each of the methods has a different focus and application. So the first of the five dynamic methods elaborated is net present value (NPV) which as a classical method is most often used in the evaluation of investment projects. The most important assumption for using this method is the objective selection of criteria on the basis of which the selection of investment projects is performed, i.e. selection of criteria as a lower limit of profitability. The method for internal rate of return (IRR) is a method for assessing the economic effectiveness of investments, i.e. it is an annual rate of return on capital investments in a project. This rate of return is equal to the interest rate which equals the present value of the net cash receipts of the project under consideration with the present value of the capital expenditure on that project. The third method elaborated in this paper refers to the modified internal rate of return (MIRR), where MIRR is the rate that equates the discounted positive cash flows at the end of the project economic life with the discounted negative cash flows at the beginning of the period. The next dynamic method elaborated in this paper is the ROI, which is a relative measure of value because it is a numerical quantity that shows the ratio of two absolute quantities, namely net present cash flows and initial investment. The last method that is presented is the method of discounted period of return on investment. This dynamic method shows us the time for which the return on the initial investment is made, i.e. the time required to return the original investment by applying discounted future cash flows.

Starting from the previously developed theoretical part for different types of methods for selection and evaluation of investment projects, it can be concluded that each method has a different focus and perspective for its application. The focus of the methods is usually on investments and projects. From the presented characteristics of each of the dynamic methods, a comparative analysis can be made as to which of these methods would be universal, i.e. could be used in each organization. In order to better understand the advantages and disadvantages of using dynamic methods in investment projects, the following table is prepared, which illustrates when the values of the methods are one, less than one or zero and how the project is appropriately accepted, the project is rejected or the investment project is neutral.

Table1. Criteria for efficiency of the dynamic methods in investment projects

| Type of dynamic method | The project is effective | The project is ineffective | The project is neutral |
|---|---|---|---|
| **NPV** | NPV > 0 | NPV < 0 | NPV = 0 |
| **IRR** | IRR > $r_{min}$ | IRR < $r_{min}$ | IRR = $r_{min}$ |

| **MIRR** | MIRR > r | MIRR < r | MIRR = r |
|---|---|---|---|
| **PI** | PI >1 | PI < 1 | PI = 1 |

Source: Authors own research

From the sources of different authors, characteristics are defined according to which the dynamic methods for investment projects can be evaluated.[10] As there are several criteria in this paper, fourteen criteria defined by different authors will be taken and a synthesis will be made to analyze the following criteria: a criterion that is simple to understand, a criterion that takes into account the whole life cycle of the project, a criterion that takes into account the variable time value of money , a criterion that takes into account the goals of the company, a criterion that measures profitability, a criterion that consistent with the wealth maximization goal, a criterion that takes into account the risk of the project, a criterion that determines the net profit as net cash flows, a criterion for the possibility of building an objective criterion for decision making, a criterion for how easy the method is to calculate, a criterion according to whether the method provides liquidity a criterion that take into account company's objectives and finally whether it can be presented as a unique number. With the help of these criteria, an assessment will be made to determine which of the previously elaborated dynamic methods meet the selected criteria and how many of them meet them. For that purpose, a table has been prepared which presents some of the dynamic methods that have been previously theoretically elaborated and the criteria previously defined by different authors, in order to explain the inclusion of the selected criteria in the methods.

Table2. Comparison of dynamic methods for evaluation and selection of investment projects

| **Feature** \ **Method** | **NPV** | **IRR** | **MIRR** | **PI** | **DPP** |
|---|---|---|---|---|---|
| **Simple to understand** | N | Y | Y | Y | Y |
| **Easy to calculate** | **?** | N | **?** | **?** | **?** |
| **Take into account entire project lifecycle** | Y | Y | Y | Y | N |
| **Determines net gains as net cash flows** | Y | Y | Y | Y | Y |
| **Measures profitability** | Y | Y | Y | Y | Y |
| **Ensures liquidity** | N | N | N | N | Y |
| **Can adjust for risk** | Y | Y | Y | Y | Y |
| **Considers all cash flows** | Y | Y | Y | Y | N |
| **Adjusts for time value of money** | Y | Y | Y | Y | Y |
| **Is unique number** | Y | **?** | Y | Y | **?** |
| **Assumes realistic reinvestment of intermediate cash inflow** | Y | N | Y | Y | Y |
| **Consistent with the wealth maximization goal** | Y | N | N | N | Y |
| **Take into account company's objectives** | Y | N | N | N | N |
| **Possibility of constructing an objective decision-making criterion** | Y | Y | Y | Y | N |

Source: Rogowski W. Rachunek efektywnosci przedsiewziec inwestycyjnych. Kraków: Oficyna Ekonomiczna, 2008.

[10] Rogowski W. Rachunek efektywnosci przedsiewziec inwestycyjnych. Kraków: Oficyna Ekonomiczna, 2008.

The entry (Y) means yes, the entry (N) means no and the question mark (?) means that the criterion may not meet the requirement under certain conditions.

This table will summarize the overview of dynamic methods for assessing the investment success of a company, while the comparison of methods is carried out according to the criteria for evaluating investment projects. It can be concluded that there is no single method for assessing effectiveness that would be most appropriate for all organizations, but still the choice depends on organizational needs and goals. It is noted that all dynamic methods for evaluation and selection of investment projects are based on quantitative assessment. From the table, the dynamic method meets all the set criteria by which the evaluation and selection of investment projects is performed. This means that the NPV takes into account the entire life cycle of the project, the goals of the company and the risk that the project carries with it, takes into account the variable time value of money, as well as the ability to make the right decision and determines net profit as net cash flows and is a unique number, but not easy to understand does not provide liquidity to the investment project and is not easy for understanding. Also for this criteria we can't summarize is easy or not for calculating. From the table it can be summarized that this type of dynamic method does not meet all the set criteria in the selection and selection for evaluation of investment projects. Like the NPV, the IRR does not meet all the criteria for a positive evaluation when choosing this method for evaluating investment projects. This method does not provide liquidity and is not easy to calculate, and not assumes realistic reinvestment of intermediate cash inflow and not take into account of company's objectives, unlike the NPV method does not meet the requirement under certain conditions. Also for this method we can't say that this is a unique number or not. Apart from these two methods that meet most of the set criteria when selecting investment projects, for the third type of method that was previously theoretically elaborated, this is not the case. This is a modified internal rate of return (MIRR), where it does not meet the criteria that take into account the goals of the company, does not provide liquidity and just like the NPV method, this criterion does not meet the requirement under certain conditions. In fact, this is a major drawback of a method that should elaborate on all the elements of choosing an investment project. The profitability index (PI), just like the previously elaborated method, which is the modified rate of return, does not meet the requirements for the company's goals, and thus does not realize the set strategy and mission for the future, and does not provides liquidity. The last of the dynamic methods that was elaborated in this paper is the method of discounted period for return on investment. For this method it can be freely confirmed that it is not so useful, because it does not meet four of the presented fourteen criteria, and two criteria do not meet the condition under certain conditions, which means that this dynamic method does not take into account the life cycle of the project, the set goals of the companies are not achieved and is not an objective criterion for decision making. Therefore, when selecting and evaluating investment projects, it is best to consider more than one method and elaborate so that there is a positive outcome for the investment project of the organization.

## 7. CONCLUSION

It is an indisputable fact that quality feasibility studies are done must be the basis for investment decisions. Otherwise these decisions would be subjective and would carry a huge risk of investment failures, which have been common in our previous investment practice. Financial feasibility is a key to the final decision on feasibility of the project, which means that the realization of the project can only begin if, on the basis of relevant methods, it is assessed that it is financially justified, that is, feasible.

When making an investment decision, the investor has more alternative investments available. The task of the investor is to choose an investment that suits him best way to realize the investment goals. Namely, an integral part of corporate financial management are the pre-investment analyzes made in companies around the world. As part of the capital budgeting process, the final outcome for enterprise projects is estimated. These calculations refer to the future and are therefore subject to risk. Therefore, the literature often emphasizes the difference between investment decisions made under conditions of uncertainty and risk. Therefore, every decision about the future is associated with taking risks. Numerous analyses of the literature indicate that individual authors, although differing in details, are unanimous in the nature and purpose of capital budgeting in the enterprise. In particular, the purpose of capital budgeting is, on the one hand, to ensure that the available capital resources of the enterprise are distributed among the projects with generated value, because they best contribute to achieving the

goals of that enterprise, and on the other hand, to gain trust that good investment ideas will not stop and unfavorable or poorly defined ideas will be rejected or harmonized.

For evaluation of investment projects, investment methods are available to the investor to assess the efficiency of the investment. The results given by these methods are usually in conflict, which makes it difficult for the investor to make decisions. Because the results of investment efficiency assessment methods are different, in order to make a decision it is necessary to consider as many criteria as possible in order to make the best possible decision.

Based on the 5 models covered in this paper, the following observations can be made:

- Net present value (NPV) is economically sound and properly ranks projects across various sizes, time horizons, and levels of risk, without exception for all independent projects.

- Internal rate of return (IRR) provides a single measure (return), but has the potential for errors in ranking projects. It can also lead to an incorrect selection when there are two mutually exclusive projects or incorrect acceptance or rejection of a project with more than a single IRR.

- Modified internal rate of return (MIRR) in general corrects for most of, but not all, the problems of IRR and gives the solution in terms of are turn. The reinvestment rate may or may not be appropriate for the future cash flows, however.

- Profitability index (PI) incorporates risk and return, but the benefits-to-cost ratio is actually just another way of expressing the NPV.

- Discounted payback period (DPP) incorporates the time value of money but still ignores cash flow after the cutoff date.

In general, it should be noted that, first, regardless of the financial method used in capital budgeting, attention should be paid to all possible outcomes, i.e. not only the results of the methods, but also the results of the application of simple methods; second, all the dynamic methods that were elaborated in this paper should be used in a complementary manner and only on that basis should the right investment decisions be made; third, the lack of flexibility of the methods is not an obstacle, which excludes their use in business practice on a large scale; fourth, when making appropriate investment decisions in the enterprise, other than key financial operations measures, investment risk should always be assessed; fifth, in the process of capital budgeting, the advantages and disadvantages of each method should always be taken into account. Finally, the implications of wrong investment decisions need to be considered, which in the worst case scenario could even push the company to the brink of bankruptcy. Because, bankruptcy is the worst consequence of bad investment decisions made in the company. In addition to the characteristics listed in the last table, the choice of method (s) for selecting an investment project is certainly influenced by other factors, such as: project dependence, project time dimension, project scope, project structure, level of risk of each of the projects, the activity in which the projects are realized, etc. So, it is necessary: 1. to compile a complete list of features that can be taken as criteria, 2. to make a priority list of criteria that will be in function of the realization of the company's goals and 3. to choose those methods that meet the priority criteria.

The general conclusion from the research done in this paper is that more methods should be applied for evaluation and selection of investments and with the help of multi-criteria analysis to rank potential investment projects, and thus make a decision that will best meet investment goals.

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# Skills gap, education and ICT SMEs in Kosovo

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**Abstract:** The research aims to reveal important information about specific skills needs and gaps in ICT start-ups in Kosovo. Given that Kosovo has a very young population[1] it remains very worrying that the highest unemployment rate among young people aged 15-25 is 55.6%, which is also our target group in this research. Therefore, this research has tried to make an important contribution to identifying the problem and market needs. Research intended to identify whether specific needs demanded by employers meet the needs that the young population think are important and necessary for access to the labor market.

The data are collected through interviews with 64 senior level representatives from 64 companies. The second survey instrument was used questionnaire with 322 Kosovar citizens who were either unemployed, under-employed, or individuals who are seeking to make changes to their current employment status, randomly picked, representing all seven regions of Kosovo.

The results of the study show that in order to reduce the skills gap and provide better services that will improve the employment of the target group, general skills trainings should be substituted with specific hands on trainings that are tailored to the needs of individual sectors. This is due to the fact that only 15% of the respondents found trainings to be very useful. Because of the high unemployment rate amongst females in Kosovo, more focused should be given to provide trainings to this demographic. Trainings should be organized in conjunction with local businesses, preferably employing trainers and facilitators who have industry experience. It is recommended to develop co-op courses where comapnies develop courses tailored to their needs, thus, allowing students to aquire transferable skills while at school/university.

## 1. Background Information

### 1.1. Introduction

Labor markets in the Western Balkan countries in which Kosovo belongs are characterized by high unemployment. A 2017 study from World Bank Group shows that Western Balkan countries have increased the rate of employment by creating approximately 300,000 jobs since 2010, from an estimated 5.5 million in 2010 to 5.8 million in 2016.[2] However, regardless of these attempts, the situation in this area is still very concerning. Kosovo is the country with the youngest population in the Europe. According to the latest report of Kosovo Agency for Statistics[3], Kosovo has 1,793,466 inhabitants and 28% of the population are of ages 0 to 18. The working age population are 1,200,165, including the inactive people. The labor force who are active, working and looking for a job, are 513,678 from age 15 to 64. From those, 394,561 are male and 119.027 are female. This shows that females are underrepresented in the labor market. This underrepresentation of women, as mentioned in World Bank Group study, is a result of several religious and cultural factors which have given the women a kind of a traditional role and have limited her mainly in the role of the mother.[4]

[1] Kosovo Agency of Statistics (2011) Population, Household and Housing Census in Kosovo accessed to: https://ask.rks-gov.net/media/2074/te-dhenat-kryesore.pdf

2 Western Balkans Labor Market Trends 2017. (n.d.). Retrieved from http://www.worldbank.org/en/region/eca/publication/western-balkan-labor-market-report

[3]All the data are referred to Kosovo Agency of Statistic, except otherwise stated.

[4]Western Balkans Labor Market Trends 2017. (n.d.). Retrieved from http://www.worldbank.org/en/region/eca/publication/western-balkan-labor-market-report

Currently, in Kosovo there are 357,095 people employed. From those 281,561 are male and 75,514 are female, respectively from those employed 79% are male and 21% are female. Thus, in total, there are 29.8% employed from the working age population.[5] The youth, age 15 to 24 faces a much greater challenge in this direction. Their participation in the labor market is 81,979, respectively 16% of labor force. Currently there are 38,736 people who are employed and from them 30,160 are male and 8,575 are female. Whereas, youth unemployment is 43,243, respectively 53%.[6] These rather worrying indicators of youth unemployment are created by the overall difficult situation of Western Balkan labor markets. The high unemployment encourages the emigration of Kosovo youth which recently has started to become a national problem. It must be mentioned that the youth consists an important part of the overall population of Kosovo. According to Eurostat, Kosovo is the only country in the Balkans that has experienced a significant population increase. Moreover, from the youth who are employed, 46% work without formal contracts.[7] Thus, this group of society is most affected by informal employment, and discrimination is unavoidable discouraging the youth to participate in the labor market.

Employment according to the activities is quite dispersed. The trade, construction, education and manufacturing industries employ almost half of the employed persons. Trade leads with 14.7%, manufacturing 13.2%, construction 12.9% and education 9.5%. The biggest employers for women are health, education and trade which employ 48.8% of women. On the other hand, the biggest employers for men by activity are construction, manufacturing and trade which employ 45.9% of males. Most of the employed persons reported that their wages varied from 400 to 500 euro with very little differences between males and females.[8] Labor market problems are also challenging the educational system. Currently, the education is considered as very much focused on academic skills rather than on the labor market needs. Thus, the skill gap is expected to be reduced by reforms on formal and informal education.

## 2. Literature review

### 2.1. Social Context

Kosovo is one of the poorest countries in Europe, with a 3,661 $ GDP per capita[9]. Many factories from the Yugoslavian time were not able to recover after the war and were privatized. Thus, the industry of manufacturing basically vanished. Many people remained unemployed and there was limitted perspective for the youth that entered in the labor market. According to the Kosovo Agency of Statistics (AKS) most people who emigrate are young, age 18 to 32. There is reason to believe that emigration released the steam of the dissatisfaction of population regarding the Kosovo economic development which may have jeopardized the stability. Age structure of the population is 0 to 14 which are 25.8%, 15 to 64 are 67.2% and 65+ are 7%. The fertility rate is 2.09 for children born/women, one of the highest birth rates in Europe, although this rate is diminishing comparing with previous years. Life expectancy is 71.3 year old in general, 69.2 years for males and 73.6 years for females.[10]

[5]Labour Force Survey, (2018, March)

[6]Ibid.

[7] I. (2016, October). The Shadow Worker – Hidden Economy and Undeclared Labor in Macedonia, Albania and Kosovo (Rep.). Retrieved http://idmalbania.org/wp-content/uploads/2017/01/Policy-brief_Hidden-Economy-and-Undeclared-Labor-in-Macedonia-Albania-and-Kosovo.pdf

[8]Ibid.

[9] World Population Review. Poorest Countries in Europe 2020. Retrieved from https://worldpopulationreview.com/country-rankings/poorest-countries-in-europe

[10] I. (2017). Kosovo - Life expectancy at birth. Retrieved from https://www.indexmundi.com/facts/kosovo/life-expectancy-at-birth

## 2.2. Economic Context

Kosovar entered transition as one of the poorest economies in the region. The nominal GDP growth is 4.2 for the year 2019.[11] GDP per capita growth from 2000 to 2019 is from US$1,088 to $4,458. Beside to that, Kosovo remains the third-poorest country in Europe in terms of GDP per capita[12]. The contribution of various sectors to GDP is divided in this way: 12.9% agriculture, 22.6% industry and 64.5% come from services.[13] Since the declaration of independence, Kosovo's economic growth has been positive. Even during the global financial crisis on 2007-2008, Kosovo's economy has grown. Kosovo's economy is largely dependent on remittances of its Diaspora. The remittances account about 14% of the GDP and most of the remittances are used for consumption.[14]

Kosovo have a negative trade balance with low exports which has resulted to very high trade deficits. This has certainly led to several challenges which require strong action from several actors. According to a recent report from 2017 by the Government of Kosovo, the country is attempting to prepare the conditions for self-sufficient growth by increasing the domestic productivity and export competitiveness. The main goal of such actions is the reduction of the high unemployment and poverty.[15] Despite to other sectors, ICT remains one of the most rapid growing sector with the positive trade balance, where 78% of already existing companies export their services.[16]

After the war, Kosovo's economic development has started to take place in the trade, retail and construction. The manufacturing sector remained weak and most ex-Yugoslavian factories that were socially owned enterprises were not able to restart the production. Thus, the government started privatization. In the beginning it was thought that the privatization process will attract foreign investments but in reality that was not the case because most of the purchases were done by domestic investments. Therefore, the source of growth mainly was due to demand rather than production. This is reflected from the current account deficit by about 20% of GDP.[17]

According to a study from Heritage Foundation, Kosovo's economy is considered to be moderately free and trade is important to Kosovo's economy. Generally, foreign and domestic investors in Kosovo are treated equally before the law. The financial system is consistently evolving while capital markets are underdeveloped.[18]

The banking sector of Kosovo is solid. The assets of the banks have reached 60% of its GDP. The interest rates on loans were very high (around 16%) until very recently with the clime of risk taking and blame of court effectiveness. However, since the start of bailiffs system, the process of recovering the collateral has shortened and banks have started to reduce the interest rates on loans.[19] Nowadays, the interest

[11]World Bank (2020) Kosovo GDP (%) for the year 2019. Retrieved from https://data.worldbank.org/indicator/NY.GDP.MKTP.KD.ZG?locations=XK&most_recent_value_desc=true

[12] The World Bank In Kosovo (2020). Kosovo profile overview. Retrieved from https://www.worldbank.org/en/country/kosovo/overview#3

[13]Z. (2018, April). Statistikat Ekonomike. Retrieved from http://ask.rks-gov.net/media/3965/bruto-produkti-vendor-tm4-2017.pdf

[14]I. (2012, April). Republic of Kosovo: Request for Stand-By Arrangement—Staff Report; Press Release on the Executive Board Discussion. Retrieved from http://www.imf.org/external/pubs/ft/scr/2012/cr12100.pdf

[15] G. (2016, December). Draft Economic Reform Program (ERP) 2017-2019. Retrieved from http://www.kryeministri-ks.net/repository/docs/Draft_Economic_Reform_Programme_2017-2019_.pdf

16 PwC North Macedonia (2020). ICT Sector study North Macedonia Albania Kosovo

[17]I. (2012, April). Republic of Kosovo: Request for Stand-By Arrangement—Staff Report; Press Release on the Executive Board Discussion. Retrieved from http://www.imf.org/external/pubs/ft/scr/2012/cr12100.pdf

[18] Terry, M., Kim, A., & Roberts, J. (n.d.). 2018 Index of Economic Freedom. The Heritage Foundation.

[19]I. (2012, April). Republic of Kosovo: Request for Stand-By Arrangement—Staff Report; Press Release on the Executive Board Discussion. Retrieved from http://www.imf.org/external/pubs/ft/scr/2012/cr12100.pdf

rate on loans for businesses varies from 6% to 9%. This had a huge effect on the demand for loans. Banking sector improved the payment system substantially and in this way it facilitated the exchange of goods.

One of the main challenges that Kosovo economy faces is grey economy. This problem damages the government's ability to collect more revenues and it deforms the principal fair play in the market. The grey economy accounts around 32% of GDP.[20] Many businesses do not report all their activities because they want to evade taxes. Many employees do not have regular contracts in order to avoid social contribution and income tax. The informality is also maintained by weak institutions that should deal with this challenge.

## 2.3. The relevant national and international stakeholders involved in skills gap training and financing start-ups

In Kosovo there are several stakeholders that are working and having influence on the employment enhancement.

| Organization's name | British Chamber of Commerce Kosovo |
|---|---|
| Kosovo Business Registration Agency | EXPORTERS' ASSOCIATION |
| Kosovo Investment and Enterprise Support Agency (KIESA) | Kosovo Banking Association |
| BUSINESS ALLIANCE OF KOSOVO | INDUSTRIAL PROPERTY OFFICE OF MTI |
| Tax Administration of Kosovo | The Kosovo ICT Association |
| Kosovo Customs | Women in Business |
| Kosova Chamber of Commerce | British Chamber of Commerce |
| German-Kosovo Chamber of Commerce | Universum College |
| American Chamber of Commerce in Kosovo | Gjirafa Inc. |
| Innovations Lab Kosovo | Innovation Center Kosovo |
| Bone Vet | Jakova Innovation Center |

Many of these stakeholders are engaged in activities that promote entrepreneurship. These stakeholders contributed differently on the employment, some provide trainings and grants for SME. Based on the Global Entrepreneurship Monitor report conducted by Universum College[21], it has been reported that 6.3% of the population are willing and able to engage in entrepreneurial activities.

## 3. Methodology

In order to identify the main factors effecting the exclusion of youth from the labor market, this study employs a mix methods approach, including a desk-research, a survey with employers and a survey with prospective employees within the target group. The desk research was mainly focused on macroeconomics data regarding the overall economic, social and political environment in Kosovo. The second type of method used to gather data focused on employers, where the interviews were conducted in conjunction with Kosovo Business Alliance who provided the research team with an exclusive access to their database. In total, 64 senior level representatives from 64 companies where interviewed, where each interview lasted between 12 and 17 minutes. This research method proved to be superior to focus group discussion, as it provided more specific data that relate to skills gap and could be used in developing the best strategy for the inclusion of youth in the labor markets. The second survey with Kosovar citizens who were either unemployed, under-employed, or individuals who are seeking to make changes to their current employment status. In total, 322 citizens representing all

[20] Tota, E. (2016, November 25). Informal economy damages Kosovo's budget. Retrieved from http://www.balkaneu.com/informal-economy-damages-kosovos-budget/

[21] Global Entrepreneurship Monitor report conducted by Universum College. Retraived at https://www.universum-ks.org/en/research-projects/

seven regions of Kosovo filled the survey providing insightful information on what are the main challenges they face in the labor market, skills gap and how could be creating an environment where the skills gap are reduced.

## 3.Results

### 3.1 Assessing Youth Needs

In order to understand the main obstacles youth face in achieving their career goals, respondents were given five different statements and they were able to answer from 1 to 5, where 1 means completely disagree and 5 means completely agree, depending on how much they agreed with the statement. It is worth noting that the majority of respondents (54.30%) agreed they do not know how to write a CV and motivational letter. Respondents either agreed or definitely agreed (64.35%) that they do not know what skills employers seek. Moreover, more than 60% of the respondents either agreed or definitely agreed they do not know how to look for a job. On the other hand, the majority of respondents (65.60%) do believe they have the right education to get the job. The survey also shows that respondents are aware of what they want in carrer, however the data suggest that they should be given a training that helps them develop a CV and also provide them with necessary information to understand what employers seek in potential employees.

Regarding the question about obstacles, respondents were also able to identify fields in which they need help the most. Not surprisingly, the most requested field (87.45%) was acquiring skills necessary to get a job. The second most sought out field (75.67%) was learning how to start their own business. Furthermore, respondent also agreed they need help in learning about existing opportunities and learning about their abilities..

We wanted to test whether there is a correlation between fields the responded needed the most help and their previous trainings. The data shows there is a correlation. Respondents who said they need help in learning how to start their own business also stated that they did not attend similar trainings previously. In addition, those who agreed they need help in acquiring necessary skills to get a job also stated they never received trainings on the same topic. Similarly, respondents who felt they do not need to learn how to write a CV or Motivational Letter also stated they have attended similar trainings before. Thus, we find that tailored training instead of general training is necessary.

Regarding the level of participating in trainings, in total, 23% of the respondents stated that they did not attend any training related to professional development or job seaking skills, which suggest that this might be one of the reasons why they find it difficult to look-for or find a job. On the other hand, 14.9% of the responders believed trainings have a high positive impact, 50.7% medium beneficial effect, and 11.4% of the responded found trainings to have little or no impact in their professional lives. The team of experts sees this as a great opportunity to provide hands-on trainings that are focused on skills employees find necessary to obtain a job.

For the research team it was imperative that we asked the respondents about the way they financed their trainings. In total, 42.9% of the responded attended trainings that were free of charge, while 6.1% stated that trainings were financed by third party affiliates. Only 4.4% of the trainings were financed by employers whilst a whopping 23.6% of respondents stated that they self-financed their trainings. The high number of self-financed trainings is very encouraging as it shows that individuals are willing to pay for trainings which they see as an opportunity to grow and/or possibly find employment.

There are many reasons why respondents did not attend trainings or were unable to attend additional ones, however, the majority cited not being informed on time (32.4%) as the main reason for their absence. As it has been stated in the previous question, financing is an important aspect of attending trainings, thus, 27.7% of the respondents cited high cost trainings as the main reason why they did not attend trainings or are unable to attend additional ones. A quarter of respondents did not attend trainings because they were organized far from home, while 6.1% were unable to attend because

trainings lasted more than the time allowed. Fortunately, only 8.8% of respondents think trainings are not necessary.

Often, the willingness to attend a training is not enough to ensure a clear career pathway that could lead to employment. That is why it is necessary to also choose the right professional field that matches ones skills and also provides one with an opportunity to grow. Respondents had the opportunity to choose between 30 different professional courses that they find interesting and think will improve their career prospects. Because the respondents were allowed to choose up to three professional courses, the results were mixed. More than 51% of respondents would like to attend trainings in foreign languages, while 36.5% of them would like to attend trainings in accounting. In addition, 35.8% of respondents would like to learn more about marketing, while 22.3% are interested in hospitality. Graphic design (18.2%) and Plumbing (16.2%) also scored high.

Drop-out rate of students is a challange. Thus, the length of a training session is one of the main factors to be considered when designing trainings for the trainings to be successful. The majority of respondents (39.20%) believe that a training up-to four weeks would be the most appropriate, while 8.75% of them are willing to commit 5-8 weeks. Almost 30% of the respondents would not like the trainings to last more than two weeks, while 23% of them are willing to commit more than two months. Therefore, findings suggest that trainings should last no longer than 6 weeks in order to maximize their effect.

### 3.2. Assessing and identifying the deficiency of skills

Research team designed and conducted a survey research tailored to assess and identify the deficiency of skills and professional profiles among the job seekers in Kosovo. The survey consisted of four major parts. In the first part of the questionnaire employers were asked to provide general information about the company and the industry. In the second part of the survey, skills and competencies of the current employees, companies were asked to provide information about the set of skills that current employees lack and the types of interventions the companies typically undertake to overcome these challenges. The third part of the survey is designed to shed light on the practices that employers in Kosovo utilize to recruit new staff and the skills and competencies that these companies value the most on the job applicants. The fourth part of the survey consisted on questions that are intended to collect information on the types and availability of professional development trainings that these companies provide to their staff to remedy the skill gap.

#### 3.2.1 The barriers and concerns that employers face while recruiting new staff

Our respondents were subjected to questions which aim to identify the barriers and concerns that businesses in Kosovo face while recruiting new staff.

The most prominent concern that our sampled companies have while recruiting new staff is the unsuitable qualification level of the labor force. The unsuitable qualification in the survey is used to describe the skills that workers lack that were ought to be acquired by the education system, working experience, or the in-house professional development trainings. The second major concern that was identified throughout the research is the attitude of jobseekers and work culture. The quarter of our respondents believe that the behaviors of the employees in terms of work norms and rules, relations with other employees, managers, supervisors is a major concern. The third major concern that is identified on our research is the low salaries in the company. The increase of the salaries in the public sector has made the private sector less attractive for jobseekers. Almost all of the companies on our research represent the private sector and it seems that these companies struggle to attract talented and professional workers due to the low paying salaries.

### 3.2.2 Skills and competencies of the current employees

Respondents were asked about the skills and competencies of their current employees. This part of the questionnaires intended to identify what are the areas and the professional profiles, if any, in which their workers lack the skills and competencies and whether these companies have any program or initiative in place to address this issue. Almost half of the companies (45%) believe that they have current employees that are not able to implement or are not able to implement well enough their duties due to lack of relevant skills. This is furtherly investigated to get more in-depth data. 55% of the respondents confirm that they do not have currently employed anyone who lacks the skills to perform well. These companies are mainly very small family-owned businesses who are not able to afford staff that do not perform well and generate income.

| Please list the type of professions where the skills' shortages are more noticeable for your company. | |
|---|---|
| 1. | ICT |
| 2. | Interior and Exterior Designer |
| 3. | Production line machinist |
| 4. | Food technologist |
| 5. | Accountant |

Respondents who employ staff that are do not perform well due to the lack of skills were asked to list the type of professions where the skills' shortages are more noticeable. Most of the companies listed the profession that maintain companies' computer software, hardware, and internet network. When follow-up questions were asked about the reasons that this type of professional profile came up so often is that the highly qualified individual with ICT background are on high demand by the growing ICT and outsourcing industry in Kosovo. The companies that do software development in Kosovo attract highly qualified and experienced ICT professionals with high salaries and is very hard for other companies to recruit these professions.

The second professional profile that was mentioned often in the questionnaire is the interior and exterior designer. Surely, companies from the construction and architecture industry are increasingly hiring designers and due to the lack of qualified individual, these companies are forced to recruit employees that do not possess the proper skills and competencies to perform well.

The production line machinist and food technologist are the professional profiles that came third and fourth on our research for not performing well due to the skill set. Companies from food and dairy production often hire employees that lack the necessary skills to perform properly. When asked the follow-up questions, these companies claim that these professions are highly deficient in the workforce. The accountant is the fifth most common hired profession despite the skills' shortages.

Regarding the professions that our respondents labeled above with skills shortages we asked about the leading causes that the staff if not enough qualified to carry out their jobs. According to the companies, the leading cause is the lack of experience and that these employees are recently recruited. Typically companies that have more than 50 employees believe that the lack of experience is one of the leading causes for the employees not being enough qualified.

The lack of the on job training (16%) and the insufficient knowledge already at the time of recruitment (16%) are the second leading causes for the employees not being qualified enough to carry out their jobs. The high frequency of changing jobs (13%) is also a significant cause that hinder employees to be highly qualified for a professional profile and carry out their jobs properly. Some of the employers (10%) believe that their employees simply lack the motivation to work and have insufficient ability to learn and consequently it hinder their ability to perform well. Whereas, the majority of the businesses on our sample believe that they do the right recruitment, except for the companies with high rate of part-time employees that claim that the wring recruitment that they do is one of the leading causes that some of the employees are not enough qualified.

In order to understand what typically companies and businesses in Kosovo do to address skills shortages of existing staff our sampled respondents were subject to a follow-up question. Our respondents could choose up to three options. The majority of the respondents (35%) increase trainings for their employees to address the skills shortage of existing staff. 26% of the respondents improve their recruitment procedures to assure that they employ the right employees for the position. This improvement of recruitment procedures is an action that companies with over 200 employees commonly undertake. Only few companies (5%) replace the staff that is now qualified enough as an action to address skills' shortage.

### 3.3 Recruitment for new vacancies

This part of the questionnaire intends to collect information on recruitment practices that companies in Kosovo utilize to recruit new staff. More importantly, this part of the survey identifies the skills and competencies that employers look for at the job applicants. The majority of our sampled businesses and companies utilize acquaintances, relatives and friends (38%) to recommend individuals for their vacancies. This practice is typically common for small and medium businesses. The findings suggests that networking skills are very important for the young job-seekers to possess in order for them to be successful in job hunt since the majority of the employers do not use conventional channels for advertising their vacancies. Announcements in newspaper, job portals, company's website etc. is the second most common method that our sampled companies utilize to recruit new staff. A significant number of the companies (17%) promote other existing workers in the enterprise to fill the vacancies for more senior staff.

Employers in Kosovo need to be assured that job applicants possess the professional skills needed to carry out their job. 20% of companies on our sample believe that the most important skill that they look for when recruiting new staff are the professional skills. SMEs in particular highlighted professional skills as important criteria. The reason for this is supported by the fact that most of the companies do not have in place job trainings and cannot trade soft or personal skills for the professional ones. However, employers also think that professional skills are the most deficit among the job applicants. In the question, which our sampled companies were asked to list the specific skills and criteria are difficult to be found in applicant, 47% chose professional skills.

In line with the above findings that the lack of creativity is a cause for current employees not performing well enough their duties, for employers in Kosovo, the ability of employees to be creative and perceive the world in new ways is the second most valuable skill that they wish to see among the applicants (14%). However, employers in Kosovo (30%) also believe that creativity is hardest skill to find. Employers on our sample prefer to hire candidates that have the ability to communicate effectively in writing and speaking. 12% of our respondents think that communication skills are very important for the job applicants to have, however, only 8% of the respondents believe that communication skills are hard to find among the applicants. This finding suggests that unexperienced job seekers in Kosovo lack more for creativity and job experience rather than communication skills.

For which professions do you anticipate recruitment in the next 12 months?

| | |
|---|---|
| 1. | Sales |
| 2. | Costumer Service |
| 3. | ICT |
| 4. | Designer |
| 5. | Food technologist |

For the next 12 month after the research date, employers subjected to our research anticipate to hire the following positions: Sales, Computer Service, ICT, Designers, and Food technologist. However, 77% of the employers believe that it is going to be challenging for them to find the right people for the abovementioned vacancies.

### 3.4 Trainings

This part of the research intends to collect information about the practices that our sampled businesses and companies use to address the skill and personal profile mismatch.

Most surprising is finding that almost 19% of the employers believe there are no barriers to providing continuous job training, and these companies simply choose not to provide such resources for their employees. However, it is worth mentioning that most the companies who believe there are no barriers to providing training are small companies that have less than 20 employees. Major barriers identified by our sampled respondents is the lack of funds. Many of the companies in Kosovo do not have the financial capacity to provide job training. More than half of the respondents (57%) did not collaborate with other organizations in the past to provide job training, however, more than 74% of the sampled businesses and companies state that they would do if such an opportunity arises.

## 4. Problems effecting the exclusion of youth from the labor market

Based on three research methodologies employed, the following are the main problems effecting the exclusion of youth from the labor market:

### 4.1 Lack of Entrepreneurial Education

Entrepreneurship in Kosovo is experiencing an upward trend and is becoming an important factor of economic development. Being a developing country, Kosovo initially has worked towards building an entrepreneurial community through campaigns, incentives, competitions, and open discussions. Along this way, many organizations, institutions, and companies have contributed in integrating entrepreneurship as a concept in different spheres such as education and public administration. Currently, Kosovo has entered the second phase of developing entrepreneurial skills and competences among the youth by providing programs dedicated to establishing successful SMEs. However, engaging in entrepreneurial activities in Kosovo is still discussed as a necessity rather than as opportunity, thus, the main focus has been on building the ecosystem instead of providing a comprehensive entrepreneurial education that will foster innovation and encourage employment of the youth.

Until 1999, only 5.6% of the population in Kosovo were equipped with an undergraduate degree, however, this number almost doubled (10.8%) recently. This is a result of higher education becoming available to more than 70% of incoming high school students. Moreover, the number of higher education institutions in Kosovo has increased[1]. As a result of this massive expansion, the competition between higher education institutions in Kosovo has become fierce, thus, they are constantly evolving in order to gain a competitive advantage. One of the main advantages they promote is the ability to find employment for their students, once they graduate.

Almost every higher education institution in Kosovo offers business, economics, and computer science programs. Within these programs, students are able to take entrepreneurship courses, however, they are general and mainly theoretical which leaves students unaware of the possibility of engaging in entrepreneurial activities. Therefore, the team of experts suggest that entrepreneurial education in HEIs strengthen and becomes more practical, by allowing professionals rather than academics teach these courses.

### 4.2 Lack of ICT Skills amongst youth

According to a nation-wide survey regarding skills gap conducted by Kosovo Association of Information and Communication Technology, 36% of businesses suggested there is a lack of ICT skills amongst youth. More specifically, lack of network development and software development were cited as the main

1 Kosovo Accreditation Agency http://www.akreditimi-ks.org/new/index.php/sq/2015-09-16-11-39-57/2015-09-16-11-54-07.

problems within the business community. [2] The skills analysis survey conducted by Kosovo Association of Information and Communication Technology finding are similar with our research, where the majority of companies stated that the lack of ICT skills is one of the reasons why potential employees could not get the job or keep the job. Moreover, because of the lack of ICT skills, the demand for this profession will continue to increase, unless there are specific trainings or in-job trainings that could be offered to prospective beneficiaries.

### 4.3 Lack of In-job Trainings

According to Oxford University, 47% of the current jobs will disappear in 25 years as a result of automation and/or changing economic needs.[3] Even currently, companies in Kosovo are struggling to fill open positions not because there are fewer workers looking for employment, but because they do not have the necessary skills and competencies to get the job. Working environments have become very specific, thus, general trainings are not able to reduce the skills gap. One way to overcome this obstacle is in-job training, which allow companies to develop trainings that are specific to their needs. Through these trainings companies are able to increase the productivity of their workers and also contribute to lowering the turnover. Data shows that only 4.4% of the trainings were financed by their employers. This shows lack of investment in Human Capital by private sector in Kosovo.

## 5.Conclusions

Based on a deep analysis with specific research instrument and a wide respondents number, we have come to certain conclusions which may help the stakeholders to take policy decisions and also provide scientific contribution in relation to the context of skills gap and labour market in developing countries.

Related to the main obstacles potential beneficiaries face in achieving their career goals, we conclude that majority of respondents do not know how to write a CV and motivational letter, they lack the knowledge about the skills employers seek, and how to look for a job. Trainings should address the acquiring skills necessary to get a job and start the business. We fond that there is a correlation between fields the respondents needed the most help and their previous trainings.

The most prominent concern that our sampled companies have while recruiting new staff is the unsuitable qualification level of the labor force. The second major concern that was identified throughout the research is the attitude and work culture of jobseekers. The quarter of our respondents believe that the behaviors of the employees in terms of work norms and rules, relations with other employees, managers, supervisors is a major concern. The third major concern that is identified in our research is the low salaries in the company. The increase of the salaries in the public sector has made the private sector less attractive for jobseekers.

Almost half of the companies (45%) believe that they have current employees that are not able to implement or are not to implement well enough their duties due to lack of relevant skiles. The majority of our sampled businesses and companies utilize acquaintances, relatives and friends (38%) to recommend individuals for their vacancies. It is concerning the fact that almost only few of the companies that were subject to our research cooperate with education institutions when it comes to recruiting new staff. We conclude that jobseekers are aware that they need more training, and companies agree that their employees lack qualifications and skills to perform their duties successfully, it is important for educational institutions and companies to collaborate in designing study programs, while taking into account the needs identified on the employees' part. The length of the training influences the dropout rate. Trainings should be tailored.

2 Identifikimi i nevojave të tregut të punës në sektorin e TIK-ut, STIKK, Kosovo, http://stikk.org/fileadmin/user_upload/Skills_Gap_2015__SQ__-_v5__21.12.2015_.pdf

3 Philip, P, 2017, 47% of Jobs Will Disappear in the next 25 Years, According to Oxford University. http://www.easybib.com/reference/guide/apa/website

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# Possibilities for organic agriculture and production of organic products in the territory of Tutrakan Sivo Pole LAG

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**Abstract:** Organic farming, the production of organic products and the application of agri-environmental activities by farmers is established as a global trend in agriculture, which protects nature, on the one hand, and provides safe and healthy food for the population, on the other. The territory of Tutrakan Slivo Pole LAG will have up-to-date information on the opportunities for organic farming, production of organic products and implementation of agri-environmental activities by farmers.

The development of sustainable and competitive agriculture and adding value to local agricultural products is supported by the CLLD Strategy, by supporting labor-intensive agricultural production /fruits, vegetable production, production of essential oils and medicinal crops, animal husbandry/.

Priority support for small farms and assistance for diversification of agricultural production, for the purchase of new equipment, introduction of new technologies.

Supporting young people through opportunities to develop their own business in the field of agriculture.

Need for investments for processing of agricultural products / fruits, vegetables, bee products / in order to add value to agricultural production.

**Key words:** local initiative group /LAG-Tutrakan-Slivo Pole/, potential, opportunities, business, analysis, organic farming, organic products, priority support

## Part I. General information about organic agriculture:

In the last few years, there has been a lot of talk about the development of organic agriculture/farming in Bulgaria.

Organic farming[1] is one of the pillars of the Common Agricultural Policy (CAP) of the EU for the period 2014 – 2020 and an important priority in the policy for agricultural development in Bulgaria.

In "The national strategy for sustainable agricultural development in Bulgaria for the period 2014-2020" is written that "The encouragement of agricultural producers to change to or sustain organic farming, contributes to:

- environmental protection – strengthens agroecosystems, protects biodiversity and provides a chance for future generations to take advantage of the remaining nature;
- production of healthy foods – this form of agriculture answers the needs of the growing number of users, because it uses safe and clear methods of production;
- social effect – creates employment in rural regions and more working places in comparison to conventional agriculture".

For the development of organic agriculture, it is important to know what is meant by this term – this is a comprehensive system approach, founded on a system of processes that lead to sustainable ecosystems, preserve food, good nutritional values, humane attitude towards animal welfare and social fairness.

Characteristics of organic agriculture are the responsible use of energy and natural resources, maintaining biodiversity in the local ecological balance, the conservation and improvement of the soil fertility, humane attitude towards animal welfare and attention towards their specific behavioral needs.

[1] "The national strategy for sustainable agricultural development in Bulgaria for the period 2014-2020"

Organic farming is the cultivation of agricultural products in a natural and native way without the use of all sorts of artificial supplements and enhancers, chemistry or genetically modified organisms. The producers have to guarantee, that the agricultural products have been raised or produced without the use of synthetic substances such as – synthetic fertilizers, pesticides, antibiotics, hormones, regulators for growth, as well as food additives such as preservatives, colorants, artificial sweeteners and other auxiliary substances in processing. The production of this type of products is achieved in accordance to the requirements of specific European and national standards and is a subject of control by certified authorities that can be public and/or private.

Organic production[2] is a collective system for management of agriculture and production of food which combines the best practices in respect to environmental protection, keeping a high degree of biodiversity, protection of natural resources, the application of high standard of humane attitude towards animals and methods of production, compliant in part with the preferences of the consumers towards products, produced by the use of natural substances and processes".

Organic agriculture is a method in plant growing and animal husbandry in which there isn't any use of pesticides, artificial fertilizers, genetically modified organisms, antibiotics and growth hormones but it isn't exhausted by that. In fact, the organic production is a holistic system, which aims to create harmonious relationships just like between people and the environment, also between agriculture and agrarian ecosystem and to ensure the protection of organisms in the soil, plants and domestic animals. The main goal of the organic production is to create farms and enterprises, which are created on the principles of resilient development and contribute to the natural development and preservation of flora and fauna in the environment as a whole.

Main principles and methods according to the definition of organic agriculture is a production system, that is managed in such a way that it can answer specific local needs by integrating cultural, biological and agricultural practices that allow the renewal of resources, strengthen ecological balance and keep biological diversity. Organic agriculture is based on the following principles:

- the farm is perceived as an individual system or "organism" that exists in context of the local ecosystem;
- in organic agriculture, the balance is kept in terms of the relationship inside the system of the farm just as the farm and the local ecosystem;
- in the framework of the farm is maintained a large range of biological diversity to stimulate the battle with parasites and pests;
- the natural biological cycles are used with specific attention been paid to biological cycles and organic substances with a goal to stimulate the formation of humus in the soil;
- maximal use of sunlight energy and a reduction to minimal use of chemicals and compounds.

Organic production in the economic sector, contributing at the same time for reaching the goals of the three UN conventions – on climate change[3], biological diversity[4] and combating desertification[5], and favorable resilient management in 5 out of the 7 ecosystems (arable land, forestry ecosystems, mountainous and hilly ecosystems, dry and arid ecosystems, meadows and pastures).

Organic agriculture implies:

- the use of intermediate cultivation, cultivation with green fertilizers, manure, fertilizers from other farm animals, seed rotation, for the improvement of the fertility of the soil, to increase the biological activity, to keep a good and healthy condition of the soil in the long term scale;

[2] Regulation (EO) № 834/2007

[3] UN Framework Convention on Climate Change

[4] Convention on Biological Diversity

[5] Convention by the UN for combating desertification – European Convention for landscape

- the use of biological control, seed rotation and other techniques to control weeds, insects and diseases;
- steering the attention towards biological diversity in the agrarian system and the environment;
- the use of rotation (taking turns) on pastures and pastures with mixed fodder for animal husbandry, as well as veterinary methods for treatment and the provision of good conditions for the animals;
- the reduction of the imported from abroad substances and compounds and eliminate the use of synthetic pesticides and fertilizers and/or other substances such as hormones, antibiotics and genetically modified organisms;
- steering the attention towards renewable resources, saving the soil and water and similar practices that maintain the ecological balance.

Apart from that organic agriculture encourages a high standard of humane attitude towards animals and the farmers are required to comply with the specific behavioral needs of the animals.

The provisions of the European Union regulation for organic agriculture aim to provide a clear structure for the production of organic products within the entire EU. The aim is to satisfy the consumer demand for reliable organic products, at the same time to provide a fair market for producers, distributers and merchants.

At the moment in The Register for organic agriculture have been registered 3134 operators, which is 50 % of all operators in the system for control[6].

Bulgaria is on second place in the European Union in terms of relative growth in percentages of certified areas for organic agriculture, although our country remains among the last in the Union in proportion of certified areas compared to the total agricultural areas, followed in this index only by Romania, Ireland and Malta. However, for the same period the certified agricultural areas in Bulgaria have increased 4.6 times to 118 552 hectares. This represents 2.4% of all agricultural areas. In 2010, the share was only 0.5%[7].

## Part II. Production of organic products:

Organic production is a notion in which the agricultural product meant for consumption is produced by organic means. Organic production excludes the use of all types of artificial supplements, enhancers and genetically modified organisms. Unlike the so called natural products for which is enough to be produced from natural resources, the requirements towards organic products are much stricter: the exclusion of all sorts of artificial enhancers and ingredients, not only in the processing of the products but in the cultivation of the raw materials, special requirements for the growing environment for the products and others, defined in the relative legislation.

Organic products are divided into two main groups - foods and non-foods. Organic food is a product of organic agriculture, which is raised and processed without the use of synthetic substances in the cultivation such as synthetic fertilizers, pesticides, antibiotics, hormones, regulators for growth just like food additives such as preservatives, colorants, artificial sweeteners and excipients in processing. It is forbidden for organic food the use of genetically modified organisms and their derivatives.

The production of this type of product is performed according to the requirements of specific standards and is a subject of control by certified authorities, which can be public or private (independent). The requirements towards organic products, which are non-foods are the same as towards the foods.

These products can be produced by processing organically raised products, but in this processing has to be avoided the use of artificial compounds. Wide use of these type of products are essential oils, organic cosmetic products, clothes made from organic materials and others. In relation to the economic

6 According to data from http://cap.europe.bg

7 Data from Eurostat, for the period 2010-2015.

direction in which the bio-product is produced, the terms organic and ecological can be used. These terms are completely equivalent.

The main focus in production of organic products in Bulgaria is placed on perennial crops – apples, strawberries, raspberries, plumbs, hazelnuts and rose oils, they are the products which make up the main portion of exports of organic products in the country.

The market for agricultural products is one of the fastest growing markets in the world with a yearly growth of around 15%. The biggest consumers of organic products are North America and Europe. A characteristic of these markets is that the supply is falling behind demand and imports are required, mainly of meat and dairy products from South America, Asia and Australia.

In Bulgaria, the market for organic products although growing rapidly is still very small, with a big portion of production being exported and the more exotic organic products being imported from abroad. The main part of organic marketing is being done by specialized shops and specialized stands in the large chain grocery stores and even some pharmacies.

Certified organic products are marked with special signs which distinguish them from products that are produced by traditional methods.

Organic products are the products of the future – clean of chemicals and fertilizers, tasty, healthy and environmentally friendly.

- The supply of these products on the European and World markets is falling behind the demand. This means there is a niche market for successful implementation on the international market.
- The Bulgarians are becoming more and more concerned and responsible about their health and the health of future generations, just like environmental protection. This means there is a niche market for the successful implementation of organic markets on the internal market.

Strategic documents in Bulgaria, such as The National Agro-ecological Program, The Plan and Development of organic Production (OP) and others, set goals and tasks for the promotion of environmentally friendly methods for agricultural production and organic farming is indicated as a prioritized activity. One of the six practical goals listed there, regarding organic agriculture, is precisely the increase the competitiveness of the products from Bulgarian organic farming, which has a clear priority for organic agriculture on a national level. Key priority in policy for the development of agriculture in the Republic of Bulgaria and one of the accentuations of the CAP for the period 2014-2020 is organic farming. The encouragement for agricultural producers to transfer to or maintain organic agriculture contributes at the same time towards environmental protection, production of healthy foods, creating employment in rural areas and more jobs in comparison to conventional agriculture.

For the agricultural owners to be able to draw benefits from the methods of organic production, the consumers have to trust that the rules for organic agriculture are abided. This is why the EU maintains strict system for control and application of the provisions for organic production in order to guarantee that the rules and are performed properly. As the organic agriculture is part of a larger chain of supply that covers the food industry, distribution and retail industry these activities also are subjected to inspections.

Every country in the EU appoints control authorities that check the engaged people along the chain of organic production. The producers, distributers and merchants of organic products have to register in their local control authority before they receive permission to sell their products as organics.

## Part III. Territory Characteristics:

Plant growing is dominated by production of cereals and industrial crops. The cultivation of vegetables, fruits, essential oil crops, orchards are less than (0.1% of the workable land planted with vegetables, 4.6% perennials and 0.5% with essential oil crops). The CLLD Strategy can support the laborious agricultural productions (vegetable production, orchard production, production of essential oil crops), prioritized to support small agricultural farms and to assist in the diversification of agricultural production, the purchasing of new equipment and the implementation of new technologies.

- The need for assistance has been identified for small livestock farms, breeding large and small sized horned animals and bees, which can be achieved with the CLLD strategy.
- The need for investments towards processing of agricultural crops (fruits, vegetables, bee products) with a goal to add value toward agricultural production.

There are conditions for the development of resilient and competitive agriculture including farms with sensitive sectors with difficult access to the markets and organic production, implementation of energy-saving technologies, improvement of the pre-market preparation and storage of the production.

- Main agricultural indicators of the municipality of Slivo Pole[8]:

According to the information form the municipality of Slivo Pole the workable land in 2016 is 18349.2 hectares. 50 % of the workable areas in the territory of the municipality of Slivo Pole is yearly sown with cereal-grain crops and 40 % with technical crops with a tendency for this trend to continue over the years. The increase in the areas occupied by technical crops is a result of the consumption as a resource by "Astra Bioplant" for the production of biofuel. The areas sown with vegetables are just 0.1% of the workable land. Permanent plantations and orchards take up an area of 738.4 hectares. From 2013 in the town of Ryahovo functions the first farm for cultivation of medicinal essential oil crops – mint 30000 sq. m. and Lemon balm 2000 sq. m. A depo is being built for the collection and drying of herbs with the dryer being built resembling a type of "greenhouse". As a disadvantage of the economic growth can be determined the fact that the processing manufactory hasn't been developed and the cultivated crops are being sold without further processing. To be able to get added value, which would be able to reflect positively towards the profits of the producers, would be appropriate to create processing plants for the processing of the goods produced. Animal husbandry in the region is developing in two ways: on one hand in the conditions of small semi-market farms and on the other – in the conditions of industrial cultivation. In the municipality of Slivo Pole are located three large livestock enterprises in which grow around 70000 pigs. In the private livestock farms the main livestock being raised are large horned animals, small horned animals, poultry and bee families. Beekeeping is well developed with (5758 bee families), but has low added value because it is sold as a raw material and the selling price is very low. The development of animal husbandry in the period under consideration has a characteristic with optimization on the number of enterprises and the animals within them, just like the restructure and modernization with a view on covering the standards of production for quality and safe raw animal materials.

During the past period, continued the re-equipment, consolidation and modernization of dairy farms in relation to the need for compliance with the requirements imposed by the application of the Common Agricultural Policy (CAP). The efforts are focused on increasing the number of farm categorized in the first group. The animal husbandry in the region is developing in two ways: as small semi-market farms and as farms for industrial cultivation. In the municipality of Slivo Pole three large livestock enterprises are located breeding around 70000 pigs. These enterprises discharge wastewater after mechanical cleaning directly into the Danube river and have the largest negative effect on the environment due to the lack of built treatment facilities. However, they are structure-determining for the economy of the municipality of Sivo Pole.

The private livestock farms raise mainly large horned animals, small horned animals and bee families. In the villages of Ryahovo, Golyamo Vranovo, and Borisovo are raised the largest number of animals in family farms.

- Main agricultural indicators of the municipality of Tutrakan[9]:

The area in Tutrakan and its surroundings is on rich and fertile black soil. Nowadays large yields of cereal and industrial crops are produced – wheat, barley, corn, sunflower, beans, sugar cane, tobacco, hemp, soy and vegetables; from orchards – grapes, apricots, peaches and apples.

[8] Data from the Municipality Plan for Development.

[9] Data from the Municipality Plan for Development.

The agricultural production in the municipality is provided by corporations, associations and individual farmers. The agrarian sector has a plant growing - animal husbandry structure. In regards to realized profits from sales of agricultural produce, it has the largest relative share.

The yield from cultivated crops in the municipality of Tutrakan is under the average medium for the region. The average yield in the municipality for wheat is 450 – 500 kilograms from 0.1 hectares, for barley – 470 kilograms from 0.1 hectares, corn 400 – 500 kg. and for sunflower 140 – 150 kg. From the technical crops is cultivated tobacco from the sort "Burley 13 -17" and the yields from it amount to around 150 kilograms from 0.1 hectares.

According to The Yearly Activity Report from municipality department of agriculture – Tutrakan, during 2019 the agricultural fund for the municipality if Tutrakan amounts to 47584.6 hectares from which workable are 28388.5 hectares. The entire forestry fund is 13871.85 hectares.

The data shows, that the main portion of agricultural enterprises in the municipality cultivate under 1 hectare of land. 267 agricultural enterprises cultivate between 1 and 2 hectares, 404 enterprises cultivate between 2 and 10 hectares (average 4 hectares), 130 enterprises cultivate between 10 and 50 hectares (average 19.7 hectares) and 62 agricultural enterprises cultivate over 50 hectares (average 327.7 hectares).

The main agricultural crops that are cultivated in the region are cereal-grain, oil-bearing crops and tobacco. In the municipality represented the perennials.

- Total areas with organically cultivated crops in the territory of the LAG: 12 321 hectares.
- Total number of organic bee families on the territory of the LAG: 6371.

With the made reference in the Register for organic agriculture on the territory of the LAG, there are only 78 organic operators.

It gives the impression that on the territory of the municipality of Tutrakan there are registered under 50 from the 78 organic producers.

85 % of them are producers of organic honey and occupied with organic beekeeping.

75 % are registered organic producers on the territory of the municipality of Slivo Pole and are occupied with the cultivation of organic apricots, walnuts, peaches, cherries, sour cherries, apples, hazelnuts, raspberries, green beans, onion – young and mature plants, carrots, garlic, tomatoes, cucumbers and pears.

- The predominant sown and cultivated areas are filled with organic peaches and apricots.

The natural, climate, geographic conditions, proximity to large cities (Ruse and Silistra) are convenient markets for the agricultural production and the good infrastructure connection determine the agriculture as a sector with serious traditions and possibilities on the territory of LAG – Tutrakan-Slivo Pole mostly in the region of plant growing and orchard growing.

In the last decade of the last century agriculture just like everywhere in Bulgaria was undergoing a serious crisis. From the beginning of the 21$^{st}$ century and especially with the introduction of the European co-financing from CAP, agriculture has stabilized and is entering a period of growth. During the last few years there has been an increase in the subsides for the agricultural enterprises.

The qualities of the workable agricultural land, which takes up more than 70 % of agricultural land in the territory, the favorable climate conditions and the use of irrigation create a framework for the development of successful plant growing.

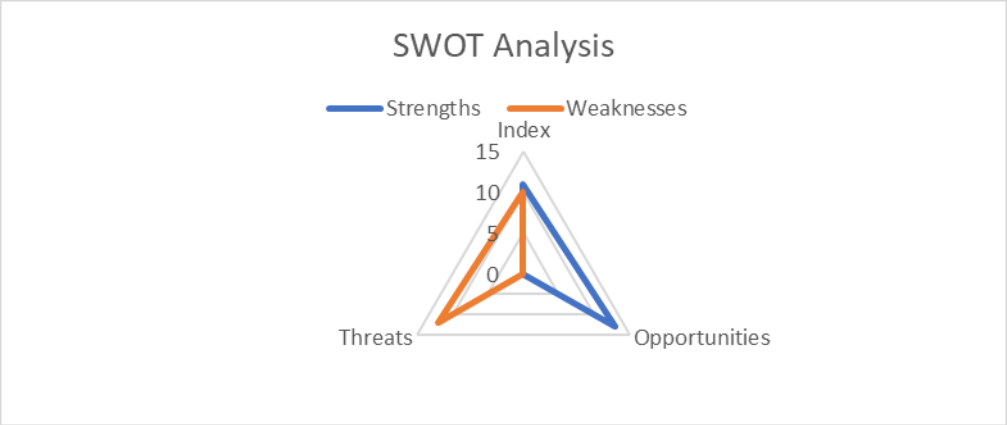
There is a trend for a gradual overcoming the fragmentation of the workable areas and increase in the size of the individual enterprises. If this trend is kept in the future, then it will allow agriculturalists to adhere to stricter and better agricultural practices, to uphold agro-technical requirements for rotating the crops and sowing practices just like environmentally friendly fertilization with the use of vegetable waste.

**SWOT Analysis:**

| **Strengths** | **Weaknesses** |
|---|---|
| **S +14** | **W -10** |
| 1. Availability of ecologically clean territories, favorable climate, rich biodiversity;<br>2. Favorable climate conditions, lack of large industrial polluters, just like in agriculture founded on traditional environmentally friendly practices;<br>3. Favorable climate for the development of orchards and plant growing production.;<br>4. Multiple increase in areas with orchards after the year 2010;<br>5. Strong raw material base for the food industry;<br>6. Base for development of similar productions in the agrarian sector, conditions for renewing and development of traditional productions and activities;<br>7. Leading role in traditions in the areas of pig breeding, grain production, orchards and vegetable production – automated pig farms and cattle breeding farms;<br>8. Base for development of coinciding productions in the agrarian sector, conditions for renewable and development of traditional productions and activities;<br>9. The availability of territorial resources with high agro-biological qualities;<br>10. Experience and traditions in agricultural farming – agriculture and animal husbandry;<br>11. Leading role in traditions in the region of pig breeding, grain production, orchards and vegetable production – automated pig farms and cattle breeding farms;<br>12. Increase in the areas from which are received subsides;<br>13. Development of intensive plant growing, increase of the portion of perennials and gardening. | 1. In the conditions of everlasting climate changes towards dry areas and the lack of a suitable prescriptive system that can activate the creation of associations for aggregation, not applied commonly and the alternative agriculture;<br>2. The lack of interest towards organic farming;<br>3. The lack of enterprises for processing of agricultural production;<br>4. The lack of company structures for connection with agricultural farming for processing of fruit and vegetables;<br>5. Contamination of agricultural lands, used for intensive agriculture mainly with nitrogen and phosphorus fertilizers and compounds for plant protection;<br>6. Contamination of soil from contaminated waters in floods;<br>7. Violation of the soil from erosion;<br>8. Monoculture in the area of agriculture with the cultivation of only cereal-grain and technical crops, small areas with perennials and vegetables;<br>9. Poorly developed logistics infrastructure (markets, exchanges);<br>10. In the plans for development for the municipality of Tutrakan and the municipality of Slivo Pole, nowhere within them was included as a priority or opportunity organic agriculture or organic products. |

| **Opportunities** | **Threats** |
|---|---|
| **O+13** | **T-12** |
| 1. The use of favorable transport – geographic location and the presence of a main transport artery, waterway and harbor;<br>2. Providing the necessary financial resources from national and international programs for the realization of projects on the | 1. Decline in demographic characteristics and unfavorable migration processes;<br>2. Unfavorable economic situation, reflecting on the size of investments in business and job creation;<br>3. Not enough use and opportunities from |

| | |
|---|---|
| territory of the municipality;<br>3. The use of the available financial resource through project towards the LAG;<br>4. The development of organic and irrigational agriculture, vegetable production, orchards and grape growing;<br>5. Development of animal husbandry with high added value, leaving the framework of households and the small farms towards medium to large sized and large farms;<br>6. The conditions for development of the processing industry;<br>7. Diversification of agricultural crops and the promotion of development of organic agriculture;<br>8. Support in the development of resilient and highly efficient agricultural farming;<br>9. Support in the modernization of agriculture and agricultural production;<br>10. The local environment is saved and has a potential for development for organic agriculture and organic products;<br>11. Maintenance of the built irrigation systems and an opportunity to build more with a view of creating more efficient and productive agriculture;<br>12. Assistance from the LAG for providing funding for agricultural producers;<br>13. The increasing understanding of the community about organic products and their demand. | European funds and programs;<br>4. Pollution of the environment from anthropogenic and other factors;<br>5. Barriers for development on organic agriculture in the investigated region;<br>6. High costs for certification;<br>7. High costs for organic compounds and fertilizers;<br>8. High risk and losses;<br>9. Limited market for production;<br>10. Lack of organic agriculturalists;<br>11. Unwillingness of financing from banks for unestablished organic producers;<br>12. The absence of industry for processing of agricultural production keeps the purchase prices at a low level, “encourages” intermediate trade and will continue to deny the municipality’s economy from extra domestic product and work places. |




Agricultural farming is one of the structure-determining industries in the regional economy on the territory of Tutrakan and Slivo Pole municipalities.

The favorable combination of fertile soil types, climate conditions and geographic characteristics are prerequisit for development in the region as an intensive agricultural zone and the longevity of history tradition in plant growing and animal husbandry determine agricultural farming as a prioritized industry.

The favorable combination of the nature and climate conditions determine the high degree of development. It is overlapped in a large part by the populated areas in the territory and it has a very important role and meaning in the entire development.

Organic agriculture has an important contribution for achieving resilience not only on a national, but on a regional level of development. It preserves in a high degree the natural resources, strengthens agroecosystems, protects bio-diversity and gives the opportunity to future generations to take advantage of the preserved nature. This form of agriculture answers the needs of the growing number of consumers, because it uses safe and clear methods in production and at the same time creates more working places then conventional agriculture.

In our day to day lives the more frequent use of terms such as “biological/organic food” and biological/organic agriculture”, behind which actually stands what always was called only “food” or “agriculture”.

In the territory of the LAG just like in Bulgaria, the need for development in organic agriculture is faced with the following problems within the modern Bulgarian agriculture:

- Concentration and specialization of production – disruption of biological equilibrium in nature;
- Lower biological diversity and the destruction of beneficial types;
- Resilient pests towards chemical agents and deepening of ecological problems;
- Fragmentation of the land;
- Outdated equipment and buildings, not matching the requirements and standards of the EU;
- Lack of or too much use of compounds for growth defense without regarding the soil and climate features of the region;
- Inability to assimilate funds from the EU for assistance towards agricultural producers – lack of information and learning.

On the territory of the LAG there should be assistance towards diversification of organic productions by including towards them a tourist component, trusting the gained experience in Bulgarian rural tourism, local producers can learn the positive sides of these productions and a base can be created for increasing their consumption. This also can help the increase in employment in rural regions and it will make it more attractive for young people to join the sector.

The organic productions hold potential to help the development of the territory of the LAG, including bring to life the smallest populated areas in it.

The necessity of a clean environment for production in organic agriculture coincides with the offered possibilities of the region. This allows us to conclude that organic agriculture could play an important role in the development of rural areas in the future, with adequately directed industrial support and sector politics.

## Part IV. Good European practices in the field of organic agriculture:

Over the last few years, the questions about ecological and social-economical aspects have turned organic agriculture into the main direction for resilient development of rural areas. The growing concern about depopulation of rural areas, widespread poverty amongst the rural population and the un-argued use of natural resources bring forth the key question – to provide at the same time environmentally saving and economically effective agricultural production.

“Good practices” is a term from the European legislation that is used as a process or methodology, providing the most efficient ratio in action/result and the highest achievement of set goals.

In the region of organic farming exist methodologies and activities defined as “good” which can be popularized and implemented by all countries that are members of the EU together with their personal experience.

- Applicable good practices, suitable for the territory of the LAG:

- Project for organic agriculture in Belgium: www.west-vlaanderen.be/leader

Even before that beginning of the program Leader+, the local agricultural producers had begun to cooperate so they can launch their organic products. Due to their ideas potentially being able to help achieving the strategy for diversification of activities in agricultural farming and ecological resilience, the group received subsidiaries by Leader+ for the implementation of their ideas.

Producers of organic agricultural products and gardeners on the territory of the LAG, created a cooperative for the encouragement of sales of regional organic products. Apart from periodical meetings for the exchange of good practices, the agricultural producers undertook some collective marketing strategies like the creation of a calendar with all agricultural producers in the project, the creation of a common market stands and the organization of a cycling tour with stops in the participating farms. Every activity is the responsibility of a member of the group.

The main achievements are:

- Common market brand (logo) for regional organic products
- Internet page www.biobrugsommeland.be
- Preparation of billboards for advertisement at fairs, markets and other marketing events. Advertising materials, brochures and calendar
- Collaboration in the purchasing of environmentally friendly packaging

The common result being that organic agriculture and the local organic products are now more famous in the region. Increased cooperation exists between bio-producers and gardeners with more and more agricultural producers using environmentally friendly packaging.

- The French experience - AMAP

In the foundations of every AMAP is a contract between one farmer (most commonly vegetable producer near a city zone) and a group of 80 - 150 consumers/families. The most important element for the functioning of the system is the common trust. The consumers buy in advance all or part of the production from the farm for the season at a fixed price, agreed with the farmer. The paid price includes all expenses on the farm (seeds, fertilizers, water, maintenance of inventory and machinery, staff and etc.) – fair price for the vegetables, guarantees a decent life for the farmer and their family. The consumers are obliged to support the farm during the season, to share the risks and benefits from production of organic vegetables. The farmer is obliged to produce organic products (fruits, cheese, meat) and to offer maximally large diversity of products and also to cultivate with priority old and local sorts. The farmer is obliged to deliver once a week, freshly picked vegetables for the group of consumers to the previously organized place (in the farm, in a shop, in the school yard).

Meeting of the group participating in AMAP contract – once a week. Every week the farmer meets the group of consumers at the allocated for delivery place. The farmer delivers the production from the week agreed upon the contract (for example the potatoes are not to be washed and the carrots to be with the leaves). The families divide the vegetables, delivered in crates from the farm.

- Resilient local development for providing employment and prosperity Greece through Organic agriculture and animal husbandry: www.anavra-zo.gr/en

The village of Anavra in southern Greece accepted a program for green development in the middle of the 1990's, when the multitude of small animal breeders formed a cooperation.

At the moment in the village, there are three large farms with 25 thousand heads of livestock, sheep, goats, cattle and pigs. The village has opened its own slaughter house and sells organic meat that meets all the requirements. Apart from that, the people collectively invest in wind turbines, they have already 20 "fins" with a combined power of 17.5 megawatts. Only one of them earns the village 60 thousand euros in yearly income.

The residents of Anavra have constructed their own ecological and cultural park spanning 100 hectares, which also attracts tourists and creates working places. Common funds have been used to build a medical center, sports grounds, a shelter for homeless, aged care building. The unemployment in the village is at zero, the number of residents in Anavra has increased from 300 to 550 between the years 2000 and 2010.

Zero unemployment, increase in the population, extra income for the village in the amount of 60000 euros a year, new infrastructure and better standard of living.

- Organic farm for laying hens – Oberger in Austria: https://noe.lko.at/?%20Bio-Eier-statt-Milchkuehe-Landwirtschaftskammer-Betriebsr...

An Austrian family, after it sees better opportunities for market realization, converts its farm for milk into a farm for laying hens so it can produce organic eggs.

The Oberger family in Austria decided to convert their milk production into a production for organic eggs, because of the low purchasing prices of the milk and the growing demand for organic products. They also aim for lesser physical and labor-intensive production methods.

The family built a modern barn (hall) for organic production of eggs that can fit 6000 organic laying hens during the year 2015. They also create a covered outside area and implement measures for better conditions for the chicken such as dust baths.

Results:

- A built organic barn that can fit 6000 laying hens and also an outside area, undertaken measures for the better conditions of the laying hens.
- The family delivers 5500 organic eggs a day to the company "Schlögl Ei", which sells them.
- The family expects the barn to be paid off after 20 years, after an investment of 830000 euros (from which around 740000 euros are gross costs for the project, including 120000 euros from the EU and national level).
    - The concept LSPPC (Local and Solidarity based Partnership between Producers and Consumers):

Local and solidarity based partnership between producers and consumers or otherwise known as “solidary agriculture”. This is a form of production and sales of organic foods, widespread in all economically developed countries in our days. This conception includes – a new working method for farmers; - new consumption trend towards consumers; very tight cooperation between farmers and consumers.

The core of the partnership usually is a vegetable farm with 2-3 hectares of workable land. Around the farm is formed a constant group of consumers (60 – 80 families). Gradually the consumers self-organize into an association on a voluntary principle, receiving the whole produce from the farms vegetable production, dividing it amongst themselves. The farmer only has to cultivate it, to gather and deliver it (once or twice weekly) at the allocated place. At the beginning of every year, a representative from the consumers together with the farmer plan the production for the year ahead.

The farmer presents their budget to the association in which are included all of their expenses during the year (seeds, fertilizers, compounds, machinery, fuel, water, income for the farm and so on). The association signs a contract with the famer and collects in advance the required money. Gradually towards the vegetables are added other organic products from other farms in the region – fruits, milk, meat, bread, wine. This way the families that are members of these associations are able to procure almost all foods with organic quality from local producers at low prices.

## Part V. Producers on the territory of the LAG to commence organic agriculture – possibilities and resistance:

- Requires less investments and respectively is easier for starting and making a business.

Organic agriculture really needs a much smaller initial capital and smaller patches of land, which makes it financially more available, especially for the novice farmers.

- Productional expenses are lower, because the funds for mechanization and outside resources are reduced to a minimum. The use of chemicals that are unbearable for a large part of small producers are forbidden.

In many of the organic farms, there is a closed circle of production – they make their own fertilizers and fodder, or they use the animals for a specific type of plowing, or cleaning of the plots from decaying plants by which they save entirely from outside expenses. So in practice organic agriculture contributes economic resilience to the smaller agricultural farms, also to the small enterprises from the food-taste processing industry that use as resources the production from organic farms.

On the other hand, this business also requires investments, more serious organization and production, better qualifications for the owners and a larger work force. The output from organic productions are lower, the profit is lesser and the prices of the goods are higher.

- In regards to the business with organic products, it has to be noted that on the market for organic food for the time being, there is less competition and less intermediaries, which is favorable for the bio-producers – very often they sell the production by themselves in special shops, at farmers' markets or directly to the consumers.

Another factor to consider is the smaller investments and the better positive image of the organic production which needs less advertising in comparison to conventional food products.

- The plots and the terrains for organic agriculture are very small

The organic producers need their own land to a much greater extent in comparison to conventional agriculture, but at the same time, workable areas and the holdings are very small, rather of the type of family farms, which are in abundance in the region. The properties for organic agriculture have to be in environmentally clean regions, far from industrial enterprises, which pollute the soil, the water and the air, which are also plenty in number on the territory of the LAG.

- Creating more work places

The nature of the organic agriculture, transforms it into a factor for the creation of work places for a number of reason: - by principle the organic enterprises are smaller than the conventional ones and develop existentially when most commonly they don't have a lot of mechanical equipment, but rely on hand labor; - the methods of organic production require more physical and mechanical processing, because it is forbidden to use herbicides and pesticides; - the harvesting of the crops is also done by hand and this also creates seasonal work; - uses the resources of unqualified laborers, which aren't employed in the other economic sectors.

## Part VI. Economic perspectives in Bulgaria and in the EU for the years 2021 – 2027:

Organic agriculture is a perspective niche for the development of the Bulgarian economy.

The only competitive sector in Bulgaria, in respect to quantity on the world agricultural markets is the grain production, which isn't enough.

The remaining sectors of agricultural farming in the country are subjected to sharp competition from the countries in the EU, including price suppression on ready produce which is usually imported.

With the unique climate features and the preserved in environmental terms regions, also the fragmented ownership of the land, Bulgaria can still strive towards a more boutique production on

organic foods and resources for export and to satisfy the local needs. Organic agriculture can become a profitable business on a national level.

It is important to note the fact that for the first time in the history of the EU, organic agriculture has been put forth as a main priority in the Common Agricultural Policy (CAP) 2014 – 2020 and it will be prioritized with assistance in financial respect with different programs and subsidies.

The market for organic foods is also growing in Bulgaria and around the world.

The consumer trust towards the organic production is growing, which predetermines the growing markets. The consumers become more literate, better informed and more cautious in regards to their health and the food that they eat. More and more people avoid produce that has been processed with harmful substances – pesticides, nitrates, antibiotics. The harms on the health of the people can be short term – allergies, poisonings, but can also be long term – developing more serious illnesses subsequently, growth impairment or reproduction abilities. The consumers become more concerned about environmental protection for future generations.

Organic agriculture assists resilient growth for rural regions.

Organic agriculture represents a profitable alternative for local economic growth and resilient agricultural farming, because the producers of organic production on the one hand have better conditions to start a small business and on the other are more willing to sell more on the local markets. Organic agriculture creates local business, stimulates the food-taste and other processing industries, interacts with the development with tourism especially in alternative forms, expands the local market, creates additional working places and saves the villages from depopulation. Mono-cultural agriculture isn't allowed in organic agriculture and there isn't a risk of overproduction of a certain crop, which is observed in many parts of the developed agricultural farming in the country. This realizes competitiveness and diversity of the markets.

It is expected on the 1st of January 2022[10] to enter into use the new legislation in the region of organic production. The aim for the new regulation is to guarantee loyal competition between agricultural farmers. With the implementation of the CAP after the year 2020, there is an expectation for a transition towards completely resilient agricultural sector and the development of viable rural regions, providing certain, safe and high quality foods:

- Introduction to conservational agriculture
- Choice of suitable sorts, adaptable towards changing climate
- Management of the elements of the landscape, pastures and agroforestry, as well as the conservation and restoration of biological diversity.
- Introducing high standards of humane attitude towards the animals.
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# Uluslararası Gerilimin Artmasında Bir Faktör Olarak Silahlanma

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**Özet:** Uluslararası siyasetin acil sorunlarından biri olan silahlanma, dinamik bir süreçtir. Silahların yayılması politikasında ekonomik faktörlerin rolü büyüktür. Şu anda, silah üretimi ve satışı birçok ülkenin ekonomisinde önemli bir rol oynamaktadır. Silah satışından elde edilen gelir, bazı ülkelerin milli gelirini şekillendirmede güçlü bir faktördür. Artan askeri harcamalar ve silahlanma ihtiyacı birçok faktöre bağlıdır: jeopolitik hırslar, sıcak noktalar ve dünyanın dört bir yanındaki donmuş çatışmalar, rekabet ortamı ve savaş riski; küresel ekonomik krizler vb.Silahlar yasal ve yasa dışı olarak yayılır. Silahlanma genel gerilimleri, silahlı çatışmaları, nükleer savaş tehdidini artırıyor ve dünyadaki sosyo-politik süreçleri yavaşlatıyor. İkinci Dünya Savaşı'ndan sonra, devletler arasındaki güvensizlik, silahlı kuvvetlerin güçlendirilmesine olan ilgiyi artırdı. Savaştan sonra ABD, Sovyetler Birliği'ne karşı tam avantaj elde etmek için onu hedef aldı ve Soğuk Savaş silahlanma yarışına ivme kazandırdı. Bazıları silahlanmayı devlet yapıları tarafından düzenlenen bir politika olarak yorumluyor. Askeri harcamalar, ekonomik geri kalmışlık ve açlıktan muzdarip insanlara sağlanan yardımın yüzlerce katıdır. Dünyada askeri harcamaların % 8-10'u açlık, cehalet ve salgın hastalıkların önüne geçmeye yetiyor. Silahlı devletler, siyasi stratejilerinde ciddi değişiklikler yapmaya teşvik edilmektedir. Modern zamanlarda, bölgesel ve yerel anlaşmazlıklar devletler ve halklar arasındaki askeri çatışmaları artırmaktadır. Silah üretimi sırasında ortaya çıkan zararlı atıklar, nüfus ve çevre sağlığı üzerinde olumsuz etkilere sahiptir. Dünyadaki 10 silah şirketinden yedisi Amerika Birleşik Devletleri'ne aittir. Dünyanın en güçlü 20 teknoloji şirketi Amerika Birleşik Devletleri (% 75) ve Çin'de (% 25) bulunmaktadır. Uluslararası Bilim Komisyonu'na göre, dünyadaki nükleer silahların% 90'ı Avrupa, Asya ve Kuzey Amerika'da, % 10'u Afrika, Latin Amerika ve Okyanusya'da patlayarak 1,15 milyar insanı öldürdü ve 1,1 milyar tedavi edilemez hastalığa neden oldu. Nükleer savaşta kazanan yoktur. Modern silahlar, insan varoluşu için büyük bir tehdittir. Bu nedenle dünya halkları ve devletleri, barışı, sükuneti koruyarak, karşılıklı ilişkileri güçlendirerek ve sağduyuya dayalı olarak gezegenin fiziksel bütünlüğünü sağlayabilir.

**Anahtar Kelimeler:** silahlanma, silah üretimi, askeri harcamalar, nükleer silahlar, nükleer test

# Arming As A Factor In Increasing International Tension

**Abstract:** One of the urgent problems of international politics, arming is a dynamic process. The role of economic factors in the policy of arms expansion is great. Today, arms production and sales play an important role in the economies of many countries. Proceeds from the sale of weapons are a powerful factor in shaping the national income of some countries. The increase in military spending and the demand for arming are due to a number of factors: geopolitical ambitions, presence of hotspots and frozen conflicts in the world;competitive environment and risk of war;global economic crises, etc.

Weapons are spread legally and illegally. Arming increase general tensions, armed conflicts, the threat of nuclear war and slow down the socio-political processes in the world. After the Second World War, mistrust between states increased the focus on strengthening the armed forces. After the war, the United States targeted the USSR in order to gain full control over it, and the Cold War gave impetus to the arms race. Some interpret arming as a policy regulated by state structures. Military spending is hundreds of times greater than the amount of aid provided to people suffering from economic backwardness and starvation. 8-10% of military expenditures are enough to prevent hunger, illiteracy and epidemics in the world. Arming urged states to make serious changes in their political strategies. In modern times, regional and local disputes increase military conflicts between states and peoples. Harmful waste generated during the production of weapons has a negative impact on the health of the population and the environment. Seven of the world's 10 Arms-producing companies belong to the United States. The 20 strongest technology companies in the world are located in the United States (75%) and China (25%). According to the International Scientific Commission, 90% of the world's nuclear weapons explosion in Europe, Asia and North America, and 10% in Africa, Latin America and Oceania, could kill 1.15 billion people and may cause 1.1 billion incurable diseases. There is no winner part in nuclear war. Modern weapons are a great threat to human existence. Therefore, the peoples and states of the world can ensure the physical integrity of the planet by maintaining peace, tranquility, strengthening mutual relations and based on common sense.

**Keywords:** arming, arm-production, military spending, nuclear weapons, nuclear testing

## GİRİŞ

Acil bir sorun olan silahlanma dinamik bir süreçtir. Silahlanmanın genişlemesinde ekonomik faktörlerin rolü büyüktür. Şu anda, silah üretimi ve satışı birçok ülkenin ekonomisinde önemli bir rol oynamaktadır. Silah satışından elde edilen gelir, bazı ülkelerin milli gelirini oluşturmaktadır. Silahlar yasal ve yasa dışı olarak yayılır. Yasal yol, devletler arasındaki askeri anlaşmalara ve modern silahların takas satışına dayanıyor. Yasadışı yol, küresel bir işletme türü haline gelen ve kısmen devlet kurumlarıyla ilgili olan grupların faaliyetleriyle ilgilidir. Ne yazık ki, bu tür işler eyalet düzeyinde ticaretten daha fazlasıdır. Silahlanma genel gerilimi, silahlı çatışmaları, nükleer savaş tehdidini artırıyor ve dünyadaki sosyo-politik süreçleri yavaşlatıyor.

İkinci Dünya Savaşı'ndan sonra, devletler arasındaki güvensizlik, silahlı kuvvetlerin güçlendirilmesine olan ilgiyi artırdı. H. Kissinger bu konuda şunları yazdı: "Daha önce hiç bu kadar fazla güç birikmemişti ve şimdiye kadar bu güç bu kadar az kullanılmamıştı."

Şu anda askeri harcamalar, ekonomik geri kalmışlık ve açlıktan muzdarip insanlara sağlanan yardım miktarından kat kat fazla. Dünyada askeri harcamaların% 8-10'u açlık, cehalet ve salgın hastalıkların önüne geçmeye yetiyor.

Her devlet, yabancı askeri tehditleri önlemek, askeri müdahaleye karşı korumak, modern askeri güçlere hakim olmak için savunma sistemini güçlendirmeye ve silahlanma yoluyla askeri güç elde etmeye çalışır. Askeri güç, toplumun siyasi sistemine ve dinamik gelişimine, siyasi karar alma mekanizmasına ve diplomasinin gücüne bağlıdır.

## 1. SILAHLANMA IHTIYACINI BELIRLEYEN FAKTÖRLER

İkinci Dünya Savaşı'ndan sonra ABD, SSCB'ye karşı tam avantaj elde etmek için onu hedef aldı. Soğuk Savaş silahlanma yarışına ivme kazandırdı. ABD'nin 1946-1948'de hazırlanan "Totaliti", "Pincher", "Broiler" ve "Sizl" planlarına göre SSCB'nin 70 şehrine 133 bomba atılacaktı. Bu amaçla, ABD askeri-sanayi kompleksi 200 atom bombası üretmek zorunda kaldı, bu da sanayinin% 40'ının ve 7 milyon insanın yok edilmesi anlamına geliyordu. 1948 ile 1987 arasında ABD askeri harcamaları 7.62 trilyon dolara ulaştı. Ancak, Birleşik Devletler bu maliyetlerle yeniden inşa edilebilir. Amerika Birleşik Devletleri 1945'te bir atom bombası, 1952'de kıtalararası bir bombardıman filosu yarattı ve nükleer silahları test etti. 1980'lerin başında, 132 bombardıman uçağından oluşan ABD Donanması yaklaşık 22 milyar dolara mal oldu, ancak 1990'ların sonunda 80 milyar dolara ihtiyacı vardı. 1946'da ABD Atom Enerjisi Yasası, nükleer silahları askeri cephaneliğinin önemli bir bileşeni olarak listeledi.

SSCB'nin 1949'daki ilk nükleer testi, iki süper gücün silahlanmasını hızlandırdı. Brejnev iktidarının son yıllarında SSCB'de bulunan silahlarla dünyayı 18-20 kez yok etmek mümkündü.

Kasım 1991'de ABD'nin Houston kentindeki Petrol Enstitüsü'nün yıldönümü etkinliğinde "SSCB'yi Nasıl Yıktık" başlıklı konuşmasında Thatcher, Sovyetler Birliği'nin Batı dünyası için ciddi bir tehdit olduğunu kaydetti. Batılı ülkelerin bütçelerinin% 5'ini silahlanmaya ve% 15'ini SSCB'ye harcadıklarını, Batı silahlanmasına ilişkin bilgileri kasıtlı olarak abarttıklarını ve SSCB'nin silahlanmaya daha fazla fon ayırmasını sağladıklarını söyledi. (http://www.168.az/news/analyties/7478)

Bazıları silahlanmayı devlet yapıları tarafından düzenlenen bir politika olarak yorumluyor. 2020'de, dünyanın tüm ülkeleri tarafından silahlanma ve diğer askeri amaçlara yapılan harcamalar 1.8 trilyon doları aştı (dünya GSYİH'sinin% 2'sinden fazlası). 10 ülkede askeri harcamalar toplam dünya harcamalarının yaklaşık% 75'ini oluşturmaktadır (Tablo 1).

Tablo 1

| № | Eyaletler | Askeri bütçe (dolarla) | ÜDM-də hərbi büdcənin payı ( %-lə) |
|---|---|---|---|
| 1 | Amerika Birleşik Devletleri | 649 milyar | 3.2 |
| 2 | İblis | 178.8 milyar | 1.9 |

| | | | |
|---|---|---|---|
| 3 | Suudi Arabistan | 67.5 milyar | 8.8 |
| 4 | Hindistan | 66.5 milyar | 2.4 |
| 5 | Fransa | 63.7milyar | 2.3 |
| 6 | Rusya | 61.3 milyar | 3.9 |
| 7 | Büyük Britaniya | 49.9 milyar | 2 |
| 8 | Almanya | 49.7 milyar | 2 |
| 9 | Japonya | 46 milyar | 2 |
| 10 | Güney Kore | 43 milyar | 2.6 |

Not: Bu rakamlar 2020 için geçerlidir

ABD, Sovyetler Birliği'nin dağılmasının ardından 1990'larda askeri bütçesini 400 milyar dolara düşürse de, 2000'li yılların başında artan küresel terör tehditleri ve Orta Doğu'da yaşanan gerilimler, askeri bütçesini 650 milyar dolara çıkarmaya zorladı.ABD ile Çin, İran ve diğer ülkeler arasındaki gerilimlerin bir sonucu olarak, 2020'deki askeri harcamaları küresel askeri harcamaların% 30'undan fazlasını (649 milyar $) oluşturdu.

Çin, 2007 yılından bu yana askeri bütçesiyle 10 ülke arasında ikinci sırada yer almaktadır. Askeri bütçesinin büyümesi, ekonominin hızlı gelişmesinden kaynaklanıyor. Çin'in GSYİH'sindeki askeri harcamaların payı% 1,7-1,9 (250 milyar) ile sabit kaldı. 2020'de Çin'in askeri harcamaları dünya askeri harcamalarının% 14'ünü karşılayacak.

1998-2000 arasında Orta Doğu, Suriye, Ürdün, Suudi Arabistan ve İsrail'deki askeri harcamalar% 12'den% 35'e yükseldi. Bu dönemde bölge ülkeleri GSYİH'nın% 13-29'unu askeri amaçlara harcarken, Suudi Arabistan askeri harcamalarda dünyada üçüncü sırada yer almaktadır. Stockholm Uluslararası Barış Araştırma Enstitüsü'ne göre, ülke 2015'te 87 milyar dolardan fazla ve 2020'de 67.5 milyar dolardan fazla harcadı. 30 milyonluk bir ülke için bu rakam militarize bir devlet olduğunu kanıtlıyor.18 Şubat 2019'da Amerika Birleşik Devletleri ile Birleşik Arap Emirlikleri arasındaki 33 anlaşma, 3,3 milyar dolarlık silaha erişim sağladı. Öte yandan Türkiye, İran, Pakistan ve Suudi Arabistan arasında Ortadoğu'da ve Müslüman dünyasında liderlik için şiddetli bir mücadele var. IŞİD'in Suudi Arabistan'a yönelik tehditleri de onu askeri yeteneklerini artırmaya teşvik ediyor.

Gelişmiş ülkelerde, askeri harcamalar GSYİH'nin% 3,7'sini ve gelişmekte olan ülkelerde% 7'den fazlasını oluşturmaktadır. Uluslararası kuruluşlara göre ülkeler bu amaçla yılda 130-150 milyar dolar harcıyor.

I ve II Dünya Savaşları arasında, dünyada yaklaşık 60 çatışma vardı. İkinci Dünya Savaşı 4 trilyon dolara mal oldu ve 1.38 trilyon dolardan fazlaya mal oldu.

Modern zamanlarda, bölgesel ve yerel anlaşmazlıklar devletler ve halklar arasında askeri çatışmalara dönüşür (1983'te Falkland Adaları (Malvinas) üzerinde Britanya-Arjantin Savaşı, 1990'da Irak-Kuveyt, 1990'da Yunanistan-Türkiye, Kıbrıs, Kıbrıs, Cemmu ve Keşmir) Hindistan-Pakistan, Güney Çin Denizi'ndeki Spratly ve Paracel Adaları üzerinden Çin-Vietnam, Çin-Hindistan, Çin-Tayvan, Rusya-Japonya Kuril Adaları konusunda anlaşmazlık, 1994'ten beri Yemen'de silahlı çatışma ve dini, etnik Hindistan, Sri Lanka, Bangladeş, Afganistan, Lübnan, Kamboçya, Laos, Myanmar, Endonezya, Filipinler ve Türkiye, Irak ve İran'daki Kürdistan konusunda anlaşmazlıklar).

2007-2011'de silah arzı önceki 5 yıla göre% 24 arttı. Asya, küresel silah ithalatının% 44'ünü ve Orta Doğu% 17'sini oluşturuyor. Hindistan, Kore Cumhuriyeti, Pakistan, Çin, Suudi Arabistan ve Venezuela önde gelen silah ithalatçılarıdır.

Hindistan'ın ekonomik gelişimi ve Pakistan ile gergin ilişkileri nedeniyle askeri harcamaları 66,5 milyar dolara ulaştı.

2013-2014'te Rusya askeri bütçe açısından üçüncü sıradayken, 2020'de savunma bütçesi azaldı (61,3 milyar oldu). Batılı uzmanlar bu gerçeğe şüpheyle yaklaşıyorlar. 2020'de Rusya Savunma Bakanlığı, stratejik nükleer kuvvetlerin arazi, hava ve deniz bileşenlerinin yeteneklerini artırmaya odaklanan çeşitli ölçeklerde 4.800'den fazla tatbikat ve 9.000'den fazla pratik muharebe eğitimi gerçekleştirdi.

Güney Kore ile komşusu Kore Demokratik Halk Cumhuriyeti arasındaki gerilimler ve Asya bölgesinde artan savunma harcamaları, Güney Kore'nin askeri harcamalarını 43 milyar dolara (gayri safi yurtiçi hasılanın% 2.6'sı) koydu.

2020 yılında Azerbaycan'ın askeri bütçesi 3 milyar 853 milyon manat, Ermenistan'ın askeri bütçesi ise 625 milyon dolardı.

## 2. SILAHLANMANIN OLUŞTURDUĞU TEHDITLER

1980'lere kadar, araştırmacılar, silahlanma maliyetinin yılda 1 milyar insanı besleyebileceği veya 500 milyon insana barınma sağlayabileceği sonucuna vardılar. Trident-1 denizaltısı, Amerika Birleşik Devletleri'nde 400.000 kişiye ve bir bombardıman uçağı için 250.000 öğretmene konut sağlayabilir. Silahlanma ve dönüşüm, kitlesel işsizliğe katkıda bulunan faktörlerdir. ABD Kongresi bütçe bürosuna göre askeri sanayiye 10 milyar dolar harcanarak 40 bin istihdam yaratılabiliyor.

Silahlı devletler, siyasi stratejilerinde ciddi değişiklikler yapmaya teşvik edilmektedir. Büyük orduları tutmayı reddeden İsviçre ve Danimarka, potansiyellerini ekonomik toparlanmaya odakladı. Japonya, son yedi yılda askeri harcamalarını 10 kat artırdı. II Dünya Savaşı'ndan sonra, demokratik güçlerin savaşa ve nükleer silahlara karşı kitlesel hareketi, Japonya'yı nükleer silahlardan, bunların üretiminden ve konuşlandırılmasından vazgeçmeye ve tarafsız bir pozisyon almaya sevk etti. Tek maddelik bir anayasa olan Bölüm II (Madde 9), uluslararası anlaşmazlıkları çözmenin bir yolu olarak Japonya'nın savaştan kalıcı olarak vazgeçmesini sağlar. Japonya, Birleşik Krallık ve Almanya son yıllarda askeri harcamalarını azaltmış olsalar da askeri harcamalar açısından hala ilk 10 ülke arasında yer alıyorlar.

BM, Ekim 2020'de İran'a yönelik 2007 silah ambargosunu kaldırdı. Silah üretimi sırasında ortaya çıkan zararlı atıklar, nüfus ve çevre sağlığı üzerinde olumsuz etkiye sahiptir. Kimyasal, biyolojik ve nükleer silahların üretimi ve depolanması için ayrılan geniş alanların kirlenmesi, bunların yok olma riskini artırmaktadır. Öte yandan şimdiye kadar üretilmiş milyonlarca ton eskimiş silah ve mühimmatın imha edilmesi gerekiyor. Bir bombardıman uçağından atılan bomba ile oluşan 3.000 derecelik ısı, flora ve fauna ile birlikte toprağa o kadar zarar verir ki, 100-7400 yıl sonra toprağın yenilenmesi mümkün olur.Kimyasal silahlar ilk olarak Dünya Savaşı'nda kullanılmıştır. Bu silahlar insan sağlığına ciddi zararlar, geçici körlük, sağırlık, felç, cilt ve gözlerde ciddi yanıklar ve ölüme neden olur.

Dünyadaki 10 silah şirketinden 7'si Amerika Birleşik Devletleri'ne aittir (Dünyanın en büyük silah şirketleri. Https://www.interhaber.com/the dünyanın en iyi silah şirketleri-photo-galery-1201396-htm). Bazı uzmanlara göre ABD de yasadışı silah satıyor. Amerikalıların% 40'ının kişisel bir silahı var. Türkiye, bireysel silahlanma açısından 178 ülke arasında 14. sırada yer almaktadır. 2016 yılında, Amerika Birleşik Devletleri'nde 11.000'den fazla kişi, Birleşik Krallık'ta% 4.5, Kanada'da% 30.5 ve Avustralya'da% 13 silahlı saldırılarda öldürüldü.

Dünyanın en güçlü 20 teknoloji şirketi Amerika Birleşik Devletleri (% 75) ve Çin'de (% 25) bulunuyor (ABD ve Çin'de Bulunan Dünyanın En Büyük 20 Teknoloji Şirketinin Tamamı / 23.06.2018. https: // pazarlamasyon com / dünyanın en büyük 20 teknoloji firmasının tamamı /). Amerika Birleşik Devletleri'nde silahlar zaten bir yazıcıya basıldı ve 1 Ağustos 2018'den itibaren Autocad'de geliştirilen 3D silahları gerçeğe dönüştürmek mümkün.

Churchill'in Soğuk Savaş'ın temelini oluşturan konuşmasından 50 yıl sonra (5 Mart 1946), bu tarihi mekandaki öğrencilere yaptığı konuşmada (Fulton, 5 Mart 1996), Thatcher dünyaya yeni bir tehdit, nükleer tehdit ilan etti.

1950'de ABD Başkanı D. Eisenhower'ın "Atom İçin Atom" konuşması nükleer programa ivme kazandırdı. Bazı eyaletler enerji reaktörlerini artırdı ve nükleer silahlar geliştirdi. 1953'te İngiltere ve Fransa, 1960'ta nükleer silah stokları oluşturdu. 1964'te SSCB'nin yardımıyla Çin nükleer silah stokunu artırdı. Hindistan, 1974'te bir nükleer test gerçekleştirdi (Spector, Leonard S. Nuclear Proliferation Today New York: Vintage Books, 1984) ve Pakistan, 1980'lerin ortasında bir nükleer silah aldı. Kuzey Kore'nin 2006'daki nükleer testi başarısız olmasına rağmen, 2009'da nükleer programında başarı gösterdi (Ferguson, Charles D. Nuclear Energy, Du Vedat Çelik, Fatih Güdük 1. Ankara: Buzdağ, Mayıs 2015).

Modern silahlar, özellikle nükleer silahlar, büyük yıkıcı güce ve kısa menzilli yeteneklere sahiptir. Tüm nükleer silahlar atom bombası olarak bilinir. İki tür nükleer kitle imha silahı vardır. En son termal nükleer savaş başlıklarında, şimdiye kadarki tüm maddelerden daha fazla güç biriktirmek mümkün. Teknik tahminlere göre dünyadaki nükleer savaş başlığı sayısı 50.000'i aştı. Bu nükleer silahın kapasitesi kişi

başına 10 ton TNT'ye eşittir. Küçük bir kısmının patlaması, dünyanın doğal dengesini bozabilir ve dünyayı yok edebilir. Uzmanlara göre, atmosferde bir roketin ortaya çıkması, canlıları yok etmesi 100-300 saniye sürüyor. Uluslararası Bilim Komisyonu'na göre, dünyadaki nükleer silahların% 90'ı Avrupa, Asya ve Kuzey Amerika'da,% 10'u Afrika, Latin Amerika ve Okyanusya'da patlayarak 1,15 milyar insanı öldürdü ve 1,1 milyar tedavi edilemez hastalığa neden oldu. Nükleer savaşta kazanan yoktur. Einstein'a III Dünya Savaşı'nda hangi silahların kullanılabileceği sorulur. Cevap, bunu ifşa edemeyecem.

ABD Stratejik ve Uluslararası Çalışmalar Merkezi tarafından elde edilen uydu verilerine göre, Kuzey Kore nükleer tesislerdeki (Yenbyon nükleer kompleksi) faaliyetlerini artırdı.

44 günlük Karabağ savaşı sadece insansız hava aracı savaşının ve askeri teçhizatın avantajlarını dünyaya göstermekle kalmadı, aynı zamanda silah alıcılarının sayısını da artırdı. Ukrayna, Türkiye'den satın aldığı Bayraktar TB2 insansız hava aracını Karadeniz'de test etti.

İsrail'in beşinci nesil silah üreticisi Meteor Aerospase, darbeli insansız hava araçları (darbe-700), insansız hava araçları (ORCA), hassas güdümlü füzeler ve hava savunma sistemlerinin geliştirilmesinde uzmanlaşmış, Azerbaycan'ın en büyük silah alıcılarından biridir.

## SONUÇ

Askeri harcamalardaki artış ve silahlanma talebi bir dizi faktöre bağlıdır:

-dünyadaki jeopolitik hırslar, sıcak noktalar ve donmuş çatışmalar;

- rekabetçi ortam ve savaş riski;

-global ekonomik krizler vb.

Modern silahlar, insan varlığı için büyük bir tehdittir. Günümüzde propagandayı yoğunlaştırmak, sağlam bir ideolojik ve politik temel oluşturmak, silahlanmaya son vermek, kitle imha silahlarını yok etmek ve yenilerinin yaratılmasını yasaklamak bölgesel savaşların önlenmesine yardımcı olabilir. Dünyanın halkları ve devletleri, gezegenin fiziksel bütünlüğünü ancak barışı, huzuru, bağları ve sağduyuyu güçlendirerek sağlayabilir.

## KAYNAKCA

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# Opening the Black Box or Confirming the Obvious?! A Review of the Most Significant Findings in Neuromarketing over the Last Decade

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**Abstract:** Aiming at understanding and targeting the consumer mind, neuromarketing studies are becoming more frequent and popular. Moreover, there has been a major upsurge in use of sophisticated neuromarketing tools and techniques in conducting market research and building marketing strategies among several successful companies and top brand names. Neuroscience has certainly helped marketers in gaining deeper insights into the complex consumer mind and provided both consumer behavior scholars and marketing practitioners with significant findings and valuable data on human subconscious mind, decision-making patterns and cognitive processes. As a result of thorough examination of the existing literature comprising various neuromarketing studies, published articles and academic research conducted in the last ten years across the globe, this paper offers a review of the most significant findings in the emerging field of neuromarketing and leads us to the answer of the question: Are we finally really opening the black box of consumer behavior, or are we just confirming the already known and obvious?! The observed findings are presented in several categories based on the main purpose and objectives of each study, as well as the nature of the research problem: senses / sensory neuromarketing; emotions and feelings; cognitive process (attention, perception and memory); consumer attitudes, wanting, liking and preferences; consumer decision-making; social influences and social behavior. The paper also identifies the neuroscientific methods, techniques and neuroscience tools employed in the reviewed neuromarketing studies and gives implications for future research. The author concludes that neuromarketing techniques will soon be more broadly applied and integrated with the traditional marketing research and will become an important element of the branding strategies. Furthermore, with the continuous exponential technological growth, the constantly increasing number of innovation-led companies and the persistent academic interest in consumer behavior and decision-making process, it is expected that neuromarketing tools will become even more sophisticated, advanced, precise and reliable, which would lead to greater understanding of consumer mind, building predictive models of consumer behavior, making optimal marketing decisions and ultimately creating more value for the customers and providing better consumption experience.

**Keywords:** neuromarketing, "black box", consumer behavior, neuromarketing tools, literature review

## 1. INTRODUCTION

Probably one of the most significant paradigm shifts in the few last decades is the abandoning of the rigid idea of homo economicus and replacing it with the new conception of homo sapiens: emotional and highly sensitive social animal whose decisions are mostly unconscious, but whose actions always rationally explained. This realization that maybe our choices are not completely rational and our decisions are rarely driven by conscious calculation and thorough planning led to the emergence of new disciplines such as consumer neuroscience and neuromarketing, whose main objectives are to dig deeper into the consumer mind and reveal the underlying processes of decision making. Based on neuroscience knowledge and employing neuroscience tools and methods, neuromarketing aims at assessing consumer responses to marketing stimuli and using the obtained findings as valuable data in creating and implementing effective marketing strategies and predicting consumer behavior. Related to the implementation of knowledge for marketing purposes and specific goals, it is broadly considered as the more practical interdisciplinary field compared to consumer neuroscience. On the other side, consumer neuroscience relies on the neuroscience findings and techniques in order to generate deeper insights into consumer cognitive processes, preferences, judgements and decisions, so more than hitting the "buying button" it is interested in understanding and describing the "buying process", or as Reimann et al. (2011, p. 610) define it, consumer neuroscience is the study of neural conditions and processes underlying consumption and their psychological meaning and behavioral consequences.

Over the last ten years, research has shown that the old model of human being characterized by an infinite capability to make rational and optimal decisions (initially challenged by Kahneman and Tversky in 1979) is certainly flawed and consumer decisions are driven by at least two dominant processes – the conscious experiences of making a choice; and the unconscious, instant, ad hoc valuation of immediate options. Could this explain why the results obtained with the traditional research methods (surveys, focus groups, etc.) and based on consumer self-reported attitudes, preferences and intentions to buy, significantly differ from the real situation and the actual consumer behavior and why the intention to purchase rarely results with actual purchasing? Do respondents, thinking rationally, really intend to buy the product, but the final decision is unconscious and results in different behavior; or do they say what they think it is expected from them to say? Recent studies of decision making came up with perplex findings: brain activation predating the experience of the actual choice making accounts for most of the actual choice (Ramsøy, 2014).

Although neuroscience has certainly helped us in gaining deeper insights into the complex consumer mind and provided both consumer behavior scholars and marketing practitioners with valuable data on human subconscious mind, decision-making patterns and cognitive processes, still remain the questions: Are we really opening the 'black box' of consumer behavior, or are we just confirming the obvious?! Do we finally have an access to the unconscious mind?!

In order to gain a broader perspective on what has been achieved in the field of neuromarketing and consumer neuroscience over the last ten years, this paper examines the existing literature comprising various studies, published articles and academic research papers and offers a review of the most significant findings from 2010 to 2020. The observed findings are presented in several categories based on the main purpose and objectives of each study, as well as the nature of the research problem: senses / sensory neuromarketing; emotions and feelings; cognitive process (attention, perception and memory); consumer attitudes, wanting, liking and preferences; consumer decision-making; social influences and social behavior. This paper also identifies the neuroscientific methods, techniques and neuroscience tools employed in the reviewed studies and gives implications for future research.

Reviewing the academic journals from this particular period, it is apparent that the academic studies in the field of consumer neuroscience have become more frequent and prominent and the technological advancement enabled significant improvement of neuromarketing tools regarding their accessibility, attainability, adaptability, cost-efficiency, portability and maneuverability. Moreover, there has been a major upsurge in use of sophisticated neuromarketing techniques in conducting market research and building marketing strategies among the successful companies and top brand names.

But, is currently neuromarketing at the point where at the beginning it intended and promised to be regarding its achievements and disclosures? Despite the scientific advancement and commercial expansiveness of neuromarketing, many academics and practitioners are still quite skeptic or pessimistic regarding its heretofore achievements and future potential (Addie, 2011), arguing the heterogeneity of the applied methods (Solnais et al., 2013), the inconsistency and uncertainty of the metrics and interpretation of the obtained findings (Jordao et al, 2017), the fragmentation of academic research and general sub-par publication level, industrial over-promising and under-delivering, and the non-existing validation of the offered metrics (Ramsøy, 2019). Meanwhile, some scholars perceive neuromarketing as a refined additional tool to the traditional research techniques, with a potential to predict consumer behavior (Stanton et al., 2016) and other affirm groundbreaking studies, indicating neuromarketing potential to create value for consumers, boost marketing ROI and generate profit for companies. Looking on the bright side, one of the most prominent neuroscientists nowadays, Brian Knutson, is astonished of how far the science has come in the past 15 years, and yet it is still just scratching the surface (Harrel, 2019, last para.).

## 2. LITERATURE REVIEW

### 2.1. Senses - Sensory neuromarketing

Sensory neuromarketing has emerged from the attempt to understand unconscious sensory influences on consumer attitudes, preferences, memories and choices in order to appeal to them more effectively and create memorable, valuable and enriched consumer experience. Many studies conducted over the last ten years have focused on the possible role of subliminal sensory cues in stimulating and enhancing brand recognition (Norsgaard and Rasmussen, 2013) or motivating consumers to approach brands and products (Veltkamp et al, 2011). Today, academics and neuromarketers are strongly interested in how and to what extent can simple contextual events affect preference, brand memory and purchase decision. Ohme and Matukin (2012) investigated the ad moments with greatest viewer attention and emotional response, concluding that the right combination of sound and image is fundamental in obtaining favorable result in the creation of a positive memory.

#### 2.1.1. Sight - Visual neuroscience and visual neuromarketing

It is already known and again confirmed by recent studies (Milosavljevic et al., 2012; Orquin et al, 2012; Bialkova and van Trijp, 2011) that salient attributes attract more attention and affect consumer decision in favor of the particular alternative. Navalpakkam et al. (2012) reveal similar effect of the saliency of website elements. Several studies provided solid evidence for the existence of visual saliency bias under the conditions of cognitive load and rapid decision making and confirmed that more salient stimuli are always fixated on longer suggesting that the way in which the brain processes low-level visual and value information might lead to decision-making biases (Krajbich & Rangel, 2011; Krajbich et al, 2010). Interested in the size of the visual saliency bias and how it changes with cognitive load and decision speed, Milosavljevic et al. (2012) utilize experimental design from visual neuroscience in three real food choice experiments, revealing that at rapid decision speeds visual saliency influences choices more than preferences do, the bias increases with cognitive load and is particularly strong when individuals do not have strong preferences for any of the available options, concluding that it can mostly translate to large profits in competitive marketplaces when the profit margins are tight and participants have the opportunity to choose among various highly liked options. Moreover, recent series of neuroeconomic studies have shown that the values assigned to stimuli at the time of choice depend on the amount of attention that they receive during the decision-making process (Krajbich et al., 2010), thus more visually salient options are more likely to be chosen due to the specific way in which the brain processes visual information. When it comes to the speed of decision-making in in-store food purchasing, Krajbich and co-authors (2010) reveal that these purchases are usually made in 500 milliseconds – 2 seconds, while Reutskaja et al. (2010) confirm that when in front of displays that include 16 different items consumers are able to make accurate choices in less than 3 seconds.

Interested in how unpredicted circumstances affect preferences for novel visual items, in 2012 Ramsøy and his colleagues conducted a study on the effect of contextual unpredictability on the first impressions of brand logos during exposure to simple and sudden unpredictable sounds, showing that brand logos coupled to unpredictable sounds were rated less favorably than the others and the negative effect of unpredictable sounds on preference is associated with a stronger arousal response, noted by pupil dilation response. Important part of the brain involved in the regulation of bodily responses such as pupil dilation or facial expression, pulse, respiration, sweating, is the amygdala. Suggesting that unpredictable sounds engage an emotional response that affects the first impression of a concurrently presented visual object, Ramsøy et al (2012) confirm several previous studies on the effects of contextual factors on emotions and cognitive performance (De Martino et al, 2010; Steinmetz et al, 2010).

Another interesting finding obtained in the last decade is that repeatedly imagining the consumption of a food leads people to habituate to it. The imagery induction on food consumption reduces the actual consumption, as well as the wanting (the appetitive, desire or motivational drive), which reveals that the

difference between the actual human experience and the mental representation of the experience may be smaller than previously assumed (Morewedge et al, 2010).

Using eye-tracking equipment (SMI-iView XTM HED-eye-tracker) in investigating the effect of package design on visual attention, Clement et al. (2013) revealed a relationship between abundant in-store stimuli and limited human perceptual capacity. According to the results, physical design features such as shape and contrast dominate the initial phase of decision-making. Design features like contour/shape, contrast, and ratio have significant advantage in the initial product search and semantic design features (text-elements) are not suitable for getting consumer first eye-contact in-store. Label clutter negatively affects consumer attention. Visschers, Hess, and Siegrist (2010) concluded that participants pay less attention to nutrition labels in more cluttered products, which suggests that in general, visual clutter creates a competition for attention between an increased number of visual objects resulting in decreased attention to individual attributes. Packages perceived as attractive or aesthetic activate brain regions related to reward processing, namely MPFC and nucleus accumbens (Reimann et al., 2010).

### 2.1.2. Smell - Olfactory neuroscience and olfactory neuromarketing

It is well known that pleasant scents enhance and stimulate buying and a brief odor can retrieve long-lost memories in less than a second, which can be explained by the fact that the olfactory bulb is a part of the brain limbic system closely associated with memory and emotions. Norsgaard and Rasmussen (2013) conduct a study on olfactory brand enhancement on brand recognition, confirming that scents provoke significant emotional reactions and there is a serious possibility of enhancing brand recognition through odors, but personal hedonic perception strongly influences consumer ability to recognize brands through scents. Investigating the effect of scent valence on eliciting emotions and measuring the high emotional response reflected in the enhanced LPP, Lin et al. (2016) revealed a negativity bias, where unpleasant scents induced stronger emotional effects compared to the pleasant scents. The study also revealed that emotional processes between individuals with high sensitivity to smell and individuals with normal sensitivity to smell significantly differ.

### 2.1.3. Sound – auditory neuromarketing and auditory neuroscience

Prominent example of a study on the ability to predict subsequent market level impact in form of commercial success based on human neural responses to music is the experiment conducted by Berns and Moore in 2012, who concluded that neural response (brain activation within the nucleus accumbens) correlates with future sales data, while subjective liking measure through explicit personal rating of the songs has no correlation to future sales data.

Providing the first direct evidence that the intense pleasure experienced when listening to music is associated with dopamine activity in the mesolimbic reward system, including both dorsal and ventral striatum, Salimpoor et al. (2011) revealed that music can arouse feelings of euphoria and craving, similar to tangible rewards that involve the striatal dopaminergic system. Using the neurochemical specificity of [11C]raclopride positron emission tomography scanning, combined with psychophysiological measures of autonomic nervous system activity, they found endogenous dopamine release in the striatum at peak emotional arousal during music listening. Using fMRI in investigation of time course of dopamine release, Salimpoor et al. (2011) found a functional dissociation: the caudate was more involved during the anticipation and the nucleus accumbens was more involved during the experience of peak emotional responses to music. The study shows that anticipation of an abstract reward results in dopamine release in an anatomical pathway distinct from that associated with the peak pleasure itself and this anatomical dissociation between the anticipatory and consummatory phases suggests involvement of distinct mechanisms. Zald and Zatorre (2011) suggest mapping this distinction onto the ‘wanting’ and ‘liking’ phases of reward in an error prediction model.

Similarly, through eye-tracking, facial expression and galvanic skin response techniques Cambra et al. (2018) analyze the effect of music on advertising effectiveness, concluding that commercials

accompanied with music cause higher GSR level, which indicates higher degree of arousal or emotion. Moreover, facial expression indicated significantly higher liking, enjoyment and personal engagement in the ads accompanied with music, confirming the effect of sound on consumer behavior.

### 2.1.4. Position, presentation, size

Interested in how position affects attention, choice and decision Chen and Pu, 2010; Huang and Kuo, 2011; and Navalpakkam et al., 2012 revealed that items positioned on the top attract more attention and decision makers usually prefer to read from top to bottom and from left to right. Several studies conducted over the past decade provide solid confirmation of the "central position effect" revealing that centrally positioned items and attract more attention and as a consequence affect the entire decision-making process (Atalay et al, 2012; Navalpakkam et al., 2012; Reutskaja et al, 2011; Krajbich and Rangel, 2011; Huang and Kuo, 2011; Glaholt et al, 2010; Chen and Pu, 2010). In 2012, Krajbich et al. showed that in choice sets with high decision difficulty (when the difference between price and value is relatively small) the last fixation is less likely to be driven by the utility effect and ultimately predicts the choice. According to Reutskaya and colleagues (2011) items located in the center of the screen are 60% more likely to be chosen, while Hernandez et al. (2017) reveal that information and items placed at the bottom right corner receive less visual attention.

Regarding the way of presentation, van Herpen and Trijp (2011) conclude that once fixated, verbal attributes produce longer fixation durations than pictorial attributes.

Surface size is another critical attribute and an increase in the size of a product, item or element could make it more distinguishable (Wischnewski et al., 2010).

## 2.2. Emotions and feelings

In 2010, Pessoa and Adolphs once again confirmed that a key brain structure mediating the interaction between perception and emotion is the amygdala. The following studies revealed brain structure's ambivalent nature, or more particularly, showed that several emotional structures are identified by bi-valent response pattern and can be engaged by both positive and negative events and triggers (Gelskov et al., 2015; Ramsøy & Skov, 2010), so the ventral striatum cannot only be seen as a "reward" structure and the amygdala cannot be seen as a specifically "fear" structure, but can also be seen as "reward" structure (Kühn et al, 2016; Balderston et al, 2011). Ramsøy and Skov (2010) confirm that the amygdala plays a pivotal role in computing emotional responses to perceptual expectedness and its activity is sensitive to environmental contingencies, therefore changes in amygdala activity influence preference formation.

Reflected in hemispheric alpha wave asymmetry, the frontal alpha wave has been used to indicate the affective responses to TV commercials (Venkatraman et al., 2015; Ohme et al., 2010). Adopting EEG techniques able to capture fleeting emotions and observing LPP levels, Lin et al. (2016) confirmed the relationship between scents and emotions. Interested in how emotions affect brand preferences, Ma et al. (2010) revealed that emotions have a significant impact on brand extension preferences, but only for certain product categories (clothing) particularly modulated by negative emotions. These underlying mechanisms were reflected in an enhanced N200 once unfamiliar brand was introduced. In an investigation on consumer behavior regarding luxury items, Pozharliev et al. (2015) revealed that emotions significantly influence purchase decisions, especially in social context and during the presence of others. The effect of the emotions was indicated by the enhanced LPP.

The anterior insula - brain region known to process aversive emotions such as anxiety, disappointment or regret - is also a consistently correlated with risk processing. The study of Mohr et al. (2010) provides additional evidence that risk processing is influenced by emotions. The findings reveal risk-related activity in the dorsolateral prefrontal cortex and the parietal cortex in choice situations, while the anterior insula is predominantly active in the presence of potential losses, indicating that potential losses modulate risk processing.

When it comes to application of neuromarketing research instruments in the film industry, one of the most intriguing studies was conducted in 2012. Investigating the effect of emotional engagement. Using eye-tracking technology and measuring heart rate, breathing, sweat and motion responses of around 1,000 people while they were watching 40 different film trailers, several researchers from Innerscope Research came up with significant findings that could easily predict box office hits: if movie trailer fails to reach a specific emotional engagement threshold of 65, it will very likely generate less than $10 million in revenue on opening weekend, but it exceeds an engagement threshold of 80, the film will very likely earn more than $20 million during the first weekend. Three years later, Boksem and Smidts conduct a qualitative study of the response of individual preferences in relation to movie trailers to determine which neural measures highlight what the consumer is interested in from a particular movie. Findings show that some components measured by EEG (beta and gamma waves) indicate preference, in particular beta waves demonstrate individual preferences, while gamma waves population preferences (Boksem and Smidts, 2015). In a more recent EEG study conducted in the same industry, Barnett and Cerf (2017) in order to predict movie recall and movie ticket sales used alpha oscillations to calculate neural similarity, demonstrating that alpha oscillations enhance later recall.

## 2.3. Cognitive processes

For years, consumer neuroscience has been interested in the extent to which humans are aware of the reasons for their purchasing behavior and in control of the external and internal factors and various influences on their choices? Fortunately, new discoveries in neuroscience and fast development of neuroscience tools and methods have provided the opportunity to reveal unconscious consumer reactions and acknowledge direct measures of cognitive constructs and processes, such as attention, memory and perception.

### 2.3.1. Attention

Studies conducted over the last ten years investigated the correlation between occipital alpha band oscillations, which are regular cyclic voltage changes originating from the occipital lobe, and cognitive processing of attention (Venkatraman et al, 2015; Klimesch, 2012) indicating that the occipital alpha wave is an indicator of enhanced allocation of attentional resources in response to marketing stimuli and the attention increases when the alpha wave decreases. Moreover, Jones et al. (2012) attempt to understand consumer processing of pricing and discount information, revealing that P300 is enhanced in high math anxiety individuals, which suggests that high emotional and motivational processes are involved during pricing and discount-related tasks.

Recent study adopting EEG and eye-tracking techniques examines consumer attention and preferences regarding different packaging attributes as isolated features (Madariaga et al., 2019), showing that texts and images on the package increase the level of attention, while color modifications have no significant effect on the attention level. Moreover, the study provides additional solid evidence that the implicit neurophysiological effects and reactions do not necessarily coincide with explicitly declared subjective evaluations of preference.

Research shows task-specific effects on attention by manipulating task instructions (Kim et al, 2012; Kable, 2012; Huang and Kuo, 2011; Glaholt et al., 2010), while confirming the effects of learning on attention indicated by reduction in the number of fixations during the course of repeated decision tasks (Fiedler & Glöckner, 2012; Mueller Loose & Orquin, 2012; Toubia et al., 2012; Bialkova and van Trijp, 2011).

### 2.3.2. Perception

Regarding perception and decision speed, magnetoencephalography (MEG) study showed that female participants viewing shoes, compared to motorcycles, had stronger activity in occipitotemporal regions

between 130 and 180 milliseconds after image presentation (Junghoefer et al., 2010), while Milosavljevic et al. (2011) demonstrate that consumers are able to identify two different food brands and choose the one they prefer in just 313 milliseconds. Additionally, time pressure reduces the amount of information fixated (Reutskaja et al., 2011; van Herpen and Trijp, 2011) and increases down-stream effects of visual saliency on choice (Milosavljevic et al., 2012). Kowler (2011) shows that semantic or contextual cues about a visual scene, feature based attention, object representations, task demands, and rewards for task performance override attention capture by visual saliency. Later, Nordfang et al. (2013) confirm that visual saliency predicts attention capture and affects encoding to visual short-term memory.

Glaholt et al. (2010) show that consumers are selective in the processing of stimulus information when asked to choose 6 most expensive items, achieving greater differentiation between individual stimuli via higher number of fixations and longer duration of total fixation compared to when asked to choose which of the two sets of three items is more expensive, indicating that gaze selectivity increases with the number of alternatives presented (Glaholt et al., 2010). Moreover, Reutskaya et al. (2011) reveal that time pressure induces people to shorten fixation duration and search longer to increase the number of options that are considered before making a choice.

Intending to obtain a physiological perception of brand stimuli processing in the brain and to identify how to create a brand name which arouses higher attention, Hillenbrand et al. (2013) found that brand suggesting the main product benefit are more effective. Another study examined the effectiveness of product endorsement focusing on neural correlation between evaluation of a product and the fame of the person advertising it (Stallen et al., 2010). Results showed increase in orbitofrontal cortex activity with the pairing of a celebrity with products during testing, confirming the transfer of affection and admiration from the person to the endorsed product.

Regarding perception and emotional responses to stimuli, Viniegra et al. (2020) employ eye tracking and galvanic skin response to determine the cognitive perception that young people have of the stimuli transmitted by influencers on Instagram, suggesting that adolescents place greater attention and emotional intensity on the nude body appeal of influencers compared to young adults and are less interested in brands. Investigating the activation of particular brain areas responding to different stimuli, in 2010, Sescousse et al. revealed the existence of both reward-specific and nonspecific brain networks, challenging the existing assumption of a unique reward system for all reinforcers. They show that OFC is functionally organized along a postero-anterior axis regarding reward type: the anterior part responding exclusively to money and the posterior part responding exclusively to erotic stimuli. Additional specific activations were also found in the bilateral amygdala and medial OFC where the brain activity only scaled with the hedonic value of the reward specifically encoded. The study supports the idea of a core reward system processing experienced rewards regardless of their nature. The functional activity in this specific network comprising ventral striatum, ACC, anterior insula and midbrain, correlates with hedonic value and prediction error for monetary gains, as well as for erotic pictures.

Madariaga et al. (2020) assess neurophysiological responses to print advertisements that include visual metaphors, using electroencephalogram, eye tracking, and galvanic skin response methods. The study reveals that regardless of metaphor type, ads with metaphors evoke more positive reactions than non-metaphor ads. EEG results reveal positive relationship between cognitive load and conceptual complexity that is not mediated by comprehension, suggesting that the cognitive load index could be a suitable indicator of complexity, as it reflects the number of cognitive resources needed to process stimuli. ET results points significant differences in the time dedicated to exploring the ads; however, comprehension does not mediate this relationship. Moreover, GSR indicates no cognitive load. ET and GSR results suggest that these methods are not a suitable measure of cognitive load in the case of visual metaphors and are more related to the attention and emotional responses to the stimuli.

### 2.3.3. Memory

In attempt to examine and analyze human cognitive processes in marketing-related topics, most of the experiments studied N200 and P300 components, as well as theta and beta waves. Another component, known to be associated with meaningful information (N400), represents access to the semantic memory (Kutas and Federmeier, 2011). At the beginning of the past decade, Cook, Warren, Pajot, Schairer and Leuchter (2011) used EEG technique to investigate print advertising effect on declarative memory, revealing that logical persuasion messages were associated with significantly higher levels of neural activity in the hippocampus, suggesting a stronger acquisition of declarative memory. In the study of memory processes, a signal of familiarity is reflected in the decrease of the N400 component. Wang et al. (2012) and later Jin et al. (2015) show that when familiar or famous brand symbols are presented, categorization processes reflected in the N400 are triggered, which in turn lead to a preference for that specific brand.

Rajagopal and Montgomery (2011) come up with interesting findings which suggest that consumer exposure to an imagery-evoking advertisement creates false memory of prior product exposure, ultimately causing alterations in product attitude. Several studies investigated implicit cognitive processes, such as working memory (Daugherty et al., 2016; Milosavljevic et al., 2012) showing that that utility differences and working memory load moderate the down-stream effect of saliency on choice (Milosavljevic et al., 2012). The preference for pair-wise over more complicated multi-way comparisons suggests that participants minimize working memory load by relying on re-fixations (Glaholt and Reingold, 2011).

Moreover, research shows that familiar brands activate the hippocampus, interpreted as the use of memory to recall previous experience with the brand including advertising messages, product trials and peer recommendations (Santos et al, 2012). Different task instructions and individual traits moderate the utility effect (Glaholt et al., 2010), which has been revealed during the retrieval of information from memory and demonstrated by prolonged gaze at empty locations where important attributes were previously presented (Renkewitz and Jahn, 2012). Investigating differences in neural responses between male and female participants watching perfume ads, appreciation and spontaneous memories evoked higher responses in women, but there were no differences between genders regarding memory (Vecchiato et al., 2014).

## 2.4. Consumer attitudes, wanting, liking and preferences

The distinction between wanting and liking isn't new, and what people want is not always similar with what they like. Research has shown that the wanting system operates unconsciously, reflecting the operation of separate deep brain system, such as basal ganglia, while the liking system is assumed to be based on the prefrontal regions like orbitofrontal cortex and is associated with an overt conscious experience. Berridge and Robinson (2016) posit that brain circuitry mediating the psychological process of 'wanting' a particular reward is dissociable from circuitry that mediates the degree to which it is 'liked'. Incentive salience or 'wanting', a form of motivation, is generated by large and robust neural systems that include mesolimbic dopamine, while 'liking', or the actual pleasurable impact of reward consumption, is mediated by smaller and fragile neural systems, and is not dependent on dopamine (Berridge and Robinson, 2016, p. 670).

According to Plassmann et al. (2012) and Thomsen et al. (2011) to appeal to consumers and stimulate purchase intention, brands must engage several mental systems, including perception, awareness, memory, cognition and emotions. Perceived brand value expressed overtly in verbal reports are reflected in a specific engagement of the OFC, denoting that what feelings accompany brand perception, indicating interconnection between affective processing and consciousness. For years, consumer neuroscience has been interested in how the attractiveness of marketing stimuli might be inferred based on the regional activity within the brain reward system. Levy, Lazzaro, Rutledge and Glimcher (2011) show that when viewed individually, preferred consumer goods are associated with activation of

the striatum, and Telpaz, Webb and Levy, (2015) found how EEG measurement of neural activity can be used to predict rank-ordered preference ratings and actual choices in a subsequent behavioral task.

Berns et al. (2010) conducted a study in which behavioral measures of adolescents' preferences and neural responses were collected while the young participants listened to 15-s clips of songs, showing that likability ratings of songs were highly correlated with activity in the caudate nucleus, area implicated in valuation and reward. Moreover, the tendency to change subjective evaluation of a song in line with its popularity among peers, was positively correlated with activation in the anterior insula and anterior cingulate (ACC). Two years later, Berns and Moore showed that the individual neural responses in OFC and NAcc in their initial study predicted purchase decisions by the general population measured through the total number of sold units. Wang et al. (2012) found that strong associations with famous brand names trigger enhanced amplification of N400, signaling processing of familiar information, further increasing the preference of extended brand name.

In 2011, Vecchiato and colleagues monitored brain hemispheric asymmetry, noticing distinct neural patterns associated with different levels of perceived pleasantness related to ads, where ads perceived as the most pleasant were associated with an asymmetrical increase in the neural activity of the left hemisphere, while unpleasant ads were associated with a relatively greater activity increase in the right hemisphere. Using fMRI, Tusche, Bode and Haynes (2010) investigated the ability of neural activation to predict subsequent choice, revealing that brain regions between the high-attention (liking and rating) and low-attention (visual fixation) group predicted subsequent purchase intentions. The same year Plassmann et al. (2010) investigated predicted values using real choices, revealing that neural activity in the ventromedial prefrontal cortex (vmPFC) is in correlation with behavioral measures of consumer predicted values for branded products. Moreover, Plassmann et al. (2010) found that right mOFC, ventromedial prefrontal cortex (VMPFC) and right dorsolateral prefrontal cortex (DLPFC) encode for DV during choice between unhealthy but appetitive food products. Activity in common area of the mOFC/VMPFC and DLPFC correlates positively with appetitive DVs and negatively with aversive DVs, and mOFC might comprise a common valuation region that encodes for both appetitive and aversive DVs (Litt et al., 2011).

Mishra and Mishra (2010) posited that by influencing specific neurotransmitters, one could potentially influence the individual consumer preference or the ability to make decisions. Brand choice was also investigated by Esch et al. (2012) who found that favorableness of brand associations influences brain activity decision-making and the part of the dlPFC involved in predicted value encoding is more active when consumers are exposed to "strong" than when they are exposed to "weak" brands. They also found that exposure to "weak" brands leads to more activity in the insula which is associated with intense and arousing emotions, such as disgust or pain. Results of the study on expectation bias conducted by Plassmann and Niessing (2010) also suggest that the experienced valuation system is modulated by higher cognitive processes that determine beliefs and expectancies. Interested in the motivational value or incentive salience of an option, Litt et al. (2011) fund that predicted value signals encoded in the mOFC/vmPFC are not confounded with related saliency signals of the options for choice.

In relation to visual elements and consumer liking, Nik et al. (2019) show that adding the background color to the designed advertisement has a negative impact on the degree of liking a product. Furthermore, the study indicates that extracted features from EEG could predict consumer decision-making with relatively high accuracy (>87%) and are able to distinguish positive and negative preferences with accuracy higher than 63%. The most discriminative channels for predicting the incidence of decision-making regarding liking, disliking or purchasing are in the frontal and centro-parietal locations while the liking/disliking decisions can be observed in the frontal electrodes.

Using model and model-free fMRI analysis in investigating the role of the ventromedial prefrontal cortex in brand preference and assessment of brands, Santos et al. (2011) noted vmPFC activation when participants were comparing positive with indifferent or fictitious brands. However, when the decision-making period was separated from the moment after the response, especially for positive brands, the vmPFC was more active after the choice than during the decision process itself, challenging some of the existing theretofore literature. Lin et al. (2010) found that cognitive sub-processes underlying the assessment of luxurious branded products are only important after the choice has been made. Li et al

(2010) investigated the neural correlates of decision-making, demonstrating a group of brain regions that included dorsolateral prefrontal cortex in relation to working memory, and insula and posterior cingulate cortex for representations of emotional states, while the vmPFC was correlated to both working memory and emotional responses. Chen, Nelson, and Hsu (2015) examined whether branding has a pre-existing personality in consumer mind or the personality is a product of outside influences and reflection.

In 2014, Thomas Zoëga Ramsøy and Martin Skov conducted the first study revealing the effect of individual preference on the clarity of conscious perception. Their novel and unexpected findings show that subjective brand preference alters the likelihood that a brand name will be consciously seen and brand names holding positive or negative preference are seen more clearly, whereas the effect is stronger for positive preferences.

## 2.5. Consumer decision-making

Neuroeconomic research has mostly focused on illuminating how various factors affect the emotional and cognitive processes involved in the value-based decision-making which refers to functional neural processes involved in representing internal and external individual states, valuation of possible behavioral options and selecting actions based on these valuations. Most recent neuroeconomic models are based on the assumption that valued-based decision-making process involves both cognitive and emotional components and their interaction is complex and usually interactive and interdependent. While emotions are typically seen as generators of motivational states and engaged in valuation of alternatives, cognitive components are involved in information processing and complex cognitive processes: memory, executive function and action selection. From purely neuroscience perspective, choices emanate from a specific, dynamic and complex processes. The steady technological advancement of neuroscience methods and tools, especially neuroimaging, allowed researchers and scholars to visualize perceptual input, intermediate processing and motor output clearly and separately.

The last decade abounds in neuromarketing and consumer neuroscience research focused on consumer behavior and decision making, from the effect of price on the appeal and enjoyment of products (Votinov et al, 2016; Garaus et al, 2016; Bogomolova et al., 2015; Karmarkar et al, 2015), to branding effects (Plassmann et al, 2012) and individual responses predictive abilities of market performance (Christoforou et al, 2017; Shen and Morris, 2016; Boksem and Smidts, 2015; Dmochowski et al., 2014; Berns and Moore, 2012) to advertising effects (Reynolds & Phillips, 2018), additionally providing solid evidence on the crucial role of emotional processes in consumer decision-making. In 2011, Doll and colleagues provided evidence from which a promise for exploring genetics/gene and environment interaction in decision-making research was born. However, most of the studies on decision making incorporate elements of the decision theory which incorporates several types of utility in decision-making. Smith et al. (2010) indicate that rewarding visual images simultaneously generate two types of subjective value signals within the vmPFC: the experienced value signal associated with the attractiveness of the perceived face, and a DV signal proportional to individual relative willingness to pay small amounts of money to see attractive faces. Several fMRI studies indicate that the same brain areas representing values in a choice situation (mPFC and striatum) represent values when evaluating products in the absence of choice necessity (Smith et al. 2014; Bartra et al, 2013; Falk et al, 2012; Levy and Glimcher 2012; Levy et al., 2011; Tusche et al, 2010).

Examining approach motivation ability to predict purchase decision in case of varying brand and price, Ravaja et al. (2013) revealed that relatively greater left frontal activation indicating higher approach motivation during the pre-decision stage predicts an affirmative purchase decision. Higher perceived need and product quality were associated with greater relative left frontal activation. Results showed stronger relationship between frontal EEG asymmetry and purchase decision for national brands vs. private label products, as well as for prices relatively lower than normal.

Wu et al (2012) confirmed the association of ventral striatal activity with positive arousal effect and anterior insular activity with negative arousal and arousal in general, showing that external inputs influence consumer choice by eliciting anticipatory affect, thus neural activity could be used to predict

financial risk-taking. Later, Schaefer et al. (2016) investigated pricing expectations noting that enhanced P300 results in later purchasing. Guo et al. (2016) found that the N200 component during unfamiliar recommendation sources was enhanced, whereas the P300 component was the largest during familiar recommendations (associated with trust), concluding that the N200 component reflects processing of information and P300 component predicts propensity to buy. Telpaz et al. (2015) measured the neural activity and noted an increase in N200 component accompanied by weaker theta band power that correlates with a more preferred product and realized that the accuracy of prediction is dependent the ordinal and cardinal distance of the EEG data, thus the larger the difference in EEG activity between two products, the better the predictive accuracy. Findings obtained from the study conducted by Basten et al. (2010) suggest that neural signals coding decision-related reward and loss expectations are compared in vmPFC, and the resulting cost–benefit difference is accumulated in parietal cortex. fMRI showed that ventromedial and left dorsolateral prefrontal cortex compare costs and benefits by computing the difference between neural signatures of anticipated benefits and costs from the ventral striatum and amygdala, respectively. Besides, changes in BOLD signal in the bilateral middle intraparietal sulcus reflect the accumulation of the difference signal from ventromedial prefrontal cortex (Basten et al., 2010). According to Reimann et al. (2012) in the case of novel brands versus familiar brands, the activation of the vmPFC increases prior to the expressed choice. The activity in the vmPFC and striatum correlates with various value-related attributes and known valuating methods and these areas are also active in the valuation of novel products (Barron et al, 2013).

Solid body of evidence that even complex and important economic choices are sometimes made automatically without attention to products and in the absence of explicit deliberation is provided by Tusche and colleagues (2010) who investigated the predictability of consumer choices from brain responses regarding unattended products. Activation patterns in the insula and the mPFC were found to predict these choices under high and low attention processing and close match of predictive brain regions was revealed independent of spatial attention to products. Moreover, the amount of predictive information remained persistently high when task-irrelevant products were presented outside the focus of attention.

The number of fixations on alternatives in the decision-making process is another common area of interest (Glaholt and Reingold, 2012; Schotter et al, 2012; Meißner et al., 2012; Glöckner and Herbold, 2011) from which can be concluded that chosen alternatives receive more fixations, longer first fixation duration and longer first dwell. Moreover, decision makers are more likely to fixate the chosen alternative first (Glaholt & Reingold, 2011; Schotter et al., 2010), and very likely to have their last fixation towards the chosen alternative before the decision is made (Krajbich et al., 2012; Krajbich & Rangel, 2011), while the utility effect becomes stronger during choice experiments manifesting increased correlation between attention and attribute values (Meißner et al., 2012).

## 2.6. Social influences and social behavior

As social animals, we are continuously under the influence of numerous external social and cultural factors and our decisions are consciously or unconsciously affected by our surrounding, friends and peers, social media and other reference groups through continuous interaction. Seems like our brains are innately wired to be social. We try to conform and adapt to the social norms, we crave to be accepted, respected, to belong and to thrive as a part of our group and our society. Willingly or unwillingly, we shape and modify our behavior according to the expectation of others. For years, social psychology and social neuroscience have been focused on providing better understanding of how social context affects our choices and our lives, identifying a multitude of complex processes, such as social learning, mental state inferences, role and perspective taking, impression formation and spontaneous trait inferences that occur during the interaction with others from our social environment. Social behavior and the social brain present new challenges to the emerging field of neuromarketing and are one of the new frontiers in consumer neuroscience, opening numerous questions about how social thinking affects what we choose, what we do and how we behave as consumers.

According to Lee and Harris (2013), a growing body of research in neuroeconomics has examined decision-making involving social and non-social stimuli to explore activity in brain regions, such as the striatum and prefrontal cortex, usually ignoring the power of the social context. Complex processes involved in the social behavior rely on a particular network of brain regions comprising superior temporal sulcus, temporal parietal junction, medial prefrontal cortex and precuneus. A growing body of evidence confirms that the social context modulates decision-making and during the last decade several studies have investigated how this particular process happens and how social cognition and perception are integrated at a neural level (Engelmann and Hein, 2013; Suzuki et al., 2012; Yoshida et al., 2010). Lin et al. (2012) expand Alexander and Brown's assumption (2011) that medial prefrontal cortex works as an action-outcome predictor concerned with learning and predicting the likelihood of outcomes associated with actions, revealing that this brain region is active in creating value signals in a social context. It is found that striatum responds to social rewards (Izuma et al., 2010), and when social targets differ from the existing expectations firing of dopamine neurons indicating prediction error occurs (Harris and Fiske, 2010). Moreover, social norms can influence the social stimuli value, specifically modifying nucleus accumbens and OFC activity (Zaki et al., 2011). In 2015, Pozharliev and colleagues confirmed the effect of social influences on purchase decision by observing changes in LPP component during purchasing decision-making in presence of other people. Research has shown that social rewards engage the same brain regions that are common when receiving non-social rewards (Smith et al., 2010; Izuma et al., 2010; Lin et al., 2012). Regarding consumer socialization and peer to peer interaction, it has to be noted that ventral striatum and OFC track predictions about whether a social agent will give positive social feedback, while ACC correlates with modulation of expected value associated with the social agents (Jones et al., 2011). In attempt to learn to predict other person's behavior, different regions of the prefrontal cortex involved in valuation and prediction error are engaged (Suzuki et al., 2012). More practical example providing evidence on human tendency to change personal opinion due to the perceived opinion of the reference group is the experimental study conducted by Berns et al. in 2010, which demonstrates this tendency to change opinion under social influences is in positive correlation with neural activation in ACC and anterior insula. A year later, Berns and Moore (2011) suggest that the neural responses to goods are not only predictive of purchase decisions for individuals, but can be generalized to the population at large and are able to predict cultural popularity. Similarly, Dmochowski et al. (2014) found that the level of inter-subject correlation in the evoked encephalographic responses obtained from the small sample predicts the expressions of interest and preference among thousands, suggesting that as favorable stimuli are perceived those to which the brain responds in a stereotypical manner shared by friends and peers.

## 3. EXAMPLES OF NEUROMARKETING RESEARCH IN COMMERCIAL PRACTICE AND ADVANCEMENT OF NEUROMARKETING TOOLS

In order to shed light on how practical application of neuroscience tools contributes to improvement of marketing communications, branding and product design, this chapter explores neuromarketing research studies conducted for specific commercial purposes and identifies the most successful examples of neuromarketing in practice.

In 2016, Kuhn and colleagues confirmed the feasibility of applying neuroimaging methods in a relatively small sample to correctly predict sales changes. Using fMRI to forecast chocolate sales at the point-of-sale, extracting fMRI data from the following brain regions: nucleus accumbens, medial orbitofrontal cortex, amygdala, hippocampus, inferior frontal gyrus, dorsomedial prefrontal cortex, dorsolateral prefrontal cortex and insula which based on neuroscience evidence were assumed to affect sales. The results revealed that changes in sales could be best forecasted by fMRI signal during communication viewing, then by a comparison of brain signal during product viewing before and after communication, and least by explicit liking judgements. To test whether neural activity has the ability to forecast future market-level crowdfunding outcomes, Genevsky et al. (2017) used fMRI and observed neural activity in nucleus accumbens and medial prefrontal cortex. The study suggests that although activity in both the NAcc and MPFC predicted individual choices to fund on a trial-to-trial basis in the neuroimaging sample, only NAcc activity generalized to forecast market funding outcomes weeks later on the internet –

leading to the conclusion that a subset of neural predictors of individual choice can generalize to forecast market-level crowdfunding outcomes better than choice itself.

One extraordinary case of successful use of neuromarketing to generate increase in sales and requests is the study conducted to test the effectiveness of the UNHCR charity ad aimed at promoting testamentary legacies, which revealed that increase in negative emotions, higher salience for the "Call to Action", inclusion of more dramatic scenes related to the representation of refugees and synchronized animation with the voiceover can generate higher involvement. The results are + 237% in number of people that subscribe for the testamentary legacy, and + 553% in legacy calls (Brain Signs, 2018).

Bergman and Noren (2017) inspected the online web shop graphical elements that invoke safety and trust in buyers and concluded that intense web page colors and unprofessional text fonts such as Comic Sans should be avoided and provided certificate and contact information is recommend. Using eye-tracking technology, Leiva et al. (2019) conducted a study to assess the advertising effectiveness in Travel 2.0 websites, concluding that Facebook banner generates the most attention and recall among the participants. Even though the banner was in the same position in all compared cases, Facebook ads attracted consumer attention both more frequently and for longer time spans. These results made marketers and online content creators realize that website design complexity affects viewing patterns and less content on the page (Facebook) is more effective than TripAdvisor pages or traveling blogs with ample content. Murray (2019) gives an excellent example of neuroscientific measures able to significantly predict sales data for large number of ads: the CBS, Nielsen Consumer Neuroscience and Nielsen Catalina Solutions partnership, formed to extend the concept of neuroscience validation to the broad category of fast-moving consumer goods, which proved that a multimodal research approach comprised by different measures such as EEG, EDA, and FEA can be the best predictor of in-market sales lift. Measuring narrative engagement through the extent to which the audio or visual delivery medium of the story affected conscious and subconscious engagement, Richardson et al. (2018) found out that even though participants self-reported greater involvement for watching video relative to listening to auditory scenes, they had stronger physiological responses for auditory stories including higher heart rates, greater electrodermal activity and higher body temperatures, which is an evidence that commercial stories and ads can be more cognitively and emotionally engaging when presented in an auditory format.

Roghanizad and Neufeld (2015) investigated intuition, risk, web trustworthiness and formation of online trust among e-buyers and concluded that when confronted with a no-risk decision related to book purchase from an online bookseller, buyer decision-making process is consistent with the dominant deliberative personal view regarding the purchase, but once confronted a decision entailing risk such as sharing personal sensitive information with an unknown website, one relies on one's non-rational gut-level intuition. To provide useful data for companies engaged in e-commerce, in 2018, Aranda et al. investigated how payment methods available on a company's website affect the trust of prospective buyers and influence their behavior. Data showed that due to its convenience and security, PayPal payment method is preferred by the buyers. Jin et al. (2017) investigated how consumers are affected by product descriptions in online shopping. To directly examine the role of attribute framing in information processing and decision-making in online shopping, Jin, Wuke and Chan (2017) applied the measurement of event-related potentials (ERPs); obtained results revealed higher purchase intention with a shorter reaction time under a positive framing condition compared to negative framing condition. The results of ERPs indicated that negative framing messages attracted more attention resources at the early stage of rapid automatic processing and resulted in greater cognitive conflict and decision difficulty, while the positive framing messages allowed consumers to perceive a better future performance of products and classify these products as a categorization of higher evaluation at the late cognitive processing stage of valuation.

Another example of neuromarketing research in commercial practice is Chips Ahoy successful package redesign in 2011 (Young, 2011). Based on the results of the study adopting eye-tracking technique, the company implemented several key changes to their packaging: tube resealing package, refined text and bolder colors, and fun and engaging cookie image. Interested in consumer willingness to pay Herbes et al. (2015) introduced a novel neuroscience-based approach to willingness to pay for renewable energy named neuropricing and revealed that consumers are willing to pay above 15% more for green products

compared to the non-green products. Based on Herbes et al. (2015) study it can be assumed that neuropricing is significantly more precise in predicting population behavior than reaction times, which in turn are better method than questionnaires, but also neuropricing may better assess consumer valuation of non-core or symbolic product benefits like ethical production, region-specific origins, social status, healthy food, organic products, use of non-conservative materials and methods, social responsibility etc. Another excellent demonstration of neuromarketing in practice, and according to Murray (2019) one of the most prominent single-blind studies to show that neuroscience tools can be used to reliably predict the sales of a high-volume consumer electronics product, is the Mimoco case, a study conducted by Innerscope Research (2012) which included 30 existing product designs tested and assessed through static screen-based methodology in the lab, while EDA, heart rate, and eye tracking data were collected from respondents passively viewing the designs. Based on the data from the combination of biosensors Innerscope ranked the products, and the in-lab results were able to explain 50% of the variability of in-market sales. When Mimoco lined up Innerscope's ranking with their own sales data, it was clear the neuroscience data correctly identified four of the top five sellers, as well as a number of the bottom-selling designs.

When it comes to the technological advancement of neuromarketing tools over the past 10 years, it has to be noted that the number of innovative tech-companies engaged in launching neuromarketing equipment and techniques that can gauge certain neural, neurochemical, physiological or physical responses, has also significantly increased. For example, in 2017, Immersion Neuroscience developed the INBand, an armband that can measure brain oxytocin levels related to emotional engagement, by tracking the cadence of the Vagus nerve that controls the heartbeat. This tool was later used in numerous studies (assessing neurochemical responses to 17 ads from the 2018 Superbowl, cost-effectiveness of M&Ms' "Human" commercial, measuring attendees' immersion during global conference, etc.). Moreover, eye-tracking software and tools became more accessible, less expensive and easily maneuvered, the technique has become a dominant precursor to test ad campaigns. On the other side, facial expression measurements such as FaceReader by Noldus are easy to use, save valuable time and resources and could be easily integrated with eye-tracking and physiology data, which offers an integrative approach, clear insight into the emotional effect of different marketing stimuli. Another way that neuromarketing has advanced over the last few years is through personalizing virtual reality content based on biometric engagement. Moreover, another example of innovative company is iMotions which synchronizes biometric sensors combining eye-tracking, face expression, EEG and GSR into one platform that can scale and simplify biometric research and has been helping the industry with providing more accessible, scalable and less expensive research methods.

As a result of the continuous exponential technological growth, the constantly increasing number of innovation-led companies and the persistent academic interest in consumer behavior and decision-making process, it is expected that neuromarketing tools will become even more sophisticated, advanced, precise and reliable, which would lead to greater understanding of consumer mind, building predictive models of consumer behavior, making optimal marketing decisions and ultimately creating more value for the customers and providing better consumption experience.

**4. DISCUSSION**

We have to acknowledge academic accomplishments in the field of consumer neuroscience, as well as all the commercial attempts to employ neuroscience data, tools and technique in order to provide new ways of understanding consumer mind and create more effective strategies, not just to increase sales, but also to create value for customers and satisfaction from the consumption. Neuromarketing studies provided useful information which help marketers to surmount many challenges in business practices, especially in advertising and marketing research.

Looking back over the past 20 years since the field of neuromarketing officially emerged, both scholars and neuromarketing practitioners have become aware that this discipline is not yet at the point where it has been expected to be. However, we can't say whether we have been holding unrealistic expectations, or neuromarketing research realistically underperformed. Going back to the begging of the new millennium, it is obvious that the early steps of neuromarketing and consumer neuroscience failed to consolidate, probably because neither the technology or the science was sufficiently mature at the time.

But we have to note that the all initiatives, whether academic or commercial, have had much more success after 2010 and considering the advancement of scientific methods and techniques, as well as obtained findings over the last 10 years, the future of these still emerging fields looks promising. Moreover, numerous aforementioned studies confirmed that the application of neuroscience tools for marketing purposes can significantly boost our understanding of consumer behavior and decision-making. Even more importantly, the number of studies able to predict market performance, number of sales and general product popularity, has been constantly increasing (Christoforou et al, 2017; Barnett and Cerf, 2017; Shen and Morris, 2016; Boksem and Smidts, 2015; Dmochowski et al., 2014; Berns and Moore, 2012). I believe that neuromarketing research is still far from achieving its peak, but it is definitely promising and worth investing all required resources in it, in terms of money, technologies, time, human capital, passion and hope.

Best discussion of the advantages of neuromarketing research and explanation of how neuromarketing practice can enhance brand performance and increase sales is provided by Plassmann et al. (2015) who identify five main ways how neuromarketing can help marketing academics and professionals: identifying behavior mechanisms that help validate, refine, or extend existing marketing theories; measuring implicit processes in decision making; dissociating between different psychological processes; understanding individual differences; and improving predictions of behavior.

Another important fact is that beside the marketing industry, major companies and prominent brands, such as Coca-Cola, Campbell's Soup, PayPal, Hyundai, Yahoo, Google, Walt Disney Co., Microsoft, Chevron and Frito-Lay among others, have been quick to adopt cutting edge technology and neuroscience methods, including EEG, MEG, fMRI, facial expression recognition, eye-tracking and GSR to understand and predict consumer behavior for the purpose of improving marketing practices and creating more effective strategies. As Garun (2015) states, established companies like General Electric have launched special research centers, such as the GE BBQ research center where researchers use EEG to study consumer responses to food and taste in order to perfect their BBQ recipe. It is obvious that this is increasingly becoming interesting to academic researchers and marketing managers, as it provides more reliable and scientific data than findings obtained through traditional marketing methods.

Rawnaque et al. (2020) offer a systematic review of technology and tools used in neuromarketing, from which can be concluded that a trend of analyzing frontal and prefrontal alpha band signals is observed in emotion recognition-based experiments. Due to its low cost and high time resolution advantages, many researchers found EEG more favorable than fMRI in examining the effects of video ads. Physiological response measuring techniques such as eye tracking, skin conductance recording, heart rate monitoring and facial mapping have also been frequently employed, both independently or combined with other methods. Alongside traditional filtering methods, independent component analysis was commonly present in artifact removal from neural signal. According to Rawnaque et al. (2020), in consumer response prediction and classification, Artificial Neural Network (ANN), Support Vector Machine (SVM) and Linear Discriminant Analysis (LDA) have performed with the highest average accuracy among other machine learning algorithms.

### 4.1. Limitations

Despite the scientific development over the last decade and increasing commercial popularity and acceptance, neuromarketing is still facing multiple issues, including uncertainty in terms of the methods, variability in the interpretation of findings, the persisting distrust due to the insufficient reliability and validity of the metrics and measurements, reverse inference noted in primer studies, high fragmentation of consumer neuroscience scientific literature, high cost and technical limitations of some of the neuroscience tools, as well as lack of transparency regarding methodologies employed by the neuromarketing companies.

In this sense, arguing the transparency and reliability issues in the practice of application of neuroscience-based methodologies on relevant marketing stimuli, Trettel and her colleagues (2016) state that one of the reasons of misperception and overestimation by the public opinion of the actual

capabilities of neuromarketing is due to the lack of transparency of the methods and techniques used by the companies engaged in neuromarketing and the fact that different companies offer services based on proprietary computational methods that are not fully validated or disclosed through scientific publications to the scientific community (Trettel et al 2016, p. 101). Ulman et al. (2015) emphasize the need of further scientific research in order to establish stronger basis for validation of the scientific background of neuromarketing, while Stanton et al. (2016) refer to public fear regarding ethical approach of neuromarketing and the immediate effects of neuromarketing practices on individual consumer, as well as the long-term effects on society as a whole.

### 4.2. Implications for future research

Living in a time when scientific validity and reliability in applied sciences and research are not only recommendable, but crucial and essential, solid rules, research frameworks and universal measurements in neuromarketing should be established as soon as possible. These current limitations lead to substantial divergence in measures that are assumed to assess the same, resulting in unreliable data and decreased opportunity to repeat the study in other context or by other researchers. Moreover, it requires more research to validate each method and demonstrate predictive ability of the measures. These shortcomings should be seen as challenges, offering a vast space for improvement, and once we overcame them the future of neuromarketing would be much brighter. What this emerging discipline needs is established and solid standards, validated reliable metrics and well documented findings.

Even previously, many scholars highlighted the importance of having a certain research framework that would improve the validity and reliability of neuromarketing studies and would eradicate existing mistrust among some academics toward this discipline. Additionally, such framework and determined methodology would provide more valuable insights for marketers. Ramsoy (2019) offers further discussion on neuromarketing limitations and opportunities, thoroughly describing different types of validity and reliability of methods.

In relation to the studies on advertising effects on consumer behavior, Ramsoy (2019) suggests a basic foundation for the use of neuroscience and related methods in studying the advertising effects, identifying three crucial elements: distinction between basic, translational and applied research; conceptual clarification; and framework for the validation of neuroscience-based metrics. Moreover, future studies should be based on the new findings in consumer psychology and neuroscience and focus on the role and neural bases of dynamic memory in the formation, sustaining, and alteration of brand preferences.

It is important to note that the next level of research in this area needs to go beyond merely establishing associations between brain activity and a specific behavior. Ramsøy and Skov (2010) were the first to realize the need for novel approach to understand consumer mind and behavior, suggesting that beyond testing the relationships between brain systems and behavior, another exciting approach would be to go a level deeper and test the relationships between specific neurotransmitters, decision-making and behavior. According to Kable (2011), 60% - 70% of empirical neuromarketing and consumer neuroscience studies theretofore, adopted only one method, fMRI. Thus, in order to establish a deeper understanding of the relationships between neuropsychological processes and consumer behavior and to make a major breakthrough in our understanding of consumer mind, neuroscientific tool kit has to be even more expended, technologically advanced and innovative and easily adaptable and applied.

On a more positive note, it is undeniable that neuroscientific methodologies are now accepted as a viable tool to study marketing phenomena. Moreover, as the set of tools available to scholars expands, neuromarketing studies provide strong evidence that neuroscientific methods can make significant contributions to advancing the knowledge of consumer behavior. Further, the increasing attention given to neuromarketing in the top marketing journals, as well as the adoption of neuromarketing techniques by some of the most successful companies, should inspire even more researchers to investigate the potential of neuroscience in their area of interest.

## 5. CONCLUSION

By offering a detailed review of neuromarketing and consumer neuroscience studies conducted over the last decade, the purpose of this paper was to shed light on how neuromarketing expands our understanding of the consumer mind. In particular, I aimed to reveal the most significant findings in the field of neuromarketing from 2010 to 2020. This paper shows that neuromarketing has become significant academic and commercial area of interest, as the advancements in neural recording techniques and interpreting algorithms have made it an effective tool for recognizing the unspoken consumer response to various marketing stimuli. Arguing the limitations and taking in consideration methodological differences, lack of systematic validation of neuroscience-based metrics, further conceptual inconsistencies and untransparent commercial neuromarketing practices, it can be concluded that this discipline still requires maturation and more rigorous scientific approach to research. However, over the last decade there has been an apparent advancement of consumer neuroscience and neuromarketing techniques, scientifically, technologically and commercially. Neuromarketing and consumer neuroscience studies have begun to validate some of the audacious expectations among academics and practitioners, demonstrating that brain data obtained with neuroscience tools can predict future sales and other significant market-related outcomes and confirming the benefits of neuromarketing over traditional approach. I personally expect that all the skepticism regarding neuromarketing and consumer neuroscience will soon fade, due to the fast advancement of science, technology an innovation, as well the constantly increasing interest in the field since many questions about the human mind and what is hidden in the black box remain to be answered. We have to remember that scientific knowledge is always built incrementally, and each consecutive study a new building block toward groundbreaking discovery.

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# Barriers of Circular Economy Implementation in the Hungarian SME's

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**Abstract:** Over last few years, the concept of Circular Economy has gained significant attention from both researchers and practitioners to achieve sustainable development. However, few studies have been accomplished regarding drivers and barriers to implementing Circular Economy. With this concern, the aim of this study is to identify the implementation level and the barriers that influence the transition to Circular Economy experienced by the Small and Medium Enterprises (SMEs) within Hungary. By approach, both qualitative and quantitative methods were used for a better inference results through questionnaire that was carried out with the SMEs operating in Hungary. In addition, CREFOPORT database used to select and reach out to the target companies. The barriers have been classified into 5 categories based on an extensive review: Financial, Technology& &Expertise, Regulatory, Cultural and Market category. The study results reveal that the implementation of Circular Economy practices is in the infant stage in Hungary. Also the lack of consumer interest, high initial capital cost, Strong risk aversion, the current linear system is in place and lack of proper technology are the most pressing barriers.

**Key Words:** Circular Economy, Hungarian SMEs, Barriers, awareness level

## INTRODUCTION

Indeed, the Circular Economy (CE) model entails 3R principles: Reduce, Reuse and Recycle materials. Reduce refers to the minimization of inputs and the consumption of the raw materials, energy and waste generated. Reuse refers to the repeated use of by-products or some parts of items over multiple cycles and in another stage of production. Finally, Recycle suggests the use of post-consumption items and waste materials as a substitution for using virgin materials (Q. Z. Yang, 2014).

In past years, the concept of the CE has become attractive to major companies and policy-makers as a sustainable initiative to tackle the environmental deterioration and the depletion of natural resources. Unlike the traditional model, CE aims to respect the environmental boundaries through the minimization of the use of virgin materials and discharged waste that demonstrates a strong inter-relation between the economic and the environment.

The successful uptake of CE initiatives could deliver a wide range of benefits and contributes to value creation for such aspects as environmental, economic and societal spheres (Sehnem, 2018). Regarding the environmental benefits, the CE model aims to fight the severe shortage and the depletion of the natural capital that can be achieved through the integration of the recycling process. At its core, the CE tend to optimize the resource yields whereby the product is designed to last longer as possible.

Besides environmental sustainability, becoming more circular could lead to economic growth and reduce the large gap between the growing demand for raw materials due to the growth of the population and suppliers shortage. Such changes entirely increase revenue by cutting off input costs and the quantity of raw materials used. Indeed, the economic benefits have been increasingly recognised by decision-makers and researchers. In terms of social benefits, the side effects of a positive environment improve human health and well-being. The pointers are the reduction of negative externalities such as pollution, emission of carbon dioxide and the release of toxic substances. Therefore, the ultimate goal of sustainable development is to achieve harmony between a protected environment, economic growth and social equity (Garcés-Ayerbe, 2019).

Although there is widespread of the CE concept among companies, the transition to CE still in a very nascent stage, especially for SMEs that are immersed in unsustainable business models and for the emerging economies (Thayla T. Sousa-Zomera, Exploring the challenges for circular business implementation in manufacturing companies: An empirical investigation of a pay-per use service provider, 2017). Small and Medium Enterprises (SMEs) play a crucial role in this debate since they are the predominant form of companies operating in the market. According to (OECD, 2017), SMEs

represent 95% of companies in the OECD member states. Nevertheless, in the European Union, SMEs make up 99% of all companies (Ormazabal, 2018). Indeed, some research stated that the implementation of new practices that align with CE have generated value for SMEs in terms of accessibility to new markets, saving material costs and create competitive advantages (Matteo Mura, 2019).

Moving toward CE is relatively challenging and requires fundamental changes in several subsystems (Thayla T. SThayla T. Sousa-Zomera, 2018). In fact, there is a huge gap between the theory of CE and its implementation process, in other words, the CE business model is not fully implemented. Several companies have intended to adopt the CE business model but unsuccessful as there are different barriers and challenges that hamper or slow down during their transition. The exploration of the current barriers is required to give insight and support companies to shift towards the new business model. Therefore, this paper aims to explore the main barriers encountered by Hungarian SMEs to implement CE with the following objectives:

- Investigate the extent to which Hungarian SMEs have adopted CE business model
- Identify the barriers related to CE implementation
- Analyse the identified barriers to CE implementation

The remainder of this paper is structured as follows. Section 2 provides a classification of the main barriers to implement CE by SMEs. Section 3 describes the methods and materials used for gathering and analysing data. In section 4, the results are explained and discussed. Finally, the conclusion is drawn in section 5.

## 2. CATEGORISATION OF BARRIERS

In recent years, several research conducted have identified barriers hampering SMEs to implement CE business models and divided barriers into different categories. (Ana de Jesus, 2018) categorized barriers into *soft* "institutional and social" and *hard* "technical and economic". However, (Eijk, 2015) opted for a different categorisation in terms of lever such as "design and production", "logistics", "consumption", "recycling and recovery" and "general framework". In addition (Krichherr, 2018) distinguished between technological, regulatory, market and cultural categories. In this research, the barriers are categorized according to the most frequented in the literature: these are *Financial, Cultural, Market, Regulatory and Technology & Expertise* categories as presented in table 1.

Table 1. Categorised barriers to implementing Circular Economy

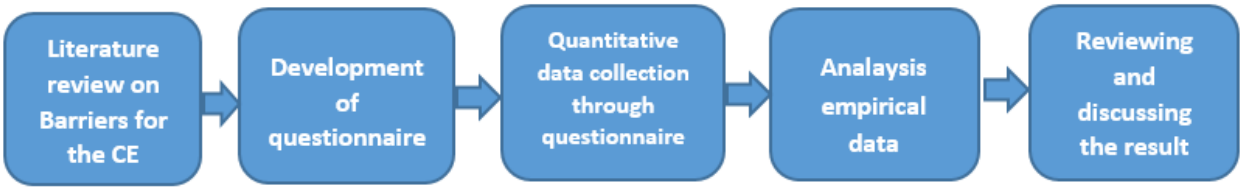
| CATEGORIES | TYPE OF BARRIER | BRIEF DESCRIPTION | LITERATURE SOURCES |
|---|---|---|---|
| **Financial** | High initial capital cost | High upfront costs needed which has a long-term payback period | (Krichherr, 2018) |
| | Low virgin material prices | Virgin material is often still cheaper than recycled | (Jim Hart et al , 2019) |
| | High production costs | Potential increase in production cost due to the increase of raw material costs and production process | (Aamon Kisslinga et al, 2019) |
| **Technology and Expertise** | Lack of Competence & Knowledge | Lack of Qualified workers and the know-how to embrace CE solutions | (Vasileios Rizos, 2015) |
| | Lack of information/data | Unavailability of clear guidelines to define sustainability in SMEs and CE principals | (de Sousa Jabbour, Jabbour, Godinho Filho and Roubaud, 2018) |
| | Lack of proper technology | Inability to deliver high-quality products due inappropriate technology | (Martin Agyemang et al, 2018) |

| | | | |
|---|---|---|---|
| | Lack of effective policies | There is no strict and clear legislative that impose companies to adopt CE | (Jim Hart et al , 2019) |
| **Regulatory** | Administrative burden | Complexity of the administrative procedures and the requirements of the environmental legislation | (Vasileios Rizos et al, 2016) |
| | Lack of governmental incentives | Weak incentives system to stimulate the adoption of CE business models | (Calogirou et al, 2010) |
| | Strong risk aversion | Difficulties to estimate products performance and the financial forecast discouraging to take risk | |
| **Cultural** | Lack of interest on the part of Leaders | Poor management commitment and focusing on short term investment which does not align with CE | (Yong Liu and Yin Bai, 2014) |
| | Current linear system in place | Companies are already familiar with the Linear system which is deeply rooted and widely established in their current business practices | (A.G. Pheifer, 2017) |
| | Lack of consumer interest/awareness | Negative perceptions of reused products and unwillingness of consumers to change their lifestyle and buying behaviour | (Yong Geng and Brent Doberstein, 2008) |
| **Market** | Difficult to cooperate/collaborate with other companies | Insufficient transparency and weak relationship within the industrial sector to create eco-industrial chains | (Kannan Govindan and Mia Hasanagic, 2018) |
| | Unpredictability in supply and demand | Limited willingness of suppliers and customers are considered as a discouraging factor | (D.A. Vermunt, 2019) |

## 3. METHODOLOGY

This exploratory study follows a deductive approach. This means the results have been derived using quantitative methods, analysis and based on the interpretation of quantitative research data. The first step consisted of a structured review of the literature, followed by the design of a detailed questionnaire based on the literature. The third step was data collection including the distribution of the questionnaire. Later, data analysis of the returned questionnaires were performed. The steps followed in this research are presented in fig 1:

Figure. 1. Flowchart of research



## 3.1 Questionnaire design

For this study, the primary data was collected through a questionnaire to explore the degree to which the Hungarian SMEs have implemented the CE and the main barriers they face. The questionnaire was designed using the Lime Survey application with both English and Hungarian language to facilitate data collection. Overall, the questionnaire composed of 15 questions and was categorized into three sections. The first section consisted of demographic questions including the industrial category of the company, company size in terms of employees and respondents position. The second section was aimed to explore the awareness level and the degree of CE implementation among Hungarian SMEs. The questions included the percentage of Reusing or recycling materials and the percentage of Disposal of materials within the company, in addition, basic questions to uncover respondent's knowledge about CE and its benefits. The third section aimed to find out the barriers to CE implementation, 15 barriers have been selected based on an extensive literature review were divided into 5 categories. For each barrier, the respondents were requested to estimate its significance according to the five-point Likert scale ranging from 1= the lowest level to 5= the highest level.

## 3.2 Questionnaire distribution

The target respondents in this research involved General Managers, management positions and Head of Environmental Management from various industries in Hungary. To avoid mistrust of the respondents, the questionnaire started off with an explanation of the overall research objectives, ensure that the participation is voluntary and promised that all responses will be treated with confidentiality. The contact person for each company was obtained from two different sources. The first source is the CREFOPORT database (the online database of companies in Hungary) while the second source consisted of the social networking site LinkedIn. We used some specific conditions and filters in CREFOPORT to get a heterogeneous sample composition. For instance, the selection of different R*egions* and *Industrial sector* of the companies within Hungary, N*umber of employees* between 0-250 employees and the *Active* companies.

The questionnaire was sent by email to 1300 companies, 76 questionnaires were returned consisting of 16 uncompleted responses and 60 ones completed which represented the final sample size for this research. Thus, the effective response rate was 9.5%. In addition, the questionnaire was available for completion from 1$^{st}$ of March 2021 to 30 of April 2021. Due to the exploratory character of the research findings, we used SPSS to analyze the questionnaire data and the results were presented through descriptive statistics.

The WEIGHTED MEAN method was employed to evaluate the influence of each barrier. This approach is widely used in the industrial sector and serves as a support for decision-making problems.

There are five steps for applying WEIGHTED MEAN method: (1) Selecting and categorizing barriers from the literature review, (2) Designing the questionnaire (3) Distrusting and collecting data, (4) Calculating weighted mean for each barrier, (5) Ranking the barriers and interpreting results.

***Step 1: Developing the Linguistic Scales***

The first step consisted of the development of the linguistic scale. The respondents completed the evaluation according to their experience and knowledge. The Weighed Mean was transformed into a descriptive equivalent: Rating Scale: Highest range- Lowest range/ Highest range = 5-1/5 = 0.8

We proposed the following five-point Likert scale:

Table 2. Weighted Mean Linguistic scale

| Scale value | Range | Descriptive Equivalent |
|---|---|---|
| 1 | [1 - 1.8] | No influence |
| 2 | [1.8 – 2.6] | Very low influence |
| 3 | [2.6 – 3.4] | Low influence |
| 4 | [3.4 – 4.2] | High influence |

| | | |
|---|---|---|
| 5 | [4.2 - 5] | Very high influence |

***Step 2: Formulate a normalized Weighted mean matrix***

The normalized Weighted mean matrix was obtained as follows:

$$\bar{x} = \sum_{i=1}^{N} w_i x_i$$

Where $\bar{x}$ = the weighted mean barrier

$wi$ = the allocated weighted value

$xi$ = the observed value

It was assumed that all barriers has equal importance.

***Step 3: Calculate the Weighted mean of each barrier***

The Weighted mean of each barrier is calculated using the equations in step 2. The barriers are ranked from the highest to lowest influence according to the weights of barriers. The results, weighted mean and rankings are summarized in Table 6.

## 3.3 Respondent's Profile

The profile of respondents represents a heterogeneous sample as it summarized in Table 3. The greater portion of the respondents were holding managerial roles 51.67% followed by General Manager 13.33% and only 10% were acting as a Head of Environmental Management. In terms of industrial sector, around 18% of the respondents were from the mechanical and electrical engineering followed by chemical industries were 16%; food, beverages, tobacco industry were 15% whereas were 10% from other sectors. Regarding number of employees, 36% of the companies employed between 100-250 employees, 28% employed between 50-99 employees and 21% employed 10-49 employees. The remaining were between 0-9 employees.

Table 3. Demographic profile of the respondents

| Demographic information | Number of Respondents | Percentage of respondents |
|---|---|---|
| **Position** | | |
| General Manager | 08 | 13.33% |
| Management positions and related | 31 | 51.67% |
| Head of Environmental Management | 06 | 10.00% |
| Other area of the company | 15 | 25.00% |
| **Sector** | | |
| Mechanical and electrical engineering | 11 | 18.33% |
| Food, beverages and tobacco industry | 09 | 15.00% |
| Chemical industries | 10 | 16.67% |
| **Mining** | 03 | 5.00% |
| Construction industries | 05 | 8.33% |
| Forestry, wood and paper | 06 | 10.00% |
| Oil & Gas industry | 03 | 5.00% |
| Agriculture, plantations and rural sector | 03 | 5.00% |
| Financial services and consultancy | 04 | 6.67% |
| Other | 06 | 10.00% |
| **Number of employees** | | |
| 0-9 employees | 08 | 13.33% |
| 10-49 employees | 13 | 21.67% |
| 50-99 employees | 17 | 28.33% |
| 100-250 employees | 22 | 36.67% |

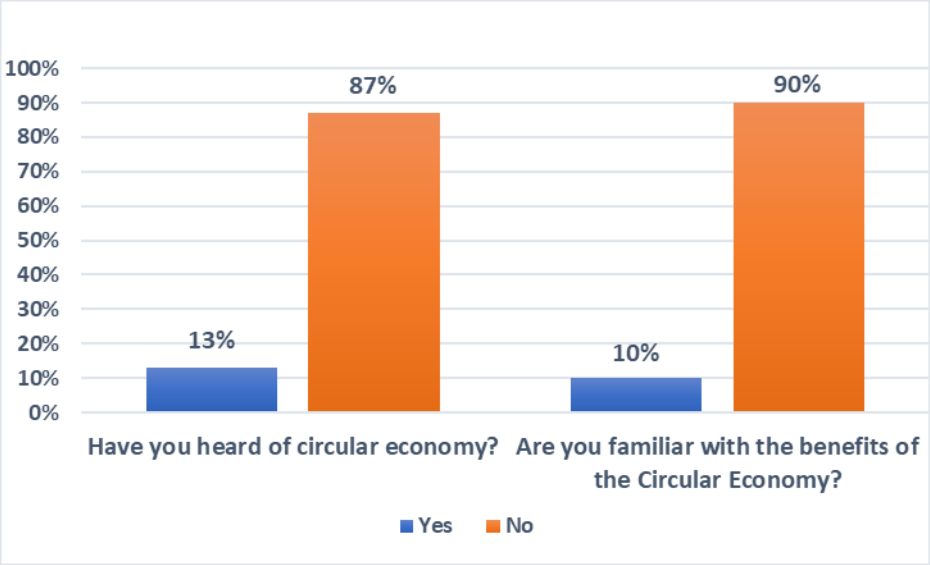
## 4. RESULTS & DISCUSSION

The following section presents the results of the questionnaire, which is subdivided into three aspects: 1/ how participants perceive CE, 2/ Examination of the implementation level of CE, 3/ Exploring company's behavior. Finally, analyzing the barriers to CE adoption resulting from the questionnaire.

### 4.1 Circular Economy awareness

Initially, respondents we asked about their knowledge concerning the CE and its benefits. The results have shown that only 18% of the respondents had heard of the CE and chose the answer "Yes" while the remaining 82% did not. When we asked the respondents whether they are aware of CE benefits, about 78% have chosen the option "No". This result revealed a low level of awareness and lack of understanding around CE within companies. There is a clear strategy to provide appropriate capacity trainings and for those businesses in order to improve their awareness on the benefits of CE.

Figure2. Circular economy awareness




### 4.2 Implementation Level of Circular Economy

Adopting a Circular Economy business model is a challenge for SMEs. To explore the current implementation status, the respondents were asked to select one of the following alternatives: Already implemented, planned for the next 2 years or not implemented. The findings were that 86% of the respondents stated that their companies did not either implement CE practices or planned for the next 2 years. The companies are not ready yet, 11.67% of the respondents answered that their companies intend to implement it over the next 2 years. However, 8.33% acknowledged that CE already is adopted.

There is another aspect to evaluate the CE status in Hungary. The respondents we asked whether their companies cooperate with other companies to create an eco-industrial chains. The Majority, 90%, stated that there is lack of cooperation between companies to guarantee the creation of an eco-industrial chain.

Figure 3. Implementation Level of Circular Economy

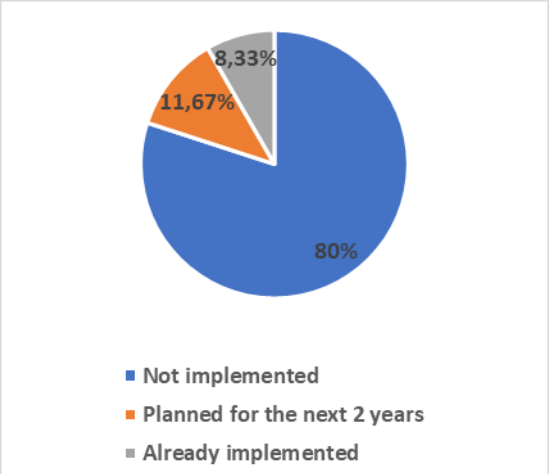
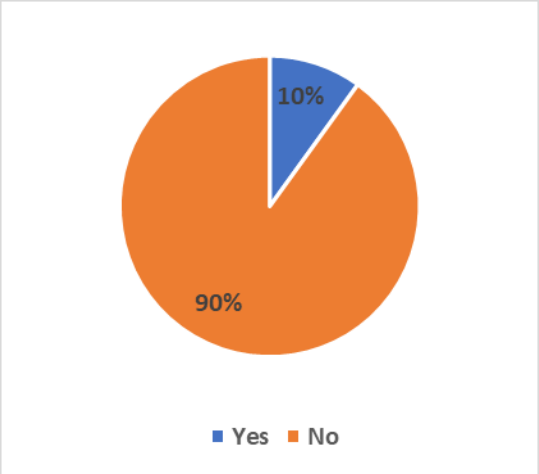


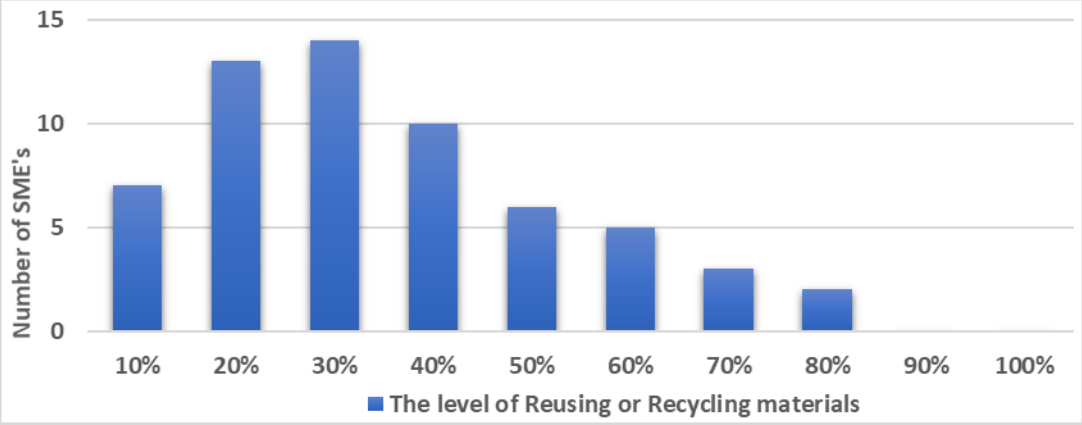

Figure 4. Cooperate Level between companies to create eco-industrial chains




### 4.3 The behavior of companies towards Circular Economy

Regarding companies' behavior in connection with CE practices, respondents we asked to assess the percentage of recycling materials. However, the results indicated that the wasted materials rate is very high. Over 50% of respondents stated that the recycled materials rate does not exceed 40% and the remaining represents the disposal rate.

Figure 5. The Level of implementation of the Recycling phase



## 4.4 Barriers for the Circular Economy

The identified perceived barriers by the questionnaire respondents for implementing Circular Economy practices are illustrated in Table 2 based on their relevance.

### *4.4.1 Financial barriers*

This category comprises the most salient barriers receiving the highest weights. The high upfront costs in any industrial sector, which are required to adopt CE practices, were perceived as major obstacles in this category and comes fifth among all categories. Moreover, companies anticipate a long pay-back period, especially for SMEs with short-term visions. Under this barrier, there are also indirect costs for hiring employees with higher expertise and arranging training for them. The "low virgin material costs" appears as the sixth most influencing barrier, (Felix Preston, 2012) Claimed that in many cases, the recycling of materials is uneconomical compared to the production of virgin materials.

The "high production costs" perceived is as the seventh barrier on its weight. This is due to the augmentation of recycling costs and wages also purchasing sophisticated machines. Thus, the profits will be decreased and companies were not willing to incur as their sole goal is striving to reduce production costs.

### 4.4.2 Technology and Expertise barriers

The possession of proper technology and the relevant expertise is prerequisite to implement CE. However, this category is identified as the bottleneck because it is not fulfilled yet by most companies. In contrast, the Lack of Competences & Knowledge barrier ranked as the ninth most pressing barriers includes the gap in workers in terms of detailed technical skills and the ability to design, deal with remanufactured products. The lack of data about the economic and environmental benefits has been classified in twelfth rank. Comparatively, this barrier has lower influence compared to the barriers and the respondents could access to this information.

Regarding the Lack of proper technology barrier, it emerged as the highest pressuring barrier where the existing technologies and machines are inappropriate to meet the CE expectations. Hence, companies should invest in high-grade technology that can improve the opportunity to deliver high-quality products and to integrate in eco-supply chains.

### 4.4.3 Regulatory barriers

Generally, government plays a crucial role for SMEs to embrace CE practices. Hopefully, such government intervention are needed to change SMEs vision towards environmental aspects. Indeed, the regulatory category consisted of three barriers; the most influencing regulatory barrier is "Lack of government incentives" which ranks eight out of the 15 barriers. The latter barrier includes the lack of special benefits to the companies that intend to adopt CE initiatives. These benefits could be in form of fiscal exemption or effective taxation system as well as opportunities for funding. In addition, the government should set up conferences to promote and discuss the importance of the CE practices with the manufacturers.

Usually, moving towards CE is a long and complex procedure for SMEs. Additionally, SMEs are required to meet certain standards and obtaining certificates. This administrative burden appears as the ninth barrier among all barriers in our questionnaire. From legislative perspective, Hungarian policy does not create a unified platform to promote the CE. Moreover, the current policy discourages companies in terms of taxation system, import duty for the recycled materials. Thus, companies prefer to use virgin material rather than the recycled as they are comparatively cheaper. The Lack of effective policies perceived is the eleventh rank. Overcoming this barrier means that, the Hungarian government should provide a strict legislative system imposing the integration of CE practices into their operation system.

### 4.4.4 Cultural barriers

The cultural barriers category concerns the decision-makers and manager's behavior as well as their willingness to embrace CE practices. Indeed, this category comprised the following barriers. Strong risk aversion associated to the implementation of CE. This is due to the complexity to evaluate its benefits and estimate the implementation costs. Even as some managers have positive perception towards CE, this difficulty to anticipate the concrete benefits hinder its adoption. The latter barrier is widely recognized and has been ranked as the second most pressing among all barriers. Lack Leaders' of interest refers to their mindset, which does not favor the environmental concern. The finding reveals that this barrier has low influence and the respondents showed their positive perception and interest.

The "current linear system in place" indicates that companies are already familiar with the current linear system, which is deeply rooted and widely established in their business practices. In addition, to change the attitudes of the workers, companies may motivate them to become aware of the new practices. The result revealed that this barrier has a very high influence and ranks fourth.

### 4.4.5 Market barriers

In CE implementation, the market barriers are considered as the major constraints. This category includes the Lack of consumer interest and awareness' which represents the second greatest barriers. The latter barrier explains the unawareness of customers of durable products and their crucial role to attain the environmental sustainability. This could be explained by customer's interests where the cost of products is more important than their impacts on the environment. Thus, customers are not willing to buy durable products, which is generally more expensive. The adoption of CE requires a fundamental change in customer's behavior and lifestyle. In relation to the willingness of companies to engage in the value chain, this barrier has been identified as the least pressing barrier. This explains the willingness of the respondents to collaborate with other stakeholders to create a value chain and enhance business relationship. The successful transition to CE necessitates a high appreciation level of circular products from the customers. This could generate high market demand then profits as well. However, the limited awareness of customers makes the unpredictability in supply and demand more difficult for the companies. The respondents perceive that this barrier has the lowest influence.

Table 4. Circular economy barriers – questionnaire results

| Barriers | | Rating Scale Frequency | | | | | Overall | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | ST DEV | WEIGHED MEAN | RANK | DE |
| FINANCIAL | FB 1 | 0 | 1 | 13 | 17 | 29 | **0.85** | **4.23** | **05** | **Very High Influence** |
| | FB 2 | 0 | 2 | 14 | 23 | 21 | **0.85** | **4.05** | **06** | **High Influence** |
| | FB 3 | 0 | 5 | 17 | 27 | 11 | **0.86** | **3.73** | **07** | **High Influence** |
| TECHNOLOGY | TB 4 | 3 | 4 | 19 | 19 | 15 | **1.09** | **3.65** | **09** | **High Influence** |
| | TB 5 | 3 | 10 | 19 | 19 | 9 | **1.09** | **3.35** | **12** | **Low Influence** |
| | TB 6 | 0 | 1 | 8 | 23 | 21 | **0.77** | **4.3** | **01** | **Very High Influence** |
| REGULATORY | RB 7 | 2 | 8 | 13 | 21 | 16 | **1.11** | **3.38** | **11** | **Low influence** |
| | RB 8 | 3 | 5 | 15 | 24 | 23 | **1.07** | **3.65** | **09** | **High Influence** |

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | **RB 9** | 1 | 8 | 20 | 12 | 19 | **1.11** | **3.67** | **08** | **High Influence** |
| **CULTURAL** | **CB 10** | 1 | 2 | 6 | 21 | 30 | **0.90** | **4.28** | **02** | **Very High Influence** |
| | **CB 11** | 4 | 8 | 22 | 17 | 9 | **1.10** | **3.32** | **13** | **Low Influence** |
| | **CB 12** | 0 | 1 | 9 | 24 | 26 | **0.77** | **4.25** | **04** | **Very High Influence** |
| **MARKET** | **MB 13** | 0 | 1 | 8 | 24 | 27 | **0.76** | **4.28** | **02** | **Very High Influence** |
| | **MB 14** | 4 | 10 | 19 | 17 | 10 | **1.14** | **3.32** | **13** | **Low Influence** |
| | **MB 15** | 2 | 10 | 24 | 15 | 9 | **1.03** | **3.32** | **13** | **Low Influence** |

## CONCLUSION

This study aimed to provide an indication of the awareness levels of the CE practices among Hungarian SMEs, to identify the perceived barriers their influence on implementation. From the literature review, 15 barriers were selected and categorized as five main sub-barriers. These barriers have been ranked using the Weighted Mean method, which helps decision makers to know the influence of them. The research findings reveal that the majority of the questionnaire respondents were slightly aware of the CE and its benefits. The CE transition is unlikely to be successful with the lack of global consensus and awareness about the CE concept at the individual level in the company. In addition, the results have highlighted that the CE implementation is at an early stage in Hungary. Majority of the companies do not cooperate in the eco-industrial chains and also the recycling process still not integrated yet in their production chain.

In summary, the main findings highlight three different influence level of barriers:

- ***Very high influence:*** The 'Lack of proper technology' emerged as the most significant barrier due to the inadequacy of the existing technology to the circular products, followed by the 'Lack of consumer interest' in the circular economy products and the 'strong risk aversion' associated with the new practices. In addition, this level comprised the 'Current linear system in place' barrier that indicates to what extent the linear system is rooted and the 'High initial capital cost' required to invest in new technologies.
- ***High influence:*** This category includes the 'Low price of virgin materials' assuming that the virgin materials still cheaper than the recycling. Subsequently, 'High production costs' resulting from the increment of wages (hiring higher skilled employees) and recycling process, followed by the 'Lack of governmental incentives' unlike other governments that have heavily invested and supported SME's. Moreover, the 'Lack of knowledge and competence' and the 'Administrative burden' are barriers that have been perceived by the respondents with the same influence. Several companies do not have the technical capacity in terms of knowledge and skills to invest in advanced technology, so they prioritize the existed technology.
- ***Low influence:*** 'Lack of effective policies' demonstrates the limited involvement of the Hungarian government to take initiatives for a better economy. This could be improved through imposing strict policies to push the companies to evolve their supply chain. The 'Lack of Data' also perceived as a barrier with low influence with explains the accessibility to the CE information. Finally, 'Lack of Leaders' interest' and 'Difficult to cooperate/collaborate with other companies' are barriers with lowest influence level.

Admittedly, our research has some limitations that should be improved in future studies:

- Limited sample size (60 respondents) affects the generalizability of the results, so we cannot assume the findings are strictly representative.

- The study explored only the awareness level and barriers; other aspects like drivers, practices and suggestions to overcome the barriers should be taken for future research.

- The quantitative data relied on only one method Weighted Mean. In future research, more complex statistical methods should be used.

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# Conflict Management Styles of Albanian Corporations Operating in the Construction Sector

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**Abstract:** Conflict is a spread phenomenon among organizations, either it is functional or dysfunctional. The existence of conflict is due to the contrasting of employees' ideas, goals, attitudes, behaviors, etc. However, organizations can manage it effectively to bring light into problems and provide solutions for them. The purpose of this study is to explore how conflict is managed in Albanian corporations operating in the construction sector as being one of the key sectors of the country's economic development. Considering its importance to the organization, it is crucial to see how this complex and interdisciplinary phenomenon is handled in the context of Albania. For the data collection, a survey is conducted with several private companies operating on the construction sector in Albania. The sample consists of employees of several construction firms operating in Tirana. Concretely, the study involves 152 participants. This research used the questionnaire Rahim Organization Conflict Inventory II about the five main styles of conflict management. Results of this work show that the most used method of conflict management is "integrating". The study findings are supported by reputable literature in the field.

**Keywords:** conflict management styles, ROCI II, construction sector, Albania.

## 1. INTRODUCTION

Organizations are comprised of groups of people with a certain purpose or role there and they are all divided in separate departments with different goals each. And because the organizations have people and departments which have specific goals and roles and when they have contact together then conflict is inevitable in between them. Relationships between these groups may become strained due to the presence of conflict because of the different agendas they might be on. According to Thompson (1998), conflict represents differences between people. These differences nowadays are becoming more evident due to the diversity on the workplace. Due to the consequences that conflict has on the organization, positive or negative, it is necessary to be assessed through conflict managing techniques. Conflict management (CM) in an organization is important to prevent the negative effects of conflicts and to try and give the best solutions when it happens.

In the last couple of decades, a lot of studies are conducted to assess conflict in the organization and how it affects its members. These studies are focused on conflict in the organizational level and its impact on the results, showing once again great concern on its effects on the achievement of goals by the individual and group alike. Conflict usually comes from interpersonal disagreements and it is important to note the style of how it is managed to turn it into a disadvantage for the company.

Like mentioned before, the conflict within an organization can have both a positive and a negative effect. The positive outcomes include better decisions, innovation and the group being more productive (Leung and Tjosvold, 1998). One of the main reasons for the advocacy of the management of the conflict in organizations is the fact that when managed successfully, it increases the commitment of employees in their daily tasks. Conflict can be managed successfully if the members work together towards a solution. According to Ayoko (2007), when groups were engaged in finding solutions together, they were successful in doing so. This way a successful management of conflict can lead to a better commitment and less employees leaving their jobs. Meanwhile the negative effects that conflict has on an organization are more obvious and include stress, dissatisfaction and the team being less productive overall (Jehn, 1995). According to Nizam (2011) conflict is the main reason for work stress amongst employees. When Hocker and Wilmot (1985) asked employees about how they related the word conflict, they all related it with negative emotions. If conflict is left unattained and not properly managed, it can lead to dissatisfaction which causes employees to leave a company.

Conflict has several dimensions which are interconnected with each other. There are three which are most used in the conflict literature: the situation of conflict, attitudes towards conflict and behavior towards conflict. This means that in the conflict there are always underlying factors. These dimensions emphasize the need to take into consideration that individuals have different needs which influence behaviors.

The conflict management styles (CMS) that are going to be taken into consideration for this study will be the ones studied by Rahim. In his study, Rahim (2001) selects five ways the conflict can be managed in an organization. Rahim focuses on the interpersonal conflict and uses two dimensions: concern for self and for the others. Based on these dimensions he gets five different styles of conflict management which are respectively: integrating, obliging, avoiding, dominating, and compromising.

The study of conflict in Albanian organizations remains ambiguous due to lack of research. Like mentioned before it is certain that conflict exists in an organization if there are people with different interests and the context of Albania should make no exception. What differs is how this conflict is managed in the terms of conflict management style. For this research, the construction sector will be taken into consideration. The style will be assessed with the help of a survey prepared by Rahim (2001).

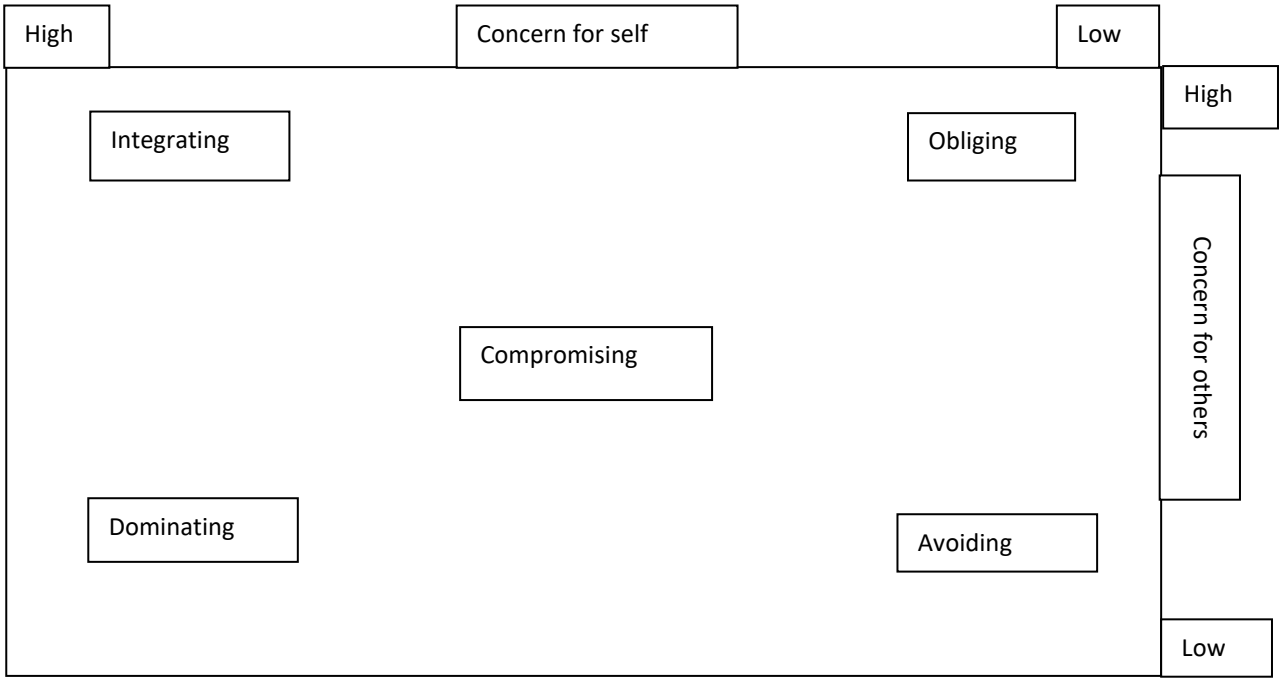
To fulfill its aims, this study has aroused the following research questions.

1. What conflict management style is used in Albanian corporations in the construction sector?
2. Is this conflict management style the same as the one suggested by the theory of conflict management?

In line with the research questions, it has been designed the conceptual framework of this research as shown in figure 1. The research model consists in two dimensions as stated by Rahim to discover the five main Conflict Management Styles. These dimensions are concern for self and for others and both of those can score high or low. From this model, five main CMS are gathered when both dimensions are combined and are as follows: integrating, avoiding, compromising, dominating, and obliging. Integrating scores high on both while avoiding scores low on both. Meanwhile dominating scores high for concern for self and low on concern for others. The opposite with obliging which scores high for concern for others and low for concern for self. The last style, compromising is derived when the concern is in intermediate levels for both dimensions.

This study intends to show the style of conflict management in Albania based on the questionnaire prepared by Rahim (2001). It intends to see also if the style used in Albania is the same as the style suggested by the studies which is the integrating style. This conclusion intends to show also if conflict management in Albania is in the right way. The focus of this study are construction companies due to their longevity in the market and structure.

Figure 4: Research Model




Source: elaborated from Rahim (2001)

## 2. LITERATURE REVIEW

The concern about conflict in organization has increased in the last two decades due to its effect on the work environment and the members of organization themselves. Conflict management can help in the improvement of this environment but if conflict is left unattained it can lead to many problems in the organization. Many of the problems which arise in a work environment come from interpersonal and intergroup conflict and the way it is handled (Friedman et al., 2000).

Conflict can be described as a social phenomenon which can be encountered in the interactions between individuals, groups and in some cases even organizations. Rahim (2001) states that the main reason for disputes and disagreements comes from the desire of these entities to approach the same resource. Other reasons include stances they take on a subject, beliefs about a situation and core values of the members.

The definitions of conflict come from many fields which study it ranging from sociology, philosophy, economy, politics and even biology (Nightingale, 1974). Thompson (1998) gives a simple definition of conflict as different interests amongst people. Robbins (1974) defines it as a process where there are endeavors made on purpose from one side to stop the other from achieving its goals. Another definition comes from Thomas (1976) and describes the beginning of conflict as the time where one side thinks that the other is trying to block them from achieving their objectives. According to Katz & Kahn (1978), two entities are involved in a conflict when the actions they take provoke the resistance of the other. Chung & Megginson (1981) define it as a fight between different needs and desires and it comes when entities have objectives which cannot be achieved by both on the same time. Kabanoff (1986) says that it is an outcome of opposed relationships of entities. Meanwhile Roloff (1987) says that conflict in an organization happens when the members are involved in activities that are incongruent with those of the others within the same organization. According to Bisno (1988), conflict is a process which involves disputes between members over assets, status, and mindsets. The objectives of the people involved in a conflict can result attempts to get a preference, securing assets and even harm to other members in the most extreme cases. Mayer (2000) describes conflict as a feeling or divergence of interests which can be true or perceived by the entities involved.

Other authors say that to define conflict, there is one element which should always be included and that is environment (Applefield, Huber & Moallem, 2000; Coy & Woehrle 2000; Demmers, 2006). So,an important part of the conflict is the context in which it is studied which can include the type of organization, the culture of the country, the type of leadership. This difference in the way it is perceived on different environments has a big impact on the way it is then managed.

The way conflict is perceived in the context of the organization has been different in different eras. This has changed with the developments on the studies in the field of management and conflict being part of the organization has been part of these studies with different views and perceptions about it.

### 2.1. The classical view of conflict

Scholars of classical management viewed conflict as a threat to the organization. To them, conflict harms the efficiency and should be kept at a minimum. To minimize conflict these theorists used structures such as procedures and hierarchy. This way the members of the organization would not have any chance to be part of a conflict. According to these researchers the only way to keep the organization efficient would be to keep it without conflict and in total harmony.

One of the authors who supported this line of thought was Frederick Taylor. According to him, the organization would function better when following a set of principles. He mentioned that there would be no conflict between employees and employers if these principles were followed. Although this set of instructions would help with efficiency, it had also criticism and it did not offer a walkthrough to manage conflict when it happened.

The same line of thought was adapted also by Max Weber who gave the idea of bureaucracy and claimed it was the best way to lead the organization in terms of efficiency. These organizations must follow a specific set of principles. But in this specified model of his, Weber did not include conflict or the fact that any dispute might happen during work. He claimed that if followed correctly, this way would completely avoid conflict.

An author who thought differently from the other authors of this period was Mary Parker Follet. Her behavioral orientation placed her in a different position than the authors of scientific management. She noted that the best way to measure the progress was to look at the nature of conflicts. She said that when the conflicts change to a higher level than that is accompanied with individual and social progress. Follet's stance to conflict was that of solving it and that its avoidance was ineffective in assessing it.

### 2.2. Neo classical view of conflict

In the neo classical perspective of conflict, the main study remains that of Elton Mayo which was the cornerstone for the human relations perspective of management. In his study he mentioned the need to eliminate conflict to achieve effectiveness in operations. Mayo thought that conflict could be avoided, and it was not economic for the organization. To him conflict was just because of not adjustment from some employees. Conflict to Mayo represented a bad thing and it usually meant lack of social skills when it happened.

Classicists like Taylor, Weber, and Fayol along with Mayo who was a neo classicist wanted to keep conflict at a minimum, but they followed different ways. The first group decided to change the structure of the organization and make it in a way where alterations were impossible. Whereas Mayo followed another route by changing the social system.

So, in the end all the authors who researched about classical organization except Follet did not account conflict in their theories. They deemed it not needed for the wellbeing of the organization. They tried to keep it at a minimum and saw no benefits from it. These were the main ideas about conflict during the first half of the 20th century.

## 2.3. The modern view of conflict

Litterer (1966) presented an argument that compared the stance of the classical organization theorists on conflict with the treatment of tension in people. The normal reaction towards tension in people was to reduce it. In both, therapy and organization, the main course of action was to make efforts to reduce tension. But recently the presence of tension has become a normality and it is even desired in some cases because of the way it helps with the development of the personality.

Another view about conflict was given by Whyte (1967) where he stated that harmony is not one of the organizational goals of a well operating organization. The main goal of organizations should not be to keep the harmony but to be able to see the problems of the organization and solve them. And since conflict is part of the organization, the companies should find ways to resolve it.

This way of thought shows a distinction from the previous eras in the concept of conflict in organizations. It shows that to have a better organization, companies should seek to increase the conflict there. This means that the conflict should not be seen as a weakness but as something that the companies can learn from.

Robbins (1974) made a categorization of the three main perceptions of conflicts:

1) The first one was the philosophy adapted by classicists who determined that conflict was bad for the organization and that it should be avoided and eliminated.
2) The other one was called the behavioral philosophy which acknowledges that conflict is ever present in companies. This group accepts conflict in organizations and believes that it can increase the effectiveness if managed correctly. But they lack the ways of how to generate it in organizations.
3) The last one is called philosophy of the interactionists and it has the following characteristics:
    - Conflict is necessary for the organization.
    - There should always be differences in thought.
    - Conflict management should include both its provoking and its solution.
    - Conflict management is an important component of managers.

According to Nightingale (1974), this new interactionalist theory views conflict as a way to bring agreement and bringing more collaboration in the organization because only then the members will show the capacity needed for action and change in order to set things straight. So, this way conflict becomes a way of change for the better. Meanwhile Miles (1980) has given a detailed view on how conflict helps the organization. He notes that several processes in the organization are helped by conflict such as the motivation of employees, control, group dynamics, innovation and problem solving. Conflict in the organization reveals the problem and through a good management it can be used to fix these problems.

In the modern view, organizational conflict cannot be avoided in this environment and it shows how good the organization is being managed. Conflict can be very helpful because it can lead to innovative solutions and ways to reach goals in the organization. On one hand little conflict can lead to a stagnant state of the company and poor decision making. But on the other hand, when there is too much conflict and it is left unmanaged, it can lead to complete havoc in the organization. So, the best way is the presence of a medium amount of conflict which is managed effectively (Rahim & Bonoma, 1974).

Even though this modern theory of conflict is being applied widely, it is not without opposition. McDonald (1972) in his studies claimed that conflict at the top management can be destructive for the organization and it leads to its dysfunction and he also included some criteria to avoid such occurrences. Meanwhile Neuhauser (1988) stated that conflict in the organization is a cause of stress, lowers the productivity and has a bad effect on what the customers receive. Also, De Bono (1986) states that the only resolution to conflict is its elimination.

### 2.3. Sources of conflict in an organization

Conflict can be classified based on the sources that cause it in the first place. This source include duty, objectives, beliefs, and many others. Rahim (2001) found it convenient to classify conflict based on what causes it.

1. Affective conflict
   It can happen when two members who are interacting with each other to solve an issue and they and they find out that their thoughts about an issue are not compatible (Amason, 1996). It is also known as personal or emotional conflict. Pelled summarized it as a case where the members of the group involved have interpersonal disputes which consist of negative feelings.

2. Substantive conflict
   This type of conflict can happen when the entities involved have disagreements over the task they are given (Guetzkow & Gyr, 1954). This type of conflict is characterized as a disagreement between the members of the group on the way a task is executed (Jehn, 1997). It is called also task or issue conflict.

3. Conflict of interest

   The definition of conflict of interest can be described as a disagreement between two sides for the possession of a finite resource. This situation happens when each side in the conflict, who has knowledge of the problem, chooses a different outcome which concerns the resource or the way the workload would be divided.

4. Conflict of values
   This kind of conflict happens when the members have different set of values and beliefs from each other (Druckman, Broome, & Korper, 1988). The conflict of values is related with the ideologies of a person.

5. Goal conflict
   This type of conflict happens when the end goal of objective of two members or groups differs from one another (Cosier & Rose, 1977). Departments have different objectives which may contradict one another and thus it leads to interdepartmental conflict.

6. Realistic vs nonrealistic conflict
   Realistic conflict includes disagreements that are rational like the tasks, beliefs, objectives, and resources. Meanwhile nonrealistic conflict happens for no apparent reason related to work and mainly to release tension. While the reasons for realistic conflict are rational and related with the work, the reasons for nonrealistic conflict have nothing to do with the organization (Ross & Ross, 1989).

7. Institutionalized vs noninstitutionalized conflict
   In an institutionalized conflict situation, the members involved follow the rules, have a predictable behavior and a continuous relation. Meanwhile in a noninstitutionalized conflict situation, these three conditions are not followed.

8. Retributive conflict
   In this situation, the members who are conflicted tend to last the time of conflict longer than it should be to punish the opponent. Said differently, each of the members tries to make the costs of the other bigger by lasting the conflict more than it should (Saaty, 1990).

9. Misattributed conflict
   This happens when one party blames the causes of a conflict on the other party by mistake. Sometimes this type of conflict happens due to the lack of information.

10. Displaced conflict
    This type of conflict happens when one party blames members who are not involved in the main conflict. It can also happen when secondary issues are discussed.

### 2.4. Types of conflict

Organizational conflict can be divided in two big groups which are intraorganizational and interorganizational. Interorganizational conflict happens when organizations have disputes with one another. Meanwhile intraorganizational conflict happens within the organization and it is classified in two levels, individual and group. It is divided into four subgroups described as follows.

1. Intrapersonal conflict
   This conflict happens when the member is asked to do tasks that do not match with the education, objectives, and beliefs that this person has, and it is also called intrapsychic conflict. Roloff (1987) defined this conflict as something that happens when an uncertainty occurs among the cognitive elements of an individual. This conflict is a challenge to one's ability to foresee and control. When an individual experience this conflict when making decisions because the ambiguity of the situation makes the alternative both good and bad.
2. Interpersonal conflict
   This kind of conflict happens between two or more members of the same company who are part of the same or different hierarchical levels. It is called also dyadic conflict. This type of conflict is the one where the studies on the relationship between manager and subordinate focus.
3. Intragroup conflict
   This conflict happens between the members of a group or a department, that is why it is called also intradepartmental conflict. It can happen when the members of the group have incompatible objectives, beliefs, and values.
4. Intergroup conflict
   This kind of conflict happens when there is a disagreement between two or more departments in an organization. It is also called intradepartmental conflict.

### 2.5. Effects of conflict in the organization

According to Albert (2001) conflict in an organization can either be constructive or destructive. Albert says that conflict has a positive outcome when the parties involved discuss about the problem constructively to achieve the best solution possible. Meanwhile a badly managed conflict can bring problems to the harmony of the group, lower the effectiveness, and can bring psychological problems to the members involved. When it is managed well, it can lead to a cooperative environment and it increases the chances of achieving the goals and objectives of the group and organization overall.

When a conflict brings benefits to the organization it is considered a constructive one, meanwhile if it leads to destructive outcomes, it can be said that it has a negative effect. One of the benefits of conflict is the motivation it brings to the employees to work harder because their skills are showcased mostly in tense situations. Another benefit is related with the conflict as a source to release the tension that can be build up during the everyday organizational life. It pushes the creativity of the people involved with the discovery of innovative solutions to the problem that has arisen. Many ideas can arise for the solution which can also bring new light to the problem due to the many perspectives. An example of the benefit of conflict is the increasing of the employee rights which came from the constant conflict of unions on the past decades. It can also make the organizational life more dynamic and less a boring one, with new situations to resolve. From the conflict, the members of the organization can also understand what goes wrong in the environment and leads to the solutions to these problems by a better coordination thus leading to a strong group relationship. When a conflict is well managed it leads to the members being active listeners to get the views of the opposition right and move forward with the solution. This can also lead in the members of the group learning more about each other and strengthening the group relationship more. By learning more about each other, the members will have it easier to solve the conflicts that may rise in the future.

But despite the positive outcomes, conflict also has negative ones. Conflict can have a bad effect on the performance of the individual and the whole organization. The resolution of conflicts can take a long

time and energy from the members involved which could be used on a productive task. During conflicts, the members may use it to voice their personal interests which may be against the benefit of the organization. Meanwhile some conflicts may be quite intense and last for a long time, which can lead to a heavy psychological state for the members involved. The time spent on these conflicts could have been used to more activities that bring benefits to the organization. In extreme cases, conflict can lead to sabotage of work, low morale, and a decrease on the quality of the final product or service.

Despite its effects, conflict can be one of the best tools for change and improvement, due to its nature. Sometimes the best way to manage conflict is by, understanding one another and working together in order to create a healthy environment to achieve the objectives. In the end conflict cannot be seen as undesirable, but as a necessity which may bring benefits.

### 2.6. Conflict management

Conflict is an inevitable aspect of the social and professional interaction. People who have never experienced conflict on the workplace are either living in an unreal world, indifferent to the environment or are in isolation (Boohar, 2001). According to Rahimi (2002), conflict and its management are vital for the wellbeing of the organizations, even though most of the recommendations of conflict management suggest its reduction and minimization due to its negative effects on the members and the organization. Management of conflict should focus on constant improvement of the organization when that happens. According to Cowan (1995), this decision may also lead to distractions from work having an impact on the process of decision taking, the relationship between employees, productivity, and innovation.

According to Burton (1990), conflict can have a negative impact on the organizational processes, decreasing of effectiveness and an increase of expenses. Despite this, if managed correctly conflict can have a positive impact in the job satisfaction and even reduction of stress (De Dreu, 2004; Friedman et al., 2000). Management of conflict includes finding the cause of conflict, its analysis, finding the right techniques on how to intervene and finding the best method for its final resolution (Wils et al., 2006). The organizational strategies for conflict management include the analysis of the type of conflict that has arisen, its impact and the style of resolution (Rahim, 2002). According to Blake and Mouton (1986), one of the most important parts of conflict management is the cooperation to resolve it in the context of globalization.

Styles of conflict management have been usually studied as tendencies from the members involved in it. An individual style of conflict management includes an orientation of the member's behavior towards the situation of conflict. Members usually pick a certain style which includes a set of principles to guide them through situations of conflict. Previous studies have also noted the importance of studying conflict in group settings (Kuhn & Poole, 2000). Individuals pick the conflict management strategy by being influenced by the context of the group and the organization (George & Jones, 1997). When studying conflict on an individual level the main model used is the one called Model of Dual Concern which was first proposed by Blake and Mouton (1964) and modified continuously by several authors. The main dimensions of this model when analyzing conflict is the concern for self and for others. Concern for self means the level which the individual tries to resolve the personal issues. Meanwhile the second dimension, which is concern for others, is the level which the individual cares for the issues of others. The combination of both dimensions results in the five main styles of conflict management. They are as follows: integrating, obliging, dominating, avoiding, and compromising (Rahim, 2001).

In the modern organizations, groups are vital in how the organization responds to the innovations outside the company and the market overall, which can improve the performance of the organization (Illgen, Hollenbeck, Johnson, & Jundt, 2006). What can have an impact on the performance and dynamic of the groups, is the concept of conflict (De Dreu & Beersma, 2005, Tjosvold, Hui, & Yu, 2005). Conflicts in the organization are a normal thing and so is the effort to manage them (Rahim, Magner, & Shapiro, 2000). During these conflicts, the members involved become aware of the situation of disagreements and different opinions (Jehn & Mannix, 2001). Groups must always face conflicts by organizing the workload and rewards in a fair way, understand different characteristics of the members and implementing the correct tools to achieve the goals. According to De Dreu & Beersma (2005), the style

of conflict management, which can manifest itself with time and during interactions, can have and effect on the relationships of the members and the environment. Conflict management can be divided in three different types. The first one includes studies on the factors which influence the situation and the individual's attitudes towards conflict (Eisenberg & Fabes, 1988, George & Jones, 1997). The main assumption of this theory is that the conflict management style is a situation which can be influenced by many factors such as structure, behavior and the type of work. The second one focuses on the values of the goup and the environment on the organization. According to this theory, groups are the source of the beliefs and behaviors and can influence the way the conflict is treated (Ehrhart & Naumann, 2004). Groups which are open in their relationships discuss their problems more openly and can have constructive discusions when conflict happens. The third one studies the theory of social learning which suggests that people lern by watching one another (Bandura, 1986). During a situation of conflict, if the style of conflict management is focused on the members of the group, then their behavior will be based also on those models, especially when they have a positive outcome (Podsakoff & MacKenzie, 1997).

Considering that the organizations nowadays are moving towards internationalization and diversity, there has been an extensive research on handling conflict on a intercultural level (Mayer, 2008). This tendency has increased due to the internationalization of the workplace, globalization and since culture has a huge impact on conflict and its management. To focus on the intercultural conflict requires a lot of information on the main concepts and definitions on culture as well as how culture impacts the relationships, conflict and its management. Conflict is usually related with issues such as beliefs and identity and this happens because conflict starts when individuals percieve the differences such as interests, beliefs, needs (De Dreu et al., 1999; Cartwright dhe Cooper, 2000; Mayer, 2010). Conflict can be considered as an occurrence that happens as a result of perception which is influenced by the culture and leads to the recognition of the existence of the other realities (Lederach, 1988). Considering the intercultural nature of conflict, there exists the need for more research on identity and values.

The types of conflict management are as different as the causes and its context. The main purpose of conflict management is the impact on the structure of the situation of conflict in order to not let destructive components in the process and to help the parties at dispute find a solution for their problem. An effective conflict management has the purpose to minimize unpleasant situations which come form the conflict and to have a satisfying for all the parties involved. According to many studies, the most imprtant conflict is the one between the manager and the employee due to the effects it can have on the effectivity and the relationships on the organization (Tjosvold & Chia 1988). Other studies show that the style of conflict management depends on factors related to the subordinates such as job satisfaction, quality of supervising, relationship with the managers, long term employment and behavior (Alexander, 1995; Blake & Mouton, 1964; Follett, 1940;Rahim, 1986; Thomas & Kilmann, 1974; Weider-Hatfield & Hatfield, 1996). An effective conflict management style can improve the interaction between the supervisor and the subordinate and make them have a postivie mindset during work.

When the CMS which is used focuses on the fulfillment of the needs of both parties involved, then the parties have a realtionship which is based on trust (Fisher & Ury, 1981; Pruitt & Rubin, 1986). This happens due to the perception that when the subordinates think that the supervisors value and care for them, the relationship between them has a higher level of trust and this way the satisfaction on the job is also higher. This level of trust is also closely related with the leadership and managerial style which includes transformational leadership and participating in the decision making process that have similar characteristics like an open communication, mutual care and respect. (Dirks & Ferrin, 2002). This characteristics are similar with the cooperative styles of confict management (integrating and compromising), which is focused on a high concern for the issues of others. The ones who use these CMS tend to increase the socialization bettween menbers and gain the trust of employees which leads to positive outcomes. The rolle of trust in the relationship between CMS and the stnace of the the employees is important because it creates a friendly environment. The skills of conflict management are important due to the fact that they are crucial in the well functioning of the individuals in the entirity of the organization. Due to the increase of the participation of women on the managerial possitions along with the importance of conflict management, therer has been an increased focus on studies related with the difference between genders during conflict management. There are also claims that the behavior of the individual on the organization changes with the job possition (Fagenson, 1990; Kanter, 1977).

### 2.7. Conflict management styles

Like mentioned before, conflicts are inevitable on any environment. But still conflict can bring some upsides, if treated correctly, because it pushes the parties to find acceptable solutions for all involved. On the other hand conflicts which spiral out of control can be harmful for the organization. That is why there is a neccessity for conflict management. There are some steps for managing conflict which include: identifying the cause, behavior and disagreement; transforming the elements of the siuation; solution which comes from the changes made earlier and pushes the conflict in the right direction.

Pruitt (1983) suggested a model based on the dual concern of the individual involved in the conflict. According to his model, the individual's concern is for himself and for others and based on the levels of both these variable, he suggested four main styles of conflict management which are as follows: problem solving, yielding, onaction and contending. This is called the Model of Fours according to the number of solutions. Studies have shown that the most effective solution out of these four is problem solving but these results where derived only from laboratory studies and they have not showed the impact of these styles on productivity (Pruitt dhe Carnevale, 1993).

The first model with five styles was prsented by Follett (1940). In this model the author presented three main was of handling conflict: domination, compromise and integration. Then she presented two other secondary methods which were avoidance and suppression. The first conceptual model was presented by Blake & Mouton (1964) which proposed the following styles: forcing, withdrawing, smoothing, compromising, and problem solving. This model was based on two dimensions: concern for the productivity and individuals. These dimensions describe the stance of the manager based on the leadership style, task or people oriented. A modification of this model was made by Thomas & Kilmann (1976) who named used two dimensions which were assertiveness and cooperativeness. Assertiveness was used to describe the individual's tendencies to satisfy their own needs meanwhile cooperativeness was used to describe the extent that the individuals were ready to satisfy the needs of others. Through the combination of these dimensions, they got five main styles which formed the Thomas-Kilmann Conflict Mode Instrument (TKI). The five styles they proposed are as follows. Competing which involves a low level of cooperativeness and a high level of assertiveness and is a style which relies on showing power and when using this style, the individuals pursue their own goals unconcerned for the others. Collaborating has a high level of both dimensions and the individual tries to satisfy the needs of both parties and involves analyzing the cause and finding the solution that satisfies both parties. Accommodating involves a low level of assertiveness and a high level of cooperativeness where the individual takes a selfless stance and tries to support the concerns of the other party. Avoiding has a low level of both dimensions and the individual chooses not to address the conflict at all. The last one is compromising which is intermediate in both dimensions and tries to partially satisfy both needs.

Rahim (2001) based his model on both these studies to give his own set of dimensions and styles. He used as dimensions concern for self and for others meanwhile the styles he proposed are integrating, obliging, avoiding, dominating, and compromising. Based on this model, Rahim created the Rahim Organizational Conflict Inventory II (ROCI II), that is a questionnaire containing 28 questions designed to measure the five styles of interpersonal conflict.

The first style is “integrating” which means a high concern for both dimensions. It includes both parties at conflict sharing information and considering where they differ to reach an agreement suitable for both (Follet, 1940). Gray (1989) defines this style as cooperating where the members recognize the differences and reach a satisfying resolve for both. Prein (1976) identified two elements of this style. The first one is confrontation and involves the sharing of information, understanding each other and identifying the causes. The second one is problem solving which deals with finding the ways to deal with the problem.

The second style is “obliging”, which involves low level of concern for self and high for the other group. This style is also known as accommodating and means trying to satisfy the needs of others. This means that the individual sacrifices their own needs for those of the other party. It is a gesture of selflessness or compliance. Boulding (1962) notes that the person who uses this style tends to resolve the conflict even at their own expense.

The next one is the “dominating” style. This style is characterized by a high concern of the individual's needs and a low one for the others. This style involves competing with the other party to win the confrontation. The person who uses this style tries to reach their objective and pushes aside the needs of others. It can be witnessed when fighting for one's rights and keeping a stand when knowing that the stance is correct.

The other style is “avoiding” which scores low on both dimensions. It means suppressing the conflict or setting it aside. It involves pushing the issue for a further or simply giving up from dealing with it. The person who uses this does not satisfy any of the needs of the parties. This attitude can be considered as careless and the ones who use it deny that there is conflict.

The last style is “compromising” which means that both dimensions are at an intermediate level. When using this style both parties decide let go of some of their needs to reach a middle ground satisfying for both. It means getting the insight on both stances and figuring out a mutually acceptable solution. When it comes to letting go this style stands in the middle between dominating and obliging. And it stands in between integrating and avoiding when it comes to addressing the situation.

The studies of conflict management show that the style, which is closely related with productivity, is the integrating one. According to Burke (1970), integration is the one who handles conflict better meanwhile dominating and avoiding lead to a non-effective conflict management. Lawrence & Lorsch (1967), noted that the integrating style is used on organizations which have a higher performance. Meanwhile Goleman (1998) says that employees who have a high degree of emotional intelligence choose negotiating the conflict with the other members. According to some studies the most used method is integrating. Al-Hamadan (2004) in study conducted about CMS in hospitals in the Middle East, discovered that the most used style among the employees was an integrating style. He also noted that this style was more popular among women than men. This style is considered the most beneficiary and it offers a stability that lasts for the long term.

### 2.8. Conflict Management Strategies

A good conflict management strategy, to be effective must fulfil some criteria:

1) Minimizing affective conflict in different levels. This refers to conflicts that come as a result of interpersonal disagreements which come as a result of organizational members becoming conscious that their emotions and feelings concerning different topics are incompatible. "Summarily stated, relationship conflicts interfere with task-related effort because members focus on reducing threats, increasing power, and attempting to build cohesion rather than working on task . . . The conflict causes members to be negative, irritable, suspicious, and resentful" (Jehn, 1997, pp. 531–532). Evidence suggests that emotional conflict hinders group performance by restricting the information processing ability, reasoning skills of group members and antagonistic attributes of group members (Amon, 1996, Baron, 1997, Jehn, 1995, Jehn et al., 1999, Wall & Nolan, 1986). Affective conflict diminishes group loyalty, workgroup engagement, goals to stay in the current organization and work satisfaction Amason, 1996, Jehn,1995, 1997; Jehn et al., 1999). These result in high stress levels, anxiety, and conflict escalation.

2) Achieving and maintaining a moderate substantive conflict rate. Substantive conflict happens when two or more organizational members do not agree on their tasks or content matters. It happens when two or more social subjects do not agree on knowing and solving a task problem. A study conducted by Jehn (1995) suggests that a moderate level of substantive conflict is useful, because it stimulates discussion and debate, which helps groups to attain a higher performance level. “Groups with an absence of task conflict may miss new ways to enhance their performance, while very high levels of task conflict may interfere with task completion” (Jehn, 1997, p. 532). Groups who report substantive conflict can make better decisions than those who do not (Amason, 1996; Cozier & Rose, 1977; Fiol, 1994; Putnam,1994; Schweiger, Sandberg dhe Ragan, 1986).

Substantive conflict encourages better understanding of bigger issues which leads to better decisions. Substantive conflict can enhance group performance through better understanding of different points of views and alternative solutions (Bourgeois, 1985; Eisenhardt & Schoon Hoven,1990; Jehn, 1995, 1997; Jehn et al., 1999). It must be noted that the effects of substantive conflict over performance were found only on groups that had non-routine tasks, but not on groups that perform standard or routine tasks. Even though substantive conflicts, like emotional conflict, enhance group performance, it can lower group trust, the commitment of the group in work and the goal to maintain their position in the company Jehn, 1997, Jehn et al., 1999). As a result, any interfering to manage the conflict should be designed to create paths and norms which encourage disagreements in between group members concerning their tasks and other managerial issues, without creating emotional conflict.

3) Selecting and using appropriate strategies to manage conflict. There are different styles of behavior such as integrating, obliging, dominating, avoiding, and compromising which can be used to manage a conflict. Organizational members must be informed and must analyze the situation in detail, to find the best way to manage situational conflict. Usually, conflict management requires the use of integrating or problem-solving style (Rahim, 2001; see also Gray, 1989).

4) Communication as a key component in the organizational design. To avoid fear and speculation, the articulation of the reason for change, options taken into consideration and how the redesign has benefits that exceeds status quo, should be explained to workers (Galbraith et al., 2002, pp. 258). Explaining plans often, in regular intervals, contributes in understanding the design process from the workers point of view. This direct and transparent approach can affect conflict that is a result of fear and speculation by preventing it. When change agents take time to inform workers through open discussions about roles, expectations and goals, workers satisfaction increases, at the same time lowering their insecurities and fears (Sears, Shi, Coberley & Pope, 2013). Overall satisfaction is positively linked to productivity and retention of workers. Therefore, investing time in clear communication will lead to a more effective organization.

### 2.9. Core values of conflict management

There are some core values which should be taken in consideration when managing conflict and are as follows:

1. Being respectful
   From the perspective of conflict management, conflicts can be resolved by taking into consideration the needs of the parties involved. For the solution to be solid, it must fulfill the needs of the parties involved in some way. If the needs of a party are fulfilled against the other one, it would make the solution a temporary and unfair one (Bodtker & Jameson, 2001, Kazan & Ergin, 1999).

2. Participation
   The solution of the conflicts is based on the perception of individuals about what is right and the duty to participate in decisions that influence them. During conflicts, individuals have higher chances of reaching their objectives if they cooperate with each other. This way the organization can be more productive. Hughes (1993) suggests that during a conflict situation, individuals should see each other as their best ally to give a solution to the problem.

3. Respect of diversity
   One of the fundamental principles of conflict management is that both parties should respect the opposition's views and needs. This means to respect not only with those who share the same views but also those who have a different opinion (Bodtker & Jameson, 2001, Kazan & Ergin, 1999).

4. Justice

When managing conflict, it is crucial that the resolution should be just. There are two types of justice: procedural and substantial. Procedural justice makes sure that the procedure of resolve is just. Substantive justice means that all the solutions produced by the process are just.

5. Nonviolence
   Conflict management suggests that violence should never be used in conflict situations. Being that it is no effective and it reduces productivity, it is never recommended in this topic. CM tries to create nonviolent options during the resolving of these disputes. While it is known that violence cannot be pushed away always, by using nonviolent methods and training the employees to use these skills more, then conflict can be managed without violence.

6. Transformation
   By knowing how to successfully manage conflict, one can be more responsible. Being this role model could be useful is setting good examples even for organization and thus helping with its betterment.

### 2.10. Mistakes that should be avoided during conflict management

There are several mistakes made during conflict management. These conflicts lead in a longer time of finding a solution and harm the organization. The first mistake when managing conflict is avoiding it. This approach can do a lot of damage further in time. It can lead to a higher level of stress and a more toxic environment. Another mistake is keeping a defensive stance and denying what may be wrong rather than trying to understand the opposition and admit the mistake. When handling conflicts, generalization can be one of the mistakes and that happens when individuals make brad statements towards the opposition. People usually ignore the views of others and thin the situation as a right or wrong one. Another bad way to handle conflict is the overanalyzing of people. When conclusions are made about the opposition which are wrong, it can lead to an unfriendly situation. During conflicts, one of the biggest mistakes is not listening to the others. This way the view of the opposition is not understood, and the conflict continues. Another mistake which is made continuously is putting the blame on others during conflict. Blaming should be avoided because during CM, people gather to find solutions and not culprits. Another problem in conflict management which should be avoided is turning it into a competition. This can ruin the relationships in the group and create a hostile environment. Another mistake to avoid is attacking the opposition by offending them. The final mistake to avoid is when some of the participants in the conflict do not actively participate.

## 3. METHODOLOGY

The main purpose of this paper is to discover the style of conflict management that is used the most on Albanian companies operating on the construction sector. By using a survey prepared by Rahim, which is given to some corporations who operate on the construction sector, conclusions are to be drawn about the style of conflict management. Conflict and its management are a topic which is under-researched in Albania and there is no information on how the companies handle it based on the style that is used.

### 3.1. Research Design

This research uses a quantitative approach to the matter, and it uses primary data, which is gathered using a questionnaire. A survey is conducted with a set of 28 statements based on the valid and reliable Rahim's model ROCI-II presented before. These statements are related with the styles of CM in a scrambled way. There are 7 statements which assess collaborating style, 6 assessing accommodating style, 5 assess competing, 6 assess avoiding and the last 4 assess compromising. These statements are evaluated in a Likert scale with 5 points and after the results the mean is calculated to see the style which is used more according to the groupings made earlier. The questionnaire was translated and adapted for Albanian audience and administered in Albanian companies operating in the construction sector. This study is an exploratory one since the topic has never been analyzed before in the Albanian context and thus it tends to shed light into this matter. The approach to theory development is that of deduction where the theory is tested if it stands or not according to the testing.

### 3.2. Setting and Sampling

The target population is all the residents of Tirana employed on companies operating on the construction sector. The sampling technique is a non-probability one and is the purposive sampling. This technique involves reaching only that part of the population that is related with the study and serves its purpose. This kind of sample can be assumed logically to represent the population. This technique is chosen because it focuses on characteristics of the population needed to conduct the study.

The data is gathered from the employees who work on three big companies operating on the construction sector. The setting choice is intentional due to the large impact that the construction sector has on Albanian economy. The names of the companies remain undisclosed because of a previous agreement to confidentiality with each company. The companies have operated in the market for years and have similar structures. The participants include both managers and subordinates occupying different positions working on these companies. The participants are part of different departments like administration, finance, marketing, sales, planning and design. Most participants are women while the majority are of ages between 31 and 50. The sample size is 152 employees.

### 3.3. Data collection technique

The technique used to gather the data needed is the survey which is distributed electronically to the companies which distributed it to their staff. Due to being in a time of social distancing caused by COVID-19 pandemic, distributing it electronically seemed the best possible way. This was also done for the convenience of the participants who in some cases were working from home. The survey was distributed through Google Forms to the companies picked for this study.

The main instrument used for this research is the questionnaire. The questionnaire has some general questions concerning the demographics and main information about the participants. The other part of the survey contains the main questionnaire which is called ROCI-II and is based on the work of Rahim (2001). This questionnaire contains 28 statements which are rated in a Likert scale from 1 to 5 where 1 is completely disagree and 5 is completely agree. Some of the statements related to each other into groups according to the style of conflict management. These statements assess different situations on the workplace where conflict is the main theme and how the participants behaved.

This survey is picked because it is based on two other important studies on the field of conflict such as those of Blake & Mouton (1964) and Thomas & Kilmann (1976). Rahim started this questionnaire with much more statements which he left out during the way after intensive tests to keep only those which helped. These intensive tests were conducted to see that if these items were free of bias. To test the construct validity, the researcher also used factor analysis. This questionnaire is also easy to understand from the participants because they only evaluate episodes that happen during the organizational life.

### 3.4. Hypothesis

The main purpose of this study is that through the help of a survey to figure out what CMS is used more in Albanian organizations in the construction sector. Since this is a new are in the Albanian context, the hypothesis is raised based on the foreign literature and the theories of CM authors. According to this study, in the Albanian construction sector the style used to manage conflict is the same one as in companies abroad which is integrating.

H0: The style used to manage conflict in Albanian construction firms is integrating.
Ha: The style used to manage conflict in Albanian construction firms is not integrating.

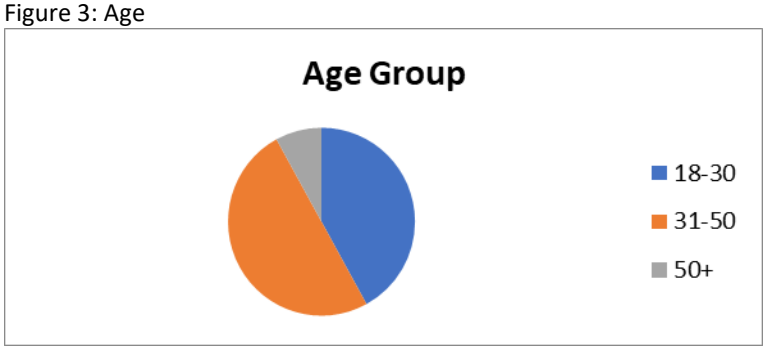
## 4. RESEARCH FINDINGS

Below are shown the answers gathered from the responses of 152 employees working in three different companies operating in the construction sector. The data are presented and organized with Microsoft Excel. Google Forms was used to make the survey more convenient for people who could not attend in the office and to reach as many as possible in the vacation.

### 4.1. Age

Many of the respondents in this survey are of ages from 31 to 50 with nearly 50% of the respondents belonging to this group. The second group are employees from 18 to 30 years old, which make for 42% of the respondents. The last group are those with more than 50 years old which take up 8% of the employers.

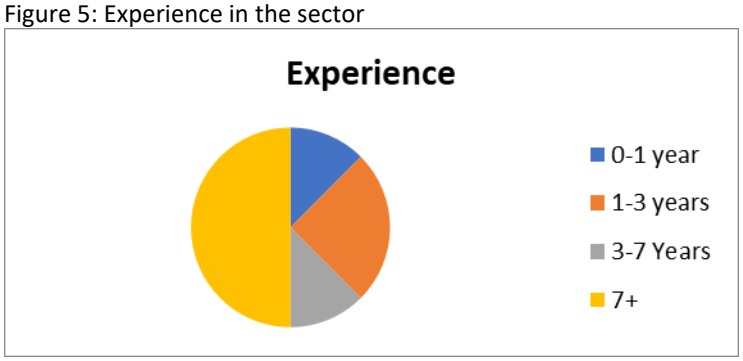
Figure 3: Age




### 4.2. Experience

From the responses, most employees working in this sector (50%), have more than seven years of experience in the same sector. Then 25% of the respondents claim that they have 1-3 years of experience in this sector. Meanwhile 12,5% of them had 0-1 year of experience and another 12,5% had 3-7 years' experience.

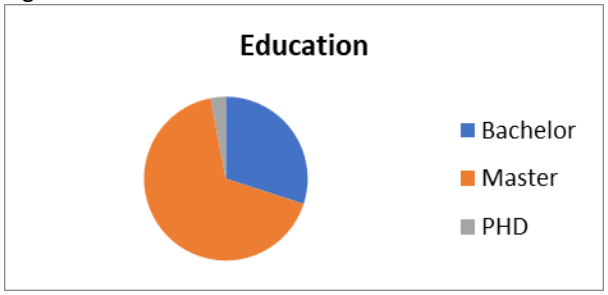
Figure 5: Experience in the sector




### 4.3. Educational level

Meanwhile as far as education is concerned every employee of this sector who took part in the survey had finished at least the Bachelor Studies. This makes for a well-educated group of employees which can help while managing conflict. 67% of the respondents had finished a master's degree, 30% a bachelor's degree and only 3% did a PHD to further their studies.

Figure 6: Education Level



### 4.4. ROCI-II

By completing the questionnaire, the respondents helped in the determination of the most widespread style of CM in the construction sector. To understand this questionnaire, first the mean of each statement has been calculated. After this the means of the connected questions were added and then divided for the number of items assessing that style. This way the value of the mean of the style was calculated. By comparing the means, the one with the highest number of means is the one which is used mostly.

The statements were grouped together according to the style, like for example, the statements assessing the integrating style are statement number 1, 4 ,5 12, 22, 23, 28. For the obliging style the statements with the following numbers were used 2, 10, 11, 13, 19, 24. To calculate the mean for the dominating style statement 8, 9, 18, 21, 25. For the avoiding style were used statement number 3, 6, 16, 17, 26, 27. Meanwhile to assess compromising style the last statements are 7, 14, 15, 20.

From the results the highest mean was that of the integrating style which scored higher in all the statements with a mean of 4,4. This style involved both concern for self and others and included employees working together to reach an agreement good for both parties. In Albanian context, employees try to investigate the issue with the colleagues before deciding. They try to gather expertise from many departments and in the end decide upon a route jointly. The exchanging of the information is crucial for the solution that will be proposed.

Table 1: Integrating

| Item number | Mean |
|---|---|
| 1 | 4.5 |
| 4 | 4.4 |
| 5 | 4.5 |
| 12 | 4.7 |
| 22 | 3.8 |
| 23 | 4.3 |
| 28 | 4.6 |
| Total | 30.8 |
| Average= Total of means/Number of items | 4.4 |

The second style is that of collaborating which scores intermediately on both dimensions with a mean of 3,87. It has many similarities with integrating but in this case not all the information is transparent and it consists in letting go of some benefits in order to reach other objectives. There are many negotiations to meet a middle ground for the solution.

Table 2: Collaborating

| Item number | Mean |
|---|---|
| 7 | 4 |
| 14 | 3.9 |
| 15 | 4.3 |
| 20 | 3.3 |
| Total | 15.5 |
| Average= Total of means/Number of items | 3.87 |

The third most used style is obliging with a mean of 3,33. Due to the high concern for others, the ones who go towards this try to satisfy the needs of their colleagues. This is viewed as an altruistic style.

Table 3: Obliging

| **Item number** | **Mean** |
|---|---|
| 2 | 3.3 |
| 10 | 3.1 |
| 11 | 2.9 |
| 13 | 3.5 |
| 19 | 3.8 |
| 24 | 3.4 |
| Total | 20 |
| Average= Total of means/Number of items | 3.33 |

The least preferred were avoiding and dominating. This is understandable since dominating could lead to aggression and a bad environment. Using a dominating style creates a toxic environment in the company and makes the relationships between coworkers worse. Meanwhile avoiding the conflict could lead to bad consequences for the company. If the problem is left unsupervised for too long it may become worse and the relationships in the company may reach a stagnant state.

Table 4: Dominating

| Item number | Mean |
|---|---|
| 8 | 2.8 |
| 9 | 2.4 |
| 18 | 3.3 |
| 21 | 3.9 |
| 25 | 2.5 |
| Total | 14.9 |
| Average= Total of means/Number of items | 2.98 |

Table 5: Avoiding

| Item number | Mean |
|---|---|
| 3 | 3.8 |
| 6 | 2.9 |
| 16 | 3.9 |
| 17 | 2.7 |
| 26 | 3 |
| 27 | 3.6 |
| Total | 19.9 |
| Average= Total of means/Number of items | 3.31 |

## 5. DISCUSSION

Results showed that the highest mean was that of *integrating style* which is supported by previous literature. Studies show that integrating is the best CMS due to the high score on both dimensions and because a huge amount of information is shared between parties in conflict. This result converges also with the hypothesis 0 which proves that it stands that the CMS which is used by employees in Albania in the construction sector is the same as the one suggested abroad. According to Burke (1970), it is the

style which can handle conflict better. Also, Lawrence & Lorsch (1967) claimed that according to their study, the integrating style is closely related with the organization being a successful one.

According to the interactionalist theory, which was presented by Nightingale (1974), the conflict was needed in the organization and it was accepted by members as an opportunity to fix things that may be wrong in the organization. It was perceived as a way to strengthen the relationships between members and evoke innovation. This modernist view that conflict helps with the relationships is supported by the findings because the participants picked integrating as the main style which is closely related with working together among colleagues to solve the problems.

Another idea explored in the literature review was that the most appropriate style of conflict management was integrating which converges with the findings. This happened because that style possessed the highest mean after the calculations. According to Burke (1970), this style manages conflict in a better way because it involves creating a relationship with the colleagues to move towards a solution. According to the replies from participants, they were ready to work together will the other party to bring a solution which would satisfy both sides. According to many studies, when both parties work together to fulfill both needs, then the relationship is based on trust.

Also, the findings of the survey converge with what the theorists say about the least successful styles. The least successful in today's environment were dominating and avoiding. Burke (1970) noted that these styles lead to a non-effective CM. in the same manner these styles resulted with the lowest means among all in the study of Albanian companies in construction sector. Considering that this sector is conservative in the way of management in Albania the shift in a more modern style is a change for the better.

### 5.1. Implications

The study implies that in Albanian organizations, members are familiar with conflict and have dealt with it using the integrating method as suggested by other studies. It also implies that employees have high concern for themselves and the others. Based on the study findings, the most used CMS is integrating. This style is highly recommended as a best practice, and because Albanian organizations of the construction sector scored high in integrating CMS, this suggests a culture of collaboration to be diffused also in other business sectors. Another implication would also be to not avoid conflict but to learn to manage it better due to the benefits it brings. Managers should learn to see conflict as something that may help the organization improve rather than a disadvantage. Managers should consider using the integrating style since it offers a value added for the involved parties in a conflict. Meanwhile they should also avoid using styles which increase toxicity such as dominating or avoiding.

### 5.2. Conclusions

There are many views about conflict. Some say it is good and some say it is bad. Conflict can be both for an organization based on how it is managed. Conflict situations can bring stress and headaches for the participants in it but if it is managed well, it can bring innovation and change. One thing is for sure, that conflict cannot be avoided in an organization. This happens because, the employees are different from one another and they may have different ideas which can lead to a conflict situation. Organizations cannot stop conflict but what they can do is find ways to manage it better.

One way to manage conflict is by using the CMS. Many researchers have presented their own styles based on the dimensions they think are appropriate. The study which was taken into consideration in this research was that of Rahim (2001). He presented two dimensions, concern for self and for others and five styles, integrating, dominating, obliging, avoiding, and compromising. Rahim assessed this model of his with a set of statements which decided what style did participants prefer more.

From the results gathered in this study which was focused on Albanian companies on the construction sector, it was noted that the most preferred CMS was integrating. This result also converged with the theories about CMS which suggest that this style is the most successful one. Meanwhile the least preferred styles were also the least suggested. These styles were avoiding and dominating. These styles only worsen the conflict rather than solve it and make the workplace a toxic environment.

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# The Effect Of The World Pandemic Covıd-19 On Tourism In Bulgaria

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**Abstract:** At present, the world is on the verge of the biggest economic downturn since the Great Depression in the 1930s. New market economies and poorer countries are more affected by the Corona virus as their economy is hit by the measures they have taken themselves - they lose production from a smaller base, are affected by capital outflows, and by money transfers of families abroad.

The World Tourism Organization has published recommendations to mitigate the socio-economic impact of the COVID-19 pandemic and to speed up the recovery of tourism. The recommendations are divided into three groups: First group - Crisis management and mitigation; Second group - Creating an incentive to accelerate the recovery of the tourism sector; Third group - Preparing for tomorrow.

Tourism is a priority sector for Bulgaria. There are about 250,000 people directly employed and with satellite professions, the number exceeds one million. The National Tourism Council predicted that tourism needed strategic change and economic support. For example, to revise the visa policy; to abolish visas for citizens of the Russian Federation; to introduce subsidies for companies providing tourists for the resorts; to assist Bulgaria Air.

The purpose of this study is to examine the effect of the world pandemic Covid 19 on bulgarian tourism. The research was conducted in the period february – mars' 2020.

The object of study in this article is tourism in Bulgaria.

The subject is the negative consequences of Covid 19 on tourism industry.

The current article examines the economic and, in particular, the social impact of the Covid 19 pandemic on the Bulgarian tourism industry.

The author also offers specific suggestions for overcoming the crisis situation and the future development of the tourism industry.

**Key words:** tourism, Bulgarian tourism industry, effect, Covid 19, negative consequences.

## INTRODUCTION

Bulgaria has been, is, and will always be a tourist destination. The share of marine, summer and mountain, winter tourism is predominant. At the same time, alternative types of tourism are being successfully developing in the country - cultural, eco, rural, adventure, culinary, wine, festival, sports, health, with its subspecies - balneology, spa and medical.

Our country has a strategic geographical location, located on the territory of South Eastern Europe in the Northeast of the Balkan Peninsula, fulfilling the role of a crossroad between the East and the West and between the North and the South.

Due to the natural and historical diversity within a relatively limited area, Bulgaria has significant potential for tourism development, expressed not only in the availability of unique natural and anthropogenic resources, but also mostly in qualified tourist personnel.

## TOURISM - A PRIORITY SECTOR OF BULGARIA

Bulgaria has a strategic geographical location, situated in Southeastern Europe in the Northeast part of the Balkan Peninsula, serving as the crossroad between East and West, North and South. Thanks to natural and historical diversity within a relatively confined space, Bulgaria has a considerable potential for developping tourism. This potential is not only Black Sea coast and mountains, which occupy more than one third of the country, but also nine sites included in the World Heritage List of UNESCO, more than 600 mineral sources, thousands of local traditional and cultural attractions more than 5% of the territory has the status of protected areas (including 3 national parks and 11 natural) 40 000 historic

monuments, 160 monasteries, more than 330 museums and galleries rich tradition of holding festivals and holidays reserved ethnographic heritage and others. Officially there are 142 resorts in the country, 58 of which are SPA, 56 - mountain and 28 - sea. [Karadzhova, Zl., 2011]

Bulgaria's position in comparison to the countries generating large tourist flows is relatively favorable. Although situated in the Southeastern periphery of the continent, Bulgaria is an European country and is relatively close to the countries of Western Europe. However, it is not close enough to be subject to mass organized trips, including short trips nor is far enough to be considered exotic. It is essential that Bulgaria is out of the so-called "Car distance" / one-day road trip - 800-1000 km / which determines the dominance of the charter air transportation and flat-rate tourism from these countries / total cost trips organized by Tour Operator/.

The crossroads transport-geographical position of Bulgaria is an important factor for the development of transit tourism, which potential is not fully exploited due to the state of the transport infrastructure. [ McCartney Glenn, Butler Richard and Bennett Marion, 2009]

Bulgaria is well known and preferred by Bulgarian and foreign tourists and modern attractive year-round tourist destination with a specific look and distinctive national identities (natural, architectural and cultural), with preserved cultural traditions and unique combination of preserved natural resources.

Tourism in Bulgaria is a prosperous sector which shows a consistent trend of growth in recent years. The tourism sector in the country is built on successful long term partnerships at the national, regional and local level between all stakeholders - national, regional and local authorities, businesses, NGOs, local communities and international partners.

Tourism is among the national priorities for the Bulgarian economy and forms nearly 12 percent of GDP and 11 percent of employment in the country. It is closely linked to the development of transport infrastructure. [4]

Tourism in BG profits from its proximity to main markets, however further positioning as high-end, year-round destination is required.

## THE GLOBAL ECONOMIC OUTLOOK DURING THE COVID 19 PANDEMIC: A CHANGED WORLD [16]

The COVID-19 pandemic has spread with alarming speed, infecting millions and bringing economic activity to a near-standstill as countries imposed tight restrictions on movement to halt the spread of the virus. As the health and human toll grows, the economic damage is already evident and represents the largest economic shock the world has experienced in decades.

The June 2020 Global Economic Prospects describes both the immediate and near-term outlook for the impact of the pandemic and the long-term damage it has dealt to prospects for growth. The baseline forecast envisions a 5.2 percent contraction in global GDP in 2020, using market exchange rate weights—the deepest global recession in decades, despite the extraordinary efforts of governments to counter the downturn with fiscal and monetary policy support. Over the longer horizon, the deep recessions triggered by the pandemic are expected to leave lasting scars through lower investment, an erosion of human capital through lost work and schooling, and fragmentation of global trade and supply linkages.

The crisis highlights the need for urgent action to cushion the pandemic's health and economic consequences, protect vulnerable populations, and set the stage for a lasting recovery. For emerging market and developing countries, many of which face daunting vulnerabilities, it is critical to strengthen public health systems, address the challenges posed by informality, and implement reforms that will support strong and sustainable growth once the health crisis abates.

## ECONOMIC EFFECT OF COVID-19 ON THE TOURISM INDUSTRY

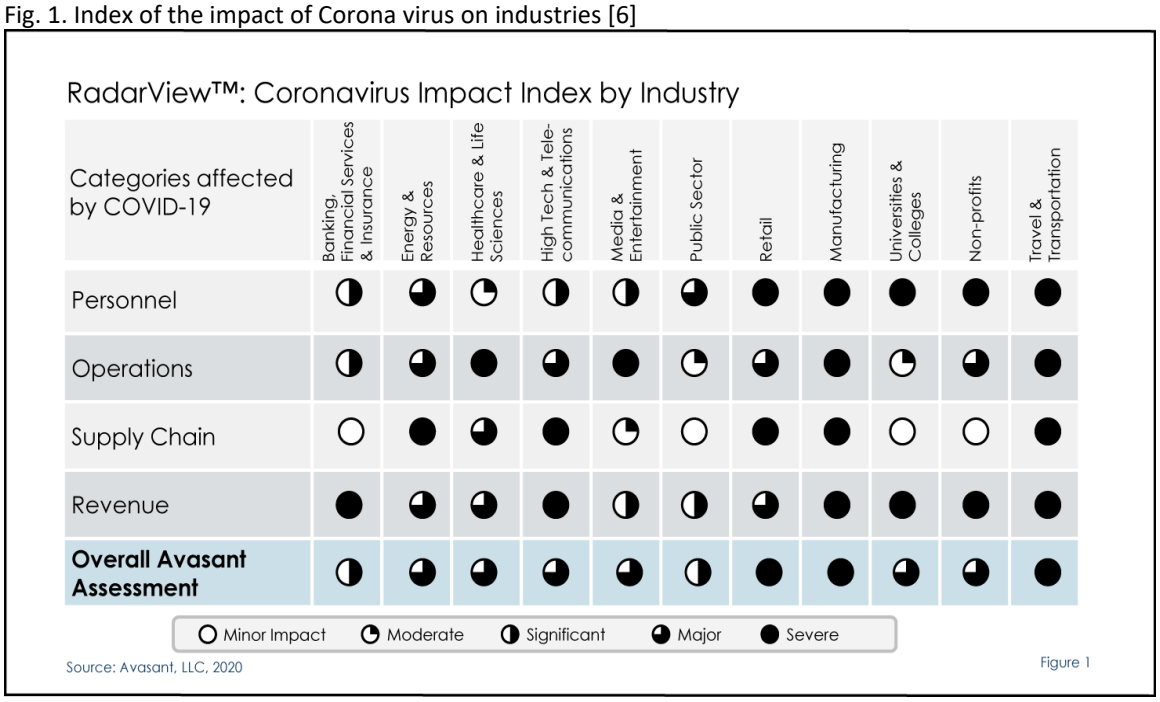
In 2019, the tourism industry is responsible for 22.6 million jobs, or 11.2% of the total EU workforce. In addition, it generates € 1.319 billion in GDP, or 9.5% for the EU economy.

While the overall EU economy grew by only 1.4%, the tourism sector showed significant growth of 2.3% over the previous year. The EU is the largest region in the world in terms of international revenue with the staggering 427 billion euros in 2019, representing 6.2% of total EU exports.

The EU's largest economies in terms of total tourism contribution to GDP were also revealed: Germany ($ 347 billion), Italy ($ 260 billion), France ($ 229 billion) and Spain ($ 198 billion). [5]

Figure. 1 below shows that the pandemic had the strongest effect over the tourism industry. The global tourism industry accounts for over 10% of world GDP. Currently, the travel and tourism business is facing losses that are unlikely to be recoverable. According to World Travel and Tourism Council, the COVID-19 pandemic could cost 50 million jobs worldwide in the tourism industry alone. It is estimated that 7 million of them are in Europe. After the end of the pandemic, it is expected that at least 10 months will be needed for the industry to fully recover.

Fig. 1. Index of the impact of Corona virus on industries [6]




75 million jobs in the tourism sector worldwide are at immediate risk due to the spread of the Corona virus, warns the World Tourism Council (WTTC). The estimated number is already 25 million more than the previous result from the study made just ten days ago. Global financial losses will be around $ 2.1 trillion by 2020. The Tourism Council study shows that within the EU alone, 6.4 million jobs are already at risk and the losses that will be suffered, amount to about $ 413 billion. However, this does not include lost jobs in the transport sector, which collapsed in an unprecedented crisis. In fact, there is no way that the most affected of all sectors is not transport, because never before in human history has the world been given the opportunity for such unprecedented mobility. [7]

## COVID 19 AND BULGARIAN TOURISM

"According to estimates, about BGN 1 billion will be lost by Bulgaria from tourism during the one-month state of emergency that was imposed due to the coronavirus." [8]"The shadow of the coronavirus hangs over tourism - The first charter flight with Israeli tourists, which was planned to begin in April, is

postponed by one month. The reason - security measures due to the spread of the new Corona virus, introduced by the Israeli government. " [9]

Many Bulgarians cancel their reservations at home and abroad. Demand is falling sharply as consumers reduce their costs. In the most affected industries, which are expected to be the services sector, including aviation and tourism, the number of corporate layoffs and bankruptcies increased in 2020 and led to an intensified economic downturn. The financial system is experiencing significant difficulties, but the overall banking crisis has been averted thanks to the strong capitalization of banks and the already introduced macroprudential supervision. Government fiscal policies are proving insufficient to halt the economic downturn. [10]

Most economic entities - tour operators and travel agencies are small companies, self-employed people who are not entitled to unemployment benefits, according to Bulgarian law. Larger tour operators have 20 to 50 employees. The monthly costs of each tour operator are on average up to BGN 20,000 (EUR 10,000). The costs for employment of an employee - for monthly remuneration, social, health insurance and tax, amount to BGN 2,000 (EUR 1,000). Legal entities face the responsibility to fully refund the prepaid and canceled travel packages to their clients. At the same time, the liquidity of vouchers is questionable due to the lack of clear state regulations and a Guarantee Fund in accordance with Articles 17 and 18 of the Package Travel Directive 2015/2302 / EU. Tour operators face the loss of their professional insurance and the threat of mass bankruptcy, leaving their customers without guaranteed compensation.

Hotels and restaurants suffer losses from canceled reservations, events and individual visitors for two months. Given that we are not in an active season, the planned and expected revenues were needed to retain staff and to cover current overheads. The amounts paid on early reservations are invested by hoteliers in preparation of material base, repairs and improvements. At the same time, given the lack of revenue and the desire of companies to maintain the management of hotels and restaurants, the cost of maintaining a minimum and retaining staff is 100%. The canceled reservations for the period 12.03-10.06.2020 (we can expect more cancellations during the season) are about 30 to 50% of the annual turnover of small and medium enterprises. The outflow from Bulgarian hotels is expected to be between 750,000 and 850,000 foreign tourists by June 2020 alone. Thousands of seasonal jobs are in question.

The profession of tour guide in Bulgaria is practically banned with the declaration of the state of emergency on March 13, 2020 and the ban on tourism by the Minister. Guides in Bulgaria fall into forced unemployment. According to the National Tourist Register, there are approximately 1,400 licensed guides and approximately 300 mountain guides. For about 80% of them, this activity is the only source of income. The guides have no chance for alternative employment, given that since March the registered unemployed in Bulgaria have exceeded 75,000 people. The guides realize one third of their annual income (between 2000-5000 BGN / 1000-2500 EUR) in the period March-May. Almost half of all tour guides and mountain guides are self-employed. About 40% work under seasonal employment contracts and there is no guarantee that they will be hired for this summer season. Over 80% of the tour guides in Bulgaria provide services to arriving tourists, and about 20% - to outgoing tourists.

In the sub-sector "occasional transport" operate about 1000 micro and small enterprises with a fleet of more than 10,000 buses and about 15,000 employees. It is a business and the only source of income for one or more families. Carriers are self-insured and are not entitled to unemployment benefits under Bulgarian law. Reducing working hours is also not an alternative for them.

Businesses have fixed costs that cannot be canceled or reduced in the current situation of complete lack of income. The monthly costs for one vehicle for insurance, parking and service, excluding those for fuel and tolls, amount to BGN 2,000 (EUR 1,000). At the same time, almost all companies have investment debts of over 150,000 euros, secured mainly by real estate mortgages. In addition, employment costs, including social security and taxes, amount to BGN 2,000 (EUR 1,000) per employee. Carriers and their families are at additional risk of losing their homes due to their inability to service these loans in monthly installments of between BGN 5,000 and 10,000 (2,500 to 5,000 euros). For a medium-sized enterprise in the sector, the monthly fixed costs are estimated at about BGN 30,000 (EUR 15,000). They are absolutely unbearable in the current situation. The only possible solution is to limit employment,

which would reduce costs by only a third. However, there is a risk of a resumption of business once the restrictions are lifted, if the companies have not gone bankrupt by then.

## CONCLUSIONS AND RECOMMENDATIONS:

Travel companies regulate staff salaries and costs to maintain their livelihood during this existential crisis caused by the coronavirus, putting staff commitment and confidence under significant strain, says Global Data, a leading data and analysis company. The demotivated workforce will jeopardize the level of services provided, which in turn will affect the reputation, return on investment (ROI) and financial performance of the company. Freezing hiring, reducing working hours, reducing wages and, in some cases, redundancies are measures taken by companies across the sector. So far, staff adjustments are the most common actions taken by hotel and travel company management to ultimately reduce costs. [11]

The law on the state of emergency stipulates the measure 60/40, according to which the budget covers 60% of the insurance income and the social security costs for this part of the salary, and the remaining 40% is paid by the employer, turns out to be non-working for the seasonal tourism staff. This scheme is applicable only to the management teams, which, however, are only a very small part of the 250 thousand workforces in Bulgarian tourism. With satellite professions, the number of employees exceeds one million. Many of these people are already out of work, and their personal savings cannot guarantee their physical survival for more than a year without a job. [12]

The problem is that many of the people, left unemployed by the pandemic in the tourism industry will focus their potential on other sectors, and when tourism recovers, there is no doubt that they will not be able to rely on a large part of their qualified staff.

The spread of Covid 19 is the reason for canceling the largest tourist exhibition in the world - the one in Berlin. Tour operators dealing with inbound and outbound tourism have frozen activities. Some of the large hotels may not be open in the summer of 2020 due to the inability to fill their capacity. Another part of the hoteliers have started planned repairs and relied on the money usually transferred by March from the tour operators for the early bookings. For the most part, such payments did not take place due to fear of travel and canceled reservations. Not only is the upcoming summer season in question, the 2021 season is also in danger, due to the fact that the contracts were signed a year earlier, and no one is still sure how the situation in tourism will develop.

Nevertheless, I believe that there will be a summer season, albeit starting later, albeit shorter in compliance with the highest sanitary and hygienic conditions for tourists. The mini-season within July, August and September is a completely realistic forecast after active advertising of Bulgaria and emphasizing the fact that the country is among the least affected by the virus. The tourist super structure in the largest resort complex in Bulgaria - Sunny Beach, can be safely used for rehabilitation of the surviving Corona virus, as well as for prevention.

The most important thing at the moment is for the state to support the tourism business by rescheduling loans and actively advertising markets for which Bulgaria is a real or potential receptive market. Businesses need stable and affordable financial support to meet current and future challenges. The sudden lack of liquidity is fatal for many segments of tourism, and adequate liquidity support is essential to maintain the viability of the sector. Many companies have investment debts that need deferred government guarantees to prevent the unbearable consequences of overdue monthly installments.

Apart from that, it is appropriate to draw the attention of Bulgarian tourists to the advantages of domestic tourism by purposefully emphasizing the good material and technical base, unique natural resources, low prices, good service and especially avoiding the risk of traveling abroad and possible problems that may occur in these uncertain times. By uniting the efforts of business and the state to prepare packages for rest-rehabilitation, as the business offers preferential prices and conditions, and the state - financing a significant part of these packages.

The Ministry of Tourism can purposefully use the created critical international situation and redirect the national tourist advertising to emphasizing the advantages of Bulgaria in the conditions of fighting the viral pandemic. Bulgaria is a country of herbs, of SPA, we have wonderful pulmological resorts (among them Sandanski is at a supra-European level), where the consequences of diseases of the respiratory system due to the virus can be successfully treated.

A possible option is in the years to come for the state to emphasize on vouchers for medics and civil servants, as well as travel subsidies for school, student and retirement groups, groups of people with disabilities, as well as amateur ensembles and ensembles, which will quickly achieve promotion of national tourist sites, sustainable development of local infrastructure of all types and will ensure the recovery not only of transport but also of the entire tourism industry.

Ensuring gratuitous and low-interest financing of investments in tourism is crucial for the sustainable development of the sector. Bulgaria has been making long-term efforts to establish itself as an attractive tourist destination. It is imperative to provide European investment funds or state funding in the sector to ensure the sustainable development and competitiveness of the industry at the international level. In the context of the above, the author believes that the state, through its power economic and social structures, is morally obliged to demonstrate high social responsibility by making decisions and implementing actions that increase the level of welfare and are in the public interest. An adequate social response, understood as a set of voluntary rather than coercive attitudes, decisions and actions that are altruistic, would be a response to what excites society, but for some reason this society cannot cope alone. [3]

## CONCLUSION

Tourism has been and will be. But from now on, tourist trips will be carried out with extremely serious security and safety measures. Tourists will increasingly pay attention to the clean environment. For both those offering and consuming a tourist service, the "price" factor will be of leading, though not the only, importance. Individual travel, small groups traveling by private transport will become more and more necessary. The airlines will drastically reduce the ticket price and the number of seats sold for organized tourism. The gradual return to a normal rhythm of life will take place in those tourist destinations that are the fastest to open their borders to their regular visitors and restore their transport connections.

The Bulgarian tourism industry is vital for the recovery of the national economy. Bulgarian tourism survives after the Chernobyl accident, after the global financial and economic crisis, will survive after the global pandemic Covid 19. It is an indisputable fact that adapting the industry to the situation after the virus will be difficult, but Bulgarian tourism companies will soon be able to provide their needed workforce, to bring back the contingents of tourists and to stand on their feet with new business plans.

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# Finansal Gelişme, Sefalet Endeksi ve Ekonomik Büyüme: Türkiye'den Ampirik Bulgular

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**Özet:** Türkiye ekonomisi son yıllarda makroekonomik olarak hem finansal hem de reel değişmelerden ciddi şekilde etkilenmektedir. Bu çalışma Türkiye'de finansal gelişme, sefalet endeksi ve ekonomik büyüme arasındaki uzun dönem ilişkiyi ampirik olarak incelemeyi amaçlamaktadır. Çalışmada 1988-2019 yılları arası yıllık seriler kullanılarak Dinamik Gecikmesi Dağıtılmış Otoregresif Model Simulasyonları (Dinamik ARDL Simülasyonları) tahmin edilmektedir. Ekonomi büyüme hem reel hem de parasal gelişmelerden aynı anda ve önemli ölçüde etkilenebilen temel makroekonomik büyüklüktür. Sefalet endeksi literatürde işsizlik oranı ile enflasyonu oranının toplamı olarak tanımlanmaktadır. Sefalet endeksi farklı makroekonomik etkileri olan ve çoğu zaman hayat standartlarındaki değişiklikleri açıklayabilen bir ekonomik göstergedir. Finansal gelişme özellikle küreselleşmeyle birlikte gelişen piyasa ekonomilerinde ekonomik büyüme üzerinde önemli bir role sahiptir. Çalışmada finansal gelişmeyi temsil etmesi için özel sektöre yönelik yurtiçi krediler analize dahil edilmektedir. Çalışmanın öncül bulgularına göre, sefalet endeksi ve finansal gelişme endeksinin ekonomik büyüme üzerinde güçlü etkilere sahip olduğu görülmektedir. Ayrıca hem kısa dönemde hem de uzun dönemde hem reel hem de parasal büyüklüklerin ekonomik büyümeyi anlamlı şekilde etkilediği gözlenmektedir.

**Anahtar Kelimeler:** Finansal Gelişme, Sefalet Endeksi, Ekonomik Büyüme, Türkiye, Dinamik ARDL Simülasyonları

**Abstract:** In recent years, the Turkish economy has been seriously affected by both financial and real changes at the macroeconomic level. This study aims to empirically investigate the long-term relationship between financial development, misery index and economic growth in Turkey. In the study, a dynamic Autoregressive Distributed Lag Model Simulations (Dynamic ARDL Simulations) is estimated using annually series between 1989 and 2019. Economic growth is the main macroeconomic indicator that can be significantly and simultaneously affected by both real and monetary issues. The misery index is defined as the sum of the unemployment rate and the inflation rate in the literature. The misery index is an economic indicator that has different macroeconomic effects and can often explain changes in living standards. Financial development has an important role on economic growth, especially in emerging market economies within globalization process. Domestic credits to the private sector data are included in the analysis to represent financial development in this study. According to the preliminary findings of the study, it is seen that the misery index and financial development index have strong effects on economic growth. In addition, it is observed that both real and monetary indicators significantly affect economic growth, both in the short run and in the long run.

**Key Words:** Financial Development, Misery Index, Economic Growth, Turkey, Dynamic ARDL Simulations

## 1. GİRİŞ

Bu çalışma Türkiye'de finansal gelişme, sefalet endeksi ve ekonomik büyüme arasındaki ilişkiyi incelemektedir. Finansal gelişme 1970'li yılların sonlarından itibaren dünyanın genelinde olduğu gibi Türkiye'de de büyüme ve kalkınma süreçlerinde önemli bir rol oynamaya başlamıştır. Öyle ki yaklaşık son otuz yıldır ekonomilerin büyüme ve kalkınma patikaları o ekonomilerin finansal sektörlerinin gelişmiş olmasına bağlı hale gelmiştir. Finansal sektörlerin gelişmesi ise ekonomiler için önemli boyutlarda olan yatırımların sürdürülebilmesi için gereken kurumların, aracı kuruluşların ve pazarların ortaya çıkması ve yaygınlaşmasına dayalıdır (Guru ve Yadav, 2019: 114). Finansal gelişme aracılık ve finansal piyasa işlemlerinin etkin bir biçimde yürütülmesini sağlayan politikaların uygulandığı süreç olarak tanımlanmaktadır (Sehrawat ve Giri, 2017: 1). Finansal sistem güçlü olduğunda risk yönetimi kolaylaşır ve kaynakların etkin dağılımı sağlanır. Bunun yanı sıra finansal gelişmenin büyüklüğü ile tasarrufların ekonominin dinamiklerine daha fazla dahil edilmesi ve yüksek getiri sağlayabilecek yatırımlara daha yoğun yönlendirilebilmesi arasında güçlü bir bağ bulunmaktadır. Finansal gelişme finansal sistemin derinliği, erişimi ve doğruluğu gibi unsurları dahil ederek farklı yollardan ölçülebilmektedir. Aynı zamanda bankaların ve farklı piyasaların yasalaşma eylemleri dikkate alınarak da finansal gelişme ölçülebilmektedir (Wang, vd., 2019: 1).

Sefalet endeksi ise enflasyon ve işsizlik oranlarının toplamı şeklinde tanımlanmaktadır ve aynı zamanda bir ekonomide refah düzeyinin ölçülmesinde kullanılmaktadır (Wang, vd., 2019: 2). Türkiye ekonomisinde büyüme ve kalkınma hedefleri doğrultusunda uygulanan makroekonomik politikalar sonucunda enflasyon ve işsizlik oranları bazı dönemlerde çok yüksek düzeylere eriştiği için sefalet endeksi son yıllarda kritik öneme sahip bir gösterge haline gelmiştir. Sefalet endeksinde bir artış meydana geldiğinde, bu durum toplumun yaşam standardı üzerinde etkisi olabilecek ekonomik refahının azalmasına yol açabilmektedir. Sefalet endeksi ilk olarak Arthur Okun tarafından tanımlanmış, sonraki dönemlerde ise geliştirilmiştir. Bir ekonomideki zenginlik düzeyinin belirlenmesinde temel olarak başvurulan göstergelerden biri olduğu için sefalet endeksi ile ekonomik büyüme arasında dikkate alınması gereken bir ilişki söz konusudur. Bunun yanı sıra, sefalet endeksi ekonomik kalkınma politikalarının belirlenmesinde yol gösterici bir özellik taşıyabilmektedir. Sefalet endeksinde bir düşüş meydana gelmesi kalkınma politikalarının uygun olarak belirlendiğini işaret etmektedir.

Bu çalışmada finansal gelişme ve sefalet endeksi dışında, Türkiye ekonomisinin küresel ekonomiye entegrasyon süreci içerisinde dış dünya ile ticarete açıklık olarak ifade edilen ticari açıklık da kontrol değişken olarak araştırma modeli içerisine dahil edilmektedir. 1980 yılında yapısal bir dönüşüme uğrayan Türkiye ekonomisi 1989 yılında finansal sermaye akımları önündeki engelleri de kaldırmıştır (Boratav ve Yeldan, 2001; Pamuk, 2020; Orhangazi, 2020). Sonraki dönemlerde Türkiye ekonomisinin büyüme patikası büyük oranda finansal sermaye akımlarına bağlı hale gelmiştir. Aynı zamanda 1990'lı yıllar Türkiye ekonomisi için yüksek enflasyon oranlarının deneyimlendiği yıllar olmuştur. İşsizlik oranları ise Türkiye ekonomisinde neredeyse her dönem doğal işsizlik oranının çok üstünde gerçekleşmiştir. Öyleyse, enflasyon ve işsizlik oranlarının toplamı olarak tanımlanan sefalet endeksinin ekonomik büyüme üzerinde bir etkisi var mıdır? Bu etki kısa dönem ve uzun dönem arasında farklılaşmakta mıdır? Bu çalışma temel olarak bu sorulara yanıt aramaktadır. Bu nedenle bu çalışma finansal gelişmenin yanı sıra sefalet endeksinin de ekonomik büyümeyle olan uzun dönem ilişkisini incelemeyi amaçlamaktadır. Bu çalışma Türkiye ekonomisi için finansal gelişme, sefalet endeksi ve ticari açıklığı bir arada modellemesi bakımından ilgili literatürde yer alan çalışmalardan farklılık göstermektedir. Türkiye için yapılan çalışmalarda finansal gelişme ile ekonomik büyüme arasında çok sayıda çalışma olmasına karşın (Kar ve Pentecost, 2000; Aslan ve Küçükaksoy, 2006; Güneş, 2013; Güney, 2017; Vurur, 2020) bilindiği kadarıyla sefalet endeksi ile ekonomik büyüme arasındaki ilişkiyi inceleyen çalışma bulunmamaktadır.

Bu çalışma, Türkiye'de finansal gelişme, sefalet endeksi ve ekonomik büyüme arasındaki uzun dönem ilişkisini 1988-2019 yılları arası dönem için analiz etmektedir. Bu kapsamda çalışma dört bölümden oluşmaktadır. İkinci bölüm ilgili literatürde yer alan çalışmaları tartışmaktadır. Üçüncü bölümde çalışmada kullanılan veri ve yöntem açıklanmaktadır. Dördüncü bölümde analiz sonucu elde edilen ampirik bulgulara sunulmaktadır. Son bölümde ise sonuçlar ve değerlendirmelere yer verilmektedir.

## 2. LİTERATÜR

Finansal gelişme, sefalet endeksi ve ekonomik büyüme arasındaki ilişkiye yönelik ampirik literatür kabaca iki grupta incelenebilmektedir. Finansal gelişme ile ekonomik büyüme arasındaki tartışmalar ilk olarak Schumpeter (1911), Robinson (1952), Mckinnon (1973) ve Shaw (1973) tarafından geliştirilmiştir. Finansallaşmanın yaygın olarak kabul edilmeye başlandığı dönemlerde ise Gurley ve Shaw (1967), Goldsmith (1969), Jung (1986) çalışmaları ise finansal gelişme ile ekonomik büyümenin birlikte hareket ettiğini ortaya koyan çalışmalar olmuştur. Uluslararası literatürde son yıllarda finansal gelişme ve ekonomik büyüme arasındaki ilişkiyi araştıran çok sayıda çalışma bulunmaktadır. Calderon ve Lin (2003) 109 gelişmiş ve gelişmekte olan ülkeye yönelik finansal gelişme ve ekonomik büyüme arasındaki nedenselliği araştırmış ve karşılıklı nedensellik olduğu sonucuna ulaşmıştır. Bu sonuçlar gelişmekte olan ülkelerde gelişmiş ülkelerden daha güçlü olarak ortaya çıkmıştır. Khan ve Qayyum (2007) ve Khan (2008) Pakistan'da finansal gelişme, ticaret ve ekonomik büyüme arasındaki ilişkiyi incelemiş ve uzun dönemde finansal gelişmenin ekonomik büyüme üzerinde pozitif ve anlamlı etkisi olduğu sonucuna ulaşmıştır. Jalil ve Feridun (2011) de Pakistan için finansal gelişme ve ekonomik büyüme arasındaki eşbütünleşme ilişkisini ele almış ve finansal gelişmenin ekonomik büyüme için güçlü bir neden olduğunu ortaya koymuştur. Ahmed (2010) Sahra-Altı ülkeleri için finansal gelişme ve ekonomik büyüme arasındaki ilişkiyi analiz etmiş ve değişkenler arasında uzun dönemde dengeli bir ilişki olduğunu ortaya koymuştur.

Hye ve Dolgopolova (2011) Çin için bir finansal gelişme endeksi oluşturmuş ve finansal gelişme ile ekonomik büyüme arasındaki ilişkiyi incelemiştir. Çalışmada finansal gelişme ve ekonomik büyüme arasında uzun dönemde anlamlı bir eşbütünleşme ilişkisi olduğu sonucuna ulaşılmıştır. Hsueh, vd. (2013) 10 Asya ülkesi için finansal gelişme ve ekonomik büyüme arasındaki nedenselliği analiz etmiş ve değişkenler arasında güçlü bir nedensellik ilişkisi olduğu sonucuna ulaşmıştır. Uddin, vd. (2013) Kenya için finansal gelişme ve ekonomik büyüme arasındaki uzun dönem ilişkisini analiz etmiş ve finansal gelişmenin ekonomik büyüme üzerinde anlamlı ve pozitif bir etkisi olduğunu ortaya koymuştur. Menyah, vd. (2014) 21 Afrika ülkesi için finansal gelişme ve ekonomik büyüme arasındaki nedensellik ilişkisini araştırmıştır. Çalışmaya ticari açıklık da dahil edilmiş ve finansal gelişme ve ticari açıklığın ekonomik büyümeye kısıtlı katkıları olduğu sonucuna ulaşılmıştır. Sehrawat ve Giri (2017) Hindistan ekonomisi için finansal gelişme ile ekonomik büyüme arasındaki ilişkiyi araştırmış ve uzun dönemde büyüme ile finansal gelişme arasında anlamlı bir ilişki olduğunu ortaya koymuştur. Guru ve Yadav (2019) BRICS ülkeleri için finansal gelişme ve ekonomik büyüme arasındaki ilişkiyi panel veriler kullanarak araştırmıştır. Çalışmanın sonuçları, seçilen ülkelerde farklılık gösterdiğini ortaya koymuş ancak tüm ülkelerde finansal gelişmenin ekonomik büyümeyi pozitif yönde etkilediği sonucuna ulaşılmıştır.

Türkiye'de finansal gelişme ile ekonomik büyüme arasındaki ilişkiyi bilindiği kadarıyla ilk olarak Kar ve Pentecost (2000) çalışmıştır. Çalışmada ekonomik büyüme ile finansal gelişme arasındaki nedensellik ilişkisi analiz edilmiş ve ekonomik büyümeden finansal gelişmeye daha güçlü bir nedensellik olduğu sonucu elde edilmiştir. Ünalmış (2002) finansal gelişme ile ekonomik büyüme arasındaki uzun dönem ilişkiyi incelediği çalışmasında, finansal gelişme ve ekonomik büyüme arasında uzun dönemde karşılıklı nedensellik olduğunu ortaya koymuştur. Aslan ve Küçükaksoy (2006) finansal gelişme ile ekonomik büyüme arasında nedensellik ilişkisini analiz etmiş ve finansal gelişmeden ekonomiye büyümeye doğru bir nedensellik olduğunu belirmiştir. Güneş (2013) finansal gelişmişlik ile ekonomik büyüme arasındaki nedensellik ilişkisini inceleyen bir diğer çalışmadır. Bu çalışmada ise finansal gelişmeden ekonomik büyüme doğru bir nedensellik ilişkisi bulunamamıştır. Ak, Altıntaş ve Şimşek (2016) finansal gelişme ile ekonomik büyüme arasındaki nedensellik ilişkisini incelemiş ve değişkenler arasındaki nedensellik ilişkisinin tek yönlü olduğunu, finansal gelişmenin ekonomik büyümeyi anlamlı olarak açıklamadığını ortaya koymuştur. Güney (2017) çalışmasında Türkiye ile Şanghay Beşlisi ülkelerini ele almış ve finansal gelişme ile ekonomik büyüme arasındaki ilişkiyi panel veriler ile analiz etmiş ve bu ülkelerde finansal gelişme ile ekonomik büyüme arasında eşbütünleşme ilişkisi olduğu sonucuna ulaşmıştır. Bunun yanı sıra çalışmada finansal gelişme ekonomik büyümeyi pozitif yönde etkilediği ortaya koyulmuştur. Vurur (2020) çalışmasında finansal gelişme ve ekonomik büyüme arasındaki uzun dönem ilişkisini incelemiş ve finansal gelişmenin ekonomik büyüme üzerinde pozitif ve anlamlı etkisi olduğu sonucunu elde etmiştir.

Literatürde sefalet endeksi ile ekonomik büyüme arasındaki ilişkiyi inceleyen çok az sayıda çalışma bulunmakla birlikte, bilindiği kadarıyla Türkiye için yapılan çalışma bulunmamaktadır. Uluslararası literatürdeki ilk çalışmalardan olan Ali, vd. (2015) Pakistan'da ekonomik sefalet ile beşerî sermaye çıktısı arasındaki ilişkiyi incelemiş ve değişkenler arasında pozitif bir ilişki tespit etmiştir. Saboor, vd. (2017) çalışmalarında sefalet endeksi ile ekonomik büyüme arasındaki ilişkiyi suç ve demokrasi üzerinden araştırmıştır. Çalışmada değişkenler arasında demokrasi yanlı bir büyüme olduğu sonucuna ulaşılmıştır. Wang, vd. (2019) ise Pakistan'da finansal gelişme, sefalet endeksi ve ekonomik büyüme arasındaki uzun dönem ilişkisini ele aldıkları çalışmalarında uzun dönemde değişkenler arasında pozitif ve anlamlı bir ilişki olduğunu ortaya koymuşlardır.

## 3. VERİ VE YÖNTEM

### 3.1. Veri

Çalışmada Türkiye'de finansal gelişme, sefalet endeksi ve ekonomik büyüme arasındaki uzun dönem ilişkisini analiz etmek için dört önemli makroekonomik değişken kullanılmaktadır. Bu değişkenlerden ekonomik büyüme (*Lkgsyh*) kişi başına gayri safi yurtiçi hasıla ile, finansal gelişme (*Lfg*) özel sektöre yönelik yurtiçi krediler ile, sefalet endeksi (*Lse*) ise enflasyon ve işsizlik oranlarının toplamı olarak ölçülen bir endeks ile temsil edilmektedir. Çalışmada ayrıca ticari açıklık (*Lta*) modele kontrol değişken olarak

eklenmektedir. Çalışmada kullanılan tüm seriler Dünya Bankası Veritabanından[1] derlenmiştir. Çalışmada kullanılan tüm serilerin doğal logaritması alınmıştır. Çalışmanın ampirik uygulamasında 1988 – 2019 dönemi yıllık serileri kullanılmıştır. Çalışmada kullanılan değişkenlere ait tanımlayıcı istatistikler Tablo 1'de sunulmaktadır.

Tablo 2'de ise çalışmada kullanılan değişkenler arasındaki korelasyonlar görülmektedir. Buna göre finansal gelişme ile kişi başına gayri safi yurtiçi hasıla arasında oldukça güçlü bir ilişki söz konusudur. Bunun yanı sıra, sefalet endeksi ile kişi başına gayri safi yurtiçi hasıla arasında ise ters yönlü bir ilişki olduğu gözlenmektedir.

Tablo 1: Tanımlayıcı İstatistikler

| **Değişkenler** | **Gözlem** | **Ortalama** | **Standart sapma** | **En küçük** | **En büyük** | **kurtosis** | **skewness** |
|---|---|---|---|---|---|---|---|
| *Lkgsyh* | 32 | 9.152843 | 0.280704 | 8.749642 | 9.628399 | 1.797909 | 0.3138674 |
| *Lfg* | 32 | 3.292159 | 0.5570589 | 2.639818 | 4.188704 | 1.648637 | 0.5068456 |
| *Lse* | 32 | 3.627611 | 0.7130667 | 2.726013 | 4.734398 | 1.254997 | 0.1133656 |
| *Lta* | 32 | 3.816139 | 0.1950588 | 3.41694 | 4.138088 | 2.588603 | -0.6254505 |

Tablo 2: Korelasyon

| | Lkgsyh | Lfg | Lse | Lta |
|---|---|---|---|---|
| Lkgsyh | 1.0000 | | | |
| Lfg | 0.9252 | 1.0000 | | |
| Lse | -0.8187 | -0.7069 | 1.0000 | |
| Lta | 0.7982 | 0.6763 | -0.6016 | 1.0000 |

## 3.2. Yöntem

Çalışmada finansal gelişme, sefalet endeksi ve ekonomik büyüme arasındaki ilişkiyi analiz etmek için özgün bir yöntem olarak Dinamik Gecikmesi Dağıtılmış Otoregresif Simülasyonlar (Dinamik ARDL) modeli (Jordan ve Phillips, 2018: 14) kullanılmaktadır. Dinamik ARDL yöntemi değişkenler arasındaki uzun dönem ilişkilerine yönelik gerçek bulgular ortaya koymaktadır. Jordan ve Phillips (2018)'e göre dinamik simülasyonlar, anlamlı karşı-olgusal senaryolar aracılığıyla katsayıların temel önemini aktarmaktadır. Geleneksel eşbütünleşme yöntemlerinde olduğu gibi, simüle edilmiş dinamik ARDL yönteminin modeldeki değişkenlerin durağanlık sürecini kontrol etmesi gerekmektedir. Buna göre, Dinamik ARDL simülasyonlarının uygulanabilmesi için değişkenler ancak I(0) veya I(1) düzeyinde durağan halde olmalıdır (Abbasi ve Adedoyin, 2020).

Jordan ve Phillips (2018), bulguların asıl önemini açık bir şekilde yorumlayabilmek için çok sayıda farklı ARDL modellerini dinamik olarak simüle eden yeni bir yöntem önermektedir. Bu yöntem, değişkenler arasındaki uzun dönemli ve kısa dönemli etkileşimi ayrıştırarak halihazırda olan ARDL yönteminin karmaşıklıklarını çözebilmektedir (Khan vd., 2019: 23483). Dinamik ARDL modeli, çok değişkenli normal dağılımdan değişkenlerin vektörü için 5000 simülasyon çalıştırmaktadır. Simülasyonların sonuçları, açıklayıcı değişkendeki gerçek hareketi ve bunun bağımlı değişken üzerindeki etkisini incelemek üzere grafiklerle gözlenebilmektedir.

Bu teorik açıklamalar göre oluşturulan dinamik ARDL simülasyon modeli şöyle yazılabilmektedir:

$$\Delta Lkgsyh_t = \alpha_0 + \theta_0 Lkgsyh_{t-1} + \beta_1 \Delta Lfg_t + \theta_1 Lfg_{t-1} + \beta_2 \Delta Lse_t + \theta_2 Lse_{t-1} + \beta_3 \Delta Lta_t + \theta_3 Lta_{t-1} + \varepsilon_t \quad (1)$$

Zaman serisi analizleri genellikle değişkenlerin istikrar koşullarının kontrol edilmesini gerektirmektedir. Çünkü bu değişkenler farklı zaman noktalarında farklı ortalamalara sahip olabilmektedir ve istikrarsız serilerin varyansları bulunmaktadır. Aynı zamanda bu seriler örneklem büyüklüğü ile arttığı için

1 World Development Indicators, World Bank için bkz. https://databank.worldbank.org/source/world-development-indicators

değişkenlerin kararlılık koşullarının test edilmesi gerekmektedir (Harris ve Sollis, 2003). Zaman serilerinin doğrusal kombinasyonları, önemli ölçüde yüksek t değerlerine sahip sahte bir regresyon problemine (Alimi, 2014) yol açar ve katsayı belirlemesi 1'e oldukça yakın ve Durbin-Watson (DW) istatistiklerine göre oldukça düşüktür (Granger ve Newbold, 1974). Sonuçta, katsayıların tahmin sonuçları sapmalı olur. Bu nedenle, herhangi bir sahte regresyon probleminden kaçınmak için birim kök testleri ile değişkenlerin durağanlıklarının test edilmesi gerekmektedir. Bu çalışmada birim kök testlerinden Augmented Dickey-Fuller[2] (ADF) ve Phillips-Perron[3] (PP) birim kök testleri kullanılarak serilerin doğrusal stokastik eğilimleri incelenmektedir.

Çalışmada son olarak değişkenlerin tahmin edilen uzun dönem katsayılarının istikrarlı bir yapıya sahip olup olmadığını belirleyebilmek için Kümülatif Toplam (Cumulative Sum, CUSUM) ve Kümülatif Kareler Toplamı (Cumulative Sum of Squares, CUSUMSQ) testleri uygulanmaktadır.

## 4. BULGULAR

Çalışmada finansal gelişme, sefalet endeksi ve ekonomik büyüme arasındaki ilişkiyi dinamik ARDL yöntemiyle analiz etmeden önce analizde kullanılan değişkenlere yönelik ADF ve PP birim kök testleri uygulanmıştır. Tablo 3 bu testlerin sonuçlarını göstermektedir. Sonuçlara göre çalışmada kullanılan tüm değişkenler hem ADF hem PP testleri sonucunda birinci farkı alınarak durağan hale gelmektedir. Ayrıca tüm değişkenler % 1 anlamlılık düzeyinde I(1) seviyesinde durağan hale gelmektedir. Bu sonuçlar bu değişkenler kullanılarak öncelikle eşbütünleşme ilişkisinin sonrasında da uzun dönem ve kısa dönem katsayıların elde edilebilmesi için dinamik ARDL simülasyonları yönteminin uygulanabileceğini göstermektedir.

Tablo 3: Birim Kök Testi Sonuçları

| **Değişkenler** | **ADF** | | | | **Phillips-Perron** | | | |
|---|---|---|---|---|---|---|---|---|
| | **Düzey** | | **Fark** | | **Düzey** | | **Fark** | |
| | **Sabit** | **Sabit ve trend** | **Sabit** | **Sabit ve trend** | **Sabit** | **Sabit ve trend** | **Sabit** | **Sabit ve trend** |
| Lkgsyh | 0.9668 | 0.3330 | 0.0000*** | 0.0000*** | 0.9745 | 0.3104 | 0.0000*** | 0.0000*** |
| Lfg | 0.9581 | 0.7815 | 0.0008*** | 0.0059*** | 0.9420 | 0.7336 | 0.0010*** | 0.0078*** |
| Lse | 0.7481 | 0.9749 | 0.0013*** | 0.0086*** | 0.7037 | 0.9166 | 0.0013*** | 0.0085*** |
| lta | 0.6649 | 0.2100 | 0.0000*** | 0.0005*** | 0.7030 | 0.1772 | 0.0000*** | 0.0005*** |

Not: *** %1 düzeyinde anlamlılığı temsil etmektedir. Gecikme uzunluğu Akaike Bilgi Kriteri (AIC)'ne göre belirlenmiştir. ADF ve PP'nin boş hipotezi bir zaman serisi örneğinde bir birim kökünün varlığını gösterir.

Tablo 4 bir önceki kısımda açıklanan eşitlik (1)'in tahmininde hesaplanan F istatistik değerini göstermektedir. Buna göre, hesaplanan F istatistik değeri % 1 anlamlılık düzeyinde alt ve üst kritik değerlerin dışındadır. Hesaplanan F istatistiği 9.160 olarak elde edilmiştir ve üst kritik değerin üzerindedir. Üst kritik değerden büyük olması ise çalışmada kullanılan değişkenler arasında uzun dönemde bir eşbütünleşme ilişkisinin olduğunu kanıtlamaktadır.

Tablo 4: ARDL Eşbütünleşme Test Sonuçları

| **Bağımsız Değişken Sayısı (k)** | **F istatistiği** | **% 1 Anlamlılık Seviyesinde Kritik Değerler** | |
|---|---|---|---|
| *Lkgsyh=f(Lfg, Lse, Lta, d2001, d2009)* | | **Alt Sınır I(0)** | **Üst Sınır I(1)** |
| (2, 2, 1, 0, 0, 1) | 9.160 | 4.777 | 7.036 |

[2]Dickey, D. A. ve Fuller, W. A. (1979). Distribution of the estimators for autoregressive time series with a unit root, *J Am Stat Assoc,* 74, 427-431

[3]Phillips P.C.B. ve Perron, P. (1988). Testing for a unit root in time series regression, *Biometrika,* 75, 335-346

Not: F testi analizinde kullanılan kritik değerler için Kripfganz ve Schneider (2018) çalışmasında yer alan değerler kullanılmıştır ve analiz Stata-14 paket programı ile yapılmıştır. (2, 2, 1, 0, 0, 1) ise Akaike Bilgi Kriterine dayalı olarak analiz edilen modeldeki parametrelerin gecikme uzunluklarını gösterir.

Eşbütünleşme ilişkisinin elde edilmesi sonrasında kısa ve uzun dönemin ayrıştırılarak bulguların ortaya koyulmasına gereksinim duyulmaktadır. Tablo 5 dinamik ARDL sonuçlarını ortaya koymaktadır. Buna göre, finansal gelişme kişi başına gayri safi yurtiçi hasıla üzerinde kısa dönemde anlamlı bir etkiye sahip olmamasına rağmen, uzun dönemde % 0.08 civarında % 5 anlamlılık düzeyinde anlamlı pozitif bir etkiye sahiptir. Sefalet endeksi ise kişi başına gayri safi yurtiçi hasıla üzerinde hem kısa dönemde (% -0.10) hem de uzun dönemde (% -0.03) beklentilere uyumlu olarak negatif ve sırasıyla % 5 ve % 10 anlamlılık düzeylerinde anlamlı etkiye sahiptir. Diğer yandan, ticari açıklığın kişi başına gayri safi yurtiçi hasıla üzerindeki etkisi pozitif ancak istatistiksel olarak anlamlı değildir. Bu çalışmada modelin açıklama gücünü artırabilmek için kontrol değişken olarak modele 2001 ve 2009 yıllarında yaşanan krizleri temsilen kukla değişkenler dahil edilmiştir. Buna göre 2001 yılında yaşanan bankacılık krizinin Türkiye'de kişi başına gayri safi yurtiçi hasıla üzerinde kısa dönemde anlamlı ve negatif bir etkisi olmasına rağmen uzun dönemde yine negatif ancak istatistiksel olarak anlamsız bir etki söz konusudur. Son olarak, 2009 yılında yaşanan küresel finansal krizin Türkiye ekonomisine etkilerine bakıldığında ise hem kısa dönemde hem de uzun dönemde istatistiksel olarak sırasıyla % 1 ve % 5 düzeyinde anlamlı ve negatif etkiler olduğu görülmektedir.

Tablo 5: Dinamik ARDL Sonuçları

| **Değişkenler** | **Kısa Dönem** | | **Uzun Dönem** | |
|---|---|---|---|---|
| | **Katsayı** | **t-istatistik** | **Katsayı** | **t-istatistik** |
| ΔLkgsyh | | | 0.751569 | 8.11*** |
| Lfg | -1.76 | 1.65 | | |
| ΔLfg | | | 0.0849396 | 2.69** |
| Lse | -0.1034798 | -2.71** | | |
| ΔLse | | | -0.0318387 | -1.76* |
| Lta | 0.0615252 | 0.80 | | |
| ΔLta | | | 0.0800309 | 1.41 |
| D2001 | -0.0637148 | -1.83* | | |
| ΔD2001 | | | -0.0359985 | -0.70 |
| D2009 | -0.1090972 | -3.64*** | | |
| ΔD2009 | | | -0.113078 | -2.51** |
| $R^2$ | 0.9934 | | | |
| Düzeltilmiş $R^2$ | 0.9896 | | | |
| F istatistiği | 261.56 | | | |

Not: ***, ** ve * sırasıyla % 1, % 5 ve % 10 anlamlılık düzeylerini temsil etmektedir.

Çalışmanın uzun dönem ve kısa dönem bulgularını ortaya koyan dinamik ARDL simülasyonları yöntemiyle elde edilen sonuçlara göre finansal gelişmenin kişi başına gayri safi yurt içi hasıla üzerindeki pozitif yönde etkisi literatürde yer alan hem Türkiye hem de farklı ülkeler üzerine yapılan birçok çalışma ile benzer olarak ortaya çıkmıştır (Kar ve Pentecost, 2000; Calderon ve Lin, 2003; Khan ve Qayyum, 2007; Khan, 2008; Jalil ve Feridun, 2011; Menyah, vd., 2014; Güney, 2017; Guru ve Yadav, 2019; Vurur, 2020). Finansal gelişmenin bu pozitif etkisi sermaye akımlarının ekonomide hem kaynak yaratma hem de doğrudan üretimde bulunmaya katkı sağlaması bakımından teorik olarak da tutarlıdır. Sefalet endeksi ise özellikle enflasyon oranı ve işsizlik oranının toplamını yansıttığı için kişi başına gayri safi yurt içi hasılayı negatif yönde etkilemesi anlamında literatürde yer alan az sayıdaki ilişkili çalışmayla uyumludur (Ali, vd., 2015; Wang, vd., 2019). Aynı zamanda 2001 ve 2009 krizleri de Türkiye ekonomisinde kişi başına gayri safi yurt içi hasılayı olumsuz etkilemiştir. 2001 krizi bankacılık sektöründe yaşanmış ve finansal yapı üzerinden sermaye daralması sonucu ekonomik büyümeyi olumsuz etkilemiştir. 2009 krizi ise küresel finansal sistemde oluşan ve Türkiye ekonomisinde özellikle 2009 ve sonrası dönemde daha önemli negatif etkileri olan bir kriz olmuştur.

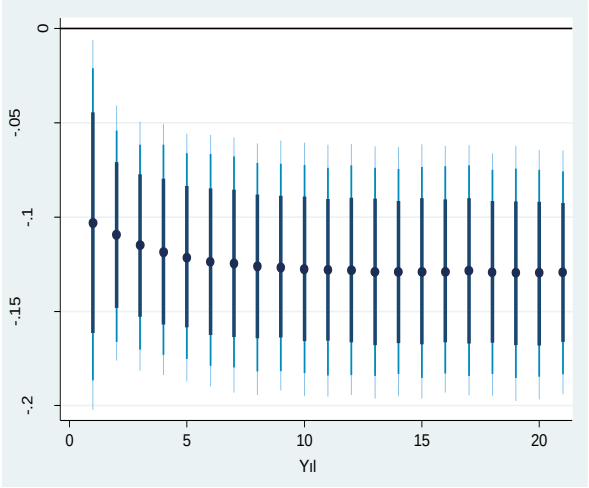
Tablo 6 çalışmada kullanılan modelin analizi sonucunda elde edilen bulguların tutarlı olup olmadığını gösteren testlerin sonuçlarını ortaya koymaktadır. Tablodaki test sonuçlarına göre, çalışmada analiz edilen modele ilişkin herhangi bir normallik, otokorelasyon veya değişen varyans problemi bulunmamaktadır.

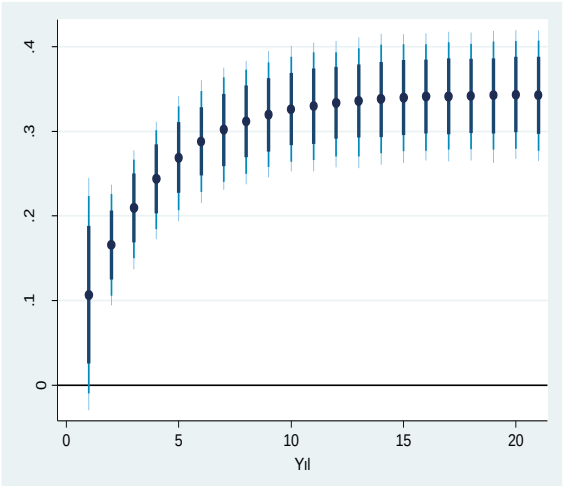
Tablo 6: Tanısal Testler

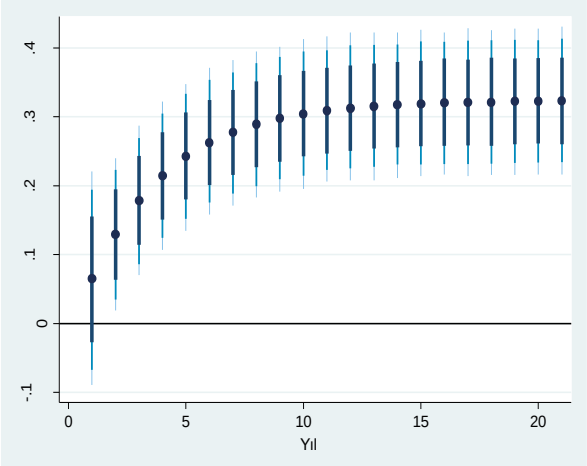
| **Testler** | **Olasılık Değerleri** |
|---|---|
| Jarque-Bera Normallik Testi | 0.2934 |
| Ramsey Reset Testi | 0.6952 |
| Breusch-Godfrey LM Testi | 0.4361 |
| ARCH LM Testi | 0.6721 |
| Breusch-Pagan Değişen Varyans Testi | 0.2100 |
| Durbin-Watson Testi | 2.2278 |

Dinamik ARDL simülasyonları yönteminin son aşaması olan etki tepki fonksiyonları ise Şekil 1'de gösterilmektedir. Etki tepki fonksiyonlarına göre, sefalet endeksinde meydana gelen 1 puanlık artış hem kısa hem de uzun dönemde kişi başına gayri safi yurt içi hasıla üzerinde negatif ve anlamlı etkiye sahiptir. Finansal gelişmede meydana gelen 1 puanlık artış ise yalnızca uzun dönemde kişi başına gayri safi yurt içi hasılayı pozitif ve anlamlı olarak etkilemektedir. Ticari açıklıkta meydana gelen 1 puanlık artış ise hem kısa hem de uzun dönem kişi başına gayri safi yurt içi hasılayı pozitif olarak etkilemesine rağmen istatistiksel olarak anlamlı değildir.

Şekil 1: Etki Tepki Fonksiyonları

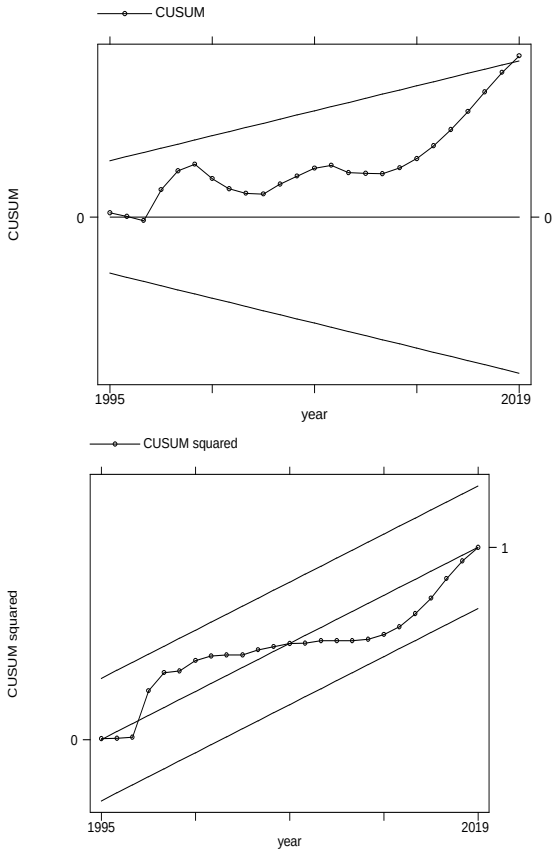





Şekil 2'de ise analiz sonucunda elde edilen katsayılarının yapısal tutarlılıklarına ilişkin yapılan Cusum ve CusumSQ test sonuçları yer almaktadır. Buna göre her iki test sonucu da katsayıların yapısal olarak istikrarlı olduğunu ortaya koymaktadır.

Şekil 2: Cusum ve CusumSQ Test Sonuçları




## 5. SONUÇ

Çalışmada Türkiye ekonomisinde 1989-2019 dönemine ilişkin finansal gelişme, sefalet endeksi ve ekonomik büyüme arasındaki ilişkinin uzun dönem analizi gerçekleştirilmiştir. Elde edilen bulgular, incelenen dönemde teorik ve ampirik literatürle uyumlu olarak finansal gelişmenin ve sefalet endeksinin Türkiye'de kişi başına gayri safi yurt içi hasıla için oldukça önemli olduğunu ortaya koymaktadır. Özellikle

1989 yılında yaşanan finansal serbestleşme girişimleri sonucunda Türkiye ekonomisinde önemli oranda sermaye girişi olmuş ve bu sermaye girişi sonucunda üretim ve gelir düzeylerinde artışlar yaşanmıştır. Finansal gelişme aynı zamanda Türkiye ekonomisinin küresel iktisadi entegrasyona hızlı bir biçimde uyumlandığını da göstermektedir. Sefalet endeksi ise finansal gelişmede olduğu gibi makroekonomik olarak Türkiye ekonomisinde dikkate alınması gereken bir gösterge olduğu görülmektedir. Türkiye ekonomisi özellikle 1990'lı yıllar boyunca yüksek enflasyon ve sonrasında da yüksek işsizliği aynı anda deneyimlemiştir. Bu durumun önemli bir sonucu olarak bu iki göstergenin toplamı şeklinde hesaplanan sefalet endeksi ise kişi başına gayri safi yurt içi hasılayı olumsuz yönde etkilediği görülmektedir. Çalışmanın ilgili literatüre en önemli katkısı hem parasal hem reel büyüklüklerin ekonomik büyüme üzerindeki etkilerinin özgün bir yöntem ile analiz edilmesidir. Bu kapsamda elde edilen sonuçlar finansal gelişme ve sefalet endeksinin Türkiye ekonomisinde hem kısa dönem hem de uzun döneme yönelik makroekonomik politika uygulamalarında dikkat edilmesi gereken önemli göstergeler olduğunu ortaya koymaktadır.

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# Kurumsal Sürdürülebilirliğin Kuramsal Bağlamda İncelenmesi

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**Özet:** Kurumsal sürdürülebilirlik, Dünya gelişme komisyonu tarafından açıklanan Brundlant raporu ile çok önemli bir kavram haline gelmiştir. Gelecek nesillerin ihtiyaçlarını karşılama becerisini kaybetmeden bu günün ihtiyaçlarını karşılamak olan kurumsal sürdürülebilirlik, sürdürülebilirliği destekleyen teoriler arasında büyük öneme sahiptir. Günümüzde işletmelerin sadece ekonomik acıdan kar etmesi, işletmenin devamlılığı için yeterli olmamaktadır. Kurumsal sürdürülebilirlik projelerine verdikleri desteklere ve kurumsal sosyal sorumluluğa sahip işletmeler tüketiciler tarafından tercih edilmektedir. İşletmeler kurumsal sosyal politikalara daha fazla ağırlık vererek kurumsal sürdürülebilirliğe katkı sağlamalıdır. Ayrıca işletmeler paydaşlarıyla daha iyi ilişkiler kurarak ve onların çıkarlarını gözeterek sürdürülebilirliğe katkı sağlamalıdır. Bu noktada bu çalışma paydaş ve toplum nazarında olumlu etkileşimler kurularak daha sağlam temelleri olan işletme faaliyetlerine yönelme konusuna ışık tutmuştur. Bu araştırmada kurumsal sürdürülebilirliği ile ilgili kavramları açıklayarak işletmeleri bilgilendirmenin yanı sıra kurumsal sürdürülebilirliği destekleyen teoriler ve bu teorilerin birbirleri ile olan ilişkilerini açıklayarak literatüre katkı sağlanması amaçlanmıştır. Yapılan literatür çalışması sonucunda ilgili teoriler titizlikle incelenmiş ve gelecek çalışmalarda teori temelli nicel çalışmalara ışık tutacağı varsayılmıştır.

**Anahtar Kelimeler:** Kurumsal Sürdürülebilirlik, Sürdürülebilir Kalkınma, Paydaşlar Teorisi, Kurumsal Sürdürülebilirlik Teorileri.

## Investigation Of Corporate Sustainability In Theoretical Context

**Abstract:** Corporate sustainability has become a very important concept with the Brundlant report announced by the World Development Commission. Corporate sustainability, which is to meet the needs of this day without losing the ability to meet the needs of future generations, is of great importance among the theories that support sustainability. Currently, businesses profit only from economic pain is not enough for the continuity of the business. Businesses with their support for corporate sustainability projects and Corporate Social Responsibility are preferred by consumers. Businesses should contribute to corporate sustainability by giving more weight to corporate social policies. At this point, this study shed light on the topic of turning to business activities with more solid foundations by establishing positive interactions in the eyes of stakeholders and society. n this research, it is aimed to inform businesses by explaining the concepts related to corporate sustainability, as well as to contribute to the literature by explaining the theories supporting corporate sustainability and the relations of these theories with each other. As a result of the literature study, the relevant theories have been carefully studied and it is assumed that future studies will shed light on theory-based quantitative studies.

**Key Words:** Corporate Sustainability, Sustainable Development, Stakeholder Theory, Corporate Sustainability Theories.

## 1. GİRİŞ

Kaynakların hızla tükenmesi, çevre kirliliği, küresel ısınma ve biyolojik çeşitliliğin azalması gibi çevre sorunları çevre dengesi de bozulmaya neden olmaktadır. Bu çevreyle ilgili sorunların sürekli artması hükümetleri, toplulukları, şirketleri ve bireyleri çevresel konularda önlem almaya yönlendirmektedir (Walker ve ark. 2008). Kurumsal sürdürülebilirlik; kurumsal sosyal sorumluluk, sürdürülebilir kalkınma, paydaşlar teorisi ve kurumsal hesap verebilirlik teorisi gibi dört temel unsurdan meydana gelmiştir (Ceylan, 2010: 25). Kurumsal sürdürülebilirlik ve sürdürülebilir kalkınma, 2000'li yılların başlarında kurumsal sosyal sorumluluk birlikte tartışmaların odak noktasını oluşturmaktadır. Kurumsal sürdürülebilirliği kurumsal sosyal sorumluluk ve sürdürülebilir kalkınma; ekonomik sorumluluklar, sosyal ve çevresel açılardan aynı hedefe yönelmelerine rağmen bu terimler ayrı ayrı olarak evrimleşmişlerdir (Montiel, 2008). Kurumsal sosyal sorumluluk yalnız olarak işletmelerin sosyal sorumluluklarını değil,

buna ek olarak toplumun, işletmeleri sorumlu tutma yönünü de inceleyen geniş bir alanda tartışılmaktadır (Lee, 2008). Kurumsal sürdürülebilir ilgili teoriler birçok alanda benzerlik göstermelerine rağmen dünyanın çeşitli ülkelerinde yer alan işletmeler kurumsal sürdürülebilirliğe farklı anlamlar yüklenmektedir. Örneğin herhangi bir kavram bir ülkede ticari sorumluluk olarak kabul edilirken, diğer bir ülkede kamusal, sosyal veya bireysel sorumluluk olarak kabul edilmektedir (Moon, 2007).

Bu araştırmada, kurumsal sürdürülebilirlik, kurumsal sürdürülebilirlik teorileri açısında araştırılmasıdır. Kurumsal sürdürülebilirlik teorilerinden sürdürülebilir kalkınma, kurumsal sosyal sorumluluk, sosyal paylaşımlar teorisi, kurumsal hesap verilebilirlik teorileri düzeyinde kavramsal olarak incelenecektir.

## 2. KAVRAMSAL ÇERÇEVE

Çalışmanın bu kısmında; kurumsal sürdürülebilirlik, sürdürülebilir kalkınma, kurumsal sosyal sorumluluk kavramları açıklanmıştır.

### 2.1. Kurumsal Sürdürülebilirlik

Kurumsal sürdürülebilirlik kavramı 21. yüzyılda en çok üzerine konuşulan ve açıklamalar yapılan bir kavram arasındadır. Kurumsal sürdürülebilirlik işletmelerin sahip olduğu doğal, bilimsel ve insani kaynakların ihtiyatlı olarak kullanmasıdır (Gladwin vd., 1995). Kurumsal sürdürülebilirlik kavramı hem aktif hem de proaktif bir yapı olarak tanımlarken ekosistemin sahip olduğu değerlerin ve sistemin işleyişin devamlılığı olarak görmektedir (Karaman, 1996). Bu günlerde sıkça gündeme gelen küresel ısınma, çevre kirliliği, toplumsal olarak yoksulluğun artışı dünyanın geleceği ve sürekliliği açısında büyük önem taşımaktadır. Dünyanın nüfusunun hızlı bir şekilde artışı doğal kaynakların hızlı bir şekilde azalması tüm çevreler arasında tartışılmaktadır.

Kurumsal sürdürülebilirlik; bir yönü ile işletmenin paydaşlarının günümüz ihtiyaçlarını karşılarken, diğer yönü ile işletmenin gelecekteki ihtiyaçlarını beşeri ve doğal kaynaklarını koruyarak gelişmesine olanak sağlayan işletmenin stratejileri ve faaliyetleri olarak tanımlamak mümkündür ( Roca ve Searcy, 2012). Marrewijik (2003) kurumsal sürdürülebilirlik; sosyal ve çevresel konuların işletmenin faaliyetlerinin ve işletmenin paydaşlarının faaliyetlerine dâhil edilmesi olarak açıklar.

Banerjee ve diğerleri, (2003) göre; Kurumsal sürdürülebilir işletmenin karşılaştığı kritik çevresel sorunların tanımlanmasıdır. Chan (2010) buna, işletme çevreyi korumaya olan bağlılığının içsel değerleri ve etik standartları adını vermiştir. Kurumsal sürdürülebilir, yeni ürün tasarımı ve süreçlerinin organizasyon yapısına entegrasyonu üzerinde bir etkiye sahiptir ( Klewitz ve Hansen, 2013 ). Kurumsal sürdürülebilir tipik olarak işletmelerin ürünlerinin ve üretim süreçlerinin nihai olarak rekabet avantajı sağlayan çevresel ve sosyal düzenlemelere göre yeniden tasarlanmasına yansır ( Aikenhead vd. 2015 ). El-Kassar ve Singh (2018), ürün ve süreç yeniliğinin kirliliği ve enerji tüketimini ve dolayısıyla işletmelerin performansını azalttığını bulmuşlardır.

Literatürde kurumsal sürdürülebilirlikle ilgili çalışmalara ulaşılmaktadır. Kurumsal sürdürülebilirlik etkileşimler ve kurumsal finansal performansı, (Tarhan, 2017) Kurumsal sürdürülebilirlik uygulamalarının stratejik etmenlerinin belirlenmesi, (Korkmaz, 2020) yöneticilerin kurumsal sürdürülebilirlik algısı ve farkındandık düzeyinin tespitine yönelik BIST Bursa işletmelerindeki araştırması, (Altay, 2019) kurumsal sürdürülebilirlik açısından entegre raporların incelemesi, (Sarıyar, 2019) Kurumsal sürdürülebilirlik uygulamalarının algılanması bir sanayi işletmesinde araştırma, (Savaş, 2019) Tüketim toplumunda kurumsal sosyal sorumluluk ve kurumsal sürdürülebilirlik: Tüketici katılımı ile yapılan sosyal kampanyalara yönelik niteliksel bir araştırma çalışmalar görmekteyiz.

Wilson kurumsal sürdürülebilirliği, yeni gelişen kurumsal yönetim paradigması olarak açıklamış ve kurumsal sürdürülebilirliği 4 konseptten yararlanarak açıklamıştır (Wilson 2003).

Tablo1: Kurumsal Sürdürülebilirliğin Dayandığı Teoriler

| Alt Dallar | Kavramlar | Kurumsal Sürdürülebilirliğe Katkısı |
|---|---|---|
| Ekonomik | Sürdürülebilir Kalkınma | Konunun sınırlarının, sosyal amacın belirlenmesi |
| Ekoloji | | |
| Sosyal | | |

| | | |
|---|---|---|
| Ahlak Felsefesi | Kurumsa Sosyal Sorumluluk | İşletmenin neden sürdürülebilir olmasını açıklayan ahlaki sebepler |
| Stratejik Yönetim | Sosyal Paylaşımlar Teorisi | İşletmenin neden sürdürülebilir olmasını açıklayan iş sebepler |
| İş Hukuku | Kurumsal Hesap Verilebilirlik Teorisi | İşletmenin neden sürdürülebilir performans raporlaması gerektiğini açıklayan ahlaki sebepler |

Kaynak: Wilson, (2003).

### 2.2. Sürdürülebilir Kalkınma

Sürdürülebilir kalkınma son yıllarda sık bir şekilde tartışılan bir kavram olarak karşımıza çıkmaktadır. Sürdürülebilir kalkınma 1980 yılların sonuna doğru ortaya çıkmış halen günümüzde önemini kaybetmeden konuşulan bir kavramdır. Sürdürülebilir kalkınma ülkelerin sosyal, ekonomik ve çevresel yönden gelişmesine katkı sağlayan bir kavramdır. Sürdürülebilir kalkınmanın ortaya çıkış sebepleri olarak ülkeler arası gelir dağılımındaki adaletsizlik ve büyük işletmelerin üretim odaklı çalışmaları örnek verilebilir. 1970'li yıllarda bu sorunu çözümü için büyük çaba harcamışlardır. Sürdürülebilirlik kavramı ilk olarak 1972 yılında Stockholm'de gerçekleşen birleşmiş milletler çevre konferansında bahsedilmeye başlanmıştır. 1987 yılında birleşmiş milletler genel kurulunda Brutland raporu olarak bilinen ortak geleceğimiz raporu yayınlanarak Dünya çevre ve Kalkınma komisyonu tarafından bu gün bilinen sürdürülebilirliğin tanımı oluşturulmuştur (Tıraş, 2012). Tanımda Sürdürülebilir kalkınma; Gelecek nesillerin ihtiyaçlarını yok etmeden şimdiki nesillerin ihtiyaçlarının karşılanması olarak tanımlanmıştır. Güneydoğu Anadolu projesinin sürdürülebilir kalkınmayı doğa ile insan arasında dengeyi kurarak gelecek nesillerin doğal kaynaklarını yok etmeden bu günün ihtiyaçlarının karşılanmasını sağlayacak programların yapılmasıdır (www.gap.gov.tr.). Sürdürülebilir kalkınma küresel anlamda Rio gerçekleşen 178 ülke devlet başkanlarının katılımı ile gerçekleşen Rio konferansında gerçekleşmiştir. Bu küresel toplantıdan bir yıl sonra yapılan toplantıda Birleşmiş Milletler Kalkınma Komisyonu kurulmuştur.

Sürdürülebilir kalkınmanın sosyal, ekonomik ve çevresel olmak üzeri üç boyut olarak karşımıza çıkmaktadır. Sosyal boyutu, insanla ilgili olup sosyal ve kültürel sistemlerin devamlılığının sağlanmasıdır. Gelişmekte olan ülkelerde yoksulluğun artması sosyal boyutunu ortaya çıkarmaktadır. Ekonomik boyut, doğada var olan kıt kaynakların kullanımının sağlanmasıdır. Çevresel boyut ise fiziksel ve biyolojik sistemlerin adaletli olmasını öngörür. Toplumda biyolojik çeşitliliğin korunması önem arz etmektedir (Gürlük, 2010). Sosyal ve ekonomik boyutlar gelir dağılımı, işsizlik sorunun çözümü, yoksulluğun azaltılması gibi konularla etkileşim içindedir. Çevresel ve ekonomik boyutlar çevresel değerlendirme ile ekonomik faktörlerin meydana getirdiği olumsuzlukları içleştirmeyi öngörmektedir. Sürdürülebilir kalkınma bir dengeyi ve uzlaşma olarak ifade edilir (Turgut, 1996). Sürdürülebilir kalkınmanın kurumsal sürdürülebilirliğe katkısı iki yönlüdür. Birincisi, şirketlerin odaklanması gereken çevresel, sosyal ve ekonomik performanslarının belirlenmesine yardımcı olur. İkincisi, şirketlerin, hükümetlerin ve sivil toplumun ekolojik, sosyal ve ekonomik sürdürülebilirliğe yönelik çalışmaları için ortak bir toplumsal hedef sağlar. Ancak, sürdürülebilir kalkınma tek başına şirketlerin neden bu konuları önemsemeleri gerektiğine dair gerekli argümanları sağlamaz. Bu argümanlar kurumsal sosyal sorumluluk ve paydaş teorisi kaynak temelinde incelenmektedir.

### 2.3. Kurumsal Sosyal Sorumluluk

Sürdürülebilir kalkınma gibi, kurumsal sosyal sorumluluk (KSS) da geniş, diyalektik bir kavramdır. Dünya İş Konseyi kurumsal sosyal sorumluluğu, "ekonomik kalkınmayı desteklerken aynı zamanda işgücünün, ailelerin ve toplumun yaşam kalitesini de arttırmayı sürdüren bir taahhüttür" şeklinde ifade etmiştir (https://www.wbcsd.org, 1998). Avrupa Birliği Komisyonu tarafından yayınladığı 2011 yılındaki bildirisinde kurumsal sosyal sorumluluk tanımında: "Kurumsal sosyal sorumluluk, işletmelerin toplum üzerindeki etkileri bakımından yerine getirmeleri gereken sorumluluklardır. Yürürlükteki mevzuata ve toplu sözleşmelere saygı göstermek, bu sorumluluğu yerine getirmenin bir önkoşuludur (European Commission, 2011)" En genel anlamda, kurumsal sosyal sorumluluk, iş dünyasının toplumdaki rolüyle ilgilenir. Temel önermesi, şirket yöneticilerinin, yalnızca hissedarların çıkarları veya kendi çıkarları için hareket etmekle kalmayıp, toplumun ihtiyaçlarını dikkate alma ve ele alma konusunda etik bir yükümlülüğü olduğudur. Birçok yönden kurumsal sosyal sorumluluk bir tartışma olarak kabul edilebilir ve

genellikle söz konusu olan, şirket yöneticilerinin toplumun ihtiyaçlarını dikkate alma yükümlülüğünün olup olmadığı değil, bu ihtiyaçları ne ölçüde dikkate almaları gerektiğidir.

Bir kavram olarak, kurumsal sosyal sorumluluk, sürdürülebilir kalkınmadan veya bu makalede tartışılan diğer kavramlardan çok daha uzun süredir varlığını sürdürmektedir. Nicholas Ebserstadt'ın 1973 tarihli bir makalesi, yönetim organlarının işadamları ve tüccarlar için davranış kurallarını belirlediği zaman, kurumsal sosyal sorumluluğunun tarihini antik Yunanistan'a kadar uzanmaktadır ( Brown ve Company, 1977). İş dünyasının toplumdaki rolü o zamandan beri tartışılıyor. Kurumsal sosyal sorumluluk konusunda en üretken yazarlardan biri olan Archie B. Carroll'a göre, kurumsal sosyal sorumluluğun modern çağı işadamı sosyal sorumlulukları kitabının yayımlanmasıyla başladı. Howard Bowen tarafından 1953'ten beri birçok yazar konu hakkında yazılar yazdı. 1953'ten sonraki ilk birkaç on yıl boyunca, bu yazıların ana odak noktası, şirket yöneticilerinin toplumun ihtiyaçlarını göz önünde bulundurmak için etik bir sorumluluğa sahip olup olmadıklarıydı. 1980 yılına gelindiğinde, genel olarak şirket yöneticilerinin bu etik sorumluluğa sahip olduğu kabul edildi. Topluma karşı etik bir sorumluluğu olan işletmelerin yöneticilerinin lehine olan argümanlar dört felsefi teoriden çıkar:

**Sosyal sözleşme teorisi:** Sosyal sözleşme teorisinin temel ilkesi, toplumun bireyler, kuruluşlar ve kurumlar arasındaki bir dizi açık ve örtük sözleşmeden oluşmasıdır. Bu sözleşmeler, taraflar arasında güven ve uyum ortamında değiş tokuş yapılabilecek şekilde gelişti. Sosyal sözleşme teorisine göre, şirketler, kuruluşlar olarak, toplumun diğer üyeleriyle bu sözleşmelere girerler ve iyi davranış karşılığında faaliyet göstermek için kaynaklar, mallar ve toplumsal onay alırlar.

**Sosyal adalet teorisi:** Sosyal sözleşme teorisinin bir varyasyonu olan (ve bazen zıt bir bakış açısı olan) sosyal adalet teorisi, adalet ve dağıtımcı adalet üzerine odaklanır - toplumun mallarının (burada zenginlik, güç ve diğer gayri maddi varlıklar) nasıl ve hangi ilkelere göre dağıtıldığı toplumun üyeleri arasında. Sosyal adalet teorisinin savunucuları, adil bir toplumun, sadece güç ve zenginliğe sahip olanların değil, toplumun tüm üyelerinin ihtiyaçlarının dikkate alındığı bir toplum olduğunu savunuyorlar. Sonuç olarak, şirket yöneticilerinin bu malların toplumda en uygun şekilde nasıl dağıtılabileceğini düşünmesi gerekir.

**Haklar teorisi:** Haklar teorisi, şaşırtıcı olmayan bir şekilde, temel insan hakları ve mülkiyet hakları dâhil olmak üzere hakların anlamı ile ilgilenir. Haklar teorisindeki bir argüman, mülkiyet haklarının insan haklarını geçersiz kılmaması gerektiğidir. KSS perspektifinden bakıldığında, bu, bir şirketin hissedarlarının belirli mülkiyet haklarına sahip olmalarına rağmen, bu onlara çalışanların, yerel topluluk üyelerinin ve diğer paydaşların temel insan haklarını geçersiz kılma lisansı vermediği anlamına gelir.

**Deontolojik teorisi:** Deontolojik teori, şirket yöneticileri de dahil olmak üzere herkesin, diğer herkese saygılı davranmak gibi ahlaki bir görevi olduğu inancıyla ilgilenir. Bu bazen "Altın Kural" olarak adlandırılır. Kurumsal sosyal sorumluluk, kurumsal yöneticilerin neden sürdürülebilir kalkınma için çalışması gerektiğine dair etik argümanlar sunarak kurumsal sürdürülebilirliğe katkıda bulunur: Eğer toplum genel olarak sürdürülebilir kalkınmanın değerli bir hedef olduğuna inanırsa, şirketlerin toplumun bu yönde ilerlemesine yardımcı olmak için etik bir yükümlülüğü vardır.

## 3. Kuramsal Çerçeve

Çalışmanın bu bölümünde kurumsal sürdürülebilirlikle ilgili literatürde en fazla karşılaşılan; paydaşlar teorisi ve kurumsal hesap verilebilirlik teorisine değinilmiştir.

### 3.1. Paydaşlar Teorisi

Kurumsal sürdürülebilirliğin katkı sağlayan teoriler arasında sosyal paydaşlar teorisi de yer almaktadır. İşletmeler açısından sosyal paylaşımlar teorisinin kısaltması olan paydaş teorisi, nispeten modern bir kavramdır. İlk olarak 1984 tarihli *Stratejik Yönetim: Paydaş Yaklaşımı* adlı kitabında R. Edward Freeman tarafından popüler hale getirildi (Books vd., 1984). Freeman bir paydaşı "organizasyonun hedeflerine ulaşılmasını etkileyebilecek veya bundan etkilenebilecek herhangi bir grup veya birey" olarak tanımladı. Paydaş teorisinin temel önermesi, diğer dış taraflarla ilişkileriniz ne kadar güçlüyse, kurumsal iş hedeflerinize ulaşmanın o kadar kolay olacağıdır, ilişkileriniz ne kadar kötü olursa, o kadar zor olur. Paydaşlarla güçlü ilişkiler güven, saygı ve işbirliğine dayalı ilişkilerdir. Büyük ölçüde felsefi bir kavram olan kurumsal sosyal sorumluluğun aksine, paydaş teorisi başlangıçta stratejik bir yönetim

kavramıydı ve hâlâ da öncelikli olarak olmaya devam ediyor. Paydaş teorisinin amacı, rekabet avantajı geliştirmek için şirketlerin dış gruplarla ilişkilerini güçlendirmelerine yardımcı olmaktır.

İşletmeler için ilk zorluklardan biri paydaşlarını belirlemektir. İşletmeler arasında belirli grupların paydaşlar olduğu konusunda genel bir anlaşma var gibi görünüyor - hissedarlar ve yatırımcılar, çalışanlar, müşteriler ve tedarikçiler. Ancak bunların ötesinde, paydaşları tanımlamak için net bir kriter olmadığı için daha zor hale geliyor. Yazarların çoğu, 'paydaş' teriminin anlamlı olması için, paydaşları paydaş olmayanlardan ayırmanın bir yolu olması gerektiği konusunda hemfikirdir. Bazı yazarlar, paydaşların işletmenin faaliyetlerinde payı olan kişiler olduğunu ileri sürmüşleri, riskli bir durumdur. Diğer yazarlar, iklim değişikliği veya pazarlama ve reklamcılıktan kaynaklanan kültürel değişiklikler gibi endüstrinin küresel etkilerini dikkate alırsanız, herkesin bir paydaş olduğunu öne sürdüler.

Ana paydaşların belirlendiğini varsayarsak, kurumsal yöneticiler için bir sonraki zorluk, onlarla başa çıkmak için stratejiler geliştirmektir. Bu bir zorluktur çünkü farklı paydaş grupları farklı hedeflere, önceliklere ve taleplere sahip olabilir ve çoğu zaman vardır. Hissedarlar ve yatırımcılar, yatırımlarından optimum getiri ister; çalışanlar güvenli iş yerleri, rekabetçi maaşlar ve iş güvenliği ister; müşteriler uygun fiyatlarla kaliteli mal ve hizmet ister; yerel topluluklar topluluk yatırımı ister; düzenleyiciler, geçerli düzenlemelere tam uyum isterler. Bununla birlikte, ekonomik istikrar, çevre koruma ve sosyal adalet hedeflerinin birçok paydaş grubu arasında ortak olduğu konusunda genel bir kabul vardır. Öncelik veya acil olma düzeyini tartışsalar da, az sayıda grup bu hedeflere karşı çıkacaktır.

Paydaş teorisinin kurumsal sürdürülebilirliğe katkısı, şirketlerin neden sürdürülebilir kalkınma için çalışması gerektiğine dair iş argümanlarının eklenmesidir. Paydaş teorisi, bu yönde çalışmanın işletmenin en iyi ekonomik menfaatine olduğunu öne sürmektedir çünkü bunu yapmak, paydaşlarla olan ilişkisini güçlendirecek ve bu da işletmelerin iş hedeflerine ulaşmasına yardımcı olacaktır.

### 3.2. Kurumsal Hesap Verebilirlik Teorisi

Kurumsal sürdürülebilirliğin katkı sağlayan teoriler arasında kurumsal hesap verilebilirlik teorisi de yer almaktadır. Vance vd. (2015) tarafından açıklandığı gibi, hesap verebilirlik teorisi, birinin davranışlarını başka bir tarafa meşrulaştırmak için algılanan ihtiyacın, kararlara ve yargılara ulaşma sürecini düşünmeye ve sorumlu hissetmeye nasıl yol açtığını açıklar. Buna karşılık, bu algılanan bir karar verme sürecini açıklama ihtiyacı ve sonucu, kişinin prosedürel davranışları hakkında derinlemesine ve sistematik bir şekilde düşünme olasılığını artırır. Bu teori başlangıçta Tetlock, Lerner ve meslektaşları tarafından geliştirildi ve organizasyonel araştırmalarda etkili bir şekilde uygulandı. Kurumsal hesap verebilirlik, bir şirketin kurumsal faaliyetlerinde ne kadar şeffaf olduğu ve hizmet verdiği kişilere ne kadar duyarlı olduğudur. Genel olarak, kurumsal hesap verebilirlik, (1) finansal raporlama hesap verebilirliği ve (2) stratejik karar şeffaflığından ("stratejik", hissedarların ve diğer büyük paydaşların çıkarları üzerinde önemli etkileri veya etkileri olan kararlar anlamına gelir) oluşur. Hesap verebilirlik, esasen bir ifşa etme, şeffaflık ve işletme politikalarını ve eylemlerini işletmenin sorumlu olduğu kişilere açıklama meselesidir ( Shearer, 2002; Wild, 1994 ). Bir işletme sadece hissedarlara değil, aynı zamanda düzenleyiciler, müşteriler, çalışanlar, alacaklılar, tedarikçiler ve yerel topluluk gibi tüm büyük paydaşlara karşı da hesap verebilir olmalıdır (Shearer, 2002). Bir işletme, tüm bu paydaşlar - sermaye, finansman, beceri, emek, hizmet ve bağlam sağlayıcıları, teşebbüsün uzun vadeli iyiliği için birlikte çalıştıklarında en etkili şekilde çalışır. Kurumsal hesap verebilirlik için temel bir gereklilik, işletmenin ilgili bilgileri hızlı, doğru ve etkili bir şekilde hissedarlarına, paydaşlarına veya firmayı hem müdürlerin hem de toplumun çıkarlarına göre davranmaya motive eden ve sınırlayan düzenleyiciler gibi diğer ana taraflara sinyal verme veya bilgi verilmesine yardımcı olmaktadır.

## 4. Sonuç

Kurumsal sürdürülebilirlik, kavramı ilk defa 1972 yılında yapılan Stockholm konferansında karşımıza çıkmıştır. Kısa sürede içeresinde işletmeler ve ülkelerin takip ettikleri politikalarının vazgeçilmez unsurları arasında görmekteyiz. Kurumsal sürdürülebilirlik, mevcut kıt kaynakların ve bu kaynakları gelecek nesillere aktarılabilmesiyle ilgili olan ve dünyanın gelecek nesillere de yaşanılabilecek bir dünya bırakmayı amaçlayan bir kavramdır. Kurumsal sürdürülebilirlik, sosyal, ekonomik ve çevresel boyutları ile işletmeler arasında yer bulması 80'li yılların sonunda gerçekleşmiştir. Kurumsal sürdürülebilirlik teorileri sayesinde işletmeler sadece mal ve hizmet üreten kurumlar olmanın yanında çevreye ve

toplumun sorunlarına duyarlı faaliyetlerin önemsenmesini sağlamıştır. Kurumsal sürdürülebilirlik kavramı kurumların sürdürülebilir kalkınmadaki etkisini araştırdığımızda karşımıza çıkmaktadır. Kurumsal sürdürülebilirlik işletmelerin birçok alanda sorumluluklarının olduğu ve bu sorumlulukları yerine getirmesi ile ilgilidir. İşletmelerin hesap verilebilir duruma gelmesi kurumsal hesap verilebilirlik, şeffaf yönetim kurumsal yönetişim kurumsal vatandaşlık kavramını ortaya çıkmasında kurumsal sürdürülebilirlik ve sürdürülebilir kalkınma önemli rol oynamaktadır.

Kurumsal sürdürülebilirlik kapsamında ele alınan diğer bir teoride kurumsal sosyal sorumluluk teorisidir. Kurumsal sürdürülebilirlik birlikte ifade edilen kavramlar önemli bir uzantısı olarak; kurumsal sosyal sorumluluk olduğu bilinmektedir. Tüm toplumun ve işletmelerin her bireyin, refah ve gelir seviyesini artırmak amacıyla göstermiş olduğu çabaların tümü kurumsal sosyal sorumluluk olarak ifade edilmektedir. Bu durum işletme içersinde bireyin sorumluluğu yanında bir rekabet unsuru olarak da görülmektedir. Dünyamızda mevcut kısıtlı kaynakların duyarlı bir şekilde kullanılması bireylerin bilgilendirilendir ilerek duyarlı hale gelmesi ve bireylerin dünya ve toplumsal sorunlar konusunda bilinçlenmesi çerçevesinde kurumsal sosyal sorumluluk çalışmaları kurumlar açısından bakıldığında artık günümüzde bir ihtiyaç ve zorunluluk olarak gerçekleşmesi beklenmektedir.

Günümüzde artık işletmelerin devamlılığının sağlanması sadece ekonomik acıdan karlılık sağlaması tek başına yetmemekte, kurumsal sosyal sorumluluk projelerinde yer alması toplum tarafından başarılı sayılmakta tercih edilme sebebi olarak görülmektedir. Uluslararası faaliyet gösteren işletmelerin kurumsal sürdürülebilirlikle ilgili stratejilerine baktığımızda bu stratejileri ekonomik, çevresel ve toplumsal alanda gerçekleştirdikleri görülmektedir. İşletmelerin sosyal sorumluluk çalışmalarını bir çözüm üretme, ihtiyaçlara ve beklentilere cevap verme noktasında gerçekleştirmektedirler. İşletmelerin kurumsal sürdürülebilirlik hedeflerini bu çalışmalarla uyumlu hale getirmek için caba göstermektedirler. İşletmeler kurumsal sürdürülebilirlik vizyonlarını sosyal sorumluluk projeleriyle güçlü hale getirmektedirler.

İşletmeler artık sadece ekonomik sorumluluklarını yerine getirerek varlık göstermeleri yeterli olmamakla birlikte kurumsal sosyal sorumluluk günümüz işletmelerinin ve kurumsal sürdürülebilirliğin vazgeçilemez bir parçası olduğu görülmektedir.

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# Kamu ve Özel Sektör Dış Borcunun Ekonomik Büyüme Üzerine Etkisi: Türkiye için Ampirik Bir Çalışma

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**Özet:** Dış borçlanma az gelişmiş ve gelişmekte olan ülkelerin başvurduğu başlıca finansman kaynaklarından biridir. Bu kaynağa başvurulduğu ölçüde ülke ekonomileri büyüme, işsizlik, enflasyon açısından çeşitli etkilere maruz kalmaktadır. Bu çalışmanın amacı 2002Q4-2019Q4 dönemi için Türkiye'de dış borçların ekonomik büyüme üzerindeki etkisinin analiz edilmesidir. Çalışmada, ekonomik büyüme bağımlı değişken olarak yer alırken; kısa vadeli kamu dış borcu, uzun vadeli kamu dış borcu, kısa vadeli özel sektör dış borcu ve uzun vadeli özel sektör dış borçları bağımsız değişken olarak yer almıştır. Çalışmanın amacı doğrultusunda VAR (Vector Auto Regression) Analizi çerçevesinde varyans ayrıştırması, etki-tepki analizi ve nedensellik analizi teknikleri kullanılmıştır. Çalışma bulguları çalışmaya dahil olan bağımsız değişkenler bağlamında varyans ayrıştırması yönünden 10 yıllık dönemde ekonomik büyümede meydana gelen şokların en çok kısa vadeli kamu dış borçlarından kaynaklandığını göstermektedir. Etki tepki analizinin sonuçları ise varyans ayrıştırmasının sonuçlarını destekler nitelikte, ekonomik büyümenin en fazla tepkiyi kısa vadeli dış borçlardaki değişmelere gösterdiğini ortaya koymaktadır. Nedensellik analizinin sonuçları ise uzun vadeli özel sektör dış borcu ile ekonomik büyüme arasında çift yönlü; kısa vadeli kamu dış borcundan ekonomik büyümeye doğru ise tek yönlü bir nedensellik ilişkisinin varlığına işaret etmektedir.

**Anahtar Kelimeler:** Kamu dış borçları, özel sektör dış borçları, ekonomik büyüme, VAR Analizi

# Impact of Public and Private Sector Extrnal Debt on Economic Growth: An Empirical Study for Turkey

**Abstract:** External borrowing is one of the main sources of financing for less developed and developing countries. To the extent that this resource is used, the economies of the country are subjected to various effects in terms of growth, unemployment and inflation. The aim of this study is to analyze the impact of external debt on economic growth in Turkey for the period 2002Q4-2019Q4. In the study, economic growth was listed as dependent variable; short-term public external debt, long-term public external debt, short-term private sector external debt and long-term private sector external debt were included as independent variables. For the purpose of the study, variance decomposition, impact-response analysis and causality analysis techniques were used within the framework of VAR (Vector Auto Regression) Analysis. The study findings show that the shocks in economic growth over a 10-year period in terms of variance decomposition in the context of the independent variables included in the study were mostly due to short-term public external debt. The results of the impact response analysis support the results of variance decomposition and reveal that economic growth has shown the most reaction to changes in short-term external debt. The results of the causality analysis are two-way between long-term private sector external debt and economic growth; from short-term public external debt to economic growth, it indicates the existence of a one-way causality relationship.

**Keywords:** Public external debt, private sector external debt, economic growth, VAR Analysis

## 1. GİRİŞ

Ülkelerin kalkınma hızını ve ekonomik büyüme oranlarını yükseltebilmeleri yatırımların artışıyla mümkün olabilmektedir. Bu noktada tasarrufların yeterli düzeyde olmaması ülkeleri yabancı kaynak arayışına sürüklemekte ve ülkeler dış borçlanmaya başvurmaktadırlar. Artan kamu borçlarının sürekli ve yeterli bir büyümeye katkı vermesi durumunda bunun endişe edici olmadığından hareketle (Yıldırım vd.,2007:423) dış borç stoku özelinde de benzer bir kabulde bulunulabilir. Burada dış borçların hangi alanlarda kullanıldığı önem arz etmektedir. Nitekim dış borçların kârlı olmayan yatırımları veya tüketim malları ithalatını finanse edebilmek amacıyla kullanılması durumunda söz konusu borçların geri ödenememesi gibi bir sonucu ortaya çıkacak (Krugman vd, 2017:678) bu da ekonomiyi bir borç krizi ortamına sürükleyecektir.

Dış borçlanma iktisat yazınının daima önemli konuları arasında yer almıştır. Nitekim Smith, ünlü kitabı "Ulusların Zenginliği"nde "Kamu Borçları Üzerine" adı altında bir bölüme yer vermiş ve dönemin Büyük

Britanya'sıyla birlikte İspanya'nın, Fransa'nın, İtalya Cumhuriyetlerinin ve Birleşik Felemenk Eyaletleri'nin de borç içinde olduğunu ifade etmiştir (Smith, 2010: 1035-1039). Smith ayrıca Kral William ve Kraliçe Anne dönmelerine atıfla; yapılan borçlanmaların tıpkı günümüzde olduğu gibi uzun vadeli veya kısa vadeli olduğunu belirtmiştir (Smith, 2010:1045-1049). Her ne kadar kamu borçlanması o dönemde ülke içinden sağlanıyor gibi görünse de Felemenklilerin ve diğer yabancı ulusların elinde önemli miktarda kamu senedi olduğu da bir gerçektir ki bu da dış borçlanmanın varlığı hakkında bir fikir vermektedir. (Smith, 2010: 1058-1059).

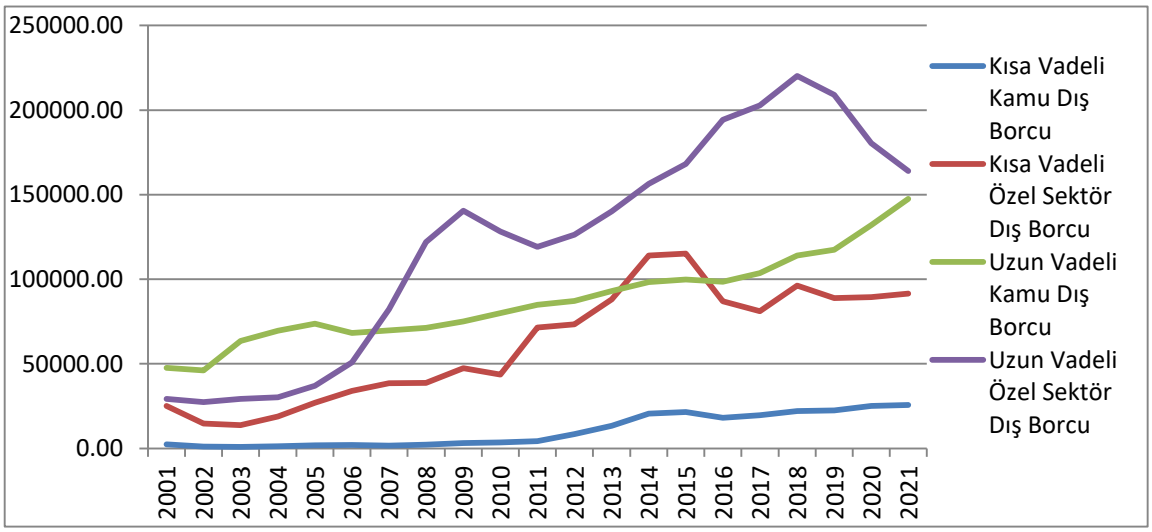
1929 bunalımına dönemin gelişmekte olan ülkelerinin bir kısmı (Avustralya, Kanada, ABD vs) sınai gelişimlerini, bir kısmı da (Brezilya, Peru, Kenya, Endonezya vs) doğal kaynakların çıkarılması ve büyük ölçekli tarımın finanse edilmesi için dış borçlanma yoluna gitmişlerdir. 2. Dünya savaşı sonrası dönem, gelişmekte olan ülkeler açısından borçlanmanın devam ettiği bir dönem olmuş ve 1980'lerde uluslararası borç krizleri ülkeler açısından önemli bir sorun haline gelmiştir (Krugman vd, 2017:677).

2000'li yıllarda özellikle gelişmekte olan ülkeler küreselleşmenin teknolojik ve ekonomik etkileri ve borçlanma araçlarının çeşitlenmesiyle dış borçlanmalarını artırarak devam ettirmişlerdir. Söz konusu dış borçlar sadece hükümetler için değil özel sektör kişi ve kuruluşları içinde geçerli olmaktadır. Dünya bankası verilerine göre 2019 yılı sonu itibariyle düşük ve orta gelirli ülkelerin borçları 8.1 Trilyon Amerikan Doları'nı bulmuştur. 2018 yılı sonu ve 2019 yılının ilk çeyreği için dış borç stoku açısından dünyanın en borçlu ülkeleri sıralamasında ilk sırada Çin yer alırken; Türkiye de en borçlu ilk on ülke arasında yer almıştır (Dünya Bankası, 2020:3).

Türkiye açısından 2000'li yılların en başından günümüze kadar geçen süreçte gerek kısa vadeli dış borçlar gerekse uzun vadeli dış borçlar genel olarak artış eğilimi göstermiştir. Kamu-özel sektör dış borçları bağlamında da benzer bir eğilimden söz edilebilir. Türkiye'nin vade ve sektör açısından dış borç kompozisyonu Grafik 1'de gösterilmiştir.

Grafik 1'e göre 2000-2020 döneminde uzun vadeli dış borçlar açısından 2007 yılına kadar kamu borçları özel sektör borçlarından fazla iken daha sonraki dönemlerin tamamında özel sektörün borcu kamu sektörünün borcundan daha yüksek olmuştur. Uzun vadeli borçların bileşimindeki bu değişimin 2008 küresel krizinin hemen öncesinde gerçekleşmiş olması göz ardı edilmemesi gereken bir husustur. Kısa vadeli dış borçlar açısından ise anılan dönemde daima özel sektörün borcu kamu sektörünün borcundan fazla olmuştur.

Grafik 1:Türkiye'nin Dış Borçlarının Vade ve Sektör Açısından Görünümü (2000-2020)

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Bu çalışmada 2002Q4-2019Q4 dönemi için Türkiye'nin vade ve sektör açısından dış borçlarının ekonomik büyüme üzerindeki etkisi analiz edilmiştir. Çalışmanın söz konusu dönem için özel sektör kısa ve uzun vadeli dış borçları ile kamu sektörü kısa ve uzun vadeli dış borçlarının bir arada ele alınması yönüyle literatüre katkı vermesi beklenmektedir.

## 2. LİTERATÜR

Dış borçlar ile ekonomik büyüme arasındaki ilişkinin araştırıldığı çalışmalara bakıldığında bu çalışmaların büyük ölçüde tek bir ülke için yapılan zaman serisi analizleri ve ülke grupları için yapılan panel analizler biçiminde olduğu görülmektedir. Tablo 1'de dış borçlar ve ekonomik büyüme ilişkisinin araştırıldığı çalışmalara ilişkin literatür özeti yer almaktadır.

Tablo 1: Literatür Özeti

| Yazar | Dönem ve Ülke | Yöntem | Sonuç |
|---|---|---|---|
| Altıntaş ve Alancıoğlu (2021) | 1991-2015 (Gelişmekte olan 16 ülke) | Westerlund-Edgerton ve Durbin-Haussman Panel Eşbütünleşme Yöntemleri, AMG Tahmincisi | Dış borçlar ve ekonomik büyüme arasında negatif yönlü bir ilişkinin varlığı ortaya konulmuştur. |
| Uslu (2021) | 1970-2016 (Türkiye) | ARDL Yöntemi, Toda Yamam | Dış borç stokundaki %1'lik artışın, milli geliri %0,13 arttırdığı sonucunun yanı sıra; dış borçlardan ekonomik büyüme ve beşeri sermayeye doğru tek yönlü nedensellik ilişkilerin varlığı tespit edilmiştir. |
| Akduğan ve Yıldız (2020) | 1970-2018 (Kırılgan Beşli: Brezilya, Endonezya, Hindistan, Güney Afrika, Türkiye) | VAR Modeli, Granger Nedensellik Analizi, Etki-Tepki Analizi | Endonezya ve Hindistan için dış borç stoku ile GSYİH arasında anlamlı ilişkiler bulunamamışken; Türkiye ve Güney Afrika'da dış borç stokundan GSYİH'ye doğru tek yönlü bir nedensellik ilişkisinin yanı sıra dış borçların ekonomik büyümeyi olumu etkilediği bulgusuna varılmıştır. Brezilya için ise dış borç stoku ile GSYİH arasında çift yönlü nedensellik ilişkisinin varlığı tespit edilmiştir. |
| Cebeci Mazlum (2020) | 1990-2016 (Latin Amerika Ülkeleri) | Emirmahmutoğlu ve Köse Panel Nedensellik Yöntemi | Guyana ve Peru için ekonomik büyümeden dış borçlara doğru; Kostarika, Honduras ve Meksika için dış borçlardan ekonomik büyümeye doğru tek yönlü; El Salvador ve Panama içinse dış borçlar ve ekonomik büyüme arasında çift yönlü nedensellik ilişkisi tespit edilmiştir. |
| Hotunluoğlu ve Yavuzer (2020) | 2000:Q1-2019Q3 (Türkiye) | Engle-Granger Eşbütünleşme Yöntemi | Dış borçlar ile ekonomik büyüme arasında pozitif yönlü bir ilişkinin varlığının yanı sıra dış borçlarda meydana gelen %1'lik bir değişmenin ekonomik büyümeye %1,95 oranında etki ettiği bulgusu elde edilmiştir. |
| Koyuncu ve Demirhan (2020) | 1970-2015 (Brezilya) | ARDL Sınır Testi | Dış borçlar ile ekonomik büyüme arasında uzun dönemli bir ilişkinin varlığına karşın, dış borçların |

| | | | |
|---|---|---|---|
| | | | ekonomik büyüme üzerinde olumsuz bir etkiye sahip olduğu sonucuna varılmıştır. |
| Qureshi ve Liaqat (2020) | 1990-2015 (Gelir düzeylerine göre sınıflandırılmış olan 123 Ülke) | GMM Bağlamında Panel VAR Modeli | Tüm gelir gruplarında kamu dış borcunun ekonomik büyümeyi olumsuz etkilediği bununla birlikte özel dış borç ile ekonomik büyüme arasında anlamlı ilişkiler olmadığı tespit edilmiştir. Çalışmadan çıkan bir diğer sonuç tasarruf ve yatırımların, dış borçların ekonomik büyüme üzerindeki etkisinde başlıca kanallar olduğudur. |
| Gövdeli (2019) | 1970-2016 (Türkiye) | ARDL Sınır Testi Yöntemi | Dış borçların ekonomik büyümeyi olumlu etkilediği, buna karşın dışa açıklığın ekonomik büyümeyi negatif etkilediği sonucu elde edilmiştir. |
| Güneş (2019) | 1995-2016 (Az gelişmiş ve gelişmekte olan 22 ülke) | Panel Eşbütünleşme ve Granger Nedensellik Analizi, FMOLS ve DOLS Yöntemleri | Ekonomik büyümeden dış borçlara doğru tek yönlü bir nedensellik ilişkisi tespit edilmiştir. Öte yandan FMOLS testine göre ekonomik büyümedeki 1 birimlik artış dış borçları 0,849 birim arttırırken, DOLS yöntemine dış borçlardaki bu artış 0,802 birim olmaktadır. |
| Onafowora ve Owoye (2019) | 1970-2014 (Nijerya) | VAR Modeli, etki tepki analizi | Dış borç şoklarının ekonomik büyüme üzerinde kalıcı olumsuz etkileri olduğu tespit edilmiştir. |
| Mercan ve Ergen (2018) | 1990-2017 (Türkiye) | VAR Modeli, Etki Tepki Analizi, Granger Nedensellik Testi | Ekonomik büyümeden dış borçlara doğru bir nedensellik ilişkisinin varlığının yanı sıra ekonomik büyümede meydana gelen bir şoka karşılık dış borçların ikinci dönemde negatif bir tepki verdiği bulguları elde edilmiştir. |
| Yıldız (2018) | 2002Q1-2018Q1 | VAR Analizi Granger Nedensellik Testi | Özel sektörün uzun vadeli dış borcu ile ekonomik büyüme arasında çift yönlü bir nedensellik ilişkisinin varlığına karşın; uzun vadeli kamu dış borcu ile ekonomik büyüme arasında bir nedensellik ilişkisinin bulunmadığı sonucuna ulaşılmıştır. |
| Bittencourt (2015) | 1970-2007 (Ekvador, Arjantin, Brezilya, Bolivya, Şili,Peru, Uruguay Guayana ve Paraguay) | Dinamik Panel Zaman Serisi (En Küçük Kareler ve Sabit Etkiler Modeli) | Ekonomik büyümenin borç oranlarını düşürmekte olduğu sonucuna ulaşılmıştır. Çalışmadan çıkan bir diğer sonuç ticarete açıklık, likit yükümlülüler oranı ve enflasyon oranı değişkenlerinin anlamlılık ve teorik beklentilere uyumluluk açısından tatmin edici |

| | | | |
|---|---|---|---|
| | | | olmadığıdır. |
| Tanna, Li ve De Vita (2017) | 1984-2010 (39 Gelişmekte olan ülke) | Hansen Panel Eşik Modeli | Doğrudan yabancı yatırımların büyüme üzerindeki etkisinin dış borçlar dolayısıyla sınırlı kaldığı ortaya konulmuştur. |
| Kutlu ve Yurttagüler (2016) | 1998:01-2014:02 (Türkiye) | Granger Nedensellik Analizi | Dış borçlardan ekonomik büyümeye tek yönlü bir nedensellik ilişkisi varlığı bulgusu elde edilmiştir. |
| Uysal, Özer ve Mucuk (2009) | 1965-2007 (Türkiye) | VAR Modeli, Granger Nedensellik Analizi | Dış borçların gerek kısa gerekse uzun dönemde ekonomi büyümeyi olumsuz etkilediği sonucuna ulaşılmıştır. |

## 3. VERİ SETİ VE YÖNTEM

Çalışmanın ampirik kısmına yer verilen bu bölümde veri seti başlığı altında değişkenler ve değişkenlere ait verilerin kaynağı hakkında bilgi verilmiş ve sonrasında yapılan analizin bulgularını detaylı bir biçimde içeren yöntem kısmına geçilmiştir.

### 3.1. Veri Seti

Türkiye'nin 2002Q4-2019Q4 döneminde dış borçlarla ekonomik büyüme arasındaki ilişkisinin VAR (Vector Auto Regression) yöntemiyle ampirik olarak araştırıldığı bu çalışmada çeyreklik (3'er aylık) veriler kullanılmıştır. Analizin yapılmasında EViews 11 paket programından yararlanılmış olup çalışmada kullanılan veriler Tablo 2'de gösterilmiştir.

Tablo 2: Veri Seti

| Değişkenler | Verilerin Kaynağı- Kaynaktaki Kod Numarası |
|---|---|
| GSYIH: Ekonomik Büyüme | OECD. Stat |
| LKVK:Kısa Vadeli Kamu Dış Borcu | TCMB EVDS (Elektronik Veri Dağıtım Sistemi)-TP.DB.B03 |
| LKVO:Kısa Vadeli Özel Sektör Dış Borcu | TCMB EVDS (Elektronik Veri Dağıtım Sistemi)-TP.DB.B15 |
| LUVK:Uzun Vadeli Kamu Dış Borcu | TCMB EVDS (Elektronik Veri Dağıtım Sistemi)-TP.DB.B21 |
| LUVO:Uzun Vadeli Özel Sektör Dış Borcu | TCMB EVDS (Elektronik Veri Dağıtım Sistemi)-TP.DB.B33 |

Tablo 2'de yer alan değişkenlerden GSYIH değişkeni analizde bağımlı değişken olarak yer alırken; diğer değişkenler bağımsız değişken olarak yer almıştır. Bağımsız değişkenler analize doğal logaritmaları alınmak suretiyle dahil edilmiştir.

### 3.2. Yöntem

Çalışmada ilk olarak değişkenlerin durağanlık yapıları ADF (Augmented Dickey-Fuller) birim kök testi ile incelenmiştir. Daha sonra VAR analizi çerçevesinde gecikme uzunlukları saptandıktan sonra VAR modelinin istikrarlı ve sağlıklı bir biçimde kurulup kurulmadığının görülebilmesi adına AR polinom ters kökleri incelenmiş ve Jarque-Bera normallik testi, otokorelasyon LM testi, değişen varyans için de White testi yapılmıştır. Daha sonra çalışmanın odak noktasını oluşturan varyans ayrıştırması, etki tepki analizi ve nedensellik testleriyle çalışmanın ampirik kısmı tamamlanmıştır.

#### 3.2.1. Birim Kök Testleri ve Gecikme Uzunluğunun Belirlenmesi

Birim kök testi yapılmadan önce sabit terimin ve trendin varlığını araştırmak amacıyla değişkenlerin grafiği incelenmiştir. Bu inceleme sonrasında sabit terimli ve trendli modelde ADF birim kök testi yapılmıştır. ADF birim kök testi sonuçları Tablo 3'te yer almaktadır.

Tablo 3:ADF Birim Kök Testi Sonuçları

| Değişkenler | Düzey Değerleri | | 1. Fark Değerleri | |
|---|---|---|---|---|
| | ADF t- İstatistiği | Olasılık Değeri | ADF t-İstatistiği | Olasılık Değeri |
| GSYIH | -7.318664 | 0.0000 | - | - |
| LKVK | -1.735276 | 0.7246 | -8.216332 | 0.0000 |
| LKVO | -1.447445 | 0.8376 | -5.392352 | 0.0000 |
| LUVK | -2.331666 | 0.4114 | -6.727664 | 0.0000 |
| LUVO | -1.188322 | 0.9046 | -3.071370 | 0.0026 |

Birim kök testi sonuçlarına göre GSYIH değişkeninin ADF t- istatistiği ve olasılık değerleri göz önüne alındığında; düzeyde birim kök içermediği yani durağan olduğu görülmektedir. Oysa analize dahil olan diğer tüm değişkenlerin olasılık değeri %5'ten yüksek olduğu için düzeyde birim kök içerdiği buna karşın birinci farklarında durağan hale geldikleri, olasılık değerlerinin %5'ten az olmasından anlaşılmaktadır. Buradan elde edilen bulgu GSYIH değişkeninin I(0) yani düzeyde bütünleşik; LKVK, LKVO, LUVK ve LUVO değişkenlerinin ise I(1) yani birinci farkında bütünleşik olduğudur.

VAR analizine devam edebilmek için değişkenlerin farkı alınarak optimal gecikme uzunluğu 6 gecikmede araştırılmıştır. Tablo 4, çeşitli bilgi kriterleri bağlamında gecikme uzunluklarını göstermektedir.

Tablo 4:VAR Analizi İçin Gecikme Uzunluğu

| Gecikme Sayısı | LR | FPE | AIC | SC | HQ |
|---|---|---|---|---|---|
| 0 | NA | 1.00e-09 | -6.530823 | -6.360732* | -6.463925 |
| 1 | 67.19286 | 6.84e-10 | -6.915994 | -5.895543 | -6.514610* |
| 2 | 53.53890 | 5.49e-10 | -7.151937 | -5.280947 | -6.416067 |
| 3 | 49.35272* | 4.41e-10* | -7.408344* | -4.686903 | -6.337988 |
| 4 | 17.56862 | 6.93e-10 | -7.032994 | -3.461103 | -5.628152 |
| 5 | 33.02257 | 7.14e-10 | -7.131845 | -2.709504 | -5.392517 |
| 6 | 23.47534 | 9.32e-10 | -7.071799 | -1.799007 | -4.997984 |

Tablo 4'te görüldüğü üzere gecikme uzunluğunun Schwarz (SC) bilgi kriterine göre 0, Hannan-Quinn (HQ) bilgi kriterine göre 1 ve Akaike (AIC) bilgi kriterine göre 3 olduğu görülmektedir. SC ve HQ bilgi kriterlerinin seçilmesi durumunda temel varsayımların sağlanması mümkün olmadığından optimal gecikme uzunluğu AIC bilgi kriteri çerçevesinde 3 olarak belirlenmiştir.

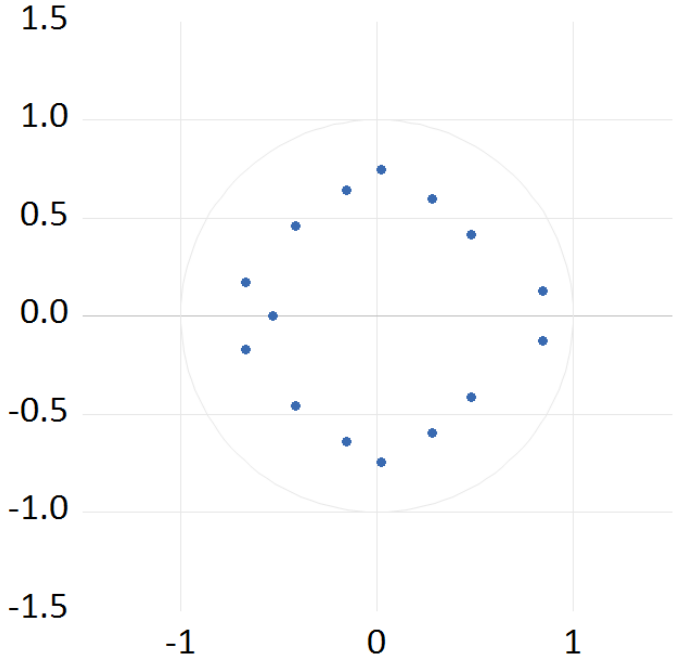
### 3.2.2. Ekonometrik Problem Testleri

Zaman serisi analizlerinde olası sahte regresyon sorunun varlığını test edebilmek amacıyla bazı ekonometrik testler yapılmaktadır. Bu bağlamda çalışmada istikrarlılık, normallik, değişen varyans ve otokorelasyon testlerine yer verilmiştir.

#### 3.2.2.1. İstikrarlılık Testi

Kurulan VAR modeli ile ilgili olarak optimal gecikme uzunluğunun belirlenmesinden sonra AR polinom ters kökleri incelenmiştir. Şekil 1'de görüldüğü üzere tüm noktalar çemberin içinde olduğu için modelin istikrarlı olduğu söylenir.

Şekil 1:AR Karakteristik Polinomunun Ters Kökleri




#### 3.2.2.2. Normallik Testi

Modelin normalliğinin test edilmesi amacıyla Jarque-Bera testi yapılmıştır. Bu testle ilgili olarak kurulan hipotez şu şekildedir:

$$H_0: Hata\ terimleri\ normal\ dağılım\ göstermektedir.$$
$$H_1: Hata\ terimleri\ normal\ dağılım\ göstermemektedir.$$

Jarque-Bera normallik test sonuçları tablo 5'te gösterilmiştir. Tabloda yer alan bileşenlerin her birinin olasılık değerleri %5'ten büyük olduğu için $H_0$ hipotezi kabul edilir. Yani hata terimleri normal dağılmaktadır.

Tablo 5: Jarque-Bera Normallik Test Sonuçları

| Bileşenler | Jarque-Bera | df | Olasılık Değeri |
|---|---|---|---|
| 1 | 2.293420 | 2 | 0.3117 |
| 2 | 1.127916 | 2 | 0.5690 |
| 3 | 1.380799 | 2 | 0.5014 |
| 4 | 3.753517 | 2 | 0.1531 |
| 5 | 0.884661 | 2 | 0.6425 |

#### 3.2.2.3. Değişen Varyans Testi

Klâsik doğrusal regresyon modelinin temel varsayımlarından biri de hata terimlerinin sabit varyanslı olmasıdır (Gujarati, 2001:61). Bu varsayıma göre bağımsız değişkendeki değişmeler hata terimi varyansını değiştirmemektedir. Başka bir ifadeyle hata terimleri ile bağımsız değişkenler arasında bir ilişki bulunmamaktadır (Tarı vd 2019:169). Değişen varyansın varlığına ilişkin hipotez aşağıdaki gibi olup test sonucu Tablo 6'da gösterilmiştir.

$$H_0: Değişen\ Varyans\ Yoktur.$$
$$H_1: Değişen\ Varyans\ Vardır.$$

Tablo 6:Değişen Varyans Test Sonucu

| Ki-Kare | df | Olasılık Değeri |
|---|---|---|
| 451.7944 | 450 | 0.4673 |

Tablo 6'daki değerlere göre modelin toplu olarak değişen varyansa sahip olmadığı olasılık değeri olan 0,4673'ün %5'ten büyük olmasından anlaşılmaktadır.

#### 3.2.2.4. Otokorelasyon Testi

VAR modeli ile ilgili olarak otokorelasyonun varlığı LM Testi ile tespit edilebilmektedir. Sonuçları Tablo 7'de yer alan bu testle ilgili hipotez şu şekilde oluşturulmuştur:

$$H_0: P_1 = P_2 = P_3 = P_4 = 0\ (Otokorelasyon\ yoktur.)$$
$$H_1: P_1 \neq P_2 \neq P_3 \neq P_4 \neq 0\ (Otokorelasyon\ vardır.)$$

Tablo 7: Otokorelasyon LM Test Sonuçları

| Gecikme | LM Test İstatistiği | Olasılık Değeri |
|---|---|---|
| 1 | 19.96828 | 0.7485 |
| 2 | 31.14138 | 0.1844 |
| 3 | 25.09648 | 0.4570 |
| 4 | 31.85102 | 0.1624 |

Tablo 7'de yer alan LM test istatistik sonuçlarının olasılık değerlerinin tamamı %5'ten büyük olduğundan $H_0$ hipotezi kabul edilir. Yani modelde otokorelasyon sorunu yoktur.

### 3.2.3. Varyans Ayrıştırması

Varyans ayrıştırması değişkenlerde meydana gelen şoklardan hangisinin; kompozisyonu çıkarılan değişkeni daha çok etkilediğinin belirlenmesine olanak verir. GSYIH değişkeninin kompozisyonunu, Cholesky sıralanmasına göre 10 yıllık bir dönemi kapsayan varyans ayrıştırmasının sonuçları Tablo 8'de yer almaktadır.

Tablo 8: Varyans Ayrıştırması Sonuçları (GSYIH)

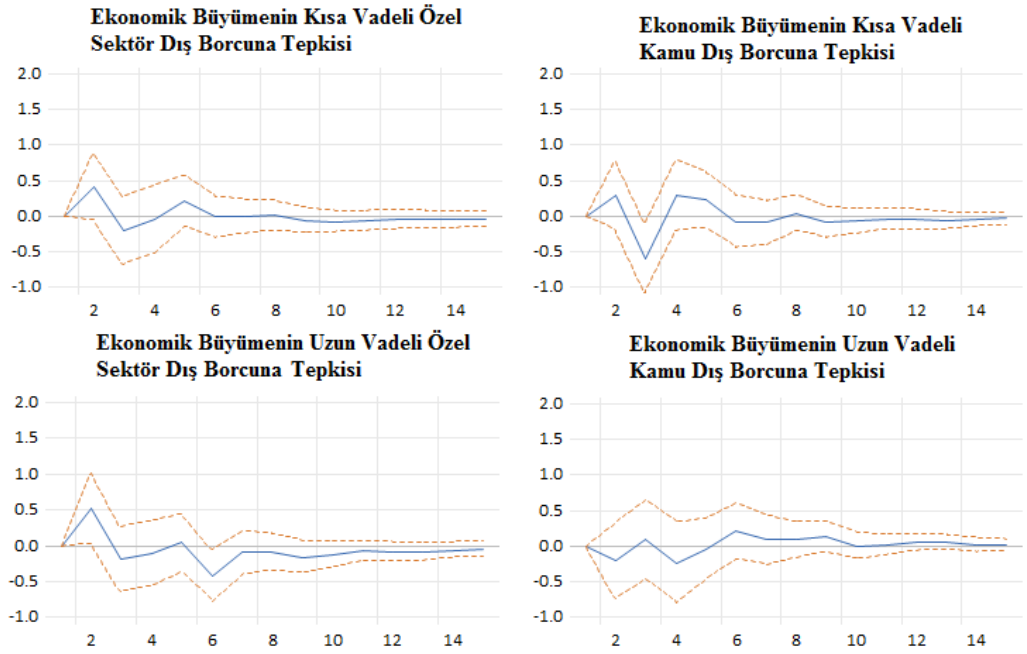
| Dönem | Std. Hata | GSYIH | LKVK | LKVO | LUVK | LUVO |
|---|---|---|---|---|---|---|
| 1 | 1.776271 | 100.0000 | 0.000000 | 0.000000 | 0.000000 | 0.000000 |
| 2 | 1.961128 | 85.55608 | 2.114979 | 4.343449 | 1.033199 | 6.952295 |
| 3 | 2.089160 | 77.35002 | 9.830885 | 4.767209 | 1.125010 | 6.926874 |
| 4 | 2.128038 | 74.78341 | 11.40085 | 4.625750 | 2.278248 | 6.911744 |
| 5 | 2.153099 | 73.18778 | 12.25345 | 5.516714 | 2.249766 | 6.792283 |
| 6 | 2.226785 | 70.36240 | 11.56664 | 5.158662 | 3.046574 | 9.865722 |
| 7 | 2.237149 | 70.13911 | 11.60273 | 5.111044 | 3.191778 | 9.955340 |
| 8 | 2.241473 | 69.93472 | 11.59590 | 5.092671 | 3.337772 | 10.03893 |
| 9 | 2.256807 | 69.24429 | 11.55530 | 5.103296 | 3.676361 | 10.42076 |
| 10 | 2.267081 | 69.05142 | 11.54102 | 5.159204 | 3.643130 | 10.60522 |

Tablo 8'e göre ekonomik büyüme (GSYIH) değişkeni 10 yıllık dönemde %69.05 oranında kendisinde meydana gelen şoklardan etkilenirken; bağımsız değişkenler bağlamında şokların etkisi en fazla kısa vadeli kamu dış borcu (LKVK) değişkeniyle açıklanmaktadır. Nitekim GSYIH'de meydana gelen şokların %11.54'ü LKVK değişkeni ile açıklanmaktadır. Diğer değişkenlerin GSYIH'de meydana gelen şokları açıklama gücü ise uzun vadeli özel sektör dış borcu (LUVO) değişkeni için %10.61; kısa vadeli özel sektör dış borcu (LKVO) değişkeni için %5.16 ve uzun vadeli kamu dış borcu için %3.64'tür.

### 3.2.4. Etki Tepki Analizi

Etki tepki analizi bir değişkende meydana gelen bir şokun diğer bir değişkende nasıl tepki verdiğinin ve verilen şok sonrasında etkilenen değişkenin kendi değerleri bağlamında kaç dönemde ortalamaya yaklaşacağının görülmesini sağlayan bir analizdir. Kısa ve uzun vadeli kamu ve özel sektör dış borçlarında meydana gelen şoklara ekonomik büyümenin gösterdiği tepki Grafik 2'de gösterilmiştir.

Grafik 2: Ekonomik Büyümenin (GSYIH) Dış Borçlara Tepkisi




Yapılan etki tepki analizi çerçevesinde ekonomik büyümenin değişkenler arasında en fazla tepkiyi kısa vadeli kamu dış borcunda meydana gelen şoklara verdiği görülmektedir.

### 3.2.5. Nedensellik Analizi

Değişkenler arasında nedensellik ilişkisinin varlığının araştırılması için Granger Nedensellik/Wald Testi yapılmış ve analiz sonuçları Tablo 9'da yer almaktadır.

Tablo 9: VAR İkili Granger Nedensellik/Wald Testi Sonuçları[1]

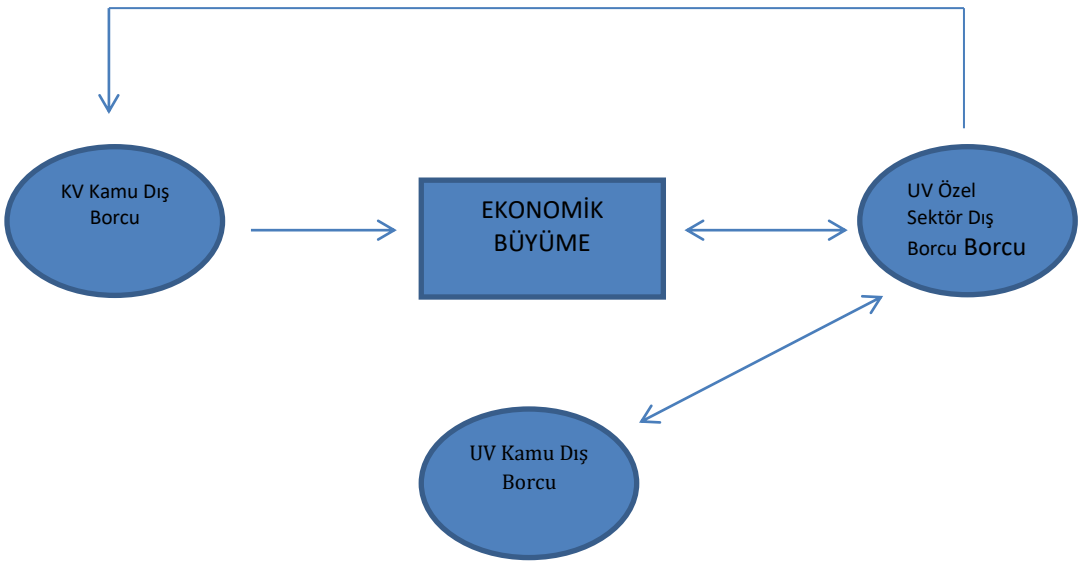
| Bağımlı Değişken | Bağımsız Değişkenler | | | | |
|---|---|---|---|---|---|
| | GSYIH | LKVK | LKVO | LUVK | LUVO |
| GSYIH | - | 11.23200 (0.0105)** | 3.673767 (0.2989) | 1.149905 (0.7650) | 8.643407 (0.0344)** |
| LKVK | 7.243958 (0.0645) | - | 3.854911 (0.2776) | 2.069918 (0.5580) | 10.95584 (0.0120)** |
| LKVO | 6.781645 (0.0792) | 7.462532 (0.0585) | - | 6.133363 (0.1053) | 0.903027 (0.8247) |
| LUVK | 7.088581 (0.0691) | 3.906522 (0.2717) | 1.778909 (0.6195) | - | 12.75381 (0.0052)*** |
| LUVO | 15.55287 (0.0014)*** | 5.458996 (0.1411) | 2.935495 (0.4017) | 15.88212 (0.0012)*** | - |

Nedensellik analizi sonuçlarına göre bağımsız değişkenlerden kısa vadeli kamu dış borcu (LKVK) ile uzun vadeli özel sektör dış borcu (LUVO) ekonomik büyümenin (GSYIH) nedenidir. Bunun yanında ekonomik büyüme (GSYIH) de uzun vadeli özel sektör dış borcunu (LUVO) etkilemektedir. Nedensellik analizinden elde edilen bir diğer bulgu da uzun vadeli özel sektör dış borcundan (LUVO); hem kısa vadeli kamu dış

[1] *** ve ** simgeleri sırasıyla %1 ve %5 olasılık düzeyindeki anlamlılığı ifade etmektedir.

borcuna (LKVK) hem de uzun vadeli kamu dış borcuna (LUVK) doğru bir nedensellik ilişkisinin varlığıdır. Öte yandan uzun vadeli kamu dış borçları (LUVK) da özel sektörün uzun vadeli dış borçlarını (LUVO) etkilediği analizden çıkan bir başka sonuçtur. Değişkenler arasındaki nedensellik ilişkisi Şekil 2'de özetlenmiştir.

Şekil 2: Nedensellik İlişkilerinin Şematik Görünümü




## 4. SONUÇ

Uluslararası ekonomik ilişkilerin mal ve para akımları bağlamında oldukça gelişkin bir yapıda olduğu günümüz dünyasında dış borçlar bir finansman kaynağı olarak ülkelerin sıklıkla başvurduğu önemli bir araç olmuştur. Bu araç sadece kamu sektörü eliyle değil aynı zamanda özel sektörce de kullanılmaktadır. Dış borçların üretime dönük yatırımlarda kullanılması ile verimsiz alanlarda kullanılması birbirinden farklı sonuçlara yol açmaktadır.

Bu çalışmada Türkiye'nin 2002Q4-2019Q4 döneminde dış borçlarının ekonomik büyüme üzerine etkileri hem dış borca başvuran sektör hem de dış borcun vadesi açısından VAR yöntemi kullanılarak araştırılmıştır. Çalışmadan elde edilen temel sonuçların başında varyans ayrıştırması tekniğine göre, analize dahil edilen değişkenler arasında ekonomik büyüme üzerinde kısa vadeli kamu dış borcunda meydana gelen şokların en fazla etkiye sahip olduğu gelmektedir. Bu sonuç çalışmada kullanılan bir diğer teknik olan etki tepki analizince de desteklenmektedir. Nitekim bu teknik de ekonomik büyümenin en fazla tepkiyi kısa vadeli kamu dış borcuna verdiği sonucunu ortaya koymuştur.

Yapılan nedensellik analizi sonuçları kısa vadeli kamu dış borcu ile uzun vadeli özel sektör dış borcundan ekonomik büyümeye doğru bir nedenselliğin varlığını göstermektedir. Aynı zamanda ekonomik büyüme de uzun vadeli özel sektör dış borcunun bir nedenidir. Öte yandan nedensellik analizi özel sektörün uzun vadeli dış borcunun kamu sektörü kısa vadeli dış borcunun da bir nedeni olduğunu ortaya koymaktadır. Uzun vadeli borçlar kamu ve özel sektör dış borçlarının birbirleriyle çift yönlü nedensellik ilişkilerinin varlığı analizin ortaya koyduğu bir diğer sonuçtur. Bu sonuçlar özel sektörün uzun vadeli dış borçlarının ekonomik büyümeyle çift yönlü nedensellik ilişkisinin varlığı ve kamu sektörünün uzun vadeli dış borçları ile ekonomik büyüme arasında herhangi bir nedensellik ilişkisinin olmadığı bulguları yönünden Yıldız (2018) çalışmasındaki sonuçlarla paralellik göstermektedir.

Çalışmadan elde edilen bu bulgular Türkiye'nin dış kaynak kullanımındaki tercihini kamu sektörünün kısa vadeli borçlanmasından yana kullanılmasının dış borç krizlerine yol açabileceğini düşündürmektedir. Öte yandan kısa vadeli finansman kaynaklarıyla reel yatırımların gerçekleştirilmesinin finansman yönetiminin

mantığı açısından kusurlu olabileceği göz önünde bulundurulmalıdır. Bu bağlamda orta vadede ekonominin kendi kendini finanse edebileceği ve gücünü üretimden alacağı bir planlamanın hayata geçirilmesi ekonomik büyümede istikrarın sağlanmasında önemli bir anahtar olabilecektir.

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# İnternetin Vergi Gelirleri Üzerindeki Etkisi*

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**Özet:** Teknolojinin gelişmesi ve internet ağının yaygınlaşması ile birlikte insanlar da bu değişime hızlı bir şekilde uyum sağlamaya başladılar. Devletler de var oluşlarını sürdürebilmek amacıyla bu değişime kendileri de uyum sağlamaktadır. Makalemizde ise bu teknolojinin, vergi gelirleri ile alakasını ve vergi tahsilatlarına etkisi incelenmiştir. Yıllar itibarı ile artan vergi gelirlerine bakılıp aynı şekilde internet bağlantısının da gelişip gelişmediği incelenmiştir.
**Anahtar Kelimeler:** İnternet, Vergi, Vergi Gelirleri, Teknoloji

# Internet's Effect On Tax Revenues

**Abstract:** With the development of technology and the spread of the internet network in the world, people have started to adapt quickly to this change. In our article, the relevance of this technology to tax revenues and its effect on tax collections is examined. By looking at the tax revenues that have increased over the years, it has been checked whether the internet connection has developed in the same way.

**Key Words:** Internet, Tax, Tax Revenue, Tecnology

## 1.GİRİŞ

Dünya üzerindeki bilgisayarların birbirlerine bağlanması neticesinde ortaya çıkan internet, hiçbir sınırı olmayan, uluslararası bir bilgisayar ve bilgi iletişimini sağlayan ağ olarak açıklanmaktadır. Ve internetin dünya üzerinde başka bir benzeri mevcut değildir. İnternet üzerinden yapılan işlemleri başka bir ağ üzerinden gerçekleştirme imkanı söz konusu değildir (İnan, 2001:7).

İnternetin sağladığı kolaylık ve her an her yerden erişimin sağlanabilme özelliği sayesinde bireyler ve firmalar ticari işlerini bu platform üzerinden yerine getirmeye başlamıştır. Özellikle son 10 yıllık dönemde internette yaşanan bu gelişme ile fiziki ortamda olan her şeyin neredeyse tamamı sanal ortama taşınarak bireylerin kullanımına sunulmuştur (Yumuşak, 2000:4).

İnsanlar için bir tanışma, sohbet etme, müzik dinlenip eğlenme, alışveriş yapma, film izleme, bir şeyler satın alma, bilgi arama gibi çok işlevsel olarak kullanılan internet ortamı, dünya çapında bir çok sayıda işletmenin ve tüketicinin yer aldığı bir platformdur. Tüm bunlar internetin devlet eliyle de kullanılma zorunluluğunu doğurmuştur. Devletler internet sayesinde tüketicilerin ve şirketlerin internet kullanımların ve faaliyetlerini denetleme imkanı bulmuştur. Bunlarda toplumun sanayi toplumundan bilgi toplumuna geçişin bir göstergesi olarak karşımıza çıkmaktadır (Bektaş, 2004:34).

İnternetin son yıllardaki hızlı gelişimi ile birlikte bu gelişim bireylerin internet kullanım oranlarına da yansımaya başlamıştır. Bireyler artık günlük yaşamda yaptıkları çoğu alışkanlıklarını internet üzerinden yapmaya başlamıştır. Yani hayatımıza giren bu araç ile hayatın içerisinde bulunan her alanı etkilemeye başlamıştır (Karaca, 2006:17).

Yapmış olduğumuz bu çalışmada da internet kullanımının devletin gelirlerinden olan vergi gelirini nasıl etkilediğini, tablolar yardımı ile yorumlamaya çalışılmıştır.

## 2.İNTERNET KULLANIMININ VERGİ GELİRLERİNE ETKİSİ

Çağımızın bir teknoloji çağı olması, bilgi işlemlerin artık bilgisayarlar, telefonlar, tabletler gibi çeşitli teknolojik aletler ile yapılmasına olanak sağlamıştır. Öyle ki artık bu teknolojik aletler hayatın birçok yerinde kullanılmaya başlanmıştır. Tüm bu teknolojik aletleri birbirine bağlayan, dünya ile iletişimini sağlayan ise bir ağ bağlantısı yoluyla gerçekleştirilen internet teknolojisi olmuştur.

* Bu çalışma Kırıkkale Üniversitesi Maliye Bölümünde hazırlamış olduğum Y.Lisans Tezinden türetilmiştir.

## 3.İNTERNETİN TANIMI

İnterneti dünyadaki tüm bilgisayar ağlarının elektronik şebeke ağı ile birbirlerine bağlanması neticesinde ortaya çıkan, hiçbir sınırı ya da bir yöneticisi olmayan global bir bilgisayar ve bilgi iletişimini sağlayan ağ olarak ifade edebiliriz. Ayrıca internetin dünyada hiçbir benzeri olmayan bir sistem olduğu bilinmektedir. Yani buda demek oluyor ki internet üzerinden yaptığımız işlemlerin hiçbirini dünya üzerindeki başka bir sistemden yapmamız söz konusu değildir (Hotunoğlu, 2012:355).

Birden fazla bilgisayar sisteminin dünya çapında birbiri ile bağlantı kurduğu, günden güne büyümeye devam eden bir iletişim ağı olarak da interneti açıklayabiliriz. Çağın bir iletişim çağı olması sebebiyle internet günlük yaşamda da insanların fazlaca kullandığı bir sistem olmaya devam etmektedir. Birbirine ağ yoluyla bağlı olan bilgisayarlardan, insanların istediği zaman istediği yerden istedikleri bilgiye ulaşabilmeleri bunları saklayabilmeleri veya başka birileri ile kolayca paylaşabilmesi daha ucuz, hızlı yolla erişilebilmesi gibi nedenler internetin yaygınlaşmasını ve gelişmesini sağlayan unsurlardan birkaçı olmuştur (Kuşay, 2005:120).

İnternet terimini oluşturan sözcükler international ve network sözcüklerinin birleşimidir. Uluslararası çapta bir kullanılabilirliği mevcut olan internet ağı, birbiriyle sabit olarak bağ kurulmuş iletişim hızının yüksek olduğu bilgisayarlar vasıtasıyla ortaya çıkarılmıştır (Karaduman, 2002:58). Literatürdeki bir diğer tanıma göre ise internet yüz binlerce veri tabanı veya diğer çeşitli kaynaklar vasıtasıyla sağlanan bilgileri, dünyadaki diğer bütün kullanıcıların faydalanmasına imkan sağlayan bir sistem olarak açıklamıştır (Çelik, 2005:42).

## 4.İNTERNETİN ÖNEMİ

Dünyanın artık küresel bir köy haline gelmesiyle birlikte bunun oluşumuna da en büyük katkıyı sağlayan teknolojik gelişmeler hayatımızın yönünü belirlemeye başlamıştır. Eskiden mümkün olmayan dünya çapındaki bağlantılar internet sayesinde tüm kurum ve kuruluşlara hatta her bir bireye dünya ile daha kolay bağlantı kurabilme, işlerini kolay hale getirme, zahmetsiz bir şekilde bilgiye ulaşmayı, onları saklamayı kendine yarayacak şekilde kullanmayı mümkün kılmıştır. Tabi bu durum bireylerin ve kurumların bu değişime ayak uydurmasını zorunlu hale getirmiştir (Akınoğlu, 2002:13).

İnternetin servislerinden olan web insanların internet üzerinden erişmeye çalıştıkları belgelere, dokümanlara, resim, yazı, ses gibi birçok işlevi kolayca bulanabilmesini, ve bunu insanlara iletmeye yarayan bir araç olmuştur. Bu hizmetin ortaya çıkması için birden fazla yazılımın işlev gördüğü de bilinmektedir (Çelik, 2005:41).

İnternetin yukarıda bahsi geçen işlevlerinin yanı sıra ticaret açısından çok ciddi bir ağ potansiyeli ve dağıtım gücünün olduğunu bilmekteyiz. Günümüzde neredeyse ticari faaliyetle uğraşan tüm firmalar internetin tanıtım gücünü, müşteri potansiyelini keşfetmiş bunun sonucunda da elinde bulunan ürünleri internete entegre ederek doğrudan internet üzerinden müşterilerine ulaşmaya başlamıştır. Ve firmalar da ürünlerini artık internet satışına uygun şekilde tasarlama yoluna gitmiştir. Bu sayede firmalar en yüksek kar oranını yakalamaya çalışırken daha az maliyetle ürettikleri ürünleri müşterilerine tanıtma, satma, ulaştırma ve tüm bunların takibini kolayca yapabileceği bir sisteme kavuşmuştur. Ve bu gelişim internetin sadece ürün alım satımı yahut reklamı gibi olaylarla sınırlı kalmayıp diğer birçok alanda da insanların hayatını kolaylaştıracak şekilde kullanılması gerekliliğini ortaya çıkarmıştır (Kirli, 2014:5).

İnternet vasıtasıyla insanlar artık daha sık birbirleri ile iletişim kurmakta, kendilerini daha fazla ifade etmekte hatta keyfi zaman geçirme aracı olarak da interneti kullanmaktadır. Artık istedikleri zaman istedikleri yerden yorulmadan, dışarı çıkma gereksinimi hissetmeden sahip olduğu telefon, bilgisayar ya da tablet gibi çeşitli teknolojik aletler sayesinde bir tıkla her türlü alışverişini giderebilmekte, bankayla olan münasebetlerini bu sayede bankaya gitmeden kolayca gerçekleştirebilmekte, radyo yada televizyon gibi cihazlara ihtiyaç kalmadan onların işlevlerini de bu teknolojik araçlarla giderebilmektedir. Bunlar gibi birçok işi daha, insanlara kolayca yapabilme imkanı sunan internet insanoğlunun hayatın da artık vazgeçilmez bir platform olmuştur (İnan, 2001:7).

Günümüzde mevcut olan bilgi toplumu çağı bilgisayarların etkisiyle daha da hızlanmıştır. 90'lı yıllarla hayatımıza önemli ölçüde giriş yapan internet insanların siyasi, kültürel, ekonomik gibi birçok yönden etkileyen ve bunların yaygınlaşmasını sağlayan bir araç olmuştur. İnsanları bir şekilde katılıma teşvik

eden kendisiyle bir şekilde ilişki kurmasını sağlayan internetin interaktif olan yapısı gereği insanları geliştirici bir özelliğinin de olduğu bilinmektedir.

**5.İNTERNET KULLANIMININ VERGİ GELİRLERİ ÜZERİNE ETKİSİ**

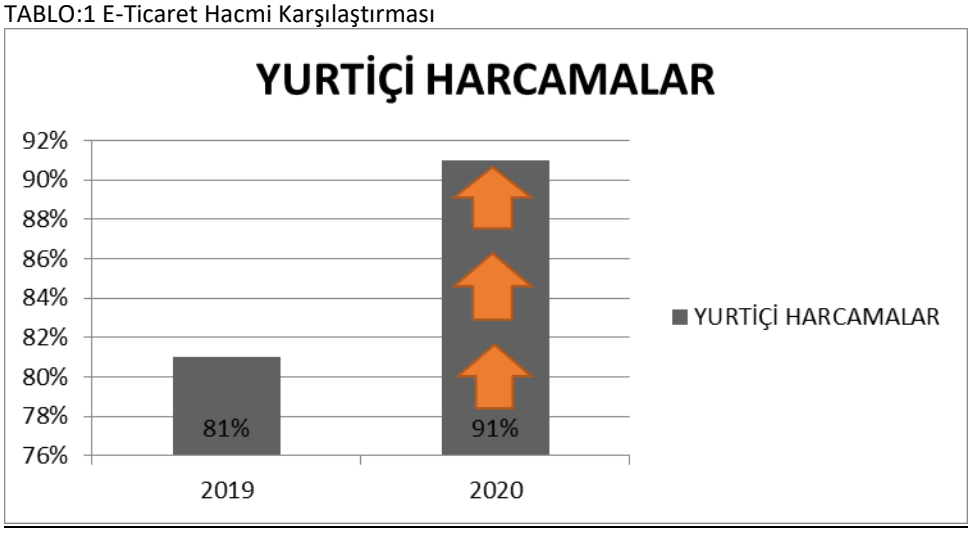
Teknolojinin gelişimi ile birlikte bilgi teknolojisinde de yaşanan gelişmeler sayesinde bilgisayarlar arası bağlantı kurmaya yarayan internet de hayatımızda büyük önem taşımaya başlamıştır. İnternetin insanlar arasında bilgi ve iletişim amacıyla kullanılması sonucu özel şirketler, kamu kurum ve kuruluşları ve bireyler arasında yeni bir platform ortaya çıkmıştır. Yapılan işlemler artık fiziksel ortamdan çıkıp sanal ortamlarda kendini göstermeye başlamıştır. İnternetin insanoğluna sağladığı en büyük kolaylıklardan biride oluşturulan bu sanal ortamlardır (İnan, 2000:10).

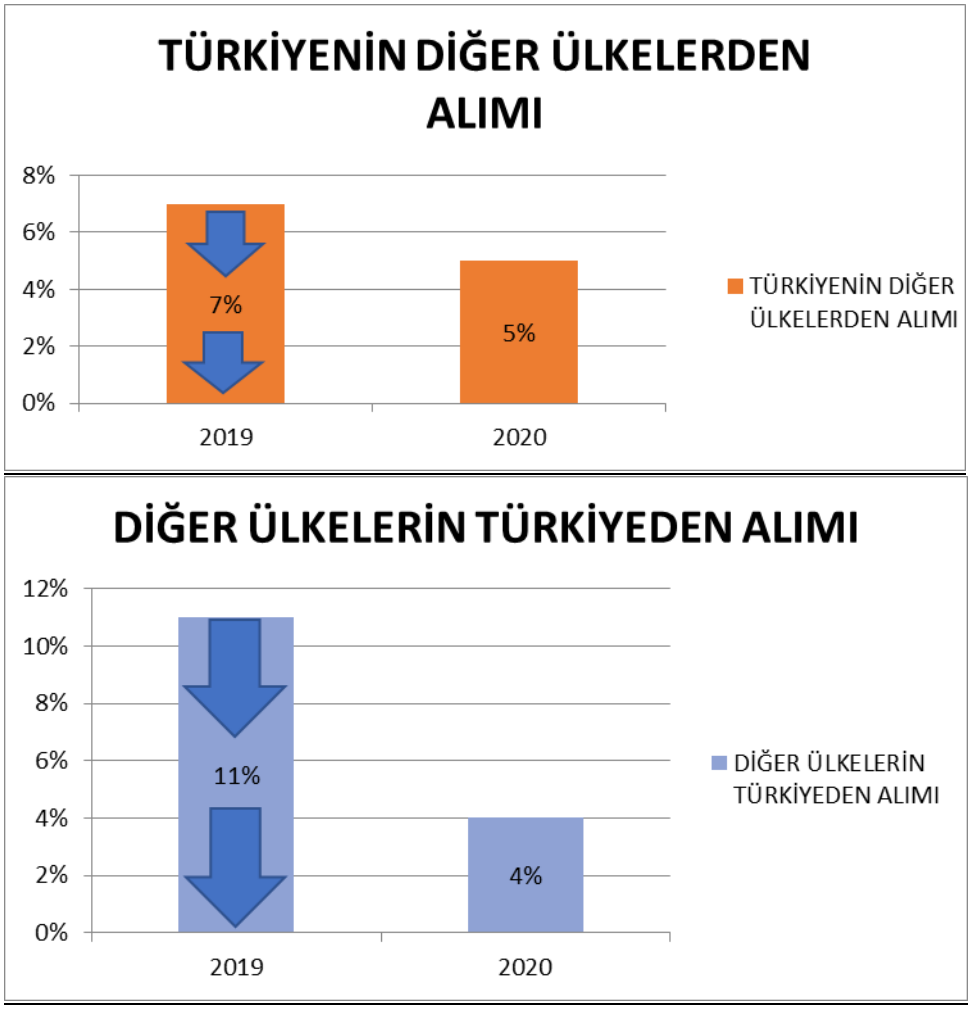
İnternetin bireyler açısından vergiye katkısına baktığımızda ise kişiler için kolaylaştırıcı olması bakımından önem arz etmektedir. Vatandaşlara göre vergi, devlet tarafından cebri olarak alınan bir ücret özelliği taşımasından ötürü kişilerin bu vergileri ödemedeki gönüllüğü devletin vergi gelirlerini artırmadaki en önemli kaynağı olacaktır. Bir ülkedeki bireyler vergi ödeme konusunda ne kadar bilinçli ve gönüllüyse buna paralel olarak da vergi gelirleri de o denli yüksek olarak toplanabilecektir. Bu sebeple de devlet bireylerin vergi ödeme arzusunu artırabilmek amacı ile vergisel süreci tüm vatandaşların kolayca anlayabileceği ve hızlı bir şekilde işlemlerini gerçekleştireceği bir ortamı hazırlamalıdır. Günümüzde de bu tezden yola çıkarak ülkeler, vergisel sürecin kolaylaşması, anlaşılması ve daha geniş kitlelere ulaşabilmek amacıyla interneti bir araç olarak kullanmaktadır (Karagül, 2013:122).

Günümüzde insanlar artık internet aracılığıyla ürün alıp ürün satabilmektedir. İnternetten yapılan bu ticaret daha geniş kitlelere hitap etmekte ve insanlar arası etkileşimi artırmaktadır. Ancak bu faaliyetler vergisel açıdan devletleri zor duruma sokmaktadır. Bunun sebebi de devletlerin internet aracılığıyla yapılan bu ticarete yapısal olarak vergisel tabanda hazır olmadığındandır. Devletler de gelişime teknik alt yapı ve yasal düzenlemelerle bu sürece kendilerini hazırlamaya başlamışlardır. 99'lu yılların başında 1 trilyonlarda olan e ticaret 2020 yılında 91 milyar civarında gerçekleşmiştir (Canpolat, 2001:24).

Özellikle 2019 yılında başlayan Covid19 salgını ve devletlerin aldığı önlemlerin etkisiyle kişilerin internette geçirdiği zaman artmış ve ticaret de büyük oranda internet üzerinden gerçekleşmeye başlamıştır.

TABLO:1 E-Ticaret Hacmi Karşılaştırması

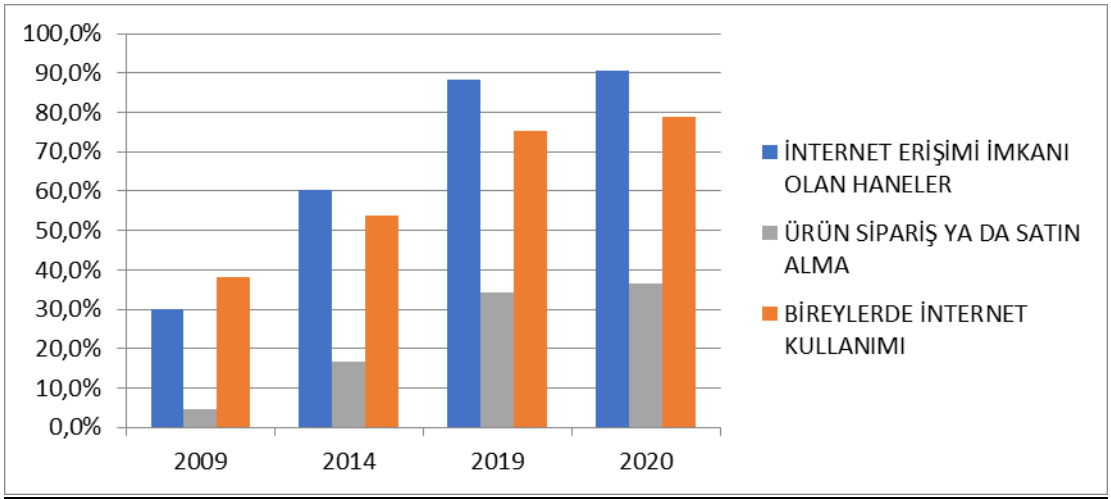





Kaynak: TİCARET BAKANLIĞI (https://www.eticaret.gov.tr/).

Tablo-1 de 2019 ve 2020 yıllarına ait e-ticaret hacmini görmekteyiz. Buradaki artışın en önemli sebebi yukarıda da değindiğimiz gibi 2020 yılında yaşanan Covid19 salgınıdır. İnsanların yasaklar nedeni ile evde kalmaları, sınırlamalar gereği alışveriş merkezlerinin kapalı olmaları gibi nedenlerden ötürü e-ticaret hacminde %64 oranında bir artış yaşandığı gözlemlenmektedir.

TABLO-2: 2009-2020 YILLAR İTİBARI İLE İNTERNET KULLANIMI




Kaynak: TÜİK

Tabloda 2009 yılı ile 2020 yılları arasında internet ile alakalı veriler paylaşılmıştır. 2009 yılı itibarıyla Türkiye'de internet erişimine sahip olan hane sayısı %30 iken 2020 yılında bu oran 3 kat artarak %90.7 civarına gelmiştir. Aynı şekilde bireysel internet kullanımı da 2009 yılında 2020 yılına kadar 2 katından fazla artış göstermiş. Tüm bunlara ek olarak internet üzerinden bir ürün alım satımı yapma işi de 2009 yılından 2020 yılına gelene kadar 8 kat artmıştır. Özellikle 2015 yılından sonra internet üzerinden yapılan alışverişler de sürekli bir artışın yaşandığı görülmektedir. Yani ülkemizin son on yılındaki internet ile tanışma, hayatına adapte etme ve günlük yaşamında kullanım oranlarını tabloyu inceleyerek görebilmekteyiz.

Yukarıda ki tablo da internetin vergi gelirleriyle olan alakası açık bir şekilde görülmektedir. Yıl geçtikçe ülkedeki nüfusun yüzde doksan gibi bir oranın bilgisayara sahip olması, bireysel internet kullanımının her geçen yıl artmaya devam etmesi ve internetle yapılan tüm işlemler ülkelerin mali açıdan bir değişime uğraması gerekliliğini ve yapacağı reformları buna göre belirlememesi zorunluluğunu göstermektedir.

İnternetin gitgide popülerliğinin arttığı bu dönemlerde yapılan işlemlerin vergilendirilmesi konunda da farklı görüşler mevcuttur. Bunlardan yaygın olan görüş internet üzerinden yapılan işlemlerde verginin alınmaması yönündedir. Bu görüşe göre internetin vergilendirilmesi durumunda devletin altın yumurtlayan tavuğu keseceği şekilde yorum yapılmaktadır. Diğer görüşe göre ise internet üzerinden vergi alınmadığı takdirde internet üzerinden ticaret yapan işletmeler lehine bir üstünlük olacak bu da reel piyasada ki işletmeleri olumsuz etkileyecektir. Ayrıca internet üzerinden yapılan işlemlerin vergilendirilmemesi durumunda, internet üzerinden yapılan satış artacak devletin de burada elde edeceği vergiyi kaybettiği görülecektir.

## 6.İNTERNET KULLANIMI SONRASI VERGİ DAİRESİNİN ROLÜ

Bilgisayarlar ile internet üzerinden veri alışverişi, 1980'lerin son çeyreğinde Bilgi ve İletişim Teknolojilerinin (BİT) öncülüğünde gerçekleştirilmiştir. Buradaki en büyük kazanım uzak mesafelerden vatandaşlara bilginin sunulabilme olanağı olmuştur. BİT'ler de yaşanan gelişmelerin, kamu kesiminin, bireylerin ve şirketlerin uyumlu olması demokratik sistem bünyesi bakımından gerekli, vatandaşın kamusal zorunlulukları perspektifinden de yeni bir oluşum yarattığı söylenebilir (Torlak, 2010:7).

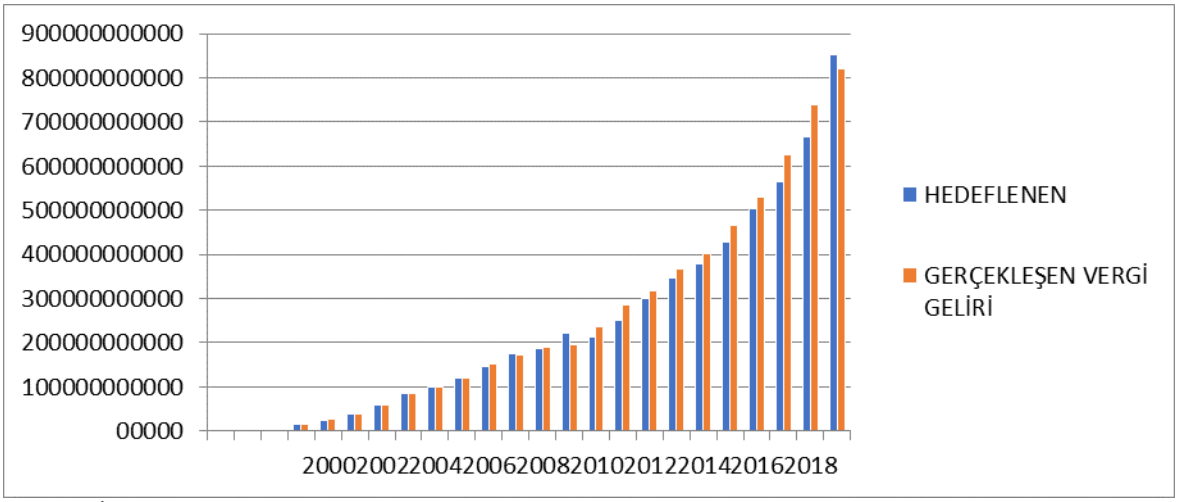
Vatandaşlar için vergi, kaçınması doğal bir iç güdüyle bütünleşmiş olan bir yapı halindedir. Bu da insanın doğası gereği olabilecek bir tutumdur. Hiçbir vatandaş özellikle de karşılıksız olarak devlet istedi diye gönüllü bir şekilde vergisini ödemek istemeyecektir. Bazı vatandaşlar ise aldığı hizmetlerin bir karşılığı olarak vergi ödemeye gönüllü olabilmektedir. Her iki insan davranışı tipinde de devlete önemli görevler düşmektedir. Devlet gönüllü olarak vergisini zamanında ödeyen kişiyi yapacağı hizmetlerle memnun etmeli ve vergisel süreçte insanların menfaatine olacak şekilde süreci kolaylaştırmalıdır (Kirli, 2014:23). Ayrıca devlet vergisini ödemeyen, vergiden kaçınan bireyleri ödüllendirir gibi vergi affı, yapılandırması gibi uygulamalara her zaman gitmemelidir. Bu uygulamalar gönüllü olarak zamanında vergisini ödeyen vatandaş için bir ceza gibi olmaktadır. Bu da insanlardaki vergi ahlakı ve bilincini olumsuz şekilde etkileyecektir. Bir diğer önemli konu ise vergilerin tahsilatlarının gerçekleştiği vergi daireleridir (GİB, 2013).

Vergi dairelerine vergisini ödemeye giden vatandaşların vergi dairelerinde karşılaştıkları tutum, mükelleflerin vergi dairesinde geçirdiği süre, işlem yaptırma hızı, orada çalışan memurların hal hareket ve tavırları vergi mükellefinin vergi ile alakalı düşüncelerini etkilemektedir. Süreç ne kadar hızlı ilerlerse bu aşamalar da mükellef de o kadar vergi ödemede istekli olacaktır. 1990'lı yıllarla birlikte vergi dairelerinin görev tanımında da bir değişiklik yaşandı. Vergi dairelerinin görevi sadece vergi tahsilatı yapmak değil, vergilerin yürütülmesi, vergiler üzerinden yapılan sahtekarlıklar, kaçınmaları önleme, ve mükellefi vergiler konusunda bilgilendirme misyonu da yüklenmiştir. Günümüzde bir çok ülke vatandaşları ve şirketleri müşteri gözüyle görmekte ve vergilerle alakalı kalite çalışmalarını da bu düşünce tarzı ile yürütmektedir (Uygur, 2010:42).

Tüm bu konularda hayatımızın tüm aşamasının içerisinde olan internetten devletin yararlanması kendi faydasına olacağı düşünülmektedir. Vergi mükelleflerini bilgilendirmek, vergilerle yapılan hizmetleri halka gösterip açıklayabilmek, koordinasyonu sağlamak, vergi tahsilatında yaşanacak olan gecikmelerin önüne geçebilmek, mükellefine kolay bir şekilde ödeme yapabilme imkanı bulmak açısından internet devlet açısından önemli bir araç halindedir.

Vergi dairesi ve Bilgi Teknolojileri arasında yaşanan etkileşim sonucu verilecek olan hizmetin kalitesinin arttırılması hazine ile vergi mükellefleri arasındaki ilişkinin güvenli olmasını sağlamıştır. Tüm bunlarda vergi yükümlülüğü olan bireylerin vergi ödevlerini yerine getirmede olumlu bir etki yaratmaktadır.

TABLO-3: YILLARA GÖRE VERGİ GELİRLERİ VE TAHSİLATLARI




Kaynak: GİB (https://www.gib.gov.tr/)

Tablo-3'ü incelediğimizde 1999 yılından 2019 yılına kadar geçen her yılda vergi gelirleri ve vergi tahsilatlarının farklı oranlarda olmak üzere devamlı bir artış yaşandığını görebilmekteyiz. Ve bazı yıllar istisna olmak üzere genelde hedeflenen vergi tutarı tutturulmuş dahası üzerine çıktığı yıllarında sayısı fazladır.

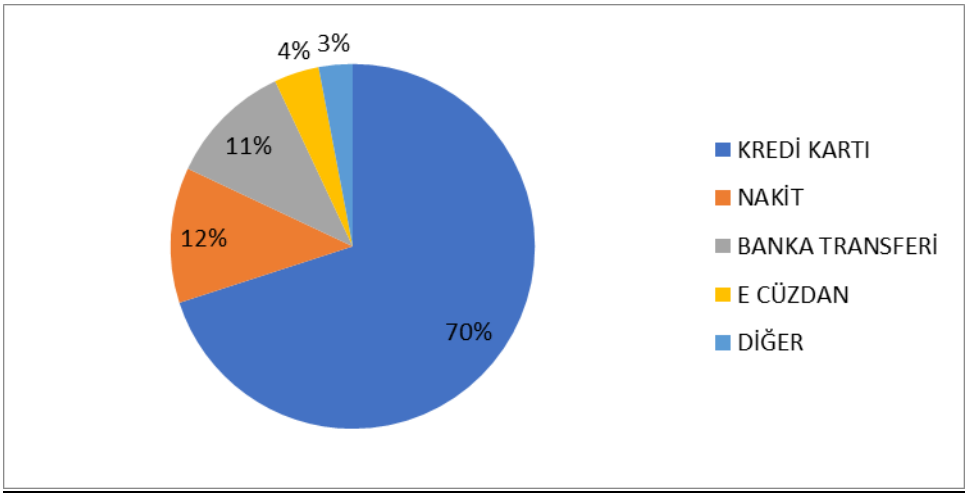
TABLO-4:TOPLAM NÜFUSUN İNTERNET, MOBİL KULLANIM VE SOSYAL MEDYA İSTATİSLİKLERİ

| | |
|---|---|
| TOPLAM NÜFUS | 83.88 MİLYON |
| MOBİLE TELEFON BAĞLANTISI | 77.39 MİLYON |
| İNTERNET KULLANIMI | 62.07 MİLYON |
| SOSYAL MEDYA KULLANIMI | 54.00 MİLYON |
| | |

Kaynak:(https://dijilopedi.com/2020-turkiye-internet-kullanimi-ve-sosyal-medya-istatistikleri/)

Tablo-4'te toplam nüfusunun 83 milyonun üzerinde olduğu görülmektedir. Türkiye nüfusunun %92'sinin mobile telefon bağlantısının olduğu görülmektedir. Aynı şekilde Türkiye nüfusunun %74'ünün erişimi bulunmaktadır. Türkiye nüfusunun yarısından fazlası da sosyal medyayı kullanmaktadır.

TABLO-5: E-TİCARET ÖDEME YÖNTEMİ




Kaynak:(https://dijilopedi.com/2020-turkiye-internet-kullanimi-ve-sosyal-medya-istatistikleri/)

Bireyler elektronik ortamlarda yapmış oldukları alışverişlerin %70'ini kredi kartı ile gerçekleştirmektedir. Tablo-5 de görüldüğü gibi %12 gibi düşük bir oranda nakit ödeme ile yapılmaktadır. İnternet üzerinden yapılan bu harcamalar da kredi kartının kullanılması verginin kaçırılmasını da imkansız kılmaktadır.

Tüm bu tablolara bakıldığında yıllar geçtikçe internet kullanım oranların da yaşanan artış, internet bağlantısının yaygınlaşması, teknolojinin gelişmesi ve birçok işlemin artık sanal ortamda gerçekleşmesi vergi gelirlerini de paralel olarak arttırdığı yönündeki bir yorumu bize yaptırabilmektedir.

## SONUÇ

İnternetin genel amacı insanların birbirleri ile iletişim kurmaları, bilgi alışverişinde bulunmaları ve bununla birlikte bilgiye ulaşmada kolaylık, hızlılık ve güvenilir bir ortamda iletme imkanı veren ortak bir iletişim aracı olmasıdır. İnternet, yeterli düzeyde altyapıya sahip olan bütün ülkülerdeki bireylerin erişebileceği dünyanın ortak ağıdır ve hiçbir ülkeye kuruma ait değildir.

Teknolojinin gelişmesi ile birlikte insan hayatında da hızlı bir adapte olma dönemi yaşanmaktadır. Türkiye nüfusunun %8 gibi düşük bir oranı internet hizmetini kullanmamaktadır. Özellikle 16-64 yaş aralığı teknolojiyi çok aktif bir şekilde kullanmaktadır. Ve bu aktif kullanım devlet yönetenler tarafından da vatandaşların hizmetlere kolay ulaşması açısından kullanılmaktadır. Dünya çapında yaşanan salgın hastalık nedeni ile gelişmekte olan internet işlemleri salgın dönemiyle birlikte iyice hayatımıza girdi ve ticaretimiz reel ortamdan sanal ortama kaymaya başladı. İnternet üzerinden gerçekleşen bu işlemler de ülkelerin vergi tabanları açısından önem arz etmeye başlamaktadır.

İnsanlar fıtratı gereği vergi ödemek istemezler. Devletler de varlıklarını sürdürebilmek için koymuş oldukları vergileri zamanında ve tam olarak tahsil etmek isterler. Bu konu da önceleri vergi dairelerine çok iş düşmekteydi. Mükellefi küstürmemeleri, işlemlerini hızlıca halledip uzun süre vergi dairesin de zaman geçirmemeleri, vergi ile alakalı merak edilenleri açıklamaları, vergileri iyi tanıtabilmeleri gibi birçok husus vergi dairelerinin görevleri arasında idi. İnternet bağlantısının gelmesi ve teknolojinin yaygınlaşması ile bu görevler sanal ortamlarda da yapılmaya başladı. Ve bunun da vergi gelirlerine etkisi olduğu düşünülmektedir. Yani vergi gelirlerinin yıllar itibarı ile artması aynı şekilde teknolojinin gelişmesi ve internetle olan münasebetin de sürekli olarak artması arasında bir ilişki olduğunu düşündürmektedir.

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# Türkiye'deki İşletme Faaliyetlerinde Sürdürülebilir Finans Uygulamalarının Önemi

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**Özet:** İklim krizi devam ederken ortaya çıkan Covid-19 salgınıyla birlikte sürdürülebilirlik kavramı daha fazla önemli olmaya başlamıştır. Zira salgının nedenleri ve sonuçları, üzerinde yaşanılan yerkürenin sınırlarının zorlandığını ve sürdürülemez hale geldiğini göstermektedir. Küresel ölçekteki bu sorunların temelinde genel anlamda işletme faaliyetlerinin sonuçlarının yattığı görülmektedir. Dolayısıyla ekonomilerin sürükleyici gücü olan işletmelerin faaliyetlerini ve özellikle kriz dönemlerini yönetebilmesindeki başarılarının temelinde, mikro ve makro seviyedeki kurumsal altyapının sağlamlığı yatmaktadır. Bunun için öncelikle makro seviyedeki ekosistemin kurumsal (finansal, konjonktürel sinyalleri hemen okuyarak yönetebilme) kapasitesinin yüksek olması gerekmektedir. Çünkü iktisadi politikaların belirlenmesinde, verilecek desteklerde, kıt olan kaynakların yönlendirilebilmesinde bu kapasite sayesinde uygun zamanda, uygun miktarda, uygun işletmelerin seçimi mümkün olabilecektir. Bu seçimde başarının temel koşulu, verimliliği, rekabet gücü yüksek işletmelere desteklerin verilmesini sağlayabilmektir. Böylece hem onların faaliyetlerindeki sürdürülebilirlik hem de makro iktisadi yapının krizleri yönetmedeki başarısı artabilecektir. Bu beklentilerin gerçekleşebilmesi için ekonomide önemli bir finansal aracılık görevini yerine getiren bankalara önemli görevler düşmektedir. İşletmelerdeki kurumsallaşma seviyesinin gelişememesinin veya eksikliklerinin bir nebze giderilebilmesinde bankaların kredi tahsisten, kredinin kullandırılması ve kapatılması süreçlerindeki uluslararası standartlara göre operasyonlarını yönetmesi, işletmelerin kurumsallaşma kapasitelerine önemli katkı yapabilecektir. Yani bankaların kredilendirme süreçlerinde, hem işletmelerin kredibilitelerine hem de projelerin iktisadi sürdürülebilirlik kriterlerine göre finansman sağlanması bu amaca hizmet edebilecektir. İşletmelerin gücüne göre uygun fiyatlamayla kredi tahsisi, işletmelerin finansman maliyetlerini azaltabileceği gibi bankaların kaynaklarının geri dönüşleri mümkün olabilecektir. Aynı şekilde yeşil ekonomi anlayışını taşıyan işletme ve projelere göre kredi kullandırılması, olumsuz dışsallığa neden olmadan iktisadi kalkınma faaliyetleri, sürdürülebilirlik koşullarına göre yürütülebilecektir. Bu kapsamdaki çalışmada, Türkiye'de sürdürülebilir iktisadi kalkınma ifadesinin, hem nicel hem de niteliksel özelliklerine göre bankacılık sektörünün nasıl destek verebileceği incelenecektir.

**Anahtar Kelimeler:** Ekonomik Kalkınma, Sürdürülebilirlik, Sürdürülebilir Finans, Sürdürülebilir Kalkınma, Uluslararası Standartlar

## 1. GİRİŞ

İklim krizi devam ederken ortaya çıkan Covid-19 salgını sonrasında yaşananlar ve sorunlarıyla birlikte sürdürülebilirlik kavramı daha da önemli olmaya başlamıştır. Çünkü salgının hem nedenlerini barındıran durumlar hem de salgının sonuçları, devam eden etkileri, yaşanılan gezegenin sınırlarının zorlandığını ve sürdürülemez bir durum aldığını göstermektedir. Küresel ölçekteki bu sorunların temelinde genel anlamda işletme faaliyetlerinin sonuçlarının yattığı bilinmektedir. Dolayısıyla ekonominin sürükleyici gücü işletme faaliyetlerinin sonuçlarının olumsuz dışsallığa neden olmadan sürdürülebilir şekilde yürütülmesi gerekmektedir. Bu yüzden iktisadi anlamdaki kalkınma ifadesi, hem nicel hem de niteliksel özelliklerinden daha geniş bir anlamı içeren dönüşümle sürdürülebilir kalkınma şeklinde ifade edilmeye başlamıştır.

Bu dönüşümün amacı iktisadi gelişimin artırılmasıyla birlikte çevresel, sosyal faktörler gibi birey ve toplumların yaşam kalitesinde artışın sağlanmasıdır. Fakat gezegenin artan nüfusu ve kaynakların adil olmayan kullanımı bu amaca ulaşmayı zorlaştırmakla beraber ekosistemin de tahrip edilmesine yol açmaktadır. Aynı şekilde küresel ticaretten pay alma yarışındaki kavga, sürdürülebilir kalkınmanın sağlanabilmesini ve işletmelerin ayakta kalabilmesini gittikçe zorlaştırmaktadır. Bu yüzden küresel rekabet ortamında sürdürülebilir kalkınmada başarılı olabilmek için ülkelerin kalkınmasının dinamosu olan işletme faaliyetlerinin düzenlenmesini ve denetlemesini mümkün kılacak uluslararası fikir birliğine, iş birliğine ortam hazırlayacak düzenlemelere ihtiyaç vardır.

Küresel bir sorun olan iklim krizinin çözümlenebilmesi için uluslararası koordinasyon, işbirlikleri gerekmektedir. Birleşmiş Milletler[1], Paris Anlaşması[2], Avrupa Yeşil Düzeni (European Green Deal, AYD) tavsiye ve standartları hem bölgesel hem de küresel açıdan önemlidir. Aynı şekilde işletmelerin kuruluş temelindeki yeterliliklerinin var olup olmadığını test edecek ve sürekliliğini sağlayacak Uluslararası Standardizasyon Örgütü'nün (International Organization for Standardization - ISO) geliştirdiği standartlardan yararlanılarak, işletmelerin operasyon süreçlerinin kurulması, işletilebilmesi ve iyileştirilebilmesi sağlanmalıdır. Bu standartlar yanında işletmelerin finansman imkânlarının geliştirilmesinde sürdürülebilirlik esaslarına göre faaliyetlerini yürüten işletmelere pozitif bir kayırmanın, kredi tahsis süreçlerinin işletilmesi de iktisadi anlamdaki sürdürülebilirliğe önemli katkı sağlayabilecektir.

Bu kapsamdaki çalışmanın amacı, Türkiye'deki işletme faaliyetlerinde sürdürülebilir finans uygulamalarının önemini incelemektir. Makalenin alt ana başlıklarının birincisinde, sürdürülebilir kalkınma ve işletmelerde sürdürülebilirlik kavramı incelenmektedir. Sonrasında sürdürülebilir kalkınmada uluslararası standartların önemi verilmektedir. Türkiye'de bankacılık sektörü ve sürdürülebilir kalkınma ilişkisini destekleyen unsurlara takip eden başlıklarda değinilmektedir. Bu kısımda işletmelerde artan risklerin yönetiminde ve işletmelerde sürdürülebilir finans uygulamalarında bankaların önemine yer verilerek öneriler geliştirilmeye çalışılmıştır. Araştırma yöntem olarak literatür incelemesini kullandı.

## 2. LİTERATÜR ÇALIŞMASI

Günümüz dünyasında küreselleşmenin ve Covid-19 salgınının tetiklediği belirsizlik ve yıkıcı rekabet ortamı, işletmelerde risk yönetimini giderek zorlaştırmaktadır. Özellikle küreselleşen piyasalarda daralan pazar hacminin neden olduğu ticaret savaşları; toplumsal ve politik çevredeki değişikliklerin neden olduğu kargaşaların ortaya çıkardığı göç hareketleri; teknolojik ve doğal çevrede yaşanan, öngörülmeyen değişiklikler risk yönetimindeki temel belirsizlikleri, zorlukları göstermektedir. Kurumsal yönetişimin sağlandığı yapılarda sürdürülebilirliğin mümkün olması literatürde bu konudaki çalışmaların artmasına sebep olmuştur.

Literatürde sürdürülebilirlik konularının işletmelere yönelik önemli riskler ve fırsatlar içerdiğini ortaya koyan kapsamlı teorik temelli ve/veya ampirik bulgulara dayalı sonuçlar ortaya koyan ve analizlerin yapıldığı çalışmalar vardır. Buna göre, sürdürülebilir yönetişim, işletmeler açısından orta ve uzun vadeli ve aynı zamanda istikrarlı başarıyı sağlamayı hedeflerken; yönetim kurulunun rolünü tanımlanmasının yeterli olmayacağından hareketle; yeni bir yaklaşımın benimsenmesidir. Bu yeni yaklaşım, işletmenin sosyal ve çevresel performansının etkin bir yönetim gözetim işlevini yerine getirmesini sağlamak için, yönetim kurulunun aldığı stratejik kararları ve tüm uygulamaları üç boyutlu olarak kurumsal, sosyal ve çevresel perspektifle ele almaya dayanmaktadır. Bu açıdan değerlendirildiğinde, sürdürülebilirlik uygulamalarının işletmeleri katma değer yaratma ve şirket değerini koruma konusunda çok boyutlu olarak geliştirdiğini destekleyen kanıt ve bulgular bulunmaktadır (Bozkuş Kahyaoğlu, 2019:128). Tablo 1'de bu konuda literatüre katkı yapan bazı çalışmalar özetlenmiştir.

Tablo 1. Sürdürülebilirlik Konusundaki Literatür Çalışmalarına Özet Bakış

| Yazarlar | Yayın Bilgisi | Yayın İçeriği |
|---|---|---|
| Alagöz, M | Sürdürülebilir Kalkınmanın Paradigması, Selçuk Üniversitesi İİBF Sosyal ve Ekonomik Araştırmalar Dergisi, 2004 | Sürdürülebilir kalkınmanın nasıl başarılabileceği konusu makalede incelenmektedir. |
| Balkan B. | Sürdürülebilirlik ve Etik İlişkisi, Türkiye'de Sürdürülebilir Finans Uygulamaları (Ed. Aysel | Kitap bölümü olan çalışmada Türkiye'de etik bankacılık |

1 Transforming our world: the 2030 Agenda for Sustainable Development, https://sdgs.un.org/2030agenda

2 Birleşmiş Milletler İklim Değişikliği Çerçeve Sözleşmesi kapsamında 2015 yılında Paris'te imzalanan Anlaşma 4 Kasım 2016 itibariyle yürürlüğe girmiştir. Paris Anlaşması, 2020 sonrası süreçte iklim değişikliği tehlikesine karşı küresel sosyo-ekonomik dayanıklılığın güçlendirilmesini hedeflemektedir. Bu kapsamda Paris Anlaşması'nın uzun dönemli hedefi, endüstriyelleşme öncesi döneme kıyasla, küresel sıcaklık artışının olabildiğince 2°C'nin altında tutulmasıdır. Bu hedef fosil yakıt (petrol, kömür) kullanımının tedricen azaltılarak, yenilenebilir enerjiye dönüşümü gerektirmektedir.

| | | |
|---|---|---|
| | Gündoğdu), 2019. | uygulamaları irdelenmiştir. |
| Bozkuş Kahyaoğlu, S. | Sürdürülebilirlik ve Kurumsal Yönetim, Türkiye'de Sürdürülebilir Finans Uygulamaları (Ed. Aysel Gündoğdu), 2019. | Kitap bölümü olan çalışmada sürdürülebilir finansın kurumsal yönetim ile ilişkisi kaleme almıştır. |
| Diamond, J. | Çöküş Medeniyetler Nasıl Ayakta Kalır Ya da Yıkılır? (Çev. Elif. Kral), Timaş Yayınları, İstanbul. | İşletmelerin üretim yapma koşullarında verdikleri zararlardan devletin sorumluluğuna dikkat çekilmiştir. |
| Engelman, R. | Engelman, Robert (2014), "Sürdürülebilirlik Sakızının Ötesi", Dünyanın Durumu 2013 Sürdürülebilirlik Hala Mümkün mü?, Worldwatch Enstitüsü Proje Yöneticileri: Eric Assadourian – Tom Prugh, (Çevirenler: Cana Ulutaş Ekiz – Çağrı Ekiz), Türkiye İş Bankası Kültür Yayınları, İstanbul. | Worldwatch Enstitüsü yayınında geniş bir bakış açısıyla, insan kaynaklı iklim değişikliğinin sürdürülebilir seviyeye gelmesinin zorluklarına yer veriliyor. |
| Gündoğdu, A. | Sürdürülebilirlik ve Sermaye Piyasası, Türkiye'de Sürdürülebilir Finans Uygulamaları (Ed. Aysel Gündoğdu), 2019. | Kitap bölümü olan çalışmada sürdürülebilirlik ile sermaye piyasalarının rolü anlatılmıştır. |
| Kuşat, N. | Bir Kalkınma Anlayışı Olarak Sürdürülebilirlik, Türkiye'de Sürdürülebilir Finans Uygulamaları (Ed. Aysel Gündoğdu), 2019. | Kitap bölümü olan çalışmada sürdürülebilir kalkınmanın felsefesi anlatılmıştır. |
| Orhan, G. | 11. Kalkınma Planı ve Sürdürülebilir Kalkınma Amaçları – EKOIQ, 2019 | Çalışmada 11. Kalkınma Planı ve Sürdürülebilir Kalkınma Amaçları irdelenmiştir. |
| Kuloğlu, E. – Öncel, M. | Yeşil Finans Uygulaması ve Türkiye'de Uygulanabilirliği, Gazi Üniversitesi Sosyal Bilimler Dergisi, Cilt: 2, Sayı: 2, 2015 | Yeşil finansmanın dünyadaki ve Türkiye'deki uygulanabilirliği incelenmiştir. |
| Sarıkovanlık, V. – Özgür, C. | Sürdürülebilirlik ve Finansal Performans İlişkisi Üzerine Literatür Taraması, Türkiye'de Sürdürülebilir Finans Uygulamaları (Ed. Aysel Gündoğdu), 2019. | Kitap bölümü olan çalışmada sürdürülebilirlik ile işletmelerin finansal performansları arasındaki ilişki üzerine bir literatür çalışması yapılmıştır. |
| Ulusoy, T. | Sürdürülebilir Finans ve Dünya Uygulamalar, Türkiye'de Sürdürülebilir Finans Uygulamaları (Ed. Aysel Gündoğdu), 2019. | Kitap bölümü olan çalışmada dünyada ve Türkiye'de sürdürülebilir finans uygulamaları anlatılmıştır. |
| Yetkin, F. – Sandalcılar, A. | Türkiye'de Bankacılık Sektörünün Sürdürülebilir Kalkınmaya Etkileri, Recep Tayyip Erdoğan Üniversitesi Sosyal Bilimler Dergisi, 2018. | Çalışmada Türk bankacılık sektörünün, sürdürülebilir kalkınma hedeflerinin sağlanması sürecinde krediler, projeler, eğitim ve çalışmalar şeklinde desteklere değinilmiş. Bankacılık sektörü gibi güçlü ve müşterileri, çalışanları, paydaşları, ortakları vb. ile etki edebileceği geniş bir kitleye sahip bir kurumun, sürdürülebilir kalkınmayı sağlamak için vereceği desteklere değinilmiş. |

## 3. SÜRDÜRÜLEBİLİR KALKINMA KAVRAMININ ÖNEMİ

Dünya nüfusu giderek artıyor. Bununla birlikte dünyanın uğradığı tahribat da tehlikeli boyutlara varmış durumda. Küresel finans sisteminin ve tüm ülkelerin bu tahribatta payı var. Şu an elimizde tek gezegenimiz olduğuna göre ona iyi bakmak sadece bireysel bir girişimden ibaret olmamalı. En azından bundan sonrası için kurumsal ve evrensel tedbirler almak şart (Gündoğdu, 2019: 5).

Bu olumsuzluklara rağmen "sürdürülebilirliğin ağızlarda sakız olduğu bir çağda yaşıyoruz. Bu kelimenin kakofonik kullanımı çevresel açıdan daha iyiden havalıya kadar uzanıyor. Aslen kesinti ya da azalma olmadan varlığını devam ettirebilme kapasitesi anlamına gelen bu sıfatın tarihsel kökeni Antik Roma dönemine dayanıyor. 1987'de Dünya Çevre ve Kalkınma Komisyonu'nun Ortak Geleceğimiz raporu ile sürdürülebilirlik kelimesinin çevre anlamında kullanımında patlama yaşanıyor" (Engelman, 2014: 3). En basit şekliyle sürdürülebilir kalkınma veya iktisadi faaliyet, üretimden tüketime kadar gerçekleşen süreçlerin çevreyle uyumlu bir şekilde yürütülmesi olarak ifade edilebilir. Kavram, iklim değişiklikleri ve salgının ortaya çıkardığı sorunlarla dünya gündemini giderek daha fazla meşgul etmektedir. Bu sorunların temelinde, gıda arzından fazla artan dünya nüfusunun ihtiyaçlarını karşılamak için yürütülen faaliyetlerdeki kapitalist üretim tarzı yatmaktadır. Bu yaklaşımdaki işletmelerin, tüm paydaşların hakkını düşünmeden, yenilenemeyen doğal kaynakları da yok edercesine kullanan ve çevreyi kirleten davranışları sürdürülebilir ekonomik faaliyetleri imkânsız yapmaktadır.

Kuşat'a (2019: 11) göre de insanoğlu mevcudiyetinden bugüne, doğayı üretimin ana kaynağı olarak görüp bu kaynağı yenilenme fırsatı vermeksizin hızla tüketmeye devam etmekte, ayrıca üretimin her sürecinde çevreye saldığı atıklarla telafisi çok zor bir yapıya sebep olmaktadır. İşin içerisine ihtiyaç, üretim ve tüketim girdiği andan itibaren, sürdürülebilirlik, ekonomik yönü ağır basan bir kavram olarak anılmaya başlamıştır. Sonuç itibariyle de sürdürülebilir kalkınma ile aynı anlama geldiği yönünde bir anlayış gelişmiştir.

On Birinci Kalkınma Planı da (2019: 188) sürdürülebilir kalkınmada düzenlemelerin önemine şöyle dikkat çekmiştir: Sürdürülebilir kalkınmanın sağlanması, ekonomik ve sosyal refahın artırılması hukuk devleti, demokratikleşme ve iyi yönetişim ilkelerinin devlet tarafından güçlü bir şekilde sahiplenilmesi ve etkili bir biçimde uygulanmasıyla mümkündür.

Planda genel anlamda yer alan bu bakışın öncelikle makro ölçekte düzenleyici, denetleyici yapılarda oluşturulması ve mikro unsurlara yansıtılması gerekir ki, beklenilen başarılar elde edilebilsin. Bu da kolay değildir. Zira Acar'a (2018) göre iyi yönetişim; bir dizi ilke ve kuralı listelemekle başarılabilecek bir hedef olmaktan çok, o ilke ve kuralların yetkili kişiler ve kurumlar tarafından nasıl algılandığıyla ve ne ölçüde uygulamaya aktarıldığıyla daha yakından ilgilidir. Yönetişim aynı zamanda yöneten-yönetilen ilişkilerini biçimlendiren bir kültürdür; etkileşimlere yön veren zihni yol haritasıdır; karar verme, kaynak tahsisi, siyasi önceliklerinin belirlenmesi ve çatışmaların çözümü süreçlerinde esas alınan usul ve üsluptur.

## 4. SÜRDÜRÜLEBİLİR KALKINMADA ULUSLARARASI STANDARTLARIN ÖNEMİ

Ekonomilerin temel dinamosu alan işletmelerin faaliyetlerini sürdürülebilir kalkınma ölçütlerine göre yürütebilmesi için üretim süreçlerindeki yeterliliklerinin var olup olmadığını test edecek ve sürekliliğini sağlayacak düzenlemelerle kurumsallaşma seviyelerinin artırılması gerekmektedir. İşletmelerde bu şekildeki yapılanma, işletme faaliyetlerinin sürdürülebilir bir şekil almasına ve ülke kaynaklarının boşa gitmeden sürdürülebilir kalkınma hedeflerine yönelik kullanılmasına hizmet edebilecektir. İşletmelerin kuruluş ve faaliyet süreçlerinin düzenlenmesi ve denetlenmesini sağlayacak ISO gibi uluslararası standartlara göre tüm süreçlerin tanımlanması, risk analizlerinin yapılması; hem operasyonların standart bir şekilde yürütülmesine hem de neye göre kontrol edilebileceğine, sistemin sürekli dış denetim ve iyileştirmelere açık olmasına hizmet edebilecektir. İşletmelerin sahip olacağı bu şekildeki yeterlilikler; fiziksel, finansal sermayenin beşeri sermaye tarafından sürdürülebilir kalkınma hedeflerine yönelik kullanılmasına önemli katkılar sağlayabilecektir.

ISO'nun geliştirdiği uluslararası standartlardan yararlanılarak, hayatın içindeki tüm sistem süreçlerinin iyileştirilebilmesi ve işletilebilmesi mümkündür. Bütünsel bir bakışla sürekli geliştirilen bu standartlar sayesinde üretimde verimi artıracak daha iyi koşullar yakalanabilmektedir. Çünkü devamlı yapılan dış

denetimler sonucunda ortaya çıkan sonuçların baştaki standartlar ile karşılaştırılarak kontrol edilebilmesi, varsa sapmalarının ölçülebilmesi sayesinde hem kaliteli hem de sürdürülebilir kalkınma ölçütlerine göre üretim gerçekleştirilebilmektedir.

Küresel ve ulusal ölçekte sürdürülebilir kalkınmada başarı sağlanabilmesi için bu standartlar, üretimden tüketime kadar olan zincirindeki tüm taraflar arasındaki bilgi asimetrisini, çeşitli engelleri aşmaya yardımcı olmaktadır. Örneğin gelişmekte olan ülkelerde faaliyet gösteren işletmelerin ürettikleri mal ve hizmetlerin kalitesini ortaya koymak ve belgelemek bu standartlar sayesinde sağlanmaktadır. Bu şekildeki genel kabul görmüş açık standartlar, iyiye varmak için önemli bir araç olarak kullanılmaktadır ki, mükemmele her alanda ulaşabilmenin garantisi, hızlandırıcısı şeffaflıktır.

## 5. TÜRKİYE'DE BANKACILIK SEKTÖRÜ VE SÜRDÜRÜLEBİLİR KALKINMA İLİŞKİSİ

Dünya ve elbette ülkemiz sürdürülebilir kalkınmada yolun başında sayılır. Bundan sonraki süreçte sürdürülebilirlik felsefesinin tüm şirketler için zorunlu hale getirilmesi, bankaların kredi kullandırırken şirketin büyüklüğüne bakmadan çevreye ve insana verdiği değeri dikkate alması, tüketicilerin de bu konuda daha duyarlı olması zamanla mümkün olabilir (Gündoğdu, 2019: 6). Bu yüzden işletmelerin kuruluş ve faaliyet süreçlerinin düzenlenmesini ve denetlenmesini sağlayacak ISO gibi standartlar yanında finansal sektör için Basel düzenlemeleri de bankaların ve müşterilerinin finansal başarısızlık riskinin yönetiminde önemlidir. Bankacılık sektöründeki uluslararası düzenlemeler ve ulusal ölçekteki düzenleyici/denetleyici yapıların sıkı gözetimleri, edindikleri risk yönetimindeki tecrübeler bankaların kurumsallaşma seviyelerinin işletmelere göre yüksek olmasını sağlamıştır. Dolayısıyla bu küresel ve yerel standartlara göre işlem yapma kapasitelerinin, onların müşterileri olan işletmelere de yansıtılması sürdürülebilir kalkınmanın sağlanmasında önemli bir katalizör görevi görebilecektir.

Türkiye'deki işletmelerin hem kendi faaliyetlerinin sürekliliği hem de sürdürülebilir kalkınma için ihtiyaç duydukları işletme sermayesinin karşılanmasında çeşitli sorunlar vardır. Bunların kısa vadede çözümü zordur. Uzunoğlu'na (2019: 239) göre çözüm: "Sermayesiz, ülkenin parasal kaynaklarını heba eden şirketlerin tasfiye edilmesi, kamuda etkin sürdürülebilir harcama yapısı, finansal yapılanmada yatırım-kalkınma bankacılığına geçiş yapılması, kayıt dışı ekonomi, dolaylı vergi yapısından hızla çıkılması ve vergide adaleti sağlayan adil bir paylaşım mekanizmasının kurulması gerekmektedir. Makroekonomik dengelenme ancak bu yapı üzerinde sürdürülebilir hale gelebilecektir." Özetle ifade edilen temel yapısal sorunlar, ülkede tasarruf yetersizliği, kullanım etkinsizliği ve para piyasalarının egemenliğidir. Bankalarımız (2020: 30) verilerine göre bankacılık sektörünün toplam finansal sistemdeki payı % 81'dir. Bir yıl önce söz konusu oran %83'tür. Dolayısıyla alternatif finansman imkânlarının oluşturulabilmesi, yapısal sorunların çözülebilmesi için zamana ihtiyaç vardır. Kısa dönemde yapılacakların başında, var olan kaynakların tahsisinde, sürekliliği ve sürdürülebilir kalkınma faaliyetleri mümkün olan işletmeleri, projeleri seçebilmeyi becerebilmek gelmektedir.

### 5.1 İşletmelerde Artan Risklerin Yönetiminde Bankacılık Sektörünün Önemi

Evren risklerle doludur. İnsanlar, risklerin yıkıcı etkisinden korunmak amacıyla onları yönetmeye çalışmaktadır. Tarih, riskler ve risklerden korunmaya çalışan insanların akla durgunluk veren risk yönetme türleriyle doludur. Korunma ve savunma amaçlı sayısız buluş gerçekleştiren, kaleler, surlar, setler gibi ölümsüz eserler inşa eden insanlar gelecekte kendilerini tehdit edebilecek risklerden korunmayı amaçlamışlardır (Uralcan, 2005:3). Günümüzde de küresel finansallaşma, ticaret savaşları ve son yaşanan Covıd-19 salgını maruz kalınan riskleri artırmaktadır. İş yapma şekillerindeki hızlı değişiklikler, yıkıcı rekabet risklerin niteliksel ve niceliksel çeşitliliğini, yönetimini zorlaştırmaktadır. Bu yüzden gerek kurumsallaşmış gerekse de kurumsallaşmamış yapılarda, işletme körlüğü gibi çeşitli olumsuzlukların etkisinde kalınacağı için risk yönetimi işletme dışından alınacak hizmetlerle desteklenmelidir. Bu destek konusunda finansal sektörün yaptığı iş gereği birikmiş tecrübeleri önemli bir kaynaktır. Bolgün ve Akçay'a (2009) göre de risk yönetimi felsefesi, özünde finansal profesyoneller açısından bir tür zorunluluk olarak görülmekle beraber bireyler bazında, kültürel bir değişimi ifade ettiğinde ancak tam anlamıyla başarılı olabilecektir.

Bu değişimin gerçekleşmesinde özellikle finansal okuryazarlık faaliyetleriyle işletme yönetimlerinin bilinçlenmesini sağlayacak; iç ve dış denetim süreçlerinin kurulmasını teşvik edecek kamusal

düzenlemeler önem taşımaktadır. Ayrıca küreselleşmenin olumsuz etkilerini en aza indirmede bankacılık sektöründen alınabilecek kurumsal ve ticari destek son dönemde daha fazla önem kazanmaya başlamıştır. Zira finans kuruluşları belli bir kurumsallaşma seviyesine erişmiş dolayısıyla risk yönetimi konusunda işletmelere göre daha iyi durumdadırlar. Onların bu tecrübelerini, müşterileri olan işletmelerin kıt bir faktör olan finansal sermaye eksikliklerinin karşılanmasında kullanmaları sürdürülebilir kalkınma için önemli olacaktır. Çünkü bankalar kredi kullandırarak müşterilerinin risklerini üstlenmektedirler. İşletmeler açısından risk kavramı ise "bir işletmenin yapmış olduğu karşı tarafla ya da işletme bünyesindeki işlemler ve sözleşmeler nedeniyle gelecekte zarara uğrama olasılığı ve tehlikesidir" (Babuşçu vd., 2018: 4).

## 5.2. İşletmelerde Sürdürülebilir Finans Uygulamalarında Bankaların Önemi

Ülke kaynaklarının verimli kullanılması amacıyla hem toplumun hem de çevrenin küresel anlamda korunması mümkündür. Özellikle finansal sistem içerisindeki otoriter kurumların ve devletlerin gerekli düzenlemeler ile hem çevreye hem de insana değer veren sürdürülebilir kalkınma politikalarının gündeme geldiğini görüyoruz. Sürdürülebilir kalkınmaya aracılık eden finansal piyasaların rolü gün geçtikçe artıyor. Ülke tasarruflarının taşındığı finansal piyasaların sağlamlığı sürdürülebilir kalkınmayı doğrudan etkilemektedir. Bankaların ve borsaların aracılık ettiği kurumların çevreye, ekonomiye ve insana vereceği etkiler sanılandan daha fazla. Bunun farkına varan ülkeler sürdürülebilir raporlama ile başlayan süreçte sürdürülebilir endeksler ile kalkınma için çeşitli girişimlerde bulunuyorlar (Gündoğdu, 2019: 5).

Bu girişimcilerin uluslararası ve ulusal boyutta artması gerekmektedir. Çünkü küresel ticaretteki pastadan pay alma yarışındaki kavganın Covid-19 ile kızıştığı günümüzde; hem sürdürülebilir kalkınmanın sağlanabilmesi ve büyümenin devamlılığı, hem de işletmelerin ayakta kalabilmesi gittikçe zorlaşmaktadır. Bu yüzden küresel rekabet ortamında, sürdürülebilir kalkınmada başarılı olabilmek için ülkelerin kalkınmasının lokomotifi olan işletme faaliyetlerinin düzenlenmesini ve denetlemesini sağlayacak düzenlemelere ve desteklere ihtiyaç vardır. Özellikle işletmelerin risk yönetiminde yeterli bilgiye sahip olmamaları veya uygulamadaki hataları, hem kendi operasyonlarında; hem de bulaşıcılık etkisiyle, ilişkili taraf boyutunda olanlarla veya olmayanlarla sorunlar yaşamalarına neden olmaktadır. Bu sorunların çözümlenebilmesi, işletmelerin başarılı olabilmesi için "ekonomik, etkin ve verimli iş süreçlerinin; sağlam bir kurumsal risk yönetimi altyapısının; etik ilkelere özen gösteren ve çevreye duyarlı bir yönetim stratejisinin olması gereklidir. Bundan dolayı işletmeler açısından iyi yönetişim yasal gerekliliklerin, politika ve prosedürlerin çok ötesindedir. Bu yeni anlayışın önem kazanmasının nedeni; işletme yöneticilerinin kısa vadeli kâr elde etmek yerine, orta ve uzun vadeli iş değeri yaratmaya yönelik bir eğilimin ortaya çıkmasıdır. Yeni iş değeri yaratmaya yönelik orta ve uzun vadeli stratejik bakış açısı, söz konusu işletmeler ile bu işletmelerin sorumlu ve ihtiyatlı üst düzey yöneticileri için beraberinde sürdürülebilirlik kavramını içselleştirmelerini gerekli kılmaktadır" (Bozkuş Kahyaoğlu, 2019: 127).

Hem işletmelerin sürekliliğine hem de sürdürülebilirliğe katkı sağlayacak finansman imkânlarının artırılması ve uygun maliyetle sunulması için finans sektörüne önemli görevli düşmektedir. Ersoy ve Oral'a (2015: 383) göre işletmelerin, finansman ihtiyaçlarını gidermede yaşadıkları sorunları minimum seviyeye indirebilmeleri için mali verilerinin dışında yönetim şekillerine de önem vermeleri gerekmektedir. Kurumsal yönetim anlayışını benimseyerek ortaklık yapılarını güçlü hale getirmelidirler. Ayrıca pazar faaliyetlerinde ve ilgili iş kolunda uzmanlaşarak sektördeki değişim ve gelişime uyum sağlamalıdırlar. İşletmelerin ödemelerini ve nakit akışını doğru yönetmesi ise mali sicil kayıtlarına olumlu yönde yansıyacaktır.

Dolayısıyla faaliyetlerinde sürekliliği ve sürdürülebilirliği esas alan anlayış içinde faaliyetlerini yürüten işletmeler, finansörler gözünde düşük riskli grupta yer alacağından, finansmana daha düşük maliyetle erişebileceklerdir. Bu yaklaşım işletmelerin "finansman yapısını güçlendirecek, yabancı finansal kaynak ihtiyacının uygun koşullarla karşılanabilme düzeyini yükseltecek, ekonomik daralma dönemlerinde zorluklara karşı daha dirençli kalmalarını ve mali sorunlarla daha rahat başa çıkabilmelerine katkı sağlayacaktır" (Ersoy ve Oral, 2015: 383).

### 5.2.1 Bankalar Kredilendirme Süreçlerinde Değişikliklere Gitmeli

Bankaların, müşterilerine kredi verme sürecindeki istihbarat çalışmaları ve değerlendirmeleri, işletmelerin risk seviyesini belirlemektedir. Risk seviyesi de, kredinin teminatı olarak alınacak varlıkları etkilemektedir. Burada teminata alınacak varlıklar ve mali veriler yanında, işletmenin gelecekteki değerliliğini etkileyebilecek sürdürülebilirlik faktörlerinin de dikkate alınması gerekmektedir. Yani bankalar, verdikleri kredinin sadece teminatlarının sağlamlığına göre değil projelerin sürdürülebilirlik koşullarına uygunluğunu da değerleyerek, bir ortaklık yapılıyormuş gibi kredi verme süreçlerini yeniden düzenlemelidirler. Bu şekildeki yaklaşımın başarısı için Gedikli ve Erdoğan'a (2016: 243) göre finansör ile proje arasında mutlak bir bağ kurulması gereklidir. Bankaların bu şekildeki yaklaşımı, hem müşterilerinin; hem de müşterilerinin çalıştığı sektörün, iş yaptığı işletmelerin ve rakiplerinin faaliyetlerinin izlenmesini de mümkün kılacaktır.

Bu izleme sayesinde, kredi kullandırılan işletmelerin borç ödeme kapasitesinin sürekliliğini sağlayacak risk yönetimi ve faaliyetlerinin sürdürülebilirlik koşullarına göre takibi mümkün olabilecektir. Bu izleme işletme faaliyetlerinin devamlılığı ve sürdürülebilirlik koşullarının takibi yanında finansal sektör için de çok önemlidir. Dolayısıyla kredilendirme öncesi ve sonrası faaliyetler, tüm paydaşlar için dikkatlice yönetilmesi gereken süreçlerin planlanmasını ve yönetilmesini gerektirmektedir. Zira "bir ekonomide mali riskler gerçekleşmeye başladığında, mali şokların tetikleyici etkisiyle derinleşen ekonomik krizlerin ilk olumsuz etkileri de mali sistemde faaliyet gösteren kurumlarda özellikle bankalarda ortaya çıkmaktadır" (Sayım ve Er, 2009: 12).

### 5.2.1 Bankaların Sürdürülebilirlik Konusundaki Çalışmaları Ortak Standartlara Bağlanmalı

Bankacılık sektöründeki olumsuzlukların ve fiyatlamalarda enflasyonist bir etkiye yol açan mali baskınlığın azaltılması temel gerekliliktir. Temeldeki bu makro yapısal sorun yanında mikro ölçekteki geleneksel kredilendirme süreçlerindeki olumsuzlukların azaltılabilmesi, sürdürülebilirlik konusundaki faaliyetlerde ortak standartların oluşturulabilmesi ve etik bankacılık uygulamalarının yaygınlaşabilmesi için sektörün sıkı bir düzenleme ve denetlemeye tabi tutulması gerekmektedir.

Rekabetin yoğun yaşandığı bankacılık sektöründeki çalışanların hata yapmalarına yol açan yüksek hedefler verilmesi uygulamaları kontrol altına alınmalıdır. Sektördeki yöneticilerin, çalışanlarına verdikleri hedeflerin de sürdürülebilir olması gerekmektedir. Çünkü hedef tutturamama stresi, etik dışı uygulamalara dolayısıyla hatalara, asimetrik bilgiden, asil/vekil ilişkisinden kaynaklanacak sorunlara yol açabilecektir. Bu sıkıntılar sadece bankacılığı değil, ekonominin tümüne yansıyabilmektedir. Çünkü "bankalar hem mali kesim hem de ekonominin geneli açısından çok önemli olduğu için bankacılık sektöründeki sorunlar ve krizler de ekonominin geneline hızlıca yayılabilmektedir. Bu çerçevede bankaların denetimi ve denetlemeler sonucunda gerekli önlemlerin alınması çok önemli bir hususdur" (Günal, 2010: 199).

## 6. SONUÇ

İklim değişikliği ve Covid-19 gibi salgın hastalığın iktisadi hayata etkisi şiddetli olmaya başlamıştır. Özellikle küreselleşen piyasalardaki daralan pazar hacminin neden olduğu ticaret savaşları; toplumsal ve politik çevredeki değişikliklerin neden olduğu savaşların ortaya çıkardığı göç hareketleri; teknolojik ve doğal çevrede yaşanan, öngörülmeyen değişiklikler risk yönetimindeki temel belirsizlikleri, zorlukları göstermektedir. Bu olaylar ve küresel sistemdeki finansal dönüşümler, küresel ticaretin her geçen gün artan hacmi ve karşı karşıya kalınan risk ve fırsatlar, işletmelerin bu süreçten zarar görmemeleri adına kurumsal risk yönetim alt yapılarını oluşturmaları gerekliliğini gündeme getirmiştir. Bu yapıların inşasında temel ölçüt, işletmelerin hem kendi sürekliliğini hem de iktisadi sürdürülebilirlik koşullarına göre faaliyetlerini yürütmeleri olmalıdır. Bu yaklaşım çevre dâhil tüm paydaşların menfaatlerini gözetecek bir üretim şeklini gündeme getirmektedir.

Makro ölçekte böyle bir yapının inşası, mikro ölçekteki işletmeleri şekillendirecek kurumlarla mümkün olacaktır. Bu yüzden başta ilgili sektörlerdeki düzenleyici ve denetleyici kurumlara önemli görevler düşmektedir. Onların belirleyeceği çerçeve düzenlemeler kılavuzluğunda, risk yönetim modellerinin

geliştirilebilmesi, uygulanmasının teşvik ve takibinin yapılması da bağımsız düzenleyici ve denetleyici kurumlarca sağlanabilmelidir. Bu konulardaki temel rehber uluslararası standartlar olmalıdır. Örneğin finansal sektör için Basel düzenlemeleri; işletmelerin kuruluş ve faaliyet süreçlerinin düzenlenmesini ve denetlenmesini sağlayacak ISO gibi standartlar; işletmelerin finansal başarısızlık riskinin yönetiminde, standart hale getirilmiş finansal raporlama sistemlerinin kurulması ve işletilmesi gerekmektedir. Bunun için de temel şart, tüm yapılarda iç ve dış kontrol süreçlerinin yapılanması ve işletilmesi olmalıdır.

Bu yapılanma sürecinde, bankacılık sektöründeki uluslararası düzenlemeler, ulusal ölçekteki düzenleyici ve denetleyici yapıların sıkı gözetimlerine ilave olarak edindikleri risk yönetimindeki tecrübeler de önelidir. Zira bankaların kurumsallaşma seviyelerinin işletmelere göre yüksek olması; küresel ve yerel standartlara göre işlem yapma kapasitelerinin, onların müşterileri olan işletmelere de yansıtılması sürdürülebilir kalkınmanın sağlanmasında önemli bir katalizör görevi görebilecektir.

Bankaların bu kapasitelerinin, işletmelerdeki kurumsallaşma seviyesinin gelişememesinin veya eksikliklerinin bir nebze giderilebilmesinde şu süreçlerle dolaylı katkısı olabilecektir. Bankaların kredi tahsis aşamasından, kredinin kullandırılması ve kapatılması işlemlerindeki uluslararası standartlara göre operasyonlarını yönetmesi, işletmelerin kurumsallaşma kapasitelerine önemli katkı yapabilecektir. Yani bankaların kredilendirme süreçlerinde, işletmelerin fiziksel, finansal beşeri sermaye kapasitelerine göre ve projelerin iktisadi sürdürülebilirlik ölçütlerine göre finansman sağlanması bu amaca hizmet edebilecektir. İşletmelerin gücüne göre uygun fiyatlamayla kredi tahsisi, işletmelerin finansman maliyetlerini azaltabileceği gibi bankaların kaynaklarının geri dönüşleri mümkün olabilecektir. Aynı şekilde yeşil ekonomi anlayışını taşıyan işletme ve projelere göre kredi kullandırılması, olumsuz dışsallığa neden olmadan iktisadi kalkınma faaliyetleri, sürdürülebilirlik koşullarına göre yürütülebilecektir.

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# Muhasebe Denetimi Ve Denetim Türleri

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**Özet:** Ülkelerin hızlı büyümesi ve gelişmesi, o ülkede yaşayan kişilerin başarılı örgütlenme yapısına bağlıdır. Şirketlerin başarısı ise, hukuka ve muhasebe standartlarına uygun faaliyet göstermelerine göre değişmektedir. Dünya'nın birçok ülkesinde muhasebe ve denetim sistemi gelişmediği için ülkelerin büyümesi ve gelişmesi zorlaşmaktadır. Global Dünya'da ekonomisini geliştirmek isteyen ülkelerin muhasebe sistemini geliştirmesi ve uygulaması gerekmektedir. Aksi takdirde hızla gelişen Dünya'nın gerisinde kalacaktır. Muhasebe ve denetim sistemi, şirketlerin ekonomik faaliyetlerinin Genel Kabul Görmüş Muhasebe İlkelerine uygun ve tutarlı olacak şekilde uygulamaları zorunludur. Denetim, şirketlerin rakamlardan oluşan faaliyetlerinin Genel Kabul Görmüş Muhasebe İlkelerine uygun olup olmadığını incelemesidir. Genel olarak kurallar aynı olmakla beraber, şirketlerin faaliyet alanına ve hizmetine bağlı olarak farklılık gösterebilir. Muhasebe denetimi ülkelerin kalkınması için vergi ödemelerinin kesintisiz yapılması gerekmektedir. Vergi kaçakçılığının önüne geçebilmek için ise denetim sisteminin düzenli ve kurallara uygun olarak yürütülmesi gerekmektedir. Bunun kontrol edilebilmesi için muhasebe kayıtlarının düzenli olarak kaydedilmesi gerekmektedir. Düzenli ve doğru kaydedilen muhasebe işlemlerinin denetimi daha kolay olacaktır. Denetimin en etkin olduğu durum, bağımsız denetim sistemidir.

**Anahtar Kelimeler:** Muhasebe Denetimi, Denetim Türleri, Bağımsız Denetçi, Denetim Görüşleri

## 1. GİRİŞ

Denetim, milattan önce Mısırlılar, Yunanlılar ve Romalılar zamanında kamu hesaplarını kontrol etmek için oluşturulmuş bir sistemdir. Firavunlar zamanında verginin toplanması, incelenmesi ve kayıt altına alınması denetim sürecinin temellerini oluşturmuştur. Birçok eski kaynakta denetimin yapıldığı görülmektedir. Sanayi devriminden sonra denetim sistemi önem kazanarak hızlı bir şekilde gelişme göstermiştir ve uluslararası yaygınlaşarak günümüzdeki yerini almıştır. Denetim sistemi bütün iş kollarında yolsuzluğu ve hileyi önlemek için uygulanmaktadır.

Denetim, istenilen işin doğru ve uygun olarak yapılıp yapılmadığını incelemek, teftiş etmek ve kontrol etmektir. Literatürde denetimin birçok tanımı bulunmaktadır. En temel tanımı, bir işlemin prosedürlere uygun olarak incelenmesi ve bu incelenmenin raporlanmasıdır. Firmaların istedikleri amaca ulaşıp ulaşmadığını denetleyip raporlayan sistemdir. Muhasebe denetimi, mali tablolar denetimi, uygunluk denetimi ve faaliyet denetimi olarak gruplara ayrılmaktadır. En yaygın denetim türü olan mali tablolar denetimi işletmenin mali işler departmanında hesapların doğru ve genel kabul görmüş muhasebe ilkelerine göre hazırlanıp hazırlanmadığını kontrol etmektedir. Uygunluk denetimi, işletmenin yönetiminin ve yetkili kişilerin kurallara uygun olarak çalışıp çalışmadığını incelemektedir. Son olarak faaliyet denetimi ise, işletmenin herhangi bir bölümünde istenilen hedeflerin yapılıp yapılmadığını kontrol etmektedir.
Denetim işlemini yürüten kişilere denetçi denilmektedir. Denetçi, bağımsız ve meslek bilgilerine sahip kişilerdir. Bağımsız denetçi, iç denetçi ve kamu denetçisi olarak üç denetçi türü bulunmaktadır. Bağımsız denetçi, denetlenen firmanın dışında çalışan, denetlenen firma ve yetkililerle bir bağı olmayan kişilerdir. En güvenilir denetim türü bağımsız denetçilerin yaptığı denetim türüdür. İç denetçi, işletme yönetimine bağlı ücretli çalışan ve uygunluk denetimi yapan kişilerdir. Kamu denetçisi ise, kamuya bağlı çalışan ve kamu kurum ve kuruluşlarını denetleyen kişilerdir. Denetçiler genel kabul görmüş muhasebe standartlarına vâkıf kişilerdir. Bağımsızlık, mesleki eğitim ve mesleki muhakeme denetçilerin temel özellikleridir. Denetçi, denetim sonucunda görüş bildirmek zorundadır. Çalışmalarını rapor hâline getirerek görüş bildirir. Denetçiler görüşlerini olumlu, olumsuz, şartlı olumlu ve görüş bildirmekten kaçınma olarak dört şekilde bildirirler.

## 2. DENETİMİN TARİHSEL GELİŞİMİ

Denetim süreci insanların topluluklar halinde yaşamaya başladığından sonra anlam kazanmaya başladığı bilinmektedir. İnsanların kurdukları devletler ve beyliklerin oluşumu, ekonomik menfaatlerin önem kazanması denetim sürecinin gelişmesini hızlandırmıştır (Şentürk, 2017: 4). Muhasebe denetiminin ilk kez nerede, ne zaman ve nasıl başladığına dair kesin kanıtlar bulunmamaktadır. Denetimin tarihsel gelişiminin, ekonomik olayların tarihsel gelişimi ile yakından ilgili olduğu söylenebilir. Buna göre muhasebe denetiminin başlangıcı M.Ö 3000'li yıllara kadar gidebilmekte, yine bu dönemde Eski Roma ve Mısırlılarda denetimle ilgili uygulamalara rastlandığından bazı kaynaklarda söz edilmektedir (Haftacı, 2016: 1).

Denetim sürecinin gelişmesi ilk olarak kamu hesaplarının denetlenmesi ile başlamıştır. 2000 yıl önce Mısırlılar, Yunanlılar ve Romalıların bütün kamu hesapları ile muhasebe sorumlularının denetimi için kullanılmıştır. Yunan ve Roma İmparatorluklarının kamu hesaplarından sorumlu olan kişilerin, düzenli olarak yetkililere sözlü rapor vermesi gerektiğini eski kaynaklarda görmemiz mümkündür. (Şentürk, 2017: 4). M.Ö 3000 yıllarında Ninova ve Babil'de denetim ile ilişkili bulgulara rastlanmıştır. Mısır'da Firavunlar zamanında, vergilerin hesaplanması amacıyla birçok kayıtların tutulduğu bilinmektedir. Atina'da M.Ö 300 senelerinde kamu maliyesinin bir denetleme organına sahip olduğu ortaya çıkmıştır (Bozkurt, 1985: 5).

Hesap verme sorumluluğu 17. Yüzyıl İngiltere'sine dayanmaktadır. 17. Yüzyılın sonlarında, 1690 yılında İngiltere'de Kamu hesapları komitesi oluşturulmuş ve İngiliz Sayıştay'ı kurulmuştur. Kamu ekonomisindeki parlamentonun üstünlüğü ilkesi de ilk kez bu dönemde yaşama geçirilerek yasama organının yürütmeyi kontrolü esası benimsemiştir (Çankaya, 2014: 53). Sanayi devriminden önce muhasebe denetimi meslek olarak görülmektedir. Sanayi devriminden sonraki zamanlarda muhasebe denetimi büyük gelişmeler göstermiştir. Bunun sonucunda; yaklaşım, amaç ve ilgili taraflar açısından büyük aşamalar ortaya çıkmıştır (Bozkurt, 1985: 5).

1920 ile 1960 yılları arasında şirketler büyüdükçe yöneticilerinde elinde bulunan muhasebe ve diğer görevleri devredilmiştir. Sorumluların işlem alanı arttıkça şirket kayıtlarında hatalar ve aynı zamanda dolandırıcılık daha fazla hale gelmiştir. Hata ve dolandırıcılık işlemlerini anlayabilmek amacıyla yönetim birimlerine iç kontrol sistemi girmiştir (Şentürk, 2017: 5).

1960-1990 yılları arasında bilgisayarın hayatımıza girmesiyle ile denetlenen kuruluşların bir unsuru olarak denetim firmaların da bir denetim inceleme aracı olarak bilgisayarın önemi artmıştır. 1990'ların başından itibaren, toplumun ve kurumsal yönetim konularında ilgili düzenleyicilerin artan endişe ile uyumlu olarak, denetim mesleğinin tespit ve dolandırıcılık raporlama gibi denetlenen konusunda şüpheleri değerlendirmek için daha açık rapor sorumluluğu artmıştır (Şentürk, 2017: 5). 1930'lu yıllardan sonra gelişim hızlanarak sürmüştür. Bu dönemde özellikle örnekleme çalışmalarında çok fazla gelişmeler olmuştur. İşletmelerin içerisinde gelişmiş iç kontrol yapıları kurmaları, denetçilerin çalışmalarını yönlendirmeye başlamıştır (Bozkurt, 2015: 24).

## 3. DENETİM KAVRAMI

Türkçe'de denetim için kullanılan anlam, Türk Dil Kurumunun yaptığı tanımda karşılığını bulmaktadır. TDK tanımına göre "*denetleme, bir işin doğru ve yöntemine uygun olarak yapılıp yapılmadığını incelemek, murakabe etmek, teftiş etmek, kontrol etmektedir*." Hukuki anlamda ise "*gerek devlet daire ve teşkilatının ve gerek özel hukuk hükümlerine göre kurulmuş kuruluşların kamu menfaati noktasından kanun, nizamname ve statüleri hükümlerine uygun olarak çalışıp çalışmadıklarının tetkik edilmesidir*". Avrupa komisyonu da denetimin tanımını yapmıştır. Tanıma göre en genel denetim, bir işlem, prosedür veya raporun her bir yönünü doğrulayacak şekilde ve sonradan yapılan bütün incelemedir (Kurnaz vd., 2010: 11).

Dilimize muhasebe denetimi olarak çevrilebilen denetim tanımının Anglosakson Ülkelerindeki karşılığı "*auditing*" dir. Auditing kelimenin kökeni, Latince "dinleme veya işitme" anlamına gelen "*audire*" fiiline dayanmaktadır (Bozkurt, 2015: 23). Dar anlamda denetim, işletmelerin finansal tablolarını ve muhasebe sürecindeki kayıtların incelenmesidir (Şentürk, 2017: 8). Genel anlamda muhasebe denetimi, bir firmada istenilen amaca ulaşılıp ulaşılmadığını veya hangi ölçüde ulaşıldığını araştırmaktadır (Dalak, 2000: 2). Denetim, denetlenecek unsurlara ilişkin olarak önceden belirlenmiş kriterlere uygunluk derecesini

belirlemek için denetlenecek unsurlar hakkında tarafsız olarak kanıt toplaması, toplanan kanıtların değerlendirilmesi ve elde edilen sonuçların raporlanması faaliyetlerinden oluşan sistematik bir süreçtir (Gücenme, 2004: 1).

Denetim, belli bir ekonomik birime ait rakamlarla ifade edilebilir bilgilerin önceden tespit edilmiş kıstaslara uygunluk derecesini belirlemek ve bu konuda ilgili kişilere bir rapor vermek amacıyla bağımsız bir uzman denetçi tarafından yapılan kanıt toplama ve bu kanıtları değerlendirme sürecidir (Durmuş vd., 2008: 5). Muhasebe denetimi, bir ekonomik birim veya döneme ait bilgilerin önceden belirlenmiş ölçütlere uygunluk derecesini araştırmak ve bu konu üzerine bir rapor düzenlemek amacıyla bağımsız denetçi tarafından yapılan kanıt toplama ve değerlendirme sürecidir (Bozkurt, 2015: 29).

## 4. DENETİM TÜRLERİ

İşletme yetkilileri ilgilendikleri bilgilerin güvenilir olup olmadığı konusunda görüş bildirmektedir. Yetkililerin ilgi alanlarına göre yapılan denetim çalışmaları çeşitlilik göstermektedir. Genel olarak üç farklı alanda denetim çalışması yapılmaktadır. Amaçları bakımından denetim türleri kısaca şu şekildedir (Bozkurt, 2015: 33).

- **Mali Tablolar Denetimi**

Bu denetim çalışmasında, işletmelerin mali tablolarının, mali durumu ve faaliyet sonuçlarını, doğru, dürüst, genel kabul görüş muhasebe ilkelerine ve yasal düzenlemelere uygun olarak düzenlenip düzenlenmediğine dair görüş oluşturmaya çalışır. Mali tabloların denetiminde denetçinin dayanağı olan önceden saptanmış ölçütlerin temeli, genel kabul görmüş muhasebe ilkelerine dayanmaktadır. Bunun yanı sıra ülkeden ülkeye farklılık gösteren yasal düzenlemelerde ölçüt olarak kullanılmaktadır (Bozkurt, 2015: 33).

- **Uygunluk Denetimi**

Bir şirketin finansal işlemlerinin ve faaliyetlerinin, işletme yönetimi, yasama organı ya da diğer yetkili kişi ve kuruluşlarca belirlenmiş yöntemlere, kurallara ve mevzuatlara uygun olup olmadığının incelenmesi sürecine uygunluk denetimi denir (Durmuş vd., 2008: 14). Nihai amacı herhangi bir mevzuata uygun davranılıp davranılmadığını incelemektir. Uygunluk denetimi, işletme çalışanı tarafından gerçekleştirilir (Gönül, 2008: 7).

- **Faaliyet Denetimi**

İşletmenin veya işletme içi herhangi bir bölümün belirli bir dönemdeki faaliyetlerinin sistematik olarak gözden geçirilmesidir. Faaliyet denetimi, işletme faaliyetlerinin verimliliğinin ölçülmesi amacıyla faaliyet sonuçlarının verimlilik standartları ya da önceden belirlenmiş hedeflerle karşılaştırılması suretiyle yapılan denetim türüdür (Gücenme, 2004: 2).

## 5. DENETÇİ VE DENETÇİ TÜRLERİ

Denetim eski Mısır ve Asurlular gibi büyük medeniyetlerde de uygulanmış eski bir meslektir. İşlemlerin bugüne göre az ve basit olduğu zamanlarda hesapların kontrolü ile görevlendirilen kişi, harcamalar için kullanılan işlemlerin miktar ve içeriklerini okutur ve hesaplar hakkında fikir söyler (Şentürk, 2017: 20).

### 5.1 Denetçinin Tanım

Denetim çalışmalarını sağlayan, mesleki bilgi ve deneyime sahip, çalışmalarında tarafsız davranabilen yüksek ahlaki özellikler taşıyan uzman kişilere denetçi denir. Bir başka tanıma göre ise denetçi, denetim faaliyetlerini kendisine meslek edinmiş, mesleki bilgi ve deneyime sahip, tarafsız davranabilen ve yüksek ahlaki nitelikler taşıyan uzman kişilerdir (Şentürk, 2017: 20).

Tanımdan da anlaşılacağı gibi denetçinin bazı özellikleri taşıması gerekir. Denetçiler (Haftacı, 2016: 13);

- Gerekli mesleki bilgi ve deneyime sahip olmalıdır,
- Bağımsız olmalıdır,
- Yüksek ahlaki nitelikler taşımalıdır.
- Çalışma yaparken gerekli mesleki özen ve dikkati göstermelidir.

### 5.2 Denetçi Türleri

Denetçilerin bağımsız olma özelliği ile yaptığı denetim faaliyetine ilişkin olarak farklı denetçiler ortaya çıkmaktadır. Denetçileri genel olarak sıralamak gerekirse şu şekilde sınıflandırılır (Gönül, 2008: 8).

- Bağımsız Denetçiler
- İç Denetçiler
- Kamu Denetçiler

#### 5.2.1 Bağımsız Denetçiler

Denetim mesleğinin ileri düzeyde olduğu gelişmiş ülkelerde bağımsız denetçiler önemli bir konuma sahiptirler. Bağımsız denetçiler işverene bağlı olarak çalışmazlar. Tamamen işletmelere denetim hizmeti sunmak için bağımsız olarak görev alırlar. Bu özellik bağımsız denetçileri diğer denetçilerden ayrı kılmaktadır (Haftacı, 2016: 15). Bağımsız denetçiler, denetledikleri işletmelerin işverenlerine bağlı olmadan denetim yapan kişilerdir. Bağımsız denetçilere farklı ülkelerde Dış Denetçi, Fermanlı Muhasip, Hesap Uzmanları gibi isimler verilmektedir. Ülkemizde ise, Yeminli Mali Müşavir ya da Dış Bağımsız Denetçi olarak adlandırılmaktadırlar (Bozkurt, 2015: 37; Haftacı, 2016: 15; Gönül, 2008: 8). Çok farklı alanlarda hizmet veren bağımsız denetçilerin en önemli çalışma alanları işletmelerin finansal mali tablolarını denetlemektedir. (Bozkurt, 2015: 38; Haftacı, 2016: 15; Bozkurt, 1985: 11).
Mali tablolar çeşitli karar birimlerini yakından ilgilendirir. Bu tablolar aynı zamanda ülkelerin iktisadi hayatında önemli bilgi verirler. Bundan dolayı bağımsız denetçilerin yaptığı işlemlerin ülke ekonomisi için çok önemli işlevleri vardır. Bunların dışında bağımsız denetçiler uygunluk ve faaliyet denetimi işlemlerini de yapmaktadırlar. Denetçiler serbest çalışanlar olduğu için belirli ücret karşılığında faaliyet göstermektedirler (Haftacı, 2016: 15).

#### 5.2.2 İç Denetçiler

İç denetçiler işletme içinde çalışan ya da işletme dışından ücret karşılığında işverene bağlı olarak denetim faaliyetlerini yürüten kişilerdir (Haftacı, 2016: 15; Çankaya, 2014: 63; Bozkurt, 2015: 39). İşletmede çalışanlar tarafından yapılabilecek hata ve hilelerin önlenmesi ve bunların tespit edilmesi için yapılan denetim türüdür (Gücenme, 2004: 3). İç denetim mesleği ikinci dünya savaşından sonra gelişmeye başlayarak daha yaygın hale gelmeye başlamıştır (Bozkurt, 1985: 11).
İç denetim, üst yöneticilerin aldıkları kararların bir yansıması olan yönetmeliklere ve yazılı emirlere uyulup uyulmadığını tespit etmekle sorumludur. İç denetçiler, işletme içerisinde olumsuz gelişmelere söz konusu ise bu konuyu üst yönetime raporlamakla görevlidirler (Kurnaz vd., 2010: 26). İç denetçilerin görevi işletme yönetimin istekleri doğrultusunda denetim hizmeti vermektir. İç denetçilerin yaptığı birkaç görev şu şekildedir (Bozkurt, 2015: 39).

- İşletmeye ait varlıkların yeteri kadar korunup korunmadığını araştırmak,
- Muhasebe belgelerinin güvenilir olup olmadığını belirlemek,
- İşletme yöneticilerinin belirledikleri prosedürlere uyulma derecesini izlemek,
- İşletme sahiplerinin ve yöneticilerinin istedikleri özel araştırmaları yaparak, yönetime sunmak,
- Bağımsız denetçilerle bazı konularda işbirliği yapmak.

İç denetim, mali tablolar, uygunluk ve faaliyet denetimini kapsayan işletme içinde kurulmuş bir inceleme ve değerleme işlevidir. İç denetim için zorunlu olarak belirlenmiş bir süre olmadığı için diğer denetimlerden farklı olarak sürekli denetim niteliğindedir (Kurnaz vd., 2010: 18).

### 5.2.3 Kamu Denetçileri

Kamu kurumlarına bağlı olarak çalışan ve kamu yararına uygun olarak denetim yapan kişilere kamu denetçisi denir. Diğer denetçiler gibi mali tablo, uygunluk veya faaliyet denetimi yaparlar (Kurnaz vd., 2010: 18; Bozkurt, 2015: 39). Kamu denetçileri, Bakanlıklar ve kamu kuruluşlarına bağlı olarak çalışan kişiler tarafından yapılmaktadır. Kamu denetçileri Türkiye'de kamu kuruluşlarının ve özel işletmelerin faaliyetlerini denetlemek olarak iki gruba ayrılırlar (Haftacı, 2016: 16). Türkiye'de özel işletmeleri denetleme yetkisi olan kurumların birkaç tanesi şu şekildedir (Haftacı, 2016: 16; Bozkurt 2015: 39):

- Maliye Bakanlığı Hesap Uzmanları, Müfettişleri ve Gelir Kontrolörleri,
- Sosyal Güvenlik Kurumu Müfettişleri,
- Çalışma ve Sosyal Güvenlik Bakanlığı Müfettişleri

Kamu denetçilerinde bulunması gereken bazı özellikler ise şu şekildedir (Gönül, 2008: 9);

- Denetçi bağımsız olmalıdır,
- Gerekli mesleki bilgi ve beceriye sahip olmalıdır,
- Yüksek ahlaki nitelikleri olmalıdır,
- Denetim esnasında gerekli özeni göstermelidir. vd.

## 6. GENEL KABUL GÖRMÜŞ DENETİM STANDARTLARI

### 6.1 Genel Açıklama

Denetçinin yapmış olduğu denetim işleminin güvenilir olması, denetim mesleğinin en önemli taşlarından birisidir. Bunu sağlamak, denetçinin denetim çalışmaları sırasında önceden belirlenmiş ölçütlere uygun olarak hareket etmesine bağlıdır. Yasalar ya da mesleki kuruluşlar tarafından belirlenmiş, meslek mensupları tarafından genel kabul görmüş denetim uygulamalarının kalitesini ölçen ölçütlere denetim standartları denir (Haftacı, 2016: 24).

Her meslekte olduğu gibi denetçilerin de uyması gereken bazı kurallar vardır. Devam ettirilen denetim çalışmalarının kalitesini kontrol altında tutabilmek için bazı standartlar oluşturulmuştur. Bu standartların hepsine Genel Kabul Görmüş Denetim Standartları denilmektedir (Bozkurt, 2015: 41). Denetim standartları, denetçiye mesleki sorumluluğunu yerine getirmesinde yardımcı olan ve denetçiye denetim faaliyeti sırasında yol gösteren genel ilkelerdir. Uygulanan denetimin doğru ve geçerli kabul edilmesi için denetleyicinin bu ilkelerden hiçbir zaman ayrılmaması gerekir (Gücenme, 2004: 31). Genel kabul görmüş denetim standartları ilk defa 1947 yılında Amerikan Yeminli Serbest Muhasebeciler Enstitüsü (AICPA) tarafından kabul edilmiştir. Yayınlanan Genel kabul görmüş muhasebe standartları birçok ülkede kabul edilerek günümüze kadar gelmiştir (Gücenme, 2004: 31; Bozkurt, 2015: 41). Genel kabul görmüş denetim standartları, 3 ana bölüm olmak üzere 10 madde olup, bunlar şu şekildedir (Durmuş vd., 2008: 27):

**1. Genel standartlar**

- Eğitim ve deneyim
- Bağımsızlık
- Mesleki dikkat ve özen

**2. Çalışma alanı standartları**

- Planlama ve gözetim
- İç kontrol sistemini inceleme
- Kanıt toplama

**3. Raporlama standartları**

- Genel kabul görmüş muhasebe ilkelerine uygunluk
- Genel kabul görmüş muhasebe ilkelerine devamlılık
- Tam açıklama

- Görüş bildirme

### 6.2 Genel Standartlar

Üç standarttan oluşan genel standartlar bölümü, denetçinin hangi özelliklere sahip olması gerektiğini açıklamaktadır (Bozkurt, 2015: 43).

#### 6.2.1 Mesleki Eğitim ve Deneyim

Denetçinin yeterli eğitim ve deneyimi olmazsa tam anlamıyla denetim yapamaz. Denetçinin muhasebe, istatistik, hukuk, denetim, maliye, vergi ve yasalar alalındaki konularda bilgi sahibi olması gerekmektedir. Birçok ülkede denetçilerin yeterli eğitimi alıp almadığını ölçmek için özel sınavlar yapılmaktadır (Gücenme, 2004: 33). Denetim görevi yeterli bilgi ve beceriye sahip kişiler tarafından yapılmalıdır (Durmuş vd., 2008: 27; Haftacı, 2016: 25).
Denetçiler, denetim hakkında yeterli mesleki eğitim ve deneyime sahip kişiler olmalıdır. Muhasebe denetimi için denetçilerin uzmanlık belgesine sahip ve denetim faaliyetinde belirli süre çalışmış kişilerin bilgi ve yeterliliğe sahip olduğu düşünülmektedir (Durmuş vd., 2008: 27)."

#### 6.2.2 Bağımsızlık

Denetçiler, denetim yaptıkları firmalara kesinlikle tarafsız davranmalıdırlar. Tarafsızlık, denetçinin bağımsız olmasıyla gerçekleşir. Denetim faaliyetlerinin gerçekleştirilmesinde, sonuçların değerlendirilmesinde ve denetim raporunun oluşturulmasında tarafsız kimliğe sahip olunmalıdır (Bozkurt, 2015: 43). Bağımsızlık, denetim mesleğinin en temel kavramını oluşturmaktadır (Şentürk, 2017: 50). Bağımsızlık standardı, denetçinin firma baskısına karşı koyabilme ve alacağı karara tarafsız kalabilme yeteneğine sahip olması gerektiğini öngörür (Haftacı, 2016: 25).

#### 6.2.3 Mesleki Dikkat ve Özen

Denetçi, denetim çalışması esnasında gerekli mesleki özen, dikkati ve çabayı titizlikle göstermelidir. Denetçiden beklenen, uzmanlık alanındaki özeni ve dikkatli olmayı ortaya koymasıdır (Durmuş ve Taş, 2008: 28). Denetçiler, denetim sırasında çıkar çatışmalarından uzak kalmalı ve denetim faaliyetini sürdürürken gereken mesleki özen ve titizliği göstermelidirler. Denetçiler, görevini yaparken topluma ve devlete karşı sorumluluk taşırlar. İşletme yöneticilerine, doğru karar alabilmeleri için güvenilir bilgi sağlarlar (Gücenme, 2004: 40).

### 6.3 Çalışma Alanı Standartları

Genel kabul görmüş denetim standartları dikkate alınarak denetçinin denetim faaliyetleri sırasında uyması gereken kuralları belirlenir (Durmuş vd., 2008: 28).

#### 6.3.1 Planlama ve Gözetim

Denetim çalışması, kendine ait bazı özellikleri bulunan bir projedir. Bu proje bir faaliyet olarak başlatılır ve bu şekilde sürdürülerek bitirilir. Projenin hayata geçirilmesi için ilk önce bir denetim planının hazırlanması gerekmektedir (Bozkurt, 2015: 45). Bu standarda göre denetçinin, denetim yapacağı çalışmayı mutlaka detaylı bir şekilde planlaması gerekmektedir. Denetimde bulunan denetçi, yardımcılarının yaptıkları işlemleri devamlı izleyerek yetişmelerini sağlayacak şekilde gözetlemelidir (Haftacı, 2016: 26).

#### 6.3.2 İç Kontrol Sisteminin İncelenmesi

İç kontrol sisteminin detaylı olarak incelenmesi için denetçi, uygulanacak denetim işlemlerinin kapsamını, ayrıntı derecesini ve işletmede içinde kullanılan iç kontrol sisteminin etkinliğini bulmalıdır (Durmuş vd., 2008: 30). Denetim çalışmalarına yön veren en önemli aşama, işletmenin iç kontrol yapısının güvenilir bilgi sağlamadaki başarısı hakkında verilecek karardır (Bozkurt, 2015: 45).

### 6.3.3 Kanıt Toplama

Denetimin sonunda elde edilen kanıtlar, denetçinin yaptığı çalışmalarla işletmenin içinden ya da dışındaki kaynaklardan elde edilir. İşletme dışından elde edilen kanıtlar, işletme içindeki kaynaklara göre daha üstündür (Durmuş vd., 2008: 30). Herhangi bir finansal tablo üzerinde bilgi ve düşüncenin oluşturulmasına ilişkin bir nesne ya da algılanan durumdur (Şentürk, 2017: 52). Bağımsız denetçilerden mali tabloların durumu hakkında görüş oluşturabilmeleri için gerekli sayıda kanıt toplamaları gerektiğini bildirir (Bozkurt, 2015: 46).

## 6.4 Raporlama Standartları

Her denetim çalışmasının sonunda düzenlenen denetim raporunda bulunması gereken özellikler bu standardın içinde yer alır (Bozkurt, 2015: 46). Denetçinin görüşlerini ve kanaatini eksiksiz bir biçimde belirtmesi ile ilgili ilke ve düzenlemeleri içermektedir (Şentürk, 2017: 52).

### 6.4.1 Genel Kabul Görmüş Muhasebe İlkelerine Uygunluk

Denetçinin hazırlayacağı denetim raporunda müşteri, işletmenin finansal tablolarının genel kabul görmüş muhasebe ilkelerine uygunluk derecesini belirtmelidir (Haftacı, 2016: 27; Bozkurt, 2015: 46).
Denetçi, denetimini yaptığı işletmenin muhasebe kayıtlarının işlenmesi ve finansal tablolarının düzenlenmesi sırasında genel kabul görmüş muhasebe ilkelerine uygun olup olmadığını araştırmak, incelemek ve son olarak görüşünü bildirirken bu ilkelere uygunluğunu denetim raporunda belirtmelidir (Şentürk, 2017: 52). Mali tabloların düzgün ve güvenilir olup olmadığının belirlenmesinde muhasebe ilkeleri önemli konumdadır (Bozkurt, 2015: 46).

### 6.4.2 Genel Kabul Görmüş Muhasebe İlkelerine Devamlılık

Denetimi yapılan işletmenin denetlendiği yıl ve bir önceki yıla ait mali tablolarında yer alan bilgilerin karşılaştırılabilir özelliğin olup olmadığının kontrol edilmesidir (Bozkurt, 2015: 47). Denetçi hazırlayacağı raporda muhasebede kullanılan yöntem ve politikaların belirli zamanlarda değiştirilmediğini, aynı yöntemde kullanılmış olduğunu belirtmelidir (Haftacı, 2016: 27). Muhasebede uygulanan yöntemlerin birbirini takip eden dönemlerde ve yıllarda değişmeden uygulandığını ifade etmelidir (Şentürk, 2017: 52).

### 6.4.3 Tam Açıklama

Denetçi, finansal tabloların doğru ve güvenilir olduğunu, genel kabul görmüş muhasebe ilkelerine göre düzenlendiğini ve yeterli bilgileri kapsadığını denetim raporunda belirtmelidir (Haftacı, 2016: 27). Finansal tabloların, daha sonra bu tablodan yararlanacak kişi ve kurumların doğru karar vermeleri için yeterli, açık ve anlaşılır olması gerekmektedir (Şentürk, 2017: 53). Finansal tablolarda yer alan sayısal bilgilerin yanında, yöneticilerin yeterli bir biçimde bilgilendirilmelerini sağlamak amacıyla dipnotlar halinde bilgi vermelidir. Denetçi bu bilgilerin yeterince açıklayıcı olup olmadığını raporunda belirtmelidir (Bozkurt, 2015: 47).

### 6.4.4 Görüş Bildirme

Denetim sonucunda denetim raporu açıklanır. Denetim raporu, mali tablolarla ilgili bir görüş bildirmeli eğer görüş bildirmiyorsa bunu nedenleriyle açıklamalıdır (Durmuş vd., 2008: 32). Denetçinin, finansal tabloları incelemesi sonunda görüşünü raporunda belirtmesi gerekmektedir (Bozkurt, 2015: 47). Denetçi, gerçekleştirmiş olduğu denetimin sonunda incelediği mali tablolarla ilgili olarak görüşünü denetim raporunda açıklamalıdır (Haftacı, 2016: 27). Genel kabul görmüş denetim standartları denetçiye görüş bildirmesi için dört seçenek sunar. Bunlar şu şekildedir (Bozkurt, 2015: 47).

- **Olumlu Görüş:** Firmanın mali tablolar ile yıllık faaliyet raporunun; kanuna, esas sözleşmedeki finansal raporlamaya ve Türkiye Muhasebe Denetim Standartları'na uygun olduğunun doğrulanmasıdır. Bağımsız denetçinin, firmanın kayıtlarının durumu ve güvenirliği hakkındaki şüpheler sebebiyle şirket mali tabloları hakkında yeterli ve uygun delili toplayamaması nedeniyle olumlu görüş bildirmesini engeller (Çankaya, 2014: 114).

- **Şartlı Olumlu Görüş:** Denetçinin incelediği mali tablolar hakkında tam anlamıyla olumlu görüş taşımasına rağmen, bazı konulardaki eksiklik ya da hatalardan dolayı şartlar koyması veya bu eksik konuların dikkate alınmasını belirtmesi durumudur (Durmuş vd., 2008: 33).

- **Olumsuz Görüş:** Firmanın mali tabloları, genel kabul görmüş muhasebe ilkelerine uygun olmaması veya nakit akışlarındaki firmanın finansal durumunu gerçek sunmaması bu ve benzeri durumlarda denetçinin vereceği görüştür (Şentürk, 2017:54). Olumsuz görüş bildirmek, firmanın finansal tabloları ile yıllık faaliyet raporunun; kanuna, esas sözleşmedeki finansal raporlamaya ve Türkiye Muhasebe Denetim Standartları'na göre doğru olmadığının kanıtıdır (Çankaya, 2014: 117). Denetçi, anlaşmazlık etkisi finansal raporun doğru olmadığını ve yanıltıcı olduğu sonucuna varırsa olumsuz görüş yazabilir (Şentürk, 2017: 54).

- **Görüş Bildirmekten Kaçınma:** Denetçinin bazı durumlar sebebiyle raporunda görüş bildirmemesidir. Denetim kapsamında denetçi, bir sınırlama veya denetim görüşünü desteklemek için yeterli kadar kanıt elde edemediği zaman görüş bildirmekten kaçınabilir (Şentürk, 2017: 54). Denetçinin görüş bildirmesini engelleyen bazı durumlar vardır bunlar şu şekildedir (Çankaya, 2014: 118); Denetçi, denetim yaparken çalışmasının büyük ölçüde engellenmesi ve işletmenin gelecekle ilgili önünde büyük sorunların ve belirsizliklerin olmasıdır.

## SONUÇ

Şirketlerin yaşamını sürdürmek için karşısına çıkan engelleri kaldırması gerekir. Şirketler geleceğe yönelik, kısa ve uzun vadeli planlar yapar, bu planları uygulamak için gerekli şartları uygulamaya çalışır. Bunları yaparken hukuka ve muhasebe standartlarına bağlı kalmaları gerekir. Muhasebe sisteminde kullanılan verilerin güvenilir olması ve gerçeği yansıtması aranır. Denetim yapılırken, şirketlerin muhasebe kayıtlarının gerçeği ne oranda yansıtıyor ve oluşturulan kayıtların güvenilir olup olmadığı araştırılır.

Toplumların gelişmesi yaşadıkları ülkedeki ekonomiye bağlıdır. Ekonomiyi oluşturan ise toplumlardır. Devletin toplumdan almayı beklediği vergiler vardır. Bu vergilerin eksiksiz ve hatasız ödenmesi için, şirketlerin şeffaf olması gerekir. Genel Kabul Görmüş Muhasebe İlkelerini dikkate alarak mali tablolarını hazırlayan şirketler geleceğe güven verirler. Şirketler bağımsız denetçi ile denetlenmelidir, denetçiler uyması gereken kurallar çerçevesinden çıkmadan tarafsız ve bağımsız bir şekilde mali tabloların güvenilirliğini araştırmalı ve tespit etmelidir. Bu işlemlerin nasıl yapılması gerektiği makalede yer almaktadır. Bağımsız denetçi, kullanıcılara olumlu ve olumsuz olarak rapor sunar. Bu rapora bağlı olarak ise, şirketin geleceği ve güvenilir olup olmadığı anlaşılır. Bu bilgilerin şirketten tamamen bağımsız kişiler tarafından objektif bir şekilde yapılması gerekmektedir. Bütünlük, doğruluk ve tarafsızlık incelenmiş ve doğrulanmış bilgi, güvenilir olarak kabul edilir.

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# Çevreci Davranış Ölçeklerinin İncelenmesine Yönelik Literatür Araştırması

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**Özet:** Bu çalışmanın amacı bireylerin ve çalışanların çevreci davranışlarını ortaya çıkarmaya yönelik kullanılan ölçeklere ilişkin boyutları ve ifadeleri ortaya çıkarmayı amaçlamıştır. Bu kapsamda araştırma yöntemi olarak bütünleştirici literatür değerlendirme yöntemi kullanılmıştır. Ölçeklerin ortaya konulması amacıyla Elsevier's Scopus veri tabanında yer alan ve 2020 yılında yapılmış çalışmalar incelenmişitir. Çevreci davranış kavramına ilişkin yapılan aramada 609 çalışmaya rastlanmıştır. Ayrıca 26 dergide kavrama ilişkin çalışmalara yer verildiği tespit edilmiştir. 609 çalışma içerisinde dergiler, konferans bildirileri, değerlendirmeler, kitap bölümleri ve kitap olarak yer verilen çalışmalardan oluşmaktadır. Bu çalışada araştırma makalesi olarak sınırlandırılmıştır. Ayrıca 26 dergi içerisinde sadece çevre psikolojisi dergisinde yer alan 49 makale incelenmiştir. Çalışma sonucunda incelenen makalerden sadece 5'inde çevre dostu davranışlarla ilgili ölçek ifadelerinin bulunduğu tespit edilmiştir. Uzman görüşü alınmak koşuluyla bu ölçeklerin Türkçe çevirileri yapılmıştır. Ölçeklerin Türkçeleri toplam 5 tabloda yer verilmiştir. Elde edilen bulgular uzmanlar, akademisyenler, yöneticiler ve öğrenciler için yararlı bilgilerin ortaya konulduğu düşünülmektedir. Uygulamalı çevreci davranışları ölçmeye yönelik yapılacak çalışamalarda bu ölçeklerin kullanılması araştırmacılara büyük kolaylıklar sağlayacaktır.

**Anahtar Kelimeler:** Çevre Sorunları, Çevreci Davranışlar, Literatür İncelemesi, Elsevier's Scopus

# Literature Research For The Study Of Environmental Behavior Scales

**Abstract**: The aim of this study was to reveal the dimensions and expressions of the scales used to reveal the environmental behavior of individuals and employees. In this context, the Integrative literature evaluation method was used as a research method. Studies in Elsevier's Scopus database in 2020 have been examined to reveal the scale. 609 studies were found in the search for the concept of environmental behavior. In addition, studies on comprehension were found to be included in 26 journals. 609 the study consists of journals, conference papers, evaluations, book chapters and books. This study is limited as a research paper. In addition, 49 articles in the journal Environmental Psychology were examined in 26 journals. As a result of the study, it was found that only 5 of the articles examined contained scale statements related to environmentally friendly behavior. Turkish translations of these scales were made, provided that expert opinion was obtained. A total of 5 tables are given. The findings are thought to reveal useful information for experts, academics, administrators and students. The use of these scales in studies aimed at measuring applied environmental behavior will provide researchers with great convenience.

**Key Words:** Environmental Problems, Environmental Behavior, Literature Review, Elsevier's Scopus

## 1. GİRİŞ

Günümüzde sanayi devrimiyle beraber küreselleşmenin getirdiği seri üretim ve tüketicilerin refah seviyesinin yükselmesi nedeniyle doğal kaynaklar hızlı bir şekilde tüketilmektedir. Hızlı tüketim beraberinde doğal çevrede; küresel iklim değişikliği, kuraklık, hava, su ve toprağın kirliliği gibi doğaya zarar verici bir takım olumsuzlukların yaşanmasına neden olmuştur (Dursun vd., 2018: 43). Son yıllarda doğanın dengesi daha fazla bozulmakta, iklim değişikliğinden kaynaklı felaketler sürekli yaşanır hale gelmekte ve doğal çevrenin insanlar tarafında katledilmesi ve sorumsuz çevresel davranışlar dünyamızın yaşanabilir bir şekilde yönetilmesini nedereyse imkansız hale getirmiştir. Organize sanayi bölgesinde çalışanları ve yakın bölgede ikamet edenlerin sanayi kaynaklı yaşadıları sağlık problemleri güzelim dünyamıza zarar vermektedir. Diğer taraftan, sanayileşmenin küresel ısınmanın ana aktörü olarak görülmesine karşın, yer küre üzerindeki tüm bireylerin çevreye verdiği zarar da, görmezden gelinemeyecek kadar büyüktür (Turan ve Kılıçlar, 2019: 1207). Bu bağlamda çevresel sorunlar sadece kurumsal kaynaklı değil aynı zamanda insan kaynaklı olduğu görülmektedir. "Tabiatın insanoğlundan intikamı" olarak da açıklanan çevre sorunları, bugün insanoğlunun karşı karşıya olduğu en temel ve yaygın sorunlar arasında yer almaktadır. Çevre sorunları, "insanların bir takım ihtiyaçlarının karşılanması uğruna toprak, su ve havanın zaman içerisinde yapılarının bozularak yaşam özeliklerini kaybetmeleri,

hayvan ve bitki nesillerinin tükenmeye başlaması, ekosistemin doğal yapısının giderek bozulması problemi" olarak açıklanmaktadır (Arslan, 2020: 11).

Çalışmanın esas çıkış noktasını çevresel sorunlar oluşturmaktadır. Çevresel sorunların zararlı etkilerinin hafifletilmesi noktasında; devletlere, toplumu oluşturan bireylere(tüketicilere) ve işletmelere önemli görevler düşmektedir. Başka yaşayabileceğimiz bir dünya olmadığı ve gelecek nesillere de daha yaşanabilir bir çevre bırakılması amacıyla insanlar davranışlarını çevreye zarar vermeme, doğal çevre sorunlarına duyarlı olma gibi önleyici-düzeltici-teşvik edici bir takım davranışlar sergilemelidir.

Bu çalışmanın amacı bireylerin çevreci davranışlarını ortaya koymaya yönelik geliştirilen ölçeklerin incelenmesi olmuştur. Bu noktada çevreci davranışlar gerek bireysel gerekse de çalışan ekseninde geliştirilen ölçekleri incelemek amacıyla Elsiver's Scopus veri tabanında yer alan araştırma makalelerinden faydalanılmıştır. Çalışma literatür incelemesi ekseninde şekillenmiş olup daha önce çevreci davranışları araştıran ve Türkçe diline uyarlama yapılan herhangi bir çalışmaya rastlanmamıştır. Bu bağlamda, çalışmada literatürde kullanılan güncel ölçeklere yer verilerek bu kapsamda incelenen çevreci ölçeklerin bundan sonraki uygulamalı araştırmalarda tercih edilen önemli bir rolmodel olması beklenmektedir.

Çalışma kapsamında ilk olarak çevresel sorunlar ve çevreci davranışlar incelenmiştir. Daha sonraki aşamada çalışma kapsamında çevreci davranışlar ölçeklerine yer verilmiştir. Literatür kapsamında gerekli açıklamalar yapıldıktan sonra sonuç ve değerlendirme kısmına yer verilerek çalışma sonlandırılmıştır.

## 2. Literatür İncelemesi

Çalışmanın bu kısmında çevre sorunları ve çevreci davranış kavramları açıklanmıştır. Çevre sorunları gün yüzüne aniden çıkmamış, zaman içerisinde bir süreç dâhilinde meydana çıkmıştır. İnsan faaliyetleri neticesinde çevreye verilen zararlar, ilk başlarda doğanın kendi kendisini yenileyebilme becerisi sayesinde fark edilmemiş ve zaman içerisinde çevrenin kendini yenileyeceği düşünülmüştür. Fakat zannedilenin aksine çevreye atılan kirletici ve zarar verici madde çeşitlerinin zaman içerisinde artmasıyla birlikte çevrenin kendi kendini yenileyebilme kapasitesinin üzerine çıkılmıştır. Kirletici maddelerin hem nicelik, hem de nitelik bakımından artış göstermesiyle birlikte çevre kendini yenileyememiş ve geri dönüşümünü sağlayamamış, bunun sonucu olarak da hızlı bir biçimde bozulmaya başlamıştır. Temel çevre sorunları hava kirliliği, su kirliliği, toprak kirliliği, gürültü kirliliği ve bazı canlı türlerinin neslinin tükenmesidir (Arslan, 2020: 12).

Çevreci davranış (pro-environmental behavior), geniş kapsamda sosyoloji çalışmalarında, daha dar kapsamlı olarak ise örgütsel davranış çalışmalarında literatürde sıkça inceleme konusu olmuştur. Çevreci davranışlar, bireylerin doğal yaşama olan negatif etkilerini kendi rızalarıyla azaltmaya yönelik olan davranışlar şeklinde açıklanmıştır (Stern, 2000). Yapılan literatür araştırmalarında çevreci davranışları bireysel ve çalışanlar ekseninde incelendiği görülmüştür. Bireylerin çevre konusundaki hassasiyetleri çevre ile ilgili sahip oldukları bilgileri ile yakından ilişkilidir. Çevreci davranışlar, bireyin gösterdiği gayret ve ödün verdiği konfor açısından daha maliyetlidir (Turan ve Kılıçlar, 2019: 1207-1209). Çevresel sorunları azaltmanın en önemli yollarından birisi de toplumu oluşturan bireylerin çevreci davranışlar sergilemelerinin gerekliliğidir. Yapılan araştırmalar toplumu oluşturan bireylerin çevreci davranışlara ilişkin olumlu tutumlarının bulunduğu ama bunu bir türlü davranışlarına yeterince yansıtmadıkları görülmektedir **(**Vermeir ve Verbeke, 2006; Young vd., 2010). Bu doğrultuda çalışanların çevreci davranışları ölçmeye yönelik daha fazla nicel çalışmaya ihtiyaç duyulmaktadır.

### 3. Yöntem

Çalışmanın amacı literatürde yer alan çevreci davranışlara yönelik ölçeklerin incelenerek çevrilerinin yapılması ve bundan sonra yapılacak çalışmalarda çevresel davranışların ölçülmesine yönelik bu ölçeklerin referans olarak görülmesi amaçlanmıştır. Bu kapsamda bütünleştirici literatür değerlendirme yöntemi kullanılmıştır. Literatürde daha önce çevreci davranışları tespit etmeye yönelik kullanılan ölçeklerin ortaya konduğu herhangi bir çalışmaya rastlanmamıştır. Bu bağlamda araştırma Elsevier's Scopus veri tabanında yer alan araştırma makalelerinde kullanılan çevreci davranışlara yönelik ölçeklere yer verilmiştir. Literatür taraması yapılırken öncelikle "sciencedirect.com" sitesine girilmiş ve "Pro-Environmental Behavior" anahtar kelimesi yazılmıştır. Arama yılı olarak 2020 yılında yapılan araştırma

makaleleri baz alınmıştır. Yapılan arama sonucunda 609 çalışmaya rastlanmıştır. Çevreci davranış kavramının kullanıldığı 27 derginin bulundğu tespit edilmiştir. Çalışma kapsamında, "Journal of Environmental Psychology" dergisinde 2020 yılında yayınlanan 49 araştırma makalesinin incelenmesine yönelik çalışma sınırlandırılmıştır. Sonrasında bu makaleler, 2 Mart ila 8 Nisan 2021 tarihleri arasında incelenmiştir. Sonrasında çalışma içerisinde "çevre dostu davranışları" ölçmeye yönelik çalışma içeirsinde yer verilen ölçekler çalışma kapsamında ortaya çıkarılmıştır. Çevreci davranışları ölçmeye yönelik ifadelerin yer aldığı ölçeklerin yer aldığı çalışmalar aşağıda açıklanmıştır.

Tablo 1: Çevreci Davranışlar Ölçeği

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|---|
| 1-Cam ve teneke kutuları, plastik kutuları ve gazeteleri vb. geri dönüşüme göndermek için ayırırım. |
| 2-Zirai ilaçlar ve kimyasal madde olmadan yetiştirilen meyve ve sebzeleri satın alırım. |
| 3-Çevresel sorunları nedeniyle araba kullanımını azalttım. |
| 4- Çevre sorunları nedeniyle evde enerji ve yakıt kullanımını azalttım. |
| 5-Çevre sorunları nedeniyle evde su kullanımını azalttım. |
| 6-Çevreye zarar veren ürünleri satın almaktan kaçınırım. |

İlk olarak Gu vd., (2020) yılında yapmış olduğu çalışmada yer alan ve 6 maddeden oluşan çevreci davranışlar ölçeği Tablo 1'de gösterilmiştir. Bu ölçekte bireylerin çevre dostu davranışlarını ölçmeyi amaçlamıştır. Bu maddeleri ölçmek için çevreci davranışlarda bulunma sıklığını gösteren 4'lü likert ölçeği kullanılmıştır (1= Her zaman, 2 = sık sık, 3 = bazen, 4= hiç). Ölçeğin iç tutarlılık katsayısı "Cronbach's alpha = .77" olduğu tespit edilmiştir.

Tablo 2: Çevreci Davranışlar

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| 1-İşten ayrılırken ışıkları kapatırım. |
| 2- Yaz aylarında klimanın sıcaklığını 26-28 derece arasında ayarlarım. |
| 3-Enerji tasarrufu sağlayan cihazları satın alırım. |
| 4-Yazıcıdan yazı alırken kağıdı çift taraflı çıkarın, |
| 5-Yemeklerde tek kullanımlık (plastik çatal-bıçak) kullanmaktan kaçınırım. |
| 6-Su kullanırken musluğu kısık ayarda tutarım. |

Aynı çalışmada yani Gu vd., (2020) yapmış oldukları çalışmada bu sefer çalışanların çevreci davranışlarını ölçmeye yönelik ölçek kullanılmıştır. Çalışmalarında katılımcılara, 1 (asla) ile 5 (her zaman) arasında bir sıklık değerleri arasında, günlük yaşamlarında ne sıklıkta ÇD (çevreci davranışlar) katılım sağladıkları sorulmuştur. Çalışmada özellikle, daha yüksek puanlar daha yüksek ÇD frekansları gösterdiği tespit edilmiştir (O = 3.92, Standart Sapma = 0.48, Min. = 2.17, Maks. = 5.00). Çalışanların çevreci davranışlarının tespitine yönelik kullanılan ölçek Tablo 2'de gösterilmiştir. Kısaca açıklamak gerekirse Gu ve arkadaşları 2020 yılında yapmış oldukları çalışmada hem tüketicilere yönelik (Tablo 1) hem de çalışanlara yönelik (Tablo 2) çevreci davranış ölçeklerine çalışma içerisinde yer vermiştir.

**Tablo 3:** Çevreci Davranışlar Ölçeği

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|---|---|
| **Alt Boyutun Adı: Hayırsever Davranışlar (1)** | |
| 1 | Dilencilere bazen bozuk para veririm. |
| 2 | Hayır kurumlarına imkanım oldukça yardım yaparım. |
| 3 | Yaşlı ve engelli bir kişi otobüs ve metroya bindiğinde ona yerimi veririm. |
| 4 | Eğer bir işveren olsaydım, daha önce bir suçtan hüküm giymiş bir kişiyi işe almayı düşünürdüm. |
| 5 | Fast food restoranlarında, yemekten sonra tepsiyi masadan alarak görevliye teslim ediyorum. |
| 6 | Bir arkadaşım ya da bir akrabam küçük bir amaliyatta olsa ve kısa sürelide olsa hastanede kaldığı dönemde mutlaka onu ziyaret ederim. |
| **Ekolojik Atıkları Ortadan Kaldırma (2)** | |
| 1 | Biten pilleri çöpe atarım. |
| 2 | Yemek atıklarını çöpe atarım. |
| 3 | Kullanmadığım ilaçları eczaneye iade ediyorum. |
| 4 | Kullanılmış kağıtları toplayarak geri dönüşüme yolluyorum. |
| 5 | Boş şişeleri geri dönüşüme yolluyorum. |
| **Su ve Enerji Tasarrufu (3)** | |
| 1 | Günlük olarak banyo yapmak yerine duş almayı tercih ederim. |
| 2 | Kışın kazak giymemek için oda ısısını sabit tutuyorum. |

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|---|---|
| 3 | Kirli kıyafetlerimi çamaşır makinesi dolana kadar birikitir ve öyle yıkarım. |
| 4 | Kış aylarında odaya temiz hava girmesi için uzun süre penceriyi açık tutuyorum. |
| 5 | Ön yıkamasız olarak kirli kıyafetlerimi yıkarım. |
| **Çevre Bilinçli Tüketim Davranışları (4)** | |
| 1 | Çamaşırlarımı yıkarken yumuşatıcı kullanırım. |
| 2 | Fırınımı temizlemek için sprey kullanıyorum. |
| 3 | Evimde böcekler varsa onları yok etmek için ilaç kullanırım. |
| 4 | Banyonun temiz kokmasını sağlayacak banyo parfümü kullanırım. |
| 5 | Tuvaleti temizlerken kimyasal temizlik malzemeleri kullanırım. |
| 6 | Banyoda çok amaçlı bir temizlik malzemesi yerine sadece banyoda kullanılabilen temizlik malzemeleri kullanırım. |
| 7 | Fosfatsız çamaşır deterjanı kullanırım. |
| **Çöplerin Etrafa Dökülmesini Engelleme (5)** | |
| 1 | Cam şişede satılan içecekleri satın alırım. |
| 2 | Markette meyve ve sebze satın alırken açıkta satılanları tercih ederim. |
| 3 | Mağazada alışveriş yaparken sorumluların poşet satın almam yönündeki önerilerini kabul ederim. |
| 4 | Alışveriş yaparken karton poşetleri plastik olanlara tercih ederim. |
| 5 | İade edilebilir şişelerde satılan sütleri satın almayı tercih ederim. |
| **Çevreyi Koruma Faaliyetlerine Gönüllü Katılım (6)** | |
| 1 | Arkadaşlarımla sık sık çevresel sorunlar hakkında konuşuyorum. |
| 2 | Çevresel bir sivil toplum kurumu (dernek ya da vakıf) üyesiyim. |
| 3 | Geçmişte, çevreseye uygun olmayan bireysel davranışları eleştirmiştim. |
| 4 | Bazı zamanlar çevresel alanda faaliyet gösteren kurumlara bağışta bulunuyorum. |
| **Ekolojik araç kullanımı (7)** | |
| 1 | Aracımda kurşunlu benzin kullanıp kullanamayacağım hakkında bilgim bulunmamaktadır. |
| 2 | Şehir içinde genellikle aracımı kullanmam. |
| 3 | Otobanda 120 km. hız sınırının altında araç kullanıyorum. |
| 4 | Yakın mesafelerde aracımı kullanmak yerine bisiklet ya da toplu taşıma aracı kullanırım (30 kilometreye kadar olan mesafelerde). |

Vesely vd., 2020 yılında yapmış oldukları çalışmada kullandıkları ve orijinal halinin Kaiser tarafından 1998 yılında yapmış olduğu çalışmada kullanılan 28 ifadeye yer verilmiştir. Vesely ve arkadaları 28 madde kullanarak ölçmeye çalıştıkları çevre dostu davranışlara ilişkin; her katılımcı için toplam puanı hesaplamışlar ve daha yüksek puanlar daha fazla çevre dostu davranışları gösterdiğini bulgulamışlardır (M=18.03, SD=3.77, $\alpha$ =0.70). Tablo 3'te ise Kaiser'in 1998 yılında geliştirdiği ölçek orijinal haliyle gösterilmiştir. Çalışmada 7 alt boyut ve 36 ifadeye yer verilmiştir. Ayrıca çalışmada bu davranışları sergileme sıklığını gösteren 5'li likert ölçeği kullanılmıştır (1= asla ve 5= her zaman).

Tablo 4: Çevreci DavranışlarTutum Ölçeği

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|---|
| 1- Modern bilim, yaşam tarzımızda çok az değişiklikle çevre sorunlarımızı çözecektir. |
| 2- Gelecekte daha yaşanabilir bir doğayı gelecek nesillere bırakma, yeterli bir gelirimiz olmadığı için yeşil ürün satın alacak kadar gelirimiz olmadığı için sadece endişe boyutuyla sınırlı kalmaktadır. |
| 3-İnsanlar, devletlerin ve işletmelerin çevreye zarar veren eylemleri konusunda oldukça endişeliler. |
| 4-Benim karakterdeki bir insanın çevre konusunda çok şey yapması oldukça zor görünmektedir. |
| 5-Hayatta çevreyi korumaktan daha önemli şeylerde vardır. |
| 6-Toplumu oluşturan bireylerin çevresel konular konusunda hassas olmaması nedeniyle benim bu konudaki mücadelemin bir anlamı bulunmamaktadır. |

Rodriguez vd. 2020 yılında yapmış oldukları çalışmada, Çevreci Davranışlar Tutum ölçeğini kullanarak katılımcıların bireylerin çevresel değerler hakkındaki inançlarını, düşüncelerini ve duygularını ortaya çıkarmışlardır. Ankete katılanlardan, yüksek değerlerin daha yüksek özellik seviyelerini gösterdiği bir dizi ifadeye katılmalarını (1= kesinlikle katılıyorum, 5= kesinlikle katılmıyorum) değerlendirmelerini isteyen 6 maddeden oluşan ölçek Tablo 4'te gösterilmiştir.

Tablo 5: Çevreci Davranışlar Ölçeği

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|---|
| Çevre konularında yazıları okurum. (Fiziksel ya da elektronik ortamlarda). |
| Yakın çevremle çevresel konular hakkında konuşurum. |
| Çevreyle ilgili konuları televizyon ya da bilgisayardan izlerim. |
| Çevre dostu ürünleri satın alırım. |
| Ambalajı daha az olan ürünleri satın alırım. |
| Tek kullanımlık ürünler yerine sürekli kullanılabilecek ürünler satın alırım (Örn. Plastik bardak yerine cam bardak satın alma gibi). |
| Çevreye zarar vermeden üretim yapan firmaların ürünlerini satın alma konusunda hassasım. |
| Ev işlerinde suyu mümkün olduğu tasarruflu kullanırım (Diş fırçalarken daha az su israfı, Bulaşıkları yıkarken uzun süre suları akıtmama gibi). |
| Çevreyle ilgili bilgileri sosyal medya aracılığıyla paylaşırım (facebook ve twitter gibi). |
| Çevreci konuları destekleyen sanal sosyal gruplara katılırım (Facebook ve twitter gibi ortamlarda). |
| Çevreci sivil toplum kuruluşlarının faaliyetlerini desteklerim (Yeşilay ve Tema gibi). |
| Çevreye zarar veren kişi ve işletmelere yönelik protestoları desteklerim. |
| Genel ve yerel seçimlerde (milletvekilliği ve belediye gibi) iklim değişikliğine yönelik önlemleri destekleyen adaylara oy veririm. |
| Siyasetçilere iklim konularında gerekli yasal düzenlemeleri yapmaları konusunda tavsiyede bulunurum. |
| Ev ve araba satın almayı planlarken çevreye yönelik kaygıları ön planda tutarak karar veririm. |

Duchia vd. (2020) yapmış oldukları çalışmada çevreci davranışları ölçmek için Soliman ve Wilson (2017) tarafından geliştirilen ve 15 maddeden oluşan ölçeği kullanmışlardır. İlgili ölçek Tablo 5'te görülmektedir. Bu ölçek, Stern'in (2000) çok yönlü davranışsal kümelemesine (1 = çok olası değil, 5 = çok olası) uygun olarak farklı çevreci davranışlar sergileme yönünde eğilimleri ortaya çıkarmıştır.

## 4.SONUÇ Ve DEĞERLENDİRME

Çalışma kapsamında Elsevier's Scopus veri tabanında çevreci davranışlara yönelik literatür taraması yapılmıştır. Çalışmanan ana ekseni 2020 yılında yapılan çalışmalarda kullanılan çevreci davranışları ortaya çıkarmaya yönelik kullanılan ölçekleri açıklamak olmuştur. Bu bağlamda "çevre psikolojisi dergisinde" yer alan 49 araştırma incelenmiştir. Yapılan incelemeler sonucunda 5 çalışmada makale içerisinde ölçeğe ilişkin ifadelerin yer verildiği tespit edilmiştir. 49 makale içerisinden sadece 5 makalede kullanılan çevreci davranışlara ilişkin ifadelere yer vermesi diğer makalelerin ise sadece atıf vererek geçiştirmesi önemli bir eksiklik olarak görülmüştür. Bu çalışmanın esas çıkış noktası olan çevreci davranışları ortaya çıkarmaya yönelik kullanılan ölçeklerin nicel çalışmalarda kullanılmasına yardımcı olması bakımından ortaya konulan sonuçlar oldukça yararlı olduğu görülmektedir. Literatürde daha önce benzer bir çalışmaya yer verilmemiştir. Bu çalışmada ise ortaya konulan verilerle bu alandaki boşluk doldurulmaya çalışılmıştır. 2020 yılında yapılan çalışmaların incelenmesi çalışmanın güncelliğini perçinlemiştir.

Çalışma kapsamında sadece Elsevier's Scopus veri tabanından tarama yapılması ve yayın yılının 2020 olarak baz alınması önemli bir kısıtlılıktır. Ayrıca sadece çevre psikolojisi dergisinde yer alan çalışmaların incelenmesi de önemli bir eksikliktir. Fakat bu çalışma kısıtlılıkları ve eksikliklerine rağmen ortaya çıkarılan 5 ölçek ile bundan sonraki yapılacak çalışmalara ışık tutacağı düşünülmektedir.

Çevre sorunlarının çözümünde toplumu oluşturan bireylerin ve çalışanların çevreci davranışları sergilemesi oldukça önemlidir. Bu bağlamada gerek yetkililerin gerekse de tüketicilerin çevresel konularda daha hassas olması ve onların çevreci tutum ve bilgilerinin uygulamaya konması noktasında

eksikliklerin görülmesi açısından bu tür ölçeklerin kullanılması sorunun çözümü noktasında önemsenmektedir. Tabi ki sadece anket uygulaması yoluyla sorunun tespit edilmesi yeterli olmamaktadır. Aynı zamanda konunun uzmanlarına, akademisyenlere, sivil toplum kuruluşlarına ve kanun koyuculara alınması gereken önlemler kapsamında yapılacak daha fazla çalışamın konunun çözümüne yönelik öneriler geliştirilmesine katkı sağlayacaktır.

Son olarak bundan sonraki yapılan çalışmalara sunulacak öneriler şu şekilde sıralanabilir:

1. Web of Science, google akademi ve dergipark gibi sitelerden daha kapsamlı araştırmalara yer verilerek daha kapsamlı çalışmalar ortaya çıkarılabilir.
2. Çevreci davranışları ölçmeye yönelik yerli literatürde boşluk olduğu görülmektedir. Bu kapsamda daha fazla ölçek uyarlama ve ölçek geliştirme çalışmalarına ihtiyaç duyulmaktadır.
3. Aynı zamanda uygulamalı nicel çalışmalarda bu çalışmada yer verilen ölçeklerin kullanılması yoluyla gerek çevresel sorunların tespiti gerekse de bu tür ölçeklerin Türk kültürüne uyumu araştırılmalıdır.

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# Dijital Pazarlama ile İşletmelere Sosyal Medya Etkisi

**Bora GÜNDÜZYELİ**

**Özet:** Geçtiğimiz yıllarda yaşanan dijital dönüşüm diğer alanları etkilediği gibi pazarlama alanında da büyük değişimlere yol açmıştır. Rekabetin daha hızlı olması; işletmelerin rekabet avantajı sağlamada çeşitli yöntemler geliştirmek durumunda kalmışlardır. İşletmelerin içinde bulundukları bu dönemde geleneksel pazarlama yöntemleri yanı sıra dijital pazarlama alanında da gelişmeleri yakından takip etmek zorunda kalmışlardır. Günümüzde geleneksel pazarlama iletişim faaliyetleri pek çok konuda yetersiz görülmekte ve işletmelere yeterli fırsat kapıları yaratamamaktadır. İnternet ve sosyal medya kullanımının artması ile birlikte işletmelere reklam ve pazarlama ile ilgili çalışmalarını gerçekleştirebilecekleri yeni alanlar ortaya çıkmıştır.

İşletmeler sosyal medya ortamlarının etkisi ile hem bünyesinde hali hazırda bulunan müşterileri ile iletişimlerini korumakta, hem de potansiyel müşteri kitlesine daha kolay bir şekilde ulaşabilmektedir. Bu sayede sosyal medya ortamları işletmelerde daha geniş müşteri topluluğuna ulaşabilmektedirler. Bu doğrultuda sosyal medya ortamları geleneksel pazarlama yöntemlerine göre hem daha ekonomik hem de geniş müşteri kitlelerine daha kolay ulaşabilme imkanı sunmaktadırlar.

Dijital pazarlama üzerine yapılmış bu araştırmada; kendisine tercih yapılmasına olanak sağlanmayan ürünleri almak zorunda kalan tüketici profilinden, isteklerini belirtip yerine getirilmesini bekleyen tüketici profilinin ortaya çıktığı yeni ekonomi şeklinin müşteriye en yakın ve en hızlı etkileşim aracı olarak kullanabilecek sosyal medya yansımaları üzerinde durulmuştur. Dijital pazarlamanın sosyal medyaya etkileri bu alanda çalışmalar yapan araştırmacıların dikkatini çekmiş ve bu yazın alanında hem ulusal hem de uluslararası alanda pek çok farklı çalışma yapılmıştır. Bu araştırmanın amacı da dijital pazarlama ve sosyal medya alanında yapılmış çalışmaları bütüncül bir yaklaşım ile literatür taraması ile inceleyerek, bu alanda çalışma yapan araştırmacılara önemli kaynaklar sunabilmektir.

**Anahtar Kelimeler:** Dijital Pazarlama, Sosyal Medya, Rekabet

## 1.GİRİŞ

Geleneksel pazarlama anlayışında üretici ile tüketici arasında her zaman tek taraflı olan bir akış varken, teknolojinin gelişmesi ile birlikte internet ortamının sağladığı imkanlar ile çift taraflı ve sürekli kendini yenilemekte olan bir iletişim süreci ortaya çıkmıştır. İşletmeler böylece pazarlama yöntemlerinde sistemlerin bugüne kadar alışık olduğu biçimlerden farklı olarak "dijital pazarlamanın" sağlamış olduğu imkanlar doğrultusunda tüketici ve üretici ağının sistematik bir şekilde işleyişini dijitale yöneltmiştir.

İçinde bulunduğumuz yüzyılın en önemli unsurlarından biri haline gelen dijitalleşme; sosyal yaşam, iş hayatı, günlük veya sosyal yaşamda insan ilişkilerinden tüketici davranışlarına kadar işletmelerin pazarlama kanallarını düzenler hale getiren önemli bir güç haline gelmiştir. Pazarlama alanında pek çok alanda olduğu gibi akademik ve iş dünyasından da oldukça büyük ilgi görülmektedir. İşletmeler dijital pazarlamayı öncelikle internet ve sosyal medyayı kullanarak belirledikleri satış hedeflerine ulaşabilmek, reklam ve tanıtım organizasyonlarını sunabilmek, marka yönetimi ve marka imajını sağlanması, müşterilerle iletişimin etkin bir şekilde gerçekleştirilebilmesi için yapılan faaliyetler olarak tanımlamak mümkündür (Kotler, 2017, s. 65).

Dijital pazarlamanın en büyük avantajlarından birisi ekonomik olmasıdır. Ek harcamalar; kira bedeli, stopaj bedeli, amortisman giderleri gibi giderler olmadan internet sitesi veya sanal mağazayı ziyaret eden müşterilere ürün veya hizmetlerinizi pazarlama imkânına sahip olunmaktadır. Dijital ortam da oluşturulan kampanyaların tüketiciye ulaşma hızı ve satış hedeflerine ulaşmada başarılı olması da avantajları arasında yer almaktadır. Aynı zamanda işletmelerin tüketicilerin satın alma eğilimleri ile ilgili bilgi toplamaları, bunları işleme ve değerlendirme süreçlerinde teknolojinin getirdiği imkânlar ile büyük faydalar sağlamaktadır. Geleneksel pazarlama yöntemleri ile birlikte dijital pazarlamayı bünyesine katmayan işletmelerin rakipleri ile sektör içerisinde mücadele edebilmesi oldukça zor olabilmektedir.

## 2. DİJİTAL PAZARLAMA

Dijital pazarlamanın birçok tanımı olmakla birlikte, bunların başlıcaları; interaktif, çevrimiçi, e- pazarlama veya internet pazarlamasıdır (Alan, vd, 2018; 495). Dijital pazarlama dört adımdan oluşmaktadır. Bu adımlar; elde et, kazan, ölç ve optimize et, sahip çık ve büyüttür. Bu dört yöntem birbirlerinin devamı

niteliği taşır ve dijital pazarlama aracılığı ile müşterisine ulaşmaya çalışan işletmeler için önem arz etmektedir.

**Elde et yöntemi;** müşterilerin ilgisini satışların gerçekleştirildiği ortama çekmek için yapılan faaliyetlerdir. Arama motorlarının optimize edilmesi, arama motorlarında yayınlanacak reklamlar, e-mail ve sosyal medya pazarlamaları, gelir ortaklığı, viral pazarlama, içerik üretme, online pr bu yöntemin başlıkları altındadır.

**Kazan yöntemi;** hedef müşteriyi istenilen ortama girmesi sağlandıktan sonra, satıcının hedeflerine ulaşabilmesinde yardımcı olacak faaliyetlerdir. İşletmeler hedeflerini her zaman satış üzerine kurmazlar. Bir web sitesinde geçirilen süre, incelenen ürün adet sayısı gibi konular da bu yöntem içerisinde verilecek örneklerdir.

**Ölç ve optimize et yöntemi;** Dijital pazarlamanın bu aşamasında yapılan tüm faaliyetlerin her bir iş akışına bakılarak neyin nerede yanlış veya doğru yapıldığını anlamak ve aynı zamanda rakip firmalarla karşılaştırılabilmesi açısından önemli bir aşamadır.

**Sahip çık ve Büyüt yöntemi;** bu yöntemde işletmelerin mevcut olan müşterilerini memnun etme ve sürekliliklerini sağlamaya çalışılması yapılmaktadır. Müşteri hizmetlerini en iyi biçimde sunma, sadakat programları, dinamik fiyatlandırma stratejileri uygulama, ürün-tüketici kişiselleştirmesi, referans programları başlatma gibi teknikler bu yöntemde kullanılmaktadır.

Son günlerde internet ortamında kullanıcıların yapabildiklerine bakıldığında bundan yirmi yıl öncesinde kullanıcılar tahmin bile edemeyecekleri işlemleri teknolojinin sayesinde yapabilmektedir. İşletmeler de rekabetin şiddetlenmesi ve artması ile birlikte devamlılıklarını sürdürebilmek için kısa ve orta vadeli planlar ile birlikte uzun vadeli planlar da hazırlamalıdırlar (Aksoy, 2009, s. 54). 7P dijital pazarlama karmasını dikkate alarak kısa, orta ve uzun vadede planlarını hazırlamak işletmelerin her zaman yararına olacaktır.

Şekil 1: 7P Dijital Pazarlama Karması




Kaynak: Şengüler (2019: 7)

## 3. SOSYAL MEDYA

### 3.1 Sosyal Medya Kavramı

Günümüzde sosyal medya kullanan tüketiciler, teknolojinin gelişmesi ile ortaya çıkan tablet, akıllı telefon, dizüstü bilgisayar gibi teknolojik aletler ile mekân ve zamana bağlı olmadan sosyal medya mecralarında istedikleri ürüne ulaşabilir, istediklerini satın alabilir, aldığı bir ürün hakkında fikirlerini beyan edebilmektedir.

Sosyal medya kavramı olmadan önce hayatımızda olan geleneksel medya ile en belirgin farkı anlık olarak geribildirim alınmasıdır. Sosyal medya da reklam, pazarlama, tanıtım gibi organizasyonların uygulama maliyetleri geleneksel medyaya göre çok daha ekonomiktir. Bu durumda sosyal medya özellikle küçük ölçekli işletmelerin sektörleri içerisinde kendilerini var etmelerine imkân sağlamıştır. Sosyal medya

uygulamalarını etkin bir şekilde kullanan küçük ölçekli işletmeler geniş müşteri kitlelerine ulaşabilme fırsatı elde etmişlerdir(Köksal, 2012, s. 38).

## 3.2 Sosyal Medya Süreç Adımları

Günümüz teknolojisinde tüketiciler bir ürün veya hizmet satın almaya karar vermeden önce çoğunlukla internet üzerinden araştırma yapmaktadırlar. Sosyal medya pazarlamasında, çekme stratejisi olarak kullanılan yöntemde online bir izleyici grubu, gerçek odak grubu olarak kullanılmaktadır. Bu odak gruplarında diyaloglar, görüş siteleri, sosyal ağ platformları, bloglar gibi geniş bir yelpazeden oluşmaktadır. İşletmeler de sosyal medyayı daha doğru kullanabilmek ve devamlılık sağlamak adına sosyal medya pazarlama süreçlerine daha çok odaklanmaktadırlar.
Sosyal medya pazarlama süreçlerini işletmeler dört adımda yürütürler;

1. **Dinleme**

Müşterilerin ürün veya aldıkları hizmetten memnuniyeti, marka bağlılığını, yeni ürüne karşı olan fikirlerini, rakiplerin pazar durumlarını ortaya çıkartır. Ayrıca müşterilerin daha derinden anlaşılmalarını sağlar. Dinlemede, müşterilerin konuşmalarının kalitatif bakış açısı ile incelenmesinin artılarından biri de tüm ilgili online konuşmaların kendi bağlamlarında neden ve sonuç ilişkisi kurularak incelenmesidir (Miranda vd, 2016, s.10).

2. **Bağlanma**

Markaya olan sadakat, tüketicinin belirli bir markaya karşı olan pozitif bir tutum içerisinde olması, bağlı olduğu markayı çok sık satın alması, uzun süre içerisinde o markayı kullanması anlamına gelmektedir. Günümüzde tüketiciler markalar arasında tercihlerini yaparken çok fazla alternatifle karşılaşmaktadırlar. Markalar içerisindeki bu alternatifler arasında kendilerine en fayda sağlayan markayı tercih etme eğiliminde bulunacaklardır. Sosyal medyadaki etkinlikler tüketiciler için bağlılık yaratmada etkili olur (Hacıefendioğlu, 2014:61).

3. **Ölçme**

Sosyal medya ölçümü yaparken, firmalar belirledikleri satış hedefleri doğrultusunda ortaya koymuş oldukları sosyal medya faaliyetlerinin takip edilebilmesi ve bu faaliyet ile ilgili performanslarının ölçülebilmesi olarak tanımlanır. Sosyal medya programlarında farklı alanlarda veri toplayarak ölçüm yapabilme imkanı, firmalar hem müşterilerin karar süreçleri ile ilgili hem de sosyal medyada neler yapıldığı ile ilgili bilgi sahibi olma imkânı verir.

4. **Optimize Et**

Bu aşamada işletmeler müşterileri ile uzun vadeli devamlı ilişkiler kurma yollarını araştırmalıdırlar. Tüketici neyi nasıl istiyor? Sunulan çözüm ne kadar verimli? Gibi önemli sorular sorar ve bunlardan geribildirim alır. İşletmeler tüm bu iletişim ile ilgili çalışmalarını optimize ederek ilk baştaki süreç olan dinleme aşamasına geri dönerek süreci yenilerler. (Dolakla ve Agnozi, 2001:165).

## 4.SONUÇ

Yapılan bu çalışmada işletmeler için önem arz eden ve yeni müşteri kitlelerine ulaşmada, mevcut müşterilerin de devamlılığını sağlamak ve uzun ilişkiler kurabilmek adına destek olan dijital pazarlama ve sosyal medyanın etkisi kavramları üzerinde kapsamlı bir şekilde değinilmiş ve konu ile ilgili yapılan edebiyat çalışmaları derlenerek gelişen teknolojinin etkisi ile ortaya çıkan dijital pazarlamanın sosyal medya etkisi bütüncül bir bakış açısıyla ele alınmıştır. Bu bağlamda dijital pazarlama kavramları ve adımları, sosyal medya kavramı, sosyal medya süreçleri, sosyal medyanın satın alma davranışlarına etkisi incelenmiş olup akademik çıkarımlarda bulunulmuştur.

Günümüzde internet kullanımının yaygın hale gelmesi, insanların vazgeçilmez bir parçası olması, teknolojinin hızla değişime uğraması, müşterilerin beklentileri ve pazarlamanın çevresini değiştirmiştir. İşletmeler müşterileri ile artık geleneksel yöntemlerden farklı olarak sosyal medya ortamlarında iletişime geçmektedirler. Dijital pazarlama faaliyetleri çok çeşitli olmasından dolayı işletmeler dijital pazarlama yöntemlerini kullanırken geleneksel pazarlama yöntemlerinin içinde kullanmalıdırlar. Dijital pazarlamada

takip edebilme ve devamlılık çok önem arz etmektedir. Dijital ortamlarda işletmeler kendileri ile ilgili bilgileri sürekli güncellemek zorundadırlar.

Digital pazarlama faaliyetlerinin işletmelere sağlayacağı yararlardan en önemlisi geniş kitlelere ulaşabilmesi, ürün veya hizmetlerin tanıtımı ve satışı, müşterilerle ilgili verilerin analiz edilirken hızlı, kolay, ekonomik olmasıdır.

Dijital pazarlama faaliyetlerinin tüketicilere sağlayacağı faydalar ise, işletmeler istedikleri zaman iletişime geçebilir, şikayet veya önerilerini sunabilir. AR-GE çalışmalarına istedikleri zaman dahil olabilir ve işletmeleri bu doğrultuda yönlendirebilir.

Sosyal medya platformlarını Dünya da veya ülkemizde işletmeler genel olarak işletmelerini tanıtabilmek, sunmuş oldukları ürünleri ya da markaları hakkında bilinirlik sağlamak, satış hedeflerini arttırmak, müşteriler ile ilgili bilgi alışverişi yapabilmek, onların görüş ve öneri ile ilgili geribildirim sağlama, müşterilerini ürün geliştirme süreçlerine dahil edebilmek, işletmeler arasında bilgi paylaşımı ve fikir alışverişinde bulunmak, yeni iş gücü potansiyeli sağlamak için kullanılmaktadır.

Gün geçtikçe önemi daha fazla artan dijital pazarlama faaliyetleri önümüzdeki yıllarda, hem işletmeler için hem de tüketiciler için önemli ölçüt noktası olacaktır. Tüketiciler işletmelerin dijital ortamlarda ki aktif olup olmamalarına göre referans alıp satın alma kararı vereceklerdir. İşletmeler ise düşük maliyet ve diğer avantajları değerlendireceklerdir. Günümüzdeki küçük ölçekli işletmelerin ayakta kalabilmeleri için rekabet stratejileri oluşturup bunlara çabuk uyum sağlamaları gerekmektedir. Dijital pazarlama stratejilerini başarılı biçimde uygulayan işletmeler rekabet avantajını elde ederken, iyi bir şekilde de bunu uygularlarsa hedeflerine ulaşmaları oldukça hızlı olacaktır.

Yapılan bu derleme çalışması sonucunda, yeni bir iletişim aracı olan dijital pazarlama ve sosyal medyanın etkisi konusunda hem işletmeler hem de tüketiciler açısından birçok yarar sağlamakta ve aynı zamanda da konunun işletmeler açısından stratejik bir önemi bulunmaktadır. Oldukça önemli olan bu konunun gelecek çalışmalarda ampirik olarak değerlendirilmesi önerilmektedir.

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# Kayseri İlinde İhracatın Yapısı ve Firmaların İthalata Bağımlılığı[1]

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**Özet:** TR72 Bölgesi içinde bulunan Kayseri İlindeki şirketlerin ihracat kapasitesinin araştırıldığı ve ithalata bağımlılıklarının incelendiği bu çalışmada, teorik bilgilerin oluşturulmasında Türkiye İstatistik Kurumu, Kayseri Sanayi Odası, Kayseri Organize Sanayi Bölgesi ve Kayseri Serbest Bölgesi yayın ve verilerinden yararlanılmıştır. Çalışmanın uygulama aşaması, Kayseri İl merkezinde faaliyet gösteren 192 firmaya anket yöntemi kullanılarak yürütülmüştür. Anketler elektronik ortamda hazırlanmış ve anketi cevaplayan kişilerin yetkili olması amacıyla firma yetkilileri ile görüşmeler yapılmıştır. Çalışmada farklı sektörlerden, farklı büyüklüklerde faaliyet gösteren bu firmalardan ihracat ve ithalat yapılarına ilişkin kapsamlı bilgiler alınmıştır. Çalışmanın sonuçlarına bağlı olarak, ankete katılan firmaların ihracat olanaklarının geliştirilebileceği belirlenirken, ankete katılan firmaların ortalama yüzde otuzunun ithalata bağımlılıklarının %40 olduğu gözlenmiştir.

**Anahtar Kelimeler:** İhracat, İthalata Bağımlılık, Kayseri'de Dış Ticaret.

## Structure of Export in Kayseri Province and Import Dependency of Firms

**Abstract**: In this study, the export capacities of companies is investigated and their dependence on imports is examined in which the generation of theoretical information of the Turkish Statistical Institute, Kayseri Chamber of Industry, Kayseri Organized Industrial Zone and Kayseri Free Zone's publications and data. The implementation phase of the study was carried out by using the survey method on 192 companies operating in the city center of Kayseri. Questionnaires were prepared electronically and interviews were held with company officials in order to authorize the people who answered the questionnaire. In the study, comprehensive information was obtained on the export and import structures of companies of different sizes from different sectors. Depending on the results of the study, it was determined that the export opportunities of the companies participating in the survey could be improved, while it was observed that an average of thirty percent of the companies participating in the survey had an import dependency of 40%.

**Keywords:** Export, Import Dependency, Foreign Trade in Kayseri.

## 1. GİRİŞ

Kayseri'de ticari ve ekonomik hayatı meydana getiren kurum ve kuruluşlara bakıldığında Kayseri Ticaret Odası'nın 12.000, Kayseri Sanayi Odası'nın 1.290 ve Kayseri Ticaret Borsası'nın 874 üyesi bulunmaktadır. Kayseri Esnaf ve Sanatkârlar Odasına kayıtlı 42 oda ve 26.840 üye mevcuttur. 62 adet yabancı sermayeli firma Kayseri'de faaliyet göstermektedir. Kayseri'de 3 adet Organize Sanayi Bölgesi bulunmakta olup, Kayseri Organize Sanayi Bölgesinde 845, Mimar Sinan Organize Sanayi Bölgesinde 50, Kayseri Serbest Bölgesinde 38 işletme üretim yapmaktadır. Kayseri Serbest Bölgesi yatırımcılar için uygun ve cazip maliyetli arsaların üretilmesinin sağlanması, yatırım alanlarının enerji, ulaşım, lojistik ve çevre ile ilgili altyapılarının iyileştirilmesi ve sanayi ile yerleşim bölgeleri arasındaki ulaşım yetersizliklerinin giderilmesi bölgenin sanayi altyapısının iyileştirilmesi için öncelikle ele alınması gereken konular olarak öne çıkmaktadır. Kayseri Serbest Bölgesi'nde 80 civarında işletmede yaklaşık 2.200 kişiye istihdam sağlamaktadır. Serbest Bölgenin en önemli tesisleri ofis büro mobilyaları, sac boru ve profil, elektrostatik toz boya, yatak-baza, dayanıklı tüketim malları, alüminyum iletken tel tesisleri, beyaz eşya üretim fabrikası gibi üretim ağırlıklı tesislerden oluşmaktadır. Bölge demiryolu inşaat aşamasında olan Boğazköprü Lojistik Köyüne 900 m, uluslararası karayoluna 600 m uzaklıkta bulunmasından dolayı her

[1]Bu çalışma, 2209-A Lisans Öğrenci Projesi kapsamında 2018/2 dönemi 1919B011803900 proje numarası ile TÜBİTAK tarafından desteklenen proje kapsamında hazırlanmıştır.

türlü yatırım için uygun bir arazi üzerindedir. Türkiye'nin en geniş Serbest Bölge alanına sahip olan Serbest Bölge aynı zamanda düşük arsa satış fiyatı ile de yatırım yapmaya en uygun bölgelerdendir. Bu avantajlar da göz önünde bulundurularak, özellikle Bölgede yüksek ve orta-yüksek teknolojili sektörlere yönelik girdi üretimine, Serbest Bölge deki bu imkânların tanıtımına ve Ar-Ge faaliyetlerine özel önem verilmektedir[2].

Tablo 1'de TR72 Bölgesine ait 2013-2019 yılları arasında dış ticaret işlemleri ve Kayseri için ihracatın ithalatı karşılama oranı görülmektedir.

Tablo 1. 2013-2014 Dönemi TR72 Bölgesi Dış Ticaret Göstergeleri (bin dolar)

| İhracat | 2013 | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 |
|---|---|---|---|---|---|---|---|
| Kayseri | 1.889.386 | 2.120.071 | 1.809.533 | 1.743.457 | 1.876.654 | 2.362.967 | 2.496.210 |
| Sivas | 78.550 | 91.375 | 77.886 | 80.166 | 93.109 | 96.098 | 92.752 |
| Yozgat | 21.495 | 16.921 | 11.091 | 10.648 | 11.952 | 9.522 | 13.499 |
| İthalat | 2013 | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 |
| Kayseri | 1.529.514 | 1.470.946 | 1.282.317 | 1.329.596 | 1.784.386 | 1.340.390 | 1.066.746 |
| Sivas | 122.578 | 49.377 | 44.975 | 54.889 | 50.254 | 50.958 | 45.692 |
| Yozgat | 7.216 | 8.050 | 9.114 | 27.538 | 28.453 | 21.884 | 25.331 |
| Kayseri İhracat/ithalat | %124 | %144 | %141 | %98 | %105 | %176 | %234 |

Kaynak: Türkiye İstatistik Kurumu, Dış Ticaret Verileri, İl bazında İhracat ve ithalat verileri kullanılarak ithalatın ihracatı karşılama oranı hesaplanmıştır.www.tuik.gov.tr.

Tablo 1'de belirtildiği gibi Kayseri ihracatı 2015 ve 2016 yılları dışında sürekli artış içindedir. Kayseri'de ithalat ihracata göre daha düşük oranda seyretmekte, il de dış ticaret fazlası verilmektedir. Sivas ve Yozgat illerine göre Kayseri'nin dış ticaret hacmi yüksektir.

Tablo 2. 2019 Yılı Kayseri İhracatında İlk On Ülkeye Ait Bilgiler

| | 1 OCAK-31 ARALIK | | |
|---|---|---|---|
| ÜLKELER | 2018 | 2019 | DEĞ. |
| Irak | 244.988,12 | 267.964,67 | 9,38% |
| Almanya | 98.210,02 | 107.254,83 | 9,21% |
| İtalya | 80.267,51 | 90.455,56 | 12,69% |
| ABD | 51.215,17 | 84.461,45 | 64,91% |
| Birleşik Krallık | 52.900,82 | 77.913,28 | 47,28% |
| İsrail | 51.019,03 | 72.085,21 | 41,29% |
| Libya | 25322,8477 | 54714,381 | - |
| Belçika | 101.361,84 | 53.677,52 | -47,04% |
| Fas | 48.833,78 | 52.537,71 | 7,58% |
| Romanya | 50738,617 | 51130,989 | - |

Kaynak: İhracatta ülke verileri, https://ticaret.gov.tr/istatistikler/dis-ticaret-istatistikleri

Tablo 2'de, Kayseri'de 2018 ve 2019 yıllarında ihracat pazarında ilk sırada Irak bulunmaktadır. Almanya, İtalya, ABD, İsrail, Fas gibi ülkelerle olan ihracatta da artış söz konusudur. Belçika'ya ihracat ise 2018 ve 2019 yılları karşılaştırıldığında gerileme göstermiştir.

Tablo 3. Kayseri'nin İhracatında İlk 5 Sektör Ürünleri (Dolar, ISIC Rev3 Düzey2)

| Sıra | Sektör | 2017 | 2018 | Değ. (%) |
|---|---|---|---|---|
| 1 | Mobilya | 413.182.073 | 460.873.945 | 11,5 |
| 2 | Tekstil | 302.243.096 | 311.533.760 | 3,1 |

[2] Kayseri Ticaret Odası, Kayseri Sanayi Odası, Kayseri Esnaf ve Sanatkârlar Odası, Kayseri Organize Sanayi Bölge Müdürlüğü, Kayseri Serbest Bölge Müdürlüğü web sayfalarında yer alan verilerden yararlanılmıştır. Erişim Tarihi: 01.09.2020

| | | | | |
|---|---|---|---|---|
| 3 | Makine ve teçhizat | 240.165.503 | 294.325.931 | 22,6 |
| 4 | Ana metal sanayi | 98.450.892 | 242.745.156 | 146.6 |
| 5 | Metal eşya sanayi | 148.970.519 | 207.313.200 | 39,2 |
| 6 | Diğerleri | 438.947.198 | 570.607.454 | 30,0 |
| TOPLAM | | 1.641.959.281 | 2.087.399.446 | 27,1 |

Kaynak: Türkiye İstatistik Kurumu, Dış Ticaret Verileri, www.tuik.gov.tr.

Tablo 3'de yer alan Kayseri'de ihracatın sektörlere göre payına bakıldığında, 2018 yılında 460 milyon 873 bin 945 dolar ihracatı ile mobilya sektörü ilk sırada yer almıştır. Tekstil sektörü 311 milyon 533 bin 760 dolar ile ikinci sırada, makine ve teçhizat sektörü ise 294 milyon 325 bin 931 dolar ile üçüncü sırada yer almıştır. İlk 5 sektör ihracatının Kayseri ihracatı içindeki payı yüzde 72,7'dir.

Kayseri'de 2018 yılında en çok ithalat yapılan ülke Çin'dir. Daha sonraki sıralamada Rusya, Almanya ve ABD yer almıştır. 2018 yılında gerçekleşen ithalat işlemlerinde ISIC REV 3 kodlarına göre en fazla ithalat yapılan 5 sanayi alt grubu sırasıyla ana metal sanayi, kimyasal madde ve ürünler, diğer ulaşım araçları, makine ve teçhizat ile tarım ve hayvancılıktır. 2018'de bu ilk 5 sektörün toplam ithalat değeri 1,16 milyardır[3]

## 2. ÇALIŞMANIN KONUSU, AMACI VE YAZIN ARAŞTIRMASI

Çalışmanın konusu, Kayseri ilindeki şirketlerin ihracat kapasitesi araştırmak ve ithalata bağımlılıkları incelemektir. Çalışma hazırlanırken Kayseri ile ilgili genel bilgilerin elde edilmesinde, Türkiye İstatistik Kurumu, Orta Anadolu Kalkınma Ajansı, Kayseri Sanayi Odası, Kayseri Organize Sanayi Bölgesi ve Kayseri Serbest Bölgesi yayın ve verileri kaynak olmuştur. Çalışmanın il, bölge ve ülke bazında dış ticaretin geliştirilmesine yönelik politikalara ve alanında yapılan çalışmalara katkı amaçlanmaktadır. Uygulama aşamasında anketlerin farklı büyüklükte ve farklı faaliyet alanlarında firmalar tarafından cevaplanması, elde edilen sonuçların çok yönlü incelenmesine olanak sağlamıştır.

Yazın araştırması incelendiğinde; Gerni vd. (2008) çalışmasında ihracata dayalı büyümenin ithalat kaynaklı olduğuna ve ithalatın toplam mal ihracatının önemli bir belirleyicisi olduğunu ileri sürmüş, 1989-2007 dönemi aylık verileriyle aramalı ve sermaye malı ithalatı ile sanayi üretim indeksi arasındaki ilişki nedensellik testleriyle incelenmiştir. Çalışma sonunda Türkiye ekonomisinde ihracatının aramalı ve sermaye malı ithalatından önemli ölçüde etkilendiğini belirlemiştir.

Yükseler ve Türkan (2008) imalat sanayinin ithalata bağımlılığını incelediği çalışmasında 1998 yılı girdi çıktı analizi kapsamında doğrudan ve dolaylı ithal girdi kullanımını hesaplamıştır. Buna göre, 1998 yılında imalat sanayi doğrudan ithal girdi kullanımı yüzde 14,75'dir.

Aktaş (2009) 1996 – 2006 yılları için, ithalat, ihracat ve ekonomik büyüme arasındaki ilişkiyi eş bütünleşme ve vektör hata düzeltme modeli kullanarak incelemiştir. Çalışma sonuçlarına göre kısa ve dönemde ithalat ve ihracat arasında çift yönlü nedensellik ilişkisi vardır.

Saygılı vd. (2010) tarafından 145 firmaya anket yöntemi kullanarak yürütülen çalışmada firmaların üretimde ithal girdi düzeyi ve ithal girdi kullanma nedenleri incelenmiştir. Çalışma sonucunda, ithalat bağımlılığının 2002 yılında yüzde 56,5 2007 yılında ise yüzde 61,8 olduğu belirlenmiştir. Firmalara yapılan alan araştırması sonucunda ithal girdi kullanılmasının nedenleri; kaliteli ara ve yatırım malı kullanma, yurt içi üretim eksikliği, üretim yapısında meydana gelen değişiklikler, yurt içi ara ve yatırım mallarındaki fiyat yüksekliği olarak belirlenmiştir.

İnançlı vd. (2011) çalışmasında Türkiye' de 1998 sonrası otomobil sektöründe ve bu sektörün önsel ve gerisel bağlantılı olduğu sektörlerdeki dış bağımlılık düzeyini ölçmeye çalışılmıştır. Bunu gerçekleştirirken TUİK'in yayınladığı 1998 ve 2002 yıllarına ait girdi çıktı tablolarını kullanmıştır. Dış bağımlılığı arttıran pek çok faktörlerin bulunduğunu bunların özellikle döviz kurlarındaki artışlar, ulusal paranın aşırı değerlenmesi ve dış ticarette dengesizliğine yol açtığı ortaya koymuştur. Türkiye'nin otomotiv

[3] 2018 ekonomi göstergeler TR72, TÜİK. https://www.oran.org.tr/images/dosyalar/20190524140009_0.pdf

sektörünün dışa bağımlılığını azaltmak için yan sanayi üretimini arttıracak yatırım harcamalarının teşvik edilmesi ve teknoloji düzeyini geliştirilmesiyle dışa bağımlılığının azalacağını ortaya koymuştur.

Palacıoğlu (2018) Türkiye'nin ham madde ithalatını ana fasıl ve ürün gruplarıyla inceleyerek, Türkiye'de yetersiz üretilmeyen ürünlerin ithalatının yüksek olduğunu, bu kapsamda demir-çelik, otomotiv, plastik, gıda, kimya, tekstil ürünlerin öne çıktığını belirlemiştir. Dış ticaret açığı veren bu alt sektörlerine teşviklerle desteklenmesiyle sektörlerin tamamında olmasa bile önemli bölümünde olumsuz yapıyı tersine çevirmek mümkün olduğunu gözlemlemiştir.

Irmak vd. (2020) Türkiye'de ihracatın ithalata bağımlılığın nedenlerini, üretim için gerekli girdilerin yurt içinde yeterli miktarda üretilmediği ya da yerel firmaların beceri ve teknoloji konusunda gerekli yetkinliği edinememesi olarak açıklamıştır. Sönmez (2007) çalışmasında aşırı değerlenmiş döviz kuru politikasının imalat sanayinin ithalata bağımlılığın arttığını belirtmiştir.

## 3. ARAŞTIRMA YÖNTEMİ

Çalışmada anket yöntemi kullanılmıştır. Anketler, firma yetkilileri ile bizzat görüşülüp, dış ticaretle ilgili kişiler belirlenerek, bu kişilere mail üzerinden gönderilmiştir.

Tablo 4. (0.05) İçin Örneklem Büyüklükleri

| Evren | 0.03 örnekleme hatası (d) | | | 0.05 örnekleme hatası (d) | | | 0.10 örnekleme hatası (d) | | |
|---|---|---|---|---|---|---|---|---|---|
| | p=0.5 q=0.5 | p=0.8 q=0.2 | p=0.3 q=0.7 | p=0.5 q=0.5 | p=0.8 q=0.2 | p=0.3 q=0.7 | p=0.5 q=0.5 | p=0.8 q=0.2 | p=0.3 q=0.7 |
| 100 | 92 | 87 | 90 | 80 | 71 | 77 | 49 | 38 | 45 |
| 500 | 341 | 289 | 321 | 217 | 165 | 196 | 81 | 55 | 70 |
| 750 | 441 | 358 | 409 | 254 | 185 | 226 | 85 | 57 | 73 |
| 1000 | 516 | 406 | 473 | 278 | 198 | 244 | 88 | 58 | 75 |
| 2500 | 748 | 537 | 660 | 333 | 224 | 286 | 93 | 60 | 78 |
| 5000 | 880 | 601 | 760 | 357 | 234 | 303 | 94 | 61 | 79 |
| 10000 | 964 | 639 | 823 | 370 | 240 | 313 | 95 | 61 | 80 |
| 25000 | 1023 | 665 | 865 | 378 | 244 | 319 | 96 | 61 | 80 |
| 50000 | 1045 | 674 | 881 | 381 | 245 | 321 | 96 | 61 | 81 |
| 100000 | 1056 | 678 | 888 | 383 | 245 | 322 | 96 | 61 | 81 |
| 1000000 | 1066 | 682 | 896 | 384 | 246 | 323 | 96 | 61 | 81 |
| 100 milyon | 1067 | 683 | 896 | 384 | 245 | 323 | 96 | 61 | 81 |

Kaynak: Yazıcıoğlu ve Erdoğan, 2004, s.50.

Tablo 4'de görülebileceği üzere, Yazıcıoğlu ve Erdoğan (2004) örnekleme hatasını azaltmak için örneklem büyüklüğünün artırılması gerektiğini, diğer yandan seçilen hata payına göre belli bir değerden sonra örneklem büyüklüğünün artmasına gerek olmadığı ileri sürmektedirler. Kayseri Sanayi Odasına kayıtlı 1.290 işletme bulunmaktadır. Bu kapsamda 300 firma ile görüşülmüş fakat 192 firmadan sağlıklı dönüş sağlanabilmiştir.

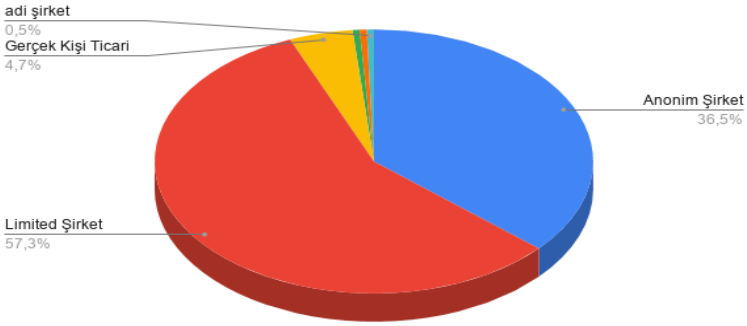
## 4. UYGULAMA SONUÇLARI

Anket sonuçlarına bağlı olarak elde edilen sonuçlar, ankette yer alan soru sırasına göre aşağıda sunulmuştur.

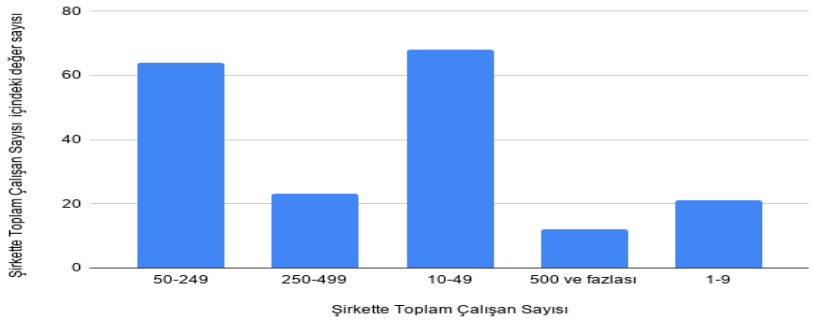
**Soru 1:** Şirketteki göreviniz sorusunu 192 firma katılmıştır. Bunlardan 83 kişi (%43,2) Müdür, 41 kişi (%21,4) dış ticaret bölümü çalışanı, 52 kişi (%27,1) Yönetici, 16 kişi (%8,3) Diğer çalışan olarak yanıtlamıştır.



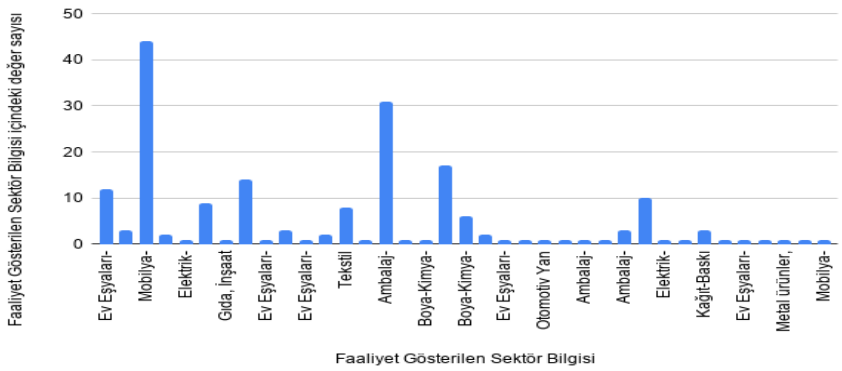

**Soru 2:** Şirketin Hukuki Statüsü sorusunu 192 firma yanıtlamıştır. Firmalar hukuki statüsüne göre; 110'u (%57,3) Limited şirket, 70'i (%36,5) Anonim şirket, 9'u (%4,7) Gerçek kişi ticari işletmesi (Şahıs Şirketi), 3'ü (%1.5) Adi ortaklık şirketidir.



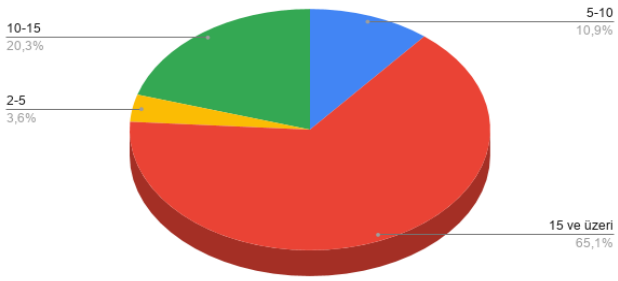

**Soru 3:** Şirkette Çalışan Toplam Kişi Sayısı sorusunu 188 firma yanıtlamıştır. 1-9 aralığında çalışan sayısı 21 firma (%11,2), 10-49 aralığında 68 firma (%36,2), 50-249 aralığında çalışan sayısına 64 firma (%34), 250-499 aralığında 23 firma (%12,2), 500 ve daha fazlasına 12 firmadır (%6,4).



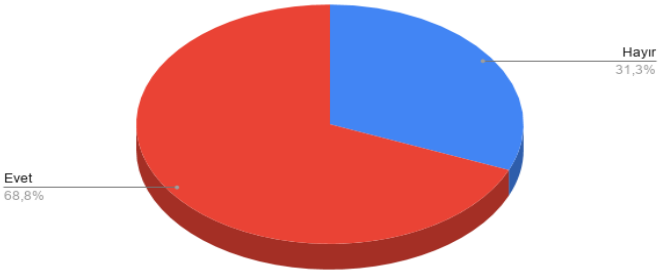

**Soru 4:** Faaliyet Gösterilen Sektör Bilgisi sorusuna 190 firma yanıt vermiştir. Bunlar; Mobilya, Ambalaj-Plastik, İnşaat yapı malzemeleri olarak sıralanmaktadır.



**Soru 5:** Şirketin Faaliyet Yılı sorusuna 192 firma yanıt vermiştir. Şirketlerin büyük çoğunluğunun 15 ve üzeri yıldır faaliyet gösterildiği bilgisine ulaşılmıştır.




**Soru 6:** Şirketiniz İhracat yapıyor mu? sorusuna 192 firma yanıt vermiş, 132 firmanın ihracat yaptığını belirtmiştir.

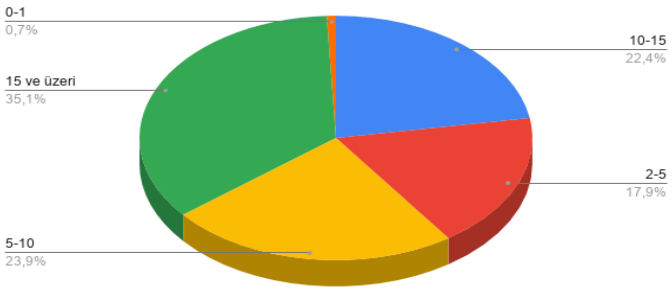



**Soru 7:** Şirketiniz ihracat yapmıyorsa, bunun nedeni aşağıdaki ölçütleri kullanarak açıklayabilir misiniz? sorusuna, firmalar genel olarak işletmelerinin sermayesinin ve üretim kapasitesinin yeterli olduğunu fakat dış ticaret yapmak için dış ticaret desteklerin nasıl alındığı bilmediklerini, dış ticaret departmanında çalışanın uzmanın olmadığını, yurt dışı pazar araştırması yapacak düzeyde bilgili, tecrübeli ve yabancı dil bilen çalışanların bulunmadığını belirtmiştir.

**Soru 8:** Dış Ticaret Departmanında kaç kişi çalışmaktadır? sorusuna 167 firma yanıt vermiştir. Bunlardan 75 firma 1-9 arası dış ticaret departmanında çalışanın bulunduğunu, 65 firma ise dış ticaret departmanında çalışanın bulunmadığını belirtmiştir.

**Soru 9:** Dış ticaret işlemlerinde kendi personelinizi mi kullanıyorsunuz yoksa dışarıdan destek mi alıyorsunuz? sorusuna 135 firma yanıt vermiştir. 64 firma dış ticaret departmanında dış ticaret operasyonlarını yürütecek nitelikte elemanım ve gümrük müşavirim de bulunuyor, olarak cevap vermiş, 31 firma dış ticaret departmanım yok, dış ticaret işlemleriyle ilgili tüm aşamaları gümrük müşavirimle yürütüyorum olarak cevap vermiştir.

**Soru 10:** Şirketiniz kaç yıldır ihracat yapıyor? sorusuna 134 firma yanıt vermiş, 15 yıl ve daha fazla yıldır ihracat yapan firmanın çoğunlukta olduğu belirlenmiştir.

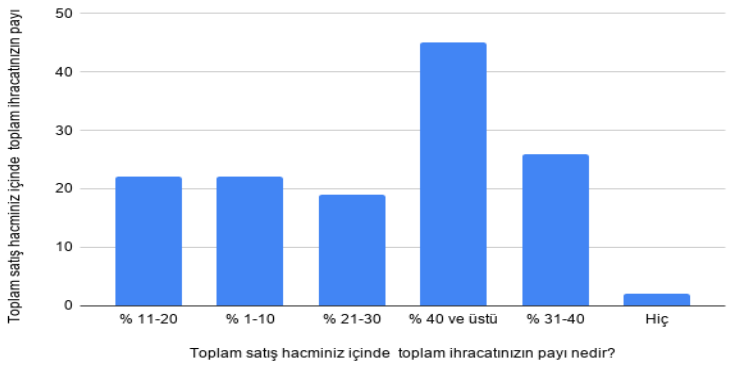



**Soru 11:** İhracat yaptığınız ilk 10 ülkeyi sıralayınız? sorusuna 107 firma yanıt vermiştir. Ankete katılan firmalara göre, en fazla ihracat yapılan ülkeler içinde ilk sırada Almanya gelmektedir. İlk on ülke sıralaması; Almanya (44), Fransa (27), Gürcistan (26), Azerbaycan (25), Suudi Arabistan (24), Cezayir (23), ABD (18), Libya (17), Mısır (17), İngiltere (16)'dir.

**Soru 12:** İhracat yapılan müşterilere nasıl ulaştınız? sorusuna firmaların en fazla yanıt verdiği cevaplar sırasıyla; gümrük komisyoncusu aracılığıyla, Ticaret ve/veya Sanayi Odaları kanalıyla, Yurtdışı-Yurtiçi vb. etkinliklere katılım yoluyla, dış ticaret departmanın girişimiyle ve Organize bölgesine gelen müşterilerin firmaları gezip yerinde görmesi ile gerçekleştiği yönündedir.

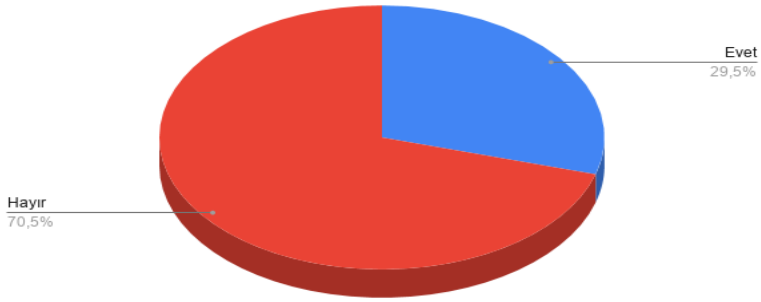
**Soru 13:** İhracat desteklerinden hangisi/hangilerinden yararlandınız? sorusuna firmaların verdiği yanıtlara göre yurtiçi uluslararası fuar desteğinden 74, yurt dışı uluslararası fuar desteği 59, yurt dışı ofis mağaza açma yardımı 17, eğitim yardımları 33, istihdam desteği 40, Ar-Ge desteği 56, KOSGEB faizsiz ihracat kredisinden 34 firma yararlanmıştır.

**Soru 14:** Toplam satış hacminiz içinde toplam ihracatınızın payı nedir? sorusuna 136 firma yanıt vermiş, bunların içinde %40 ve üstü yanıtının diğer yanıtlara göre yüksek olduğu belirlenmiştir.

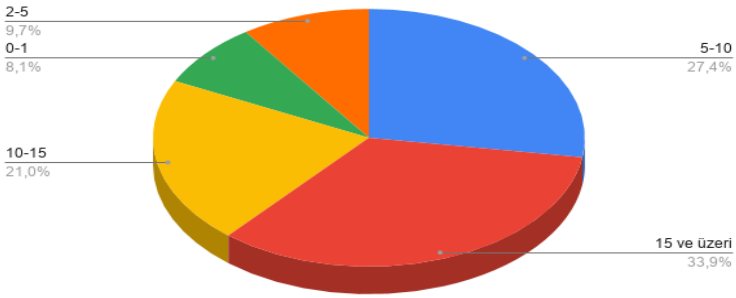



**Soru 15:** İhraç konusu mallarınız nelerdir? sorusuna 132 firma yanıt vermiş, firmaların en fazla ilk üç ihraç konusu ürününü Mobilya ahşap ürünleri, Metal ürünler ve Ambalaj-Plastik olduğu belirlenmiştir.

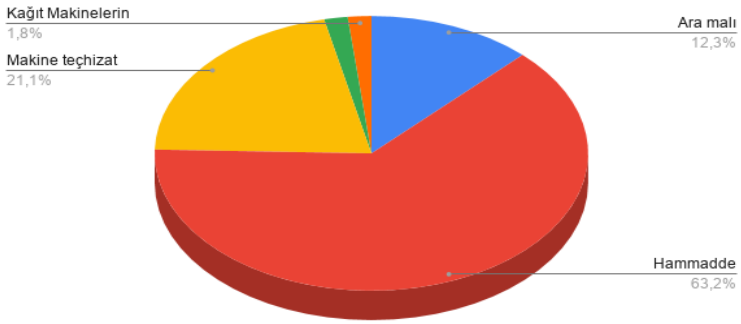
**Soru 16:** İthalat yapıyor musunuz? sorusuna 183 firma yanıt vermiş, firmaların 129'u ithalat yapmadığını belirtmiştir.




**Soru 17:** Kaç yıldır ithalat yapıyorsunuz? sorusuna 62 firma yanıt vermiş, 15 yıldan fazla ithalat yapan firma sayısının çoğunlukta olduğu belirlenmiştir.




**Soru 18:** Hangi malları ithal ediyorsunuz? sorusuna 57 firma yanıt vermiş, en çok ithalat edilen ürünün hammadde olduğu belirlenmiştir.



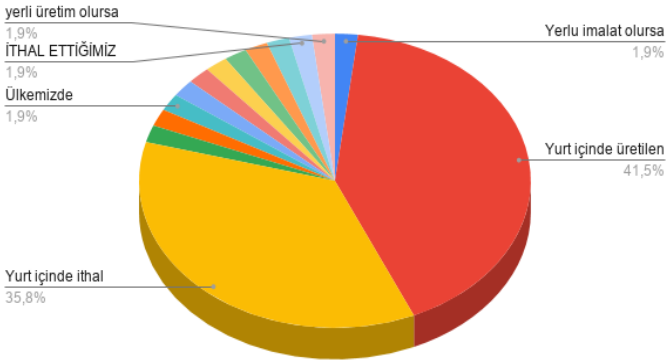

**Soru 19:** Neden ithal mal kullanmayı tercih ediyorsunuz? sorusuna 54 firma yanıt vermiş, bunlardan; %48,1'i ithal malı iç piyasada üretilmediğini, %25,9'u ithal malın fiyatı iç piyasadaki benzer mallardan düşük olduğunu, %20,4'ü ithal malın kalitesi iç piyasadaki benzer malların malın kalitesinden yüksek olduğunu, %5,6'sı karşılıklı ticaret yaptığı için ithal mal kullandığını belirtmiştir.

**Soru 20:** En fazla İthalat yaptığınız ilk 10 ülkeyi sıralayınız, sorusuna 46 firma yanıt verilmiştir. En fazla ithalat yapılan ülke Almanya'dır. İthalat yapılan ilk 10 ülkeyi sıralaması; Almanya (18), Çin (14), Hindistan (7), Suudi Arabistan (5), Fransa (5), Belçika (5), İtalya (5), İngiltere (4), G. Kore (4), İran (4), Irak'tır (4). Bu

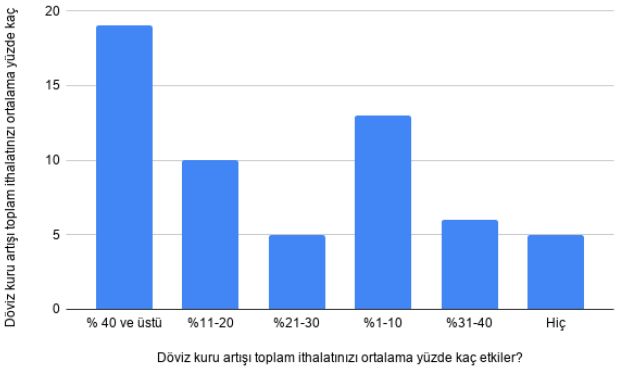
sonuçlar, anket yapılan firmalara göre Kayseri de ham madde ithalatının yüksek olduğunu ortaya koymaktadır. Bunun nedeni olarak ise ithal malın yurtiçi piyasada üretilmemesi yanıtı temel unsur olarak belirlenmiş ikinci olarak ithal malın yurtiçi ikamesinin az olmakla birlikte yüksek fiyatlı olması gösterilmiştir. Bununla birlikte firmalar ithal malın kalitesinde daha yüksek olduğu ileri sürülmektedir.

**Soru 21:** İthalat yaptığınız müşterilere nasıl ulaştınız? sorusuna 16 firma yurt dışı fuar vb. etkinliklere katılım yoluyla ulaştığı yanıtını verirken, 11 firma yurt içi fuar vb. etkinliklere katılım yoluyla bulduğunu, 12 firma dış ticaret departmanında çalışanların girişimleriyle bulabildiğini, 6 firma Ticaret ve/veya Sanayi odaları kanalıyla bulduğunu, 3 firma gümrük komisyoncusu aracılığıyla her zaman seçeneğiyle bulduğunu belirtmiştir. Sıklıklarla firmalara ithalatçı bulma konusunda yurtiçi ve yurtdışı fuarların katkı sağladığı görülmüştür. İthalat yapacak müşterileri bulmakta şikayetçiler bu konuda ticaret/sanayi odalarından daha fazla destek beklediklerini belirtmişlerdir. 90 firma büyük ölçüde ithalat yaptığı müşterileri yurt içi/ yurt dışı fuardan bulduğu belirlenmiştir. 102 firma ithalat için müşteri bulmada sıkıntı yaşadığı belirlenmiştir. Bu firmalar Gümrük komisyoncusu aracılığıyla, Yurt dışı fuar vb. etkinliklere katılım yoluyla, Yurtiçi fuar vb. etkinliklere katılım yoluyla, Dış ticaret departmanında çalışanların girişimleriyle, Ticaret ve /veya Sanayi Odaları kanalıyla bu seçeneklerde müşteri bulmada yararlanmadığını belirtmiştir.

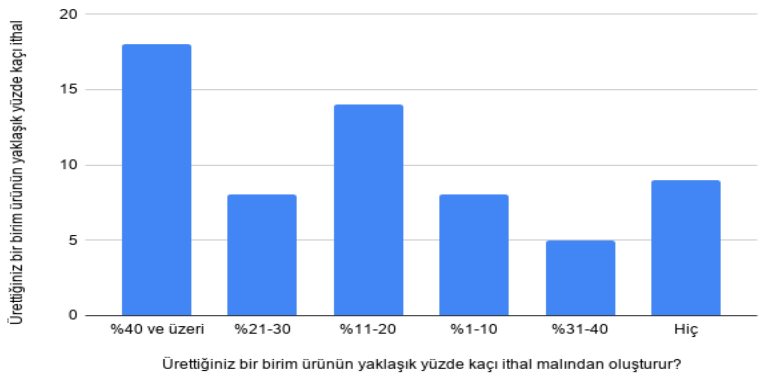
**Soru22:** Aşağıdakilerden hangisi sizin ithalatınızı azaltabilir? sorusuna, firmaların yurtiçinde üretilen mevcut kalite ve nitelikte olan ürünlerin fiyatı daha düşük olursa ve ithal malları ikamesine kalite standart getirilirse ithalata olan bağımlılığın azalacağını belirtmişlerdir. %41,5 Yurt içinde üretilen mevcut kalite ve nitelikte olan ürünlerin fiyatı daha düşük olsa, %35,8 Yurt içinde ithal malları ikamesine kalite standart getirilirse, %1,9 Ülkemizde üretilen bir mal değil, %1,9 yerli üretim olursa, %1,9 İthal ettiğimiz ürünler yurt içinde üretilirse, %1,9 her ikisi de yanıtlarını vermiştir.




**Soru 23:** Döviz kuru artışı toplam ithalatınızı ortalama yüzde kaç etkiler? sorusuna 58 firma yanıt vermiştir. Firmaların çoğunlukla %40 ve üstü etkilendiklerini belirtmişlerdir. Döviz kurlarındaki artışın ithalatı yavaşlatma etkisi ise ihracatı artırma etkisinden daha yüksek olduğu gözlenmiştir.



**Soru 24:** Ürettiğiniz bir birim ürünün yaklaşık yüzde kaçı ithal malından oluşturur? sorusuna 62 firma yanıt vermiştir. Bunlardan 9 firma hiç, 8 firma %1-10, 14 firma %11-20, 8 firma %21-30, 5 firma %31-40, 18 firma %40 ve üzeri, olduğunu belirtmiştir.




## 4. SONUÇ

Dışa dönük üretim yapan yerli ya da yabancı sermayeli kuruluşların ihracattaki ağırlıkları ve dış girdilere bağımlılığı, ülke ekonomilerinin gelişmişlik düzeyi hakkında belirleyici özelliğe sahiptir. Bu nedenle dış ticaret yapısındaki gelişmeler ülke ekonomisi ile doğrudan ilişkili olmakta ve ülkenin makroekonomik değişkenlerini olumlu ya da olumsuz etkileyebilmektedir. Gelişmekte olan ülkelerin dış ticaret yapısına yönelik dikkat çeken en önemli şey ihracatın ithalata bağımlı olmasıdır. Bu bağımlılığın artmasında en önemli nedenlerden biri de ihraç malları üretiminde önemli oranda ithal girdi kullanılıyor olmasıdır.

Bu çalışmada Kayseri ilindeki şirketlerin ihracat kapasitesi ve ithalata bağımlılıklarının belirlenmesi ve arasındaki ilişkilerin düzeyi ölçülmeye çalışılmıştır. Uygulama aşamasında anket yöntemi kullanılmış, 192 firmadan geri dönüş sağlanmıştır. Ankete katılan kişiler büyük ölçüde üst düzey yönetici ve dış ticaretle ilgili kişiler olması, anketin güvenilirliğini artırmıştır. Firmaların hukuki yapısı ağırlıklı olarak limited şirket biçimindedir. Çalışan sayısı bakımından, 10-49 aralığında 68 firma (%36,2), 50-249 aralığında 64 firma (%34), ankete katılanların %70,2'sini temsil etmektedir. Sektörel açıdan bakıldığında, ankete katılan itibariyle ilk üç sektör mobilya, ambalaj-plastik, inşaat yapı malzemeleri sektörleri önde olduğu görüldü. Ankete katılan firmaların verdiği cevaplara göre 132 firmanın ihracat yaptığını belirlendi. İhracat yapmayan firmalar bunun nedenini firmalarının sermayesi ve üretim kapasitesinin yeterli olmasına rağmen dış ticaret desteklerinin nasıl alındığı bilmediklerini, dış ticaret departmanında çalışan uzman olmadığını, yurt dışı pazar araştırması yapacak düzeyde bilgili ve yabancı dil bilen çalışan bulunmadığı ifade etti. Ankete katılan firmaların ağırlıklı olarak dış ticaret departmanında uzman sıkıntısı yaşadığı ve gerek müşteri bulma aşamasını gerekse gümrük işlemlerini gümrük müşavirleri aracılığıyla yürüttüğü belirlendi. Ankete katılan firmalar arasında sektörde 15 yıldan fazla faaliyet gösteren ve ihracat yapan firma sayısı yüksektir. Aslında ihracat deneyimlerinin yüksek olduğu söylenebilir. Öte yandan Kayseri'de anket sonuçları kapsamında en fazla ihracat yapılan ülkeler içinde ilk sırayı Almanya'nın aldığı belirlendi. İhracatta ilk on ülke sıralaması; Almanya, Fransa, Gürcistan, Azerbaycan, Suudi Arabistan, Cezayir, ABD, Libya, Mısır, İngiltere şeklinde sıralanmaktadır. İhracat pazarına nasıl ulaştığı noktasında firmalar, gümrük komisyoncusu aracılığıyla, ticaret ve/veya sanayi odaları kanalıyla, yurtdışı-yurtiçi vb. etkinliklere katılım yoluyla ve dış ticaret departmanın girişimiyle ulaştıklarını belirtmişlerdir. Bunun yanı sıra organize sanayi bölgesine gelen ithalatçıların şirketleri bizzat yerinde görmesi ile de müşteri bulduklarını ifade etmişlerdir. Ayrıca anket sonuçları ihracat yapan firmalar içinde, ihracat ettiği ürünlerin toplam satış hacmi içindeki payı %40 ve üstü olan firma sayısının yüksek olduğunu göstermiştir.

Firmaların ithal malı kullanma tercihinde etkili olan faktörler ise; ithal edilen ara malının iç piyasada sınırlı olması, fiyatının yüksek olması, iç piyasada benzerinin bulunmaması, yerli malın kalitesinin farklı olması ve karşılıklı ticaret yaptığı için ithal mal kullandığı şeklinde belirlenmiştir. Firmaların ithalat yaptığı birinci sıradaki ülke Almanya'dır. İthalat yapılan ilk 10 ülke; Almanya, Çin, Hindistan, Suudi Arabistan, Fransa, Belçika, İtalya, İngiltere), G. Kore, İran ve Irak şeklinde sıralanmaktadır. Anket yapılan firmalara göre Kayseri'de hammadde ithalatı yüksek görünüyor. Bunun nedeni olarak ithal malın yurt içi piyasada üretilmemesi ilk neden olarak belirlenmiştir. İkinci neden ithal malın yurt içi ikamesinin az olmakla birlikte yüksek fiyatlı olmasıdır. Bununla birlikte ithal malın kalitesinde daha yüksek olduğu yönünde

yanıtlar da alınmıştır. İthalat yapılan müşterilere, yurt dışı fuar vb. etkinliklere katılım yoluyla, firma yurt içi fuar vb. etkinliklere katılım yoluyla, dış ticaret departmanında çalışanların girişimleriyle, ticaret ve/veya sanayi odaları kanalıyla ve firma gümrük komisyoncusu ulaşıldığı belirlenmiştir. Ankete katılan firmaların ihracat olanaklarının geliştirilebileceği belirlenirken, ankete katılan firmaların ortalama yüzde otuzunun ithalata bağımlılıklarının %40 olduğu gözlenmiştir.

Anket sonuçlarına göre Kayseri'de firmaların yenilikçi olması, girişimcilik kültürünü benimsemesi, dış ticaret elemanı çalıştırması, bu elemanların eğitimi için katılacakları programları teşvik etmesi gerekmektedir. Edinilen bulgular firmaların dış ticaret okuluna ihtiyacı olduğu yönündedir. Firmalara özellikle dış ticaret nasıl yapılır, destekler neler, e-ticaret konularında yoğun ve sürekli eğitim verilmelidir. Pazarı araştırması yapmayı bilmeyen firmalara eğitimlerinin artırılması, yurtiçi ve yurt dışı fuarlara katılımın artırılması için firmalarla ihracatçılar birliklerinin koordineli ve sık sık görüşmeler yapması önerilebilir.

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# Toplumsal Yıkıntının Edebiyata Yansıması

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**Özet:** Savaşlar ne kazanan ne de kaybeden toplumlara bir fayda sağlamıştır. Savaş sonrası her iki tarafın da her alanda çok büyük kayıplar vermiş olduğu görülmektedir. İki büyük dünya savaşını kaybeden taraf olarak Almanya, savaşın toplum üzerinde ki yıkıcı etkisini ve yarattığı travmayı oldukça uzun süre yaşamıştır. Savaş sonrası kötü koşullar altında sürdürülen acılı toplumsal yaşam, Alman yazınında da çeşitli şekillerde yansıtılmıştır.

Heinrich Böll bizzat savaşa katılmış biri olarak savaşın kötü yüzünü ve sonrasında Almanya'da yaşanan sefaleti, Alman bir ailenin yaşamı üzerinden anlatmaktadır. Yıkılan binalar nedeniyle konut sıkıntısı çekilen bir ortamda kilisenin lojmanına yerleştirilen bir ailenin yaşam mücadelesi o günün Almanya'sını gözler önüne sermektedir. Yaşam alanlarının yıkıntıları gibi, içerisinde yaşayan insanlar da toplumsal yaşam içerisinde, yıkılmış bir şekilde teslimiyetçi ve edilgen bir tutum sergilemektedir.

H. Böll, savaşın yok ettiği şehirlerin durumu, parçaladığı aileleri ve kilisenin tutumu, eserin bütünlüğü içerisinde nesnel bir bakış içerisinde eleştirisel bir gözle anlatılmıştır. Ayrıca birçok değerini savaş nedeniyle kaybetmiş bir toplumun, çalışarak var olma ve yaşama tutunma çabası bu eserin diğer önemli özelliğini oluşturmaktadır.

Bu çalışmada, savaş kuşağının bir temsilcisi olarak Heinrich Böll'ün, kendi toplumunun savaş sonrası Alman toplumunun yaşadığı acılar, çaresizlikler ve yoksulluk "Ve Tek Bir Kelime Söylemedi (1953)" eseri ışığında incelenecektir. Savaşların yıkıcı etkisinin, toplumun en küçük yapı taşı olan aile yaşamını nasıl etkilediği, buna bağlı olarak kilisenin o dönemki toplumsal yaşama bakışa açısı nicel bir araştırma şeklinde kaynak tarama yapılarak betimleme yoluyla irdelenecektir.

**Anahtar Kelimeler:** Savaş, Toplumsal Yıkıntı, Edilgenlik

# Reflection of Social Ruin to Literature

**Abstract:** Wars have benefited societies that neither win nor lose. It is seen that both sides gave great losses in all areas after the war. As the losing party of two great world wars, Germany has lived through the devastating effect of the war on society and the trauma it created for a long time. The painful social life sustained under bad post-war conditions has also been reflected in various ways in German literature.

Heinrich Böll, as a person who took part in the war, tells about the bad face of the war and the later misery in Germany through the life of a German family. The struggle for life of a family placed in the housing of the church in an environment with housing shortages due to the collapsed buildings reveals the Germany of that day. Like the ruins of living spaces, the people living in it also exhibit a submissive and passive attitude in social life, destroyed.

H. Böll, the state of the cities destroyed by the war, the families that he destroyed, and the attitude of the church are explained with a critical eye in an objective perspective within the integrity of the work. In addition, the effort of a society that has lost many of its values due to war, to exist by working and to hold on to life is another important feature of this work.

In this study, as a representative of the war zone, the suffering, desperation and poverty of his own society, the post-war German society will be examined in the light of "And He Didn't Say A Single Word (1953)". How the destructive effect of wars affected family life, which is the smallest building block of society, and the church's perspective on social life at that time will be examined through a source scan and description in the form of a quantitative research.

**Keywords:** War, Social Ruin, Passivity

## 1. GİRİŞ

İnsanlık tarihi boyunca nice savaşlar olmuş, ancak hiç biri insanlığa bir yarar getirmemiştir. Bağımsızlık, vatan, toplumların yaşam alanlarının ve özgürlüklerinin yok olmamasına karşı verdikleri haklı savaşların yanında, özellikle ekonomik, siyasi hırslarla yapılan savaşlar insanlığa büyük zararlar vermiştir. Almanya'nın o dönem faşizm yönetim anlayışı ile başlattığı II. dünya savaşı insanlığın, sonucunda da kendi toplumunun dehşeti yaşamasına neden olmuştur. Savaş ve savaşı konu edinen o dönemin edebiyatçıları, tüm gerçekliği ile savaşın yok edici yönünü toplumsal yaşamın içerisinden, bir sonraki kuşakların ders almaları bakışı düşüncesiyle açısı ile edebiyat aracılığı ile aktarmışlardır.

Edebiyat, toplumsal yaşamın bir aynasıdır. Yaşanılan çağın tüm gelişmeleri edebiyat aracılığı ile bir sonraki nesille aktarılmaktadır. Savaş sonrası Alman edebiyatında, savaşın neden olduğu öncellikle ülkenin bölünmesi, insanların acıları, yoklukları ve toplumsal yıkımın görünümü anlatılmıştır. Savaşın beraberinde getirdiği ölüm, yıkım, parçalanmış aileler, psikolojik olarak sağlığı bozulmuş bir toplum, yeniden toparlamaya çalışma gibi konular tüm çıplaklığı ile herhangi bir abartı olmadan edebiyat aracılığı ile bir sonraki kuşağa yansıtılmıştır.

Alman toplumunun savaş sonrası harabeler içerisindeki yaşantısını en net anlatan, bizzat kendisi de savaşı yaşamış Heinrich Böll'dür. Heinrich Böll savaş süresince Almanya'da kalmış ve savaşın tüm kötü yönlerini yaşamıştır. Heinrich Böll tüm eserlerinde Alman toplumun savaştan ne kadar zarar gördüğünü anlatırken, diğer bir taraftan da toplumun yeniden ayağa kalkma ve yaşama çabalarını, gün yüzüne sermektedir. Savaş sonrası edebiyatın temsilcileri de savaşta gördüklerini, yaşadıklarını ve özellikle savaşta insan olma değerlerinin yıkıldığını eserlerinde anlattılar.

Heinrich Böll, "Ve Tek Bir Kelime Söylemedi (1953" (Und sagte kein einziges Wort) eserinde savaş sonrasında yaşanan olaylara yönelik toplumsal bir eleştiri yöneltmektedir. Özellikle savaşın edilgen hale getirdiği insanların yaşamından kesit şeklinde bir anlatım tarzı sergilemiştir. Eser, bir ailenin, yaşam mücadelesi verirken, insan olmanın gerekliliklerini de unutmadan tek düze yaşamlarının yansıtıldığı tipik bir eserdir. Eserde kilisenin üstlendiği konut yardımı konusunda işlenmiş, savaş sonrası "sabırlı olma" olgusunda vurgu yapılmıştır. Diğer bir taraftan da o dönem de kadın olmanın zorlukları göz önüne serilmiştir.

## 2. HEİNRİCH BÖLL'ÜN OTOBİYOGRAFİSİ, ESERLERİ VE EDEBİ YÖNÜ

Heinrich Böll 1917'de Köln'de doğmuştur. Çocukluğu I. Dünya Savaşının yokluk yıllarında geçmiştir. Katolik bir terbiye içerisinde büyümüş ve 1924 yılında okula başlamıştır. 1937'de liseyi bitirdikten sonra 1938 yılında çalışma kampına daha sonra da askere alınmıştır. Her ne kadar Alan Edebiyatının ünlü nesir yazarlarından iri olarak bilinse de ilk şiirini askerden önce 17 yaşındayken yazmıştır. Savaşta birçok cephede görev almıştır. 1945 yılında 6 ay süreyle İngiliz ve Amerikalıların savaş esri olmuştur. Savaş sonrası doğduğu Köln kentine dönerek hem üniversiteyi okudu hem de çalıştı. 1947 yılında ilk kısa öyküsü Haberci, sonra ilk romanı Ademoğlu Neredeydin?, Ve O Hiçbir Şey Demedi yayınlandı. Kendisi, savaş sonrası koşullardan, yoksulluk, açlık ve hastalık gibi sıkıntılardan hem kendi geçtiği, hem de çevresinde bu durumlardan acı çeken birçok insan gördüğünden, hiçbir zaman çocuk sahibi olmak istememiş, kendi deyimiyle "Böyle bir dünyaya çocuk getirmek" istememiştir. 16 Temmuz 1985'te, 67 yaşında, evinin merdiveninden yuvarlanarak ölmüştür. Heinrich Böll'ün eserleri savaş sonrası yaşanan dramatik sosyal olayların aynası olmuştur. Yapıtlarında İkinci Dünya Savaşı'nı, özellikle de insanların nasıl savaştıklarını, savaşın yıkıntılarını ve acılarını anlatmıştır. Bu anlamda Aytaç şöyle demektedir.

> *Heinrich Böll kendisini savaş kuşağının temsilcisi olarak görmüş ve sanatını bu kuşağın huzursuluğunu, yoksulluğunu, çaresizliğini dile getirmekle görevli saymıştır. Demek oluyor ki Böll edebiyatı bir amaç uğrunda görevlendirdiği için angajedir, ama ideolojiye ya da partiye angaje değil, ahlakçılığa, insancıllığa angajedir (Aytaç, 1983:421).*

Heinrich Böll'ün hemen hemen tüm eserlerinde geçmişe yöneliş söz konusudur. Geçmişte yaşanılan olayların unutulmaması çok önemlidir. Özellikle savaş sonrasında insanların geçmişe yönelik hayallere dalmaları, yaşanmamışlıklarla alakalıdır. Savaşın kendilerinden kopardığı değerler üzerinde ve gündüz rüyaları görme anlamına gelen hayaller konusunu Böll titizlikle eserlerinde dile getirmiştir. Bu konuyla ilgili görüşlerini Kırmızı şöyle ifade etmektedir.

> *Böll'ün romanlarında hatıralara da büyük yer verilir. Hatıralar genelde eseri oluşturan tematik kurguyla birlikte verilir. Böll'ün figürleri geçmişini hatırlayan kişilerdir. Yazarın neredeyse tüm eserlerinde bu hatırlama tekniği (Erinnerungstechnik) görülmektedir. Hatırlama tekniği geçmişi unutmamak anlamına gelir (Kırmızı, 2017:115).*

Döneminin en çok okunan yazarı olan Böll, edebiyat da nesir yazmaya kısa hikâyelerle başlamıştır. Bu nedenle, eserlerinde zaman konusunda oldukça tasarruflu davranmaktadır. Eserlerinde kısa süreye sığdırdığı olaylar, mekânla iyi bir şekilde örgülenmiş olarak verilmektedir. Eserlerinde geçen olaydan çok olayın kahramanlarını ön plana çıkarmış ve böylece eserlerine bir akıcılık kazandırmıştır. Bu konuda Aytaç şöyle düşünmektedir.

> *Romanlarında zaman ilkesini son derce ustalıkla değerlendiren yazar, ideal roman konusunun aslında bir dakikaya sığması gerektiğini söylemiştir. Daha ilk romanlarında bile konu birkaç günle ınırlandırılmış, bu "Billard um halb zehn" de yirimi dört saate, "Ansichten eines Clowns" da üç buçuk saate indirgenmiştir (Aytaç, 1983: 427).*

Heinrich Böll, sert bir Katolik terbiye ile büyüdüğü için, eserlerinde kilise ile ilgili bölümleri görmek olasıdır. Ayrıca din adamlarının Nazi Almanya'sında ayrıcalıklı olarak yaşamaları ve insanlığı hizmet yerine kendilerini koruma altına almalarına karşı eleştirisel bir tutum sergilemektedir. Böll'ün eserlerinde politikaya sığınan din adamlarını, çıkar gruplarını, çok çabuk düzene ayak uyduran insan tipleri abartılı bir alay ifadesiyle anlatılmaktadır. Böll'ün eserlerinin kahramanları sıradan ve basit yaşayan insanlardır. Eserlerinde ki anlatım dili de basit ve sadedir. Zaman zaman dil olarak, mekân olarak seçtiği ve yaşadığı şehir Köln şivesini kullanmaktadır. Heirich Böll'ün Aldığı ödüller, eserleri aşağıdaki gibidir.

**Aldığı Ödüller**
1951 Gruppe 47 Edebiyat Ödülü (Die schwarzen Schafe adlı yapıtıyla), 1953 Alman Eleştirmenler Ödülü (Deutscher Kritikerpreis), 1958 Wuppertal Şehri Eduard von der Heydt Kültür Ödülü (Eduard von der Heydt- der Stadt Wuppertal), 1967 Georg Büchner Ödülü (bütün edebiyat yapıtları için), 1972 Nobel Edebiyat Ödülü, 1974 Carl von Ossietzky Madalyası, 1982 Köln Şehri Onursal Vatandaşı

**Eserleri**
1949 - Trenin Tam Saatiydi (Der Zug war pünktlich), 1951 - Âdemoğlu Neredeydin? (Wo warst du, Adam?), 1954 - Ve O Hiçbir Şey Demedi (Und sagte kein einziges Wort), 1954 - Babasız Evler (Haus ohne Hüter), 1955 - İlk Yılların Ekmeği(Das Brot der frühen Jahre), 1957 - İrlanda Güncesi (Irisches Tagebuch), 1959 - Dokuz Buçukta Bilardo (Billard um halbzehn), 1962 - Savaş Çıktığında (Als der Krieg ausbrach) ve Savaş Bitince (Als der Krieg zu Ende war), 1963 - Palyaço (Ansichten eines Clowns), 1966 - Bir Görev Seyahatının Sonu (Ende einer Dienstfahrt), 1971 - Fotoğrafta Kadın da Vardı (Gruppenbild mit Dame), 1974 - Katharina Blum'un Çiğnenen Onuru (Die verlorene Ehre der Katharina Blum), 1985 - Dört Oğluma Mektup ya da Dört Bisiklet (Brief an meine vier Söhne oder vier Fahrräder), 1992 - Melek Sustu (Der Engel schwieg), 1995 - Solgun Köpek (Der blasse Hund) (tr.wikipedia.org).

Ayrıca merkezi Almanya'da bulunan ve Türkiye'nin İstanbul kentinde şubesi olan **Heinrich Böll Stiftung Derneği** adında bir sivil toplum kuruluşu vardır.

## 3. ALMAN EDEBİYATINDA SAVAŞ SONRASI YIKINTI EDEBİYATI

Yıkıntı edebiyatı (Trümmerliteratur), II. Dünya Savaşından hemen sonra başlayan ve savaşın etkilediği toplumların savaş travmasını atlatana kadar süren edebiyat akımıdır. O dönem edebiyatın konularını, savaşın toplumlar üzerindeki yıkıcı etkisi oluşturmuştur. Bu edebiyat akımının yazarları, genellikle Nazi Almanya'sından kaçan ve savaşın bitmesiyle birlikte vatanlarına geri dönen ve toplama kamplarında tutulan yazarlardı. Savaş sonrası Alman edebiyatı, "Trümmerliteratur, Kahlschlagliteratur veya Stunde Null" gibi değişik adlar şeklinde tanımlanmıştır. Ancak tüm hepsinde de konular aynıdır. Savaşın etkilediği insanların yaşamlarından kesitler yansıtılmıştır. Yapılan edebiyat, sade ve abartısız bir dille anlatılmış, savaşın açtığı derin toplumsal yaralar nedeniyle süslü sözlerden kaçınılmıştır. Yıkıntı edebiyatının en önemli konuları şu şekilde verilmektedir.

> *Hayat öylesine zorlu, hayal kurmaya ayrılacak zaman ve olanak o kadar azdır ki, yazar ve şairler gerçekçi bir dil kullanarak abartı ve süslü laflardan kaçınmışlardır. Ölüm, yıkım, savaştan dönüş, savaşın parçaladığı aileler, esaret ve yeniden inşa konuları oldukça gerçekçi bir şekilde anlatılmıştır. Bu dönemin edebiyatçılarını, faşizm dönemini sürgünde geçirerek ülkesine geri*

> *dönenler, faşizm dönemini ülke içinde tecritte geçirenler ve savaş sonrası ilk eserlerini ortaya koyan genç yazarlar olarak gözlemleyebiliyoruz. Parçalanmış Almanya'daki yaşamın, savaş zamanında yaşanılanların anlatıldığı eserlerde politik konulara değinilmemeye gösterilen itina ise dikkat çekmektedir (yenihayat.de).*

Nazi döneminde Almanya'yı terk eden yazarlar ve Almanya'da kalıp yaşanılan olumsuzluklara sesiz kalan yazarlar savaş sonrası Nazi döneminin eleştirisini yapmaya başlamıştır. Özellikle Berthold Brecht ve Heinrich Böll, savaş döneminin toplumsal felaketlerini ve savaş dönemi insanın karakteristiğini edebiyata yansıtmışlar ve Almanya'nın her iki blokunda da çok sık okunan yazar olmuşlardır. Nürnberger bu konuda şöyle düşünmektedir.

> *1945 Alman edebiyatı için yeni bir gelişme başlangıcı olsa da, sanatsal düşünce olarak yeni bir gelişme dönemi olmadığı sonraki zamanlarda görülmüştür. Edebiyatta 1933 den beri açıkça yapılan bölünmüşlüğün savaş sonrası siyasi görünümdür. Milliyetçi sosyalistler iktidara geldiklerinde, dünya görüşleri zıtlık gösteren yazarlarla bağlantı kurulamayacak şekilde edebiyata değil her alanda bir ayrım olmuştur. Hitler döneminin sona ermesiyle birlikte ayrılmış edebiyatın tekrar tesisi için, 1945'den sonra yeni bir anlayış ve kültürel çizgiye çekmeyi olanaklı hale getirecek koşullar oluşmuştur (Nürünberger, 1995:347).*

Trümmerliteratur' (YıkıntıEdebiyatı) konusunda ise en net açıklamayı dönemin en iyi anlatıcılarından Heinrich Böll yapmıştır: "Bizim nesil yazarlarının 1945'ten sonraki çalışmaları 'Trümmerliteratur' olarak tanımlandı. Buna bir itirazımız olamazdı, çünkü bu haklı bir tanımlamaydı. Bizim yazdığımız insanlar yıkıntıların içinde yaşıyorlardı. Bunlar savaştan çıkmış kadınların ve erkeklerin ve de çocukların aynı ölçüde zarar gördükleri insanlardı. Bu insanlar keskin gözlüydüler. Görüyorlardı. Hiçbir zaman tam bir barış içinde değillerdi. Çevrelerinde bulundukları yerlerde ve yanlarındaki hiçbir şey iç açıcı değildi. Ve yazar olarak bizler kendimizi onlara yakın hissediyorduk. Çünkü biz onlarla özdeştik. Karaborsacılarla ve karaborsacıların kurbanlarıyla, kaçaklarla ve herhangi bir şekilde yurtsuz evsiz kalmışlarla ve her şeyden önce bizim ait olduğumuz ve büyük bölümünün gerçekten dikkate değer bir durum içinde bulunduğu nesille özdeştik. Bu nesil yurda dönüyordu. Bu, biteceğine pek az kişinin inanabildiği bir savaştan yurda dönüştü. Yani biz savaşı, yurda dönüşü, savaşta gördüklerimizi ve yurda döndüğümüzde karşılaştıklarımızı, kısacası yıkıntıları yazdık. Bu da bu genç edebiyata ait olan 'savaş' 'yurda dönüş' ve 'yıkıntı edebiyatı' gibi kavramları ortaya çıkardı."

Yıkıntı edebiyatı (Trümmerliteratur), gerçeği olduğu gibi aktararak gelecek kuşağa savaşın ve nedenlerinin olumsuz yönlerini göstermeyi amaçlamıştır. Savaş sonrası insanın ruh halini yansıtan eserler kaynağını savaştan alan eserler yazılmıştır. O dönemlerde Alman edebiyatını etkileyen farklı dünya görüşleri ve edebiyat akımları (Marksizm, varoluşçuluk, psikanaliz, ekspresyonizm ve sürrealizm) olmuştur. Konu seçimi genelde tabu kabul edilen, üzerinde konuşulamayan konulara yönelmiştir. Bu anlamda Aytaç düşüncelerini şöyle ifade etmektedir.

> *Savaşı yaşamış olanların eserleri organik bir gelişimden değil, bir felaketten, savaştan kaynağını alma eserlerdir. Ve yazarları çoğu kez etrafına bakınmaya, karşılaştırmalar yapmaya, özümlemeye fırsat bulamamış kişilerdir. O yüzden gerçekçi ve şüpheci tonda yazmışlar, romantizme ve kahramanlık havasına kapılmamışlardır (Aytaç, 2012:360).*

Yıkıntı edebiyatının Almanya dışında örnek aldığı edebiyat türleri; Amerikan kısa öyküleri ve bunların özlü, basit olanlardır. Ernest Hemingway, John Steinbeck ve William Faulkner'ın eserleri Yıkıntı Edebiyatına örnek gösterilmektedir. Yine o dönemin bazı varoluşçuluk ve direniş yelpazesinden ideolojik olarak Fransız Jean Anouilh, Jean-Paul Sartre, Albert Camus ve İtalyanlar Elio Vittorini ve Ignazio Silone gibi yazarlar "Yıkıntı Edebiyatı" için etkili olmuştur. Yıkıntı Edebiyatı yazarlarının örnek aldığı diğer yazarlar, Arthur Koestler ve Gustav Regulator gibi sol görüşlü Alman göçmenlerdi. Yıkıntı Edebiyatı, Almanya'nın giderek zenginleşmesiyle, şehirler inşa edildiğinde ve savaşın dehşetinin arka planda kaybolmasıyla sona ermiştir.

## 4. ESERİN İÇERİK AÇISINDAN KISACA DEĞERLENDİRİLMESİ

Heinrich Böll, "Ve Tek Bir Kelime Söylemedi" romanda geçen olayları kesin tarihler (30 Eylül ile 2 Ekim 1950) vererek anlatmıştır. Fred Bogner, eşi Käte ve üç çocuğunun savaş sonrası yaşamlarından bir kesitin verildiği roman, o dönemin bir aynası gibidir. Romanda savaşın geride bıraktığı kötü etkileri unutmak isteyen ve sürekli alkol alan bir baba, zor koşullarda ayakta kalmaya çalışan sabırlı bir anne ve yıkıntıların arasında yeşeren yeni yaşam umudu çocuklar biçiminde verilen bir ailenin iki hafta sonunu kapsayan dramatik yaşam mücadelesi anlatılmaktadır. Romanın temelinde, nerdeyse tüm binalar yıkıldığı için konut sorunu bulunmaktadır. Eser 13 bölümden oluşmaktadır. Olayların monolog şeklinde bir anlatımı olan eserde, anlatım bazen kadının bazen de kocasının ağızından aktarılmıştır. Heinrich Böll'ün romanında olayların kısaca gelişimi şu şekildedir.

> Fred bir kilise idaresinin telefon operetörü olarak çalışmakta ve ara da bir ders vermektedir. Karısı Kaete ise, arada bir temizlik işi bulduğunda çalışmaktaydı. Savaşın ve sonrasında ağır yükünü içerek unutmak isteyen ve alkolik olduğun için, kilise aracılığı ile yapılan ev dağıtımın da kendine haksızlık yapılan Fred ve ailesi, ancak bir papaza ait tek odalı odada barınabilmişlerdir. Papazın diğer yerel din adamlarıyla çok iyi ilişkileri çok iyidir. Kendisi oldukça titiz karısı ise çok sinirlidir. Ses yalıtımı olmaya bir odada neredeyse tüm komşularının uyku esnasında çıkardıkları sesleri bile duyabiliyorlardı. Çocukların çıkardıkları sesler nedeniyle, papazın karısı tarafından sessiz olmaları için sık sık uyarılmaktadırlar. Üç çocuklu Bogner ailesi, tek odalı evlerinde gürültü nedeniyle zorbalığa maruz kalmaktadırlar. Savaş sendromu yaşadığı için alkolik olan, ancak karısını ve çocuklarını her şeyden çok seven Fred, bu nedenle şiddette başvurmaktadır.
>
> Gün geçtikçe tek odalı evde daha da gerginleşen ve gürültü nedeniyle ortaya çıkan olayları kontrol edemeyen Fred, çocuklarına karşı uyguladığı şiddetin artması üzerine evi terk eder. Bu kaçış aslında tek odalı evde yaşamaktan bir kaçıştır. Fred, ev dışında gecelemeye başlar. Bu süreçte alkol bağımlığı devam etmekte ve çeşitli şans oyunları da oynamaktadır. Eşi Keate ile ev dışında sadece hafta sonları harabe otel odalarında görüşmeye başlar. Kazandığı parayı, alkol, şans oyunları ve lokantalarda yemeğe vermekte, geri kalan az bir miktarı da zarf içerisinde eşine vermektedir. Evliliklerini böyle ayakta tutmaya çalışan çift, önceleri, kiliseye gitmekte ve teselli bulmaya çalışmaktaydılar. Ama yaşadıkları sosyal kriz, gittikçe inanç krizi yaşamalarına da neden olmuştur.
>
> Bogner çifti, en son ren nehri kenarında harabe bir otel odasında buluşmuş ve ailenin devam etmesi üzerine uzun konuşmalar yapmışlar. Bu konuşmadan sonra, o zamana kadar çok sabırlı davranan Keate, artık evliliği bitirmekten başka çare kalmadığını anlamıştır. Üstelik kendisi de hamiledir. Bu durumu anlayan Fred, ailesine geri dönmeyi ciddi şekilde düşünmeye başlamıştır (Böll.1953).

Roman, 1950'lerin başında okuyucuyu büyük bir şehre götürürken, ikinci Dünya Savaşı'ndan sonra kent sakinlerinde yaşanan evlilik sorunları, konut kıtlığı, yoksulluk ve kökensizliği konu almaktadır. Köln kentinde geçen olayların çok iyi bir betimlemesi yapılmış ve şehrin okuyucunun hayalinde tanınmasına kaynaklık etmiştir. O dönemin Köln kenti molozlar altında kalmış ve insanlar konut sıkıntısı çekmekteydiler. Köln kenti sakinleri savaşın üzerinden beş yıl geçmesine rağmen, romanda anlatıldığı gibi savaşın etkisini üzerinden atamayan pasif insan görünümü içerisinde verilmiştir.

## 5. SONUÇ

Savaş sonrası, yaşanan dramatik olayların edebiyata yansıtılması, insanın kendi eliyle yaptığı savaş gibi bir felaketin bir daha yaşanmaması açısından çok önemlidir. Savaşın yok ettiği yaşamlar, hayatta kalanların savaş süresince yaşanmamışlıkları, ekonomik krizlerin yaşanması, mesken sorunları, ailelerin dağılması, yalnızlık gibi sosyolojik ve psikolojik sorunların konu edildiği edebiyat ürünleri gelecekte dünya barışının inşa edilmesi için bir ışık niteliğinde olmuştur. Bunun en büyük kanıtı, savaşın sonunda yıkıntılar arasında var olma savaşı veren Alman halkı bugün dünyanın en büyük ekonomisine sahip olmasıdır.

Yazar Heinrich Böll bizzat kendisi savaşa katılmış ve savasın tüm insanlık için yıkıcı etkilerini yaşamıştır. Bu nedenle, Alman halkının özellikle alt tabaka insanların savaş sonrası yaşadığı yoksulluk ve çaresizliğini

dile getirmiştir. Heinrich Böll, nerdeyse tüm eserlerinde Almanya'nın yıkılmış şehirlerinde yaşanan mesken sorunlarını, insanların yaşamlarını ne kadar olumsuz etkilediği konusuna yazmıştır. H. Böll, savaşın suçuz kahramanları olarak nitelediği çocukların o dönem yaşadıkları aile, din, ahlak gibi toplumsal sosyal kurumların yokluğu ve gerekliliği konularına değinmiştir.

Heinrich Böll'ün 1953'de yayınlanan "Ve Tek Bir Kelime Söylemedi" (Und sagte kein einziges Wort), eserin de savaş sonrası yıkılan bir şehirde konut sorunu yaşayan bir ailenin yaşamından hareketle; toplumsal kurumların (özellikle Kilisenin tutumu) tutumlarına yöneltilen bir eleştiri söz konusudur. Eserde savaşın edilgen hale getirdiği ve yaşamın zorluklarından kaçarak, tüm olumsuzlukları alkole sığınarak unutmaya çalışan bir babanın ailesine karşı tutumunun yanında, yaşam savaşında, sabırlı ve güçlü kadının bir aile için ne kadar önemli rol model olduğu vurgulanmıştır. Ayrıca Böll, bu eserinde zor koşullarda yaşanan olumsuzluklar nedeniyle, evlilikte yabancılaşma konusuna da değinmiştir.

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# Suç ve Vicdan

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**Özet:** Suç insanlığın var oluşundan beri toplumsal bir sorun olarak her dönem de değişik şekillerde var olmuştur. Suç bütün toplumlarda sorun olmuştur. Suçun tamamen ortadan kaldırılması olası değildir. Ancak suçun topluma olan zararlarını en aza indirmek ve suçun gerçekleşmesini engellemek için önlemler alınabilir. Bu bağlamda toplumun sosyo-kültürel yapısını çok iyi tanımak gerekmektedir.

Küçük yerleşim bölgelerinde birincil derecede toplumsal ilişkiler önceliklidir. Bu nedenle toplumsal etkileşim bireylerin davranışları üzerinde oldukça etkilidir. Böylece toplumsal yaşam tarzları birbirine benzemektedir. Toplumda düzenin devam etmesi için toplumsal değerlere ve kurallara uyulması gerekmektedir. Aksi halde toplumun kabullenemeyeceği davranış şekilleri suç olarak ortaya çıkar.

Anette von Droste- Hülshoff'un "Yahudi Gürgeni (1842)" eserinde bir adamın toplumsal çevre, kalıtım ve kader örgüsü çerçevesinde işlediği cinayeti ve sonunda da cinayetin işlendiği yerde esrarengiz intiharı anlatılmaktadır. Toplumsal değerler uymayan davranışı nedeniyle suç işleyen bir adamın aklanmasına rağmen vicdani suçluluk nedeniyle, cinayetin sembolü olan ağaca kendini asarak ölümü tercih etmesi, hiçbir suçun cezasız kalmayacağını göstermektedir.

Bu çalışmada, suç ve vicdan olguları, bireyin davranışlarının olumlu veya olumsuz sonuçlarını gösteren bir toplumsal düzen aracı olarak incelenecektir. Eserde işlenen suçun kaynağının toplumsal çevre ve kalıtımın bir sonucu olduğu düşüncesinden hareketle, suçun bireyde nasıl bir vicdani bir sorumluluk oluşturduğu değerlendirilecektir. Suç ve vicdan arasında ilişki , "Yahudi Gürgeni" eseri ve yazarın yaşadığı dönem bağlamında nicel bir araştırma şeklinde kaynak tarama yapılarak betimleme yoluyla irdelenecektir.

**Anahtar Kelimeler:** Suç, Vicdan, Ceza

# Crime and Conscience

**Abstract:** Crime as a social problem has existed in different forms in every period since the existence of humanity. Crime has been a problem in all societies. It is not possible to completely eradicate the crime. However, measures can be taken to minimize the damages of the crime to society and to prevent the crime from happening. In this context, it is necessary to know the socio-cultural structure of the society very well.

Social relations are of primary importance in small residential areas. Therefore, social interaction is very effective on the behavior of individuals. Thus, social lifestyles are similar. Social values and rules must be followed in order to maintain order in the society. Otherwise, behaviors that cannot be accepted by the society are revealed as crimes.

In Anette von Droste-Hülshoff's "Jewish Hornbeam (1842)", the murder of a man within the framework of the social environment, heredity and fate, and finally his mysterious suicide at the place where the murder was committed, is depicted. The fact that a man who commits a crime due to his behavior that does not comply with social values is acquitted, preferring death by hanging himself on the tree, which is the symbol of murder, due to conscientious guilt, shows that no crime will go unpunished.

In this study, the facts of crime and conscience will be examined as a social order tool that shows the positive or negative consequences of an individual's behavior. Based on the idea that the source of the crime committed in the work is a result of the social environment and heredity, it will be evaluated what kind of a conscientious responsibility the crime constitutes in the individual. The relationship between crime and conscience will be explored through a description of the literature in the form of a quantitative research in the context of the "Jewish Hornbeam" and the period in which the author lived.

**Keywords:** Crime, Conscience, Punishment

## 1. GİRİŞ

İnsanoğlu var olduğundan beri toplu bir yaşam sürdürmüştür. Aynı mekânda yaşayan, ortak çıkar ve değerler etrafında varlığını sürdüren insan topluluğu, belli bir düzen içerisinde olması gerekmektedir.

Her toplum düzenin oluşumunda belli kurallar vardır. Bu kurallar, toplum düzeninin bozulmaması ve her bireyin, toplum yaşamının temel haklarından faydalanabilmesi için bazı insan davranışlarını yasaklamaktadır. Bu anlamada toplum üye ve ya üyelerinin toplumun ortak düzenine ve kurallarına ters düşecek davranışlar sergilemesi suç sayılmaktadır. Kural dışı insan davranışı sayılan "suç", dünyada her zaman ve her toplumda görülmüştür. Bireyleri, toplum tarafından onaylanmayan davranışlara iten nedenler oldukça çeşitlidir. Ancak bu nedenlerin değerlendirmesi toplumun yazılı veya yazılı olmayan kurallarıdır.

Her birey içerisinde yaşadığı toplumun bir yapı taşı ve toplumu oluşturmaktadır. Toplum birey ilişkisi açısından bakıldığında, karşılıklı olarak birbirlerine varlıkları için gereklidir. Bireyin, toplumun bir üyesi olabilmesi için, toplumun kültürünü, yaşam kurallarını öğrenmesi ve uygulaması gerekmektedir. Bu anlamda toplumsal etkileşim oldukça önemli rol oynamaktadır. Toplumsal etkileşimin küçük toplumlarda ve yerleşim bölgelerinde çok ön plana çıkmaktadır. Özellikle, toplum üyelerinin yaşamsal ihtiyaçlarını karşılama konusunda zorluklarla karşılaşmaları ve aynı mekânı paylaştıkları kültürel farklılıklara karşı önyargılı davranışların sergilenmesi, bazı bireyleri toplum kurallarına karşı suç sayılan olumsuz davranışlara itmektedir.

Bireyi toplumsallaştıran kurumlar aile, okul ve çevredir. Çevrenin bireyin tutumlarının oluşmasında büyük önemi vardır. Özellikle bazı kapalı toplumlar kendi yaşamsal koşulları çerçevesinde genel toplum düzenine uymayan kendilerine göre kurallar koyabilmektedir. Bu anlamda toplumsal çevreye bağlı olarak düzen dışı davranışlara eğilimi olan bireylerin suç oluşturan davranışları olmaktadır. Anette von Droste-Hülshoff'un Yahudi Gürgeni (Judenbuche, 1842)" eserinde, bir adamın toplumsal çevrenin böyle bir tutumunun sonucunda işlediği bir cinayet konu edilmektedir. Bu suçun temelinde kader ve kalıtım da söz konusudur.

Bireyin toplumsal kurallara uygun olmayan ve kendisinden beklenilmeyen hatalı bir davranış sergilediğini düşündüğünde, bir suçluluk duygusu içerisine girmektedir. Suçluluk duygusunu vicdan ile alakalıdır. Vicdan bireyin pişmanlığı ve kendine yönelttiği bir kızgınlık durumudur. Yahudi Gürgeni eserinde ana karakter, işlediği cinayetten yıllar sonra, cinayet yerine döner. Eserin kahramanı geçmişteki olumsuz eyleminden ötürü vicdan azabı çektiği için, kendi canına kıyarak özür dilemektedir.

## 2. ANETTE VON DROSTE- HÜLSHOFF'UN OTOBİYOGRAFİSİ, ESERLERİ VE EDEBİ YÖNÜ

Annette von Droste-Hülshoff 19. yüzyılda Alman dilinde şiir yazan en önemli şairlerden biridir. Ünü kendisinin ölümünden sonra duyulan kadın şair, çok dindar biridir. Çocukluğundan itibaren çok narin ve hassa bir kişiliğe sahip olan Annette von Droste Hülfshoff'un eserlerinin temel kaynağını İncil oluşturmaktadır. Eserlerinde doğaya yönelik çok detaylı ve canlı betimlemeleri, kendisinin uzaklara yönelik özlemlerinin göstergesidir.

Annette von Droste-Hülshoff, 1797'de Münster yakınlarında babasına ait Hülfshoff malikânesinde doğmuştur. Ailenin ikinci çocuğu olan Annette von Droste-Hülshoff, soylu bir aile geleneği çerçevesinde yetişmiş ve iiyi bir Katolik eğitim almıştır. Ailenin edebiyata ve müziğe karşı olan ilgisi, Annette von Droste Hülfshoff'u da yakından etkilemiştir. Çocukken o dönemin modern sayılan "kadınların eğitimi" konusunda pedagoji eğitimini Berhard Overberg'den almıştır. Kardeşleri ile birlikte Fransız bir dadı tarafından eğitilen, Annette döneminin kızlarından daha iyi bir eğitim almıştır. Daha lise döneminde Latince, Yunanca, Fransızca, İngilizce dillerini bilmekte ve o dillerin edebiyat ürünlerini orijinal şekillerinde okumuştur. Ancak eserlerinin kaynaklarını hiçbir zaman antik edebiyata dayandırmamıştır. Bu konuda Aytaç şöyle demektedir.

> *Droste- Hülfshoff, antik edebiyattan hiçbir şey almamıştır. Sanatının tek kaynağı, İncil'dir. Vicdan problemi, kendi kendini ahlaken kontrol eme eğilimi, onu Barok edebiyatına bağlar. Zaman zaman bir müzice ve kan edebiyatına sapışı, Katolik mistisisizmiyle ilişkisini açığa vurur. Şairin çağdaşlarıyla ortak yönü azdır. Platen'in güzllik anlayışı, Lenau'un isyankar havası, Mörike'nin ahenk ve akılcılığı ondan çok uzaktır. Hiçbir zaman halk edebiyatına yaklaşmamıştır, ama şiirlerinde halkın batıl inançları önemli bir yer alır (Aytaç, 2012:293).*

Annette von Droste- Hülfshoff'un doğuştan itibaren sürekli sağlık sorunlarının olması, onun topumdan uzaklaşmasına ve yalnız bir yaşam sürdürmesine neden olmuştur. Özellikle 1826 'da babasının ölümünden sonra, annesi ve kız kardeşi Rüschhaus'a taşınmıştır. Ölümüne kadar burada yaşamıştır. 1836'da kız kardeşinin evlenerek İsviçre'ye Bodensee'ye gitmiştir. Annette kız kardeşi hamile kalınca burada bir yıl süreyle kalmıştır. Rüschhaus'a dönüşünde doğa gezintileri yapmış ve döneminin birçok ünlü yazar, şair ve müzik insanlarıyla çok yakın olmamakla birlikte tanışmıştır.

> *1842'ye kadar çoğu kez ziyaret ettiği Bonn'da August Wilhelm Schlegel ile de karşılaştı. Böylece Annette von Droste-Hülshoff Grimm Kardeşler gibi çağdaşlarıyla yazılı iletişime geçmiş oldu ama asla onu hemşire olarak yetiştirmek isteyen ailesinin isteklerinden kaçınmadı. Ama bu kendisini sürekli rahatsız ettiğinden ailesiyle ilişkilerini azaltma ve geçimini de yazarlığıyla kazanmak istediğinden dolayı da ailesiyle hiç görüşmeme kararını aldı (www.vikipedia.org).*

Ailesinin hemşirelik mesleğini yapmasını çok istemesine rağmen Annette, şair olmaya yönelmiştir. Hatta Bonn'da arkadaş çevresi müzisyen ve şair olan Sibylle Mertens-Schaaffhausen ile arkadaşlık kurmuştur. 1841 yılında çok sevdiği Bodensee'ye eniştesinin yanına gitmiş ve Meersburg şatosunda kalmıştır. Eniştesi bir antika koleksiyoncusu, ortaçağ edebiyatı araştırmacı olması nedeniyle, kendisinin bir kütüphanesi vardır. Annettebu kütüphanede çalışan Levin Schücking'le sıkı bir duygusal dostluğu olmuştur. Ancak Levin Schücking başka bir kadınla evlenince Annette von Droste Hülfshoff kendini aldatılmış hissetmiştir. Hem bu aşk acısına hem de yakalandığı ağır zatürreye dayanamayan Anett von Droste Hülfshoff 24 Mayıs 1848 günü öğleden sonra Bodensee'deki Meersburg Şatosu'nda, vefat etmiştir. Annette von Droste Hülfshoff'un eserleri şunlardır.
Gedichte, 1838 (Şiirler), Die Judenbuche, 1842 (Yahudi Kayını, Türü:Polisiye Roman), Westfälische Schilderungen, 1845 (Vestfalya Tasvirleri), Gedichte, 1844 (Şiirler), Das geistliche Jahr, 1818-1820 / 1839-1840 (Ruhani Sene), Der Knabe im Moor, (Bataklıktaki Oğlan, Türü: Balat), Letzte Gaben, (Son Hediyeler), Briefe von Annette von Droste-Hülshoff und Levin Schücking

## 3. ALMAN EDEBİYATINDA BİEDERMEİER DÖNEMİ

Biedermeier Dönemi olarak adlandırılan edebiyat akımı, Viyana Kongresi (1814/15) ile 1848 burjuva devrimi arasında yer almaktadır. Almanya'nın Napolyon'un önderliğinde ki Fransızlarla yaptığı savaşlardan sonra, edebiyatta da belli değişiklikler meydan gelmiştir. O dönme kadar edebiyat alanında varlıkların sürdüren Klasik ve Romantik dönemlerin aydınlanma hızı sona ermiştir. Toplumsal yapı içerisinde gelişen Burjuvazi, her ne kadar devlet yönetiminde olmasa da yerel bağlamda gelişmiş ve toplumsal bir kültür kendini göstermiştir. Toplumda görülen dönemin etkileri edebiyatı şekillendirmiştir. Toplumda görülen rahatlık etkisi, şehir kültürünü ve yaşam tarzını benimsenmesine yol açmıştır. Bu anlamda Aytaç şöyle söylemektedir.

> *Biedermeier devri burjuvası, mutlakıyet rejimini biraz olsun hafifletmek konusundaki mücadelelerin bir şey sağlamadığını, yorgunluk ve hayal kırıklığı içinde kendi rahatını düşünmekten başka çare olmadığını anlamıştır. Politik hayatta aktif rol oynamaktan, devlet işlerine karışmaktan çekilmek, Hegel'in daha sonra Rechts Hegelianer tarafından aktüel hale sokulan vatandaşlık görüşüyle belirlenmiş romantik anlayıştan uzaklaştırılmıştır (Aytaç, 2012: 261).*

Biedermeier sözcüğünün ilk akla getirdiği, o dönem zayıf yönleridir. Güzel kavisli mobilyalarla, o sırada mumların yerini almaya başlayan ışık çemberi için yaratılan yuvarlak masa sohbetleri, çok güzel kıyafetler ve moda giyecekler, halkın katılğı festivaller, yapılan eğlenceler gibi rahatlığın sergilendiği toplumsal davranışlardır. Biedermeier döneminin, alçakgönüllülük, geçmişe değer vermek, görevi bilincinde olmak, sessiz şeylere bağlılık, aile kültürüne bağlı kalmak gibi olumlu yönleri de vardır. Yeniden yapılanma ve devrim dönemi edebiyatı olarak tanınan Biedermeier dönemiin edebiyatçılarını Nürünberger şöyle belirtmektedir.

> *Biedermeier edebiyatı, burjuvazinin kültürünü yansıtır, ancak aynı zamanda zamanın iç gerilimlerini de açığa çıkarır. İddiasız olanlar, yaldızlı almanakların zarif ayetlerinin tadını çıkardı. Bunun üzerinde, bu dönemin büyük şairlerinin eserleri yükseldi. Grillparzer, Mörike, Droste-Hülshoff, Gotthelf ve Stifter da Biedermeier özellikleriyle tanımlanabilir (Nürünberger, 1985:180).*

Biedermeier dönemi yazarları, gerçekliklere bağlıdır. Doğaya yönelişleri, insan ve doğa arasındaki ahengin yeniden sağlamasını vurgulamaktadır. Geçmişe özlem duymalarının nedeni, Fransız savaşlarında yaşanan sefalettir. Özel yaşam dönüşle birlikte, esrarengiz yaşamı olan kişilere ilgi duymayı beraberinde getirmiştir. Biedermeier döneminin yazarları daha çok idealizm ile gerçeklik arasında bir noktada bulunmalarıdır. İdealleri yok etmek yerine korumuşlar, gerçek yaşamın olumsuz yönünü de dile getirmişlerdir. Böylece insanları yaşama karşı mücadele etmektense, kendi özel yaşamına yönelip iç huzura kavuşmalarını sağlamak amaçlanmıştır. Aytaç Biedermeier döneminin sanatsal anlayışını şöyle ifade etmektedir.

> *Doğa edebiyatının yanı sıra geçmişe doğru bir bakış, hatıralar, çocukluk anıları, hayaller, sade bir hayata özlem, münzevilere, esrarengiz yaşayışlı insanlara ilgi, Biedermeier'in başlıca konuları olmuştur. Ahenkli bir hayatı dile getirme amacı, bu şairlerin konularını sınırlamalarını gerekirmiş, bu nedenle ev, bahçe, aile gibi küçük çevreler ele alınmıştır (Aytaç, 2012:264).*

Dönemin siyasi gelişmeleri nedeniyle bir belirsizlik içerisinde olan Biedermeier akımı yazar ve şairleri, genelde muhafazakâr yapıları ile tanınmaktadırlar. Özel yaşama kaçış şeklinde geriye çekilme ya da doğaya yöneliş bu dönemin edebiyatını şekillendirmiştir. Biedermeier dönemine paralel olarak çok lieberal genç Almanya, (Das Junge Deutschland) ve radikal demokratların edebiyat akımı Vormaerz dönemi de ortaya çıkmıştır. Her üç edebiyat akımı da dönemin siyasal gelişmelerinin beraberinde getirdiği olumsuz gelişmelerin sonucudur. Biedermeier'in sanatsal düşünceleri; özlem, melankoli ve istifa, yerine getirilmemiş dilekler, eski güzel günlerin yüceltilmesi (Fransız işgalinden önce) ve üzüntüdür. Eserlerinde bu duygu ve düşünceleri dile getiren dönemin önemli temsilcileri ise, Ferdinand Jakob Raimund, Franz Grillparzer, Karl Leberecht Immermann, Annette von Droste-Hülshoff, Jeremias Gotthelf, Johann Nestroy, Nikolaus Lenau, Eduard Mörike ve Adalbert Stifter'dir.

## 4. YAHUDİ GÜRGENİ (JUDENBUCHE) ESERİNİN İÇERİK AÇISINDAN DEĞERLENDİRİLMESİ

Yazılı yasalar bazı olaylar karşısında yetersiz kalmaktadır. Ancak kamuoyunun oluşturduğu gelenek ve göreneklere uygun toplum içerisinde uygulanan örfi yasalar vardır. Bu eserde olduğu gibi, bazen yasalar herkes için geçerli olmayabilmekte, sadece toplumun alt tabakası için uygulanmaktadır. Eserde, ormanlık bir alanda kurulmuş köyün tüm halkı dindardır. Oramdan yapılan geyik ve ağaç hırsızlığına karşıdır. Buna rağmen tüm köy halkı hem geyik hem de odun hırsızlığı yapmaktadır. Eserde anlatılan olayın kahramanları Margreth Mergel ve erkek kardeşi Simon Semmler bunun en iyi örnekleridir. Cinayeti işlediği düşünülen Fridrich Mergel'in annesi olan Margreth, ormandan geyik ve odun çalmak kadar, Yahudilerden de hırsızlık yapılabileceğini çok normal karşılamaktadır. Margerth'in erkek kardeşi olan Simon dindar gibi davransa bile tüm kötülükleri yapabilecek eğilimde biridir. Örf ve adet yasalarının geçerli olduğu köyde, geri kalmışlığın tüm olumsuzlukları yaşanmaktadır.
Annette von Droste-Hülshoff, çocukluğunda annesinin akrabalarını ziyaret etmektedir. Bu ziyaretleri birinde amcasından 1818'de gerçekten yaşanan Yahudi tüccar Soistmann Berend olayını öğrenmiştir (www.wikipedia). Bir kumaş tüccarı olan Yahudi Soistmann Berend sattığı ve parasını almadığı kumaş için şikâyet ettiği ve ödemeye mahkûm edilen kişi tarafından ormanda, bir kayın ağacı üzerinde ölü olarak bulunmuştur. O bölgede yaşayan Yahudi topluluğu o ağacı satın alarak üzerine İbranice harflerle işaret kazımışlardır. Zanlı olaydan sonra kaçmış ve uzun süre köyüne geri dönmemiştir. Döndükten bir süre sonrada cinayeti itiraf etmiş ve bir gün sonra aynı ağaca kendini asarak intihar etmiştir. Bu olaydan esinlenen Annette von Droste-Hülshoff, Judenbuche eserinde bu konuyu işlemiştir.

Eserde yaşanan olayların akışında doğanın çok önemli rol oynadığı görülmektedir. Doğa hem olaylara tanık hem de yargıç olmuştur. Ayrıca yaşanan olaylar hep gece veya alaca karanlık gerçekleşmesi, doğanın gizemini ortaya koymaktadır. İnsanların dindar görünümü altında işledikleri suçlar, kendilerinin

iç adalet duygularını yitirdiklerini ve doğaya karşı işlenen suçlarsa doğa ile insan dengesini bozduğu görülmektedir. Küçük bir köy yaşamında olan bu çelişkilerin, işlenen cinayet sonrasında, esrarengiz sonla biten bir adamın sonunu getiren olay örgüsünün temelinde (Aytaç,2012) kalıtım, çevre ve kader yatmaktadır. Yahudi Gürgeni (Judenbuche) eseri Anette von Droste Hülshoff tarafından yazılan eserin kısaca özeti şu şekildedir.

> Friedrich Mergel'in yaşamı henüz doğmadan belirlenmiştir. Friedrich'in annesi Margerth köyde yaşanan ekonomik zorluklardan ötürü geç evlenmek zorunda kalmıştır. Bir çoban olan ve ilk karısı daha düğün gecesi kaçarak ölen Hermann Mergel, Margreth Semmler'i ikinci karısı olarak almıştır. Bu durumu köy halkından saklamak isteyen Margerth, bazen oldukça acı çekmektedir. Alkolik olan kocası Hermann Mergel, bir kış gecesi ormanda sarhoş olarak donarak ölmüştür. Friedrich, babası öldüğünde dokuz yaşındadır. Annesi Margereth çaresiz kalmıştır. Friedrich bir süre inekleri otlatmıştır. Ancak ekonomik olarak bu gelir yeterli olmayınca, Dayısı Simon Friedrich'i evlat edinmiştir. Onu itibar sahibi yapmak için biraz para verir ve bazı yasal olmayan işlerin içine sokar. Simon'un Friedrich'e çok benzeyen bir gayri meşru bir oğlu vardır. Simon kimsenin bilmemesi için onu hizmetkârı olarak kullanmaktadır. Adı Johannes Niemand'dır. Domuz çobanlığı yapan, çok çekingen olan ve kimseyle konuşmayan biridir. Friedrich, Johannes Niemand'la tanışır.
>
> Bu tanışmadan sonra mavi ceketliler adı verilen orman hırsızlarının eylemleri artmaya başlar. Hatta bir orman koruma memuru mavi ceketliler tarafından öldürür. Bu olay ile ilgili yargılanan ve her şeyi inkâr eden Friedrich, aslında kaçakçılara gözcülük yapmıştır. Kendini suç ortağı hissetmektedir. Dayısı Simon, Friedrich'i sesiz kalması konusunda uyarır. Friedrich, bir gece saat satıcısı Yahudi Aron'dan saat satın alır. Ancak parasını ödemez. Köyde bir gece yapılan bir düğün esnasında Yahudi Aron, herkesin önünde, Friedrich'in aldığı saatin parasını ödemediğini söyler. Biraz sonra Yahudi aron bir kayın ağacı altında ölü bulunur. Herkes Friedrich'in yaptığından şüphelenir. Friedrich tutuklanacağı esnada evin penceresinden atlayarak kaçar. Aynı anda kendisine çok benzeyen Johannes Niemand'da kaybolmuştur.
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> Aron'un Yahudi arkadaşları, cesedinin bulunduğu gürgen ağacını arazinin sahibinden satın alarak, ağacın üzerine İbranice olarak, "Bu yere yaklaşırsan sen de bana ettiğini bulursun" yazısını yazarlar. Uzun süre sonra köye geri dönen çok zayıflamış olarak görünen katil zanlısı Friedrich'i çektiği vicdan azabı, cinayeti işlediği yere götürür ve o ağaca kendini asarak intihar eder. Cesedi inceleyen bilirkişiler, cesedin boynundaki işaretten Friedrich Mergel'e ait olduğunu belirlerler (Von Droste Hülfshoff,1842) .

Eserde gelişen tüm kötü olaylar orman ve kayın ağaçları üzerinden anlatılmıştır. Diğer bir durum ise, olayların gece olmasıdır. Aron'un cesedinin bulunduğu gürgen ağacının olduğu alan, eserde verilen kötü olayının sembolü durumuna getirilmiştir.

## 5. SONUÇ

İnsan davranışları, bireyin ailesinin kendisine aktardığı genlerin, çevresel etkenlerle biçimlenerek ortaya çıkmasıyla oluşmaktadır. Bireyin toplumsallaşmasında en büyük rol oynayan kurumların başında aile gelmektedir. Ailenin davranışsal tutumları, bireyin yaşamında karşılaşacağı olaylara vereceği tepkileri belirlemektedir. Bireyin toplumsallaşmasında diğer kurumlar çevre ve okul, bireyin toplumun bir üyesi olmasına ve davranışlarının toplum tarafından genel kabul görmesi konusunda kendisine yardımcı olmaktadır.

Küçük yerleşim birimlerinde toplumsal ilişkiler oldukça sıkıdır. Bu nedenle bireylerin davranışları birbirine çok benzemektedir. Ayrıca yazılı olmayan örfi yasalar ve din yaptırımları bireylerin tutumlarını çok etkilemektedir. Bireyin kendi özel yaşamını saklaması oldukça zordur. Doğanın insanlara sunduğu doğal kaynakların yasal olmayan kullanımı, sonrasında gelen cinayetler, doğa- insan dengesinin bozulduğuna işaret etmektedir. Ayrıca doğa sürekli alacakaranlık içerisinde gizemli bir şekilde anlatılması, sanki kötü olayların habercisi gibidir.

Yazar, eserinde suç ve vicdan ilişkisini, çevresel koşulların belirlediği toplumsal örf ve adetlerin, yazılı yasaların önüne geçtiği bir toplum yapısı üzerinden anlatmaktadır. Friedrich'in ebeynlerinin birlikteliği ile

başlayan sorunlar ve babasının ölümünden sonraki dayısı ile yaşantısı, onu çevresinin kurbanı hale getirmiştir. Ormandan odun hırsızlığının çok normal karşılandığı bir toplum içerisinde yetişen bireyin, odun hırsızlığına karşı tepki gösteren kişiler vereceği tepki çok normal karşılanacaktır. Yine annenin Yahudilere kaşı önyargılı bakışı, Friedrich'in saatin parasını ödememesine ve işlenen cinayetin sorumlusu haline getirmiştir. Ayrıca, eserde gerçekleştirilen olumsuz eylemleri, din olgusunu kullanarak olumlu bir eylem gibi gösterilmesi, Friedrich'in kaderini belirlemiştir.

Friedrich'in işlediği cinayet yerine yıllarca sonra geri dönerek, intihar etmesi, aslında kendisinin kendi içerisinde yaşadığı adalet duygusunun yerine getirilmesi ile alakalıdır. Ormanda işlenen cinayet olayında gözcülük yaptığı için yargılanan ve suçsuz bulunan Friedrich o zaman da vicdani olarak aynı duyguyu yaşamıştır. Aslında bilinmeyen diğer bir olay ise, Friedrich'e çok benzeyen ve cinayet gecesi ortadan kaybolan dayısının gayri meşru oğlu Johannes Niemand'a ne olduğudur. Sonuçta çevresinin bir kader kurbanı olan bireyin vicdani olarak kendini yargılaması ve işlediği cinayet nedeniyle adaletin yerini bulması açısından önemlidir. Toplumun geri kalmış yapısından kaynaklanan bireysel yasadışı eylemler vicdani de olsa cezasız kalmamıştır.

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# Dolaylı Vergiler ile İnsani Kalkınmışlık ve Yoksulluk Arasındaki İlişkinin Ampirik Analizi[1]

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**Özet**: İnsanlık tarihini asırlardır derinden etkileyen yoksulluk kavramı, küreselleşmenin bir sonucu olarak ülkelerarası ve/veya ülke içindeki bölgesel kalkınma ve gelir eşitsizliğini artması ile tüm dünya ülkelerini endişelendiren bir sorun haline gelmiştir. Son yıllarda birçok uluslararası kuruluş ve sivil toplum örgütleri dünya yoksulluğunu azaltmak amacıyla çeşitli politikalar uygulamaya çalışmaktadır. Ayrıca bir ülke içindeki bölgeler arası yoksullukla mücadele etmek ve insani kalkınmışlığı sağlamak için çeşitli çalışmalar yapılmaktadır.

Devlet veya devletin görevlendirdiği kurumlar, kamu harcamalarını finanse etmesi yanında ülkenin içinde bulunduğu sosyoekonomik sorunların çözümü için çeşitli önlemler almak amacıyla bireyler ve kurumlardan cebri yolla, karşılıksız ve parasal şekilde vergi toplamaktadır. Dolaylı vergiler, bir bireyin bir başkasına kolaylıkla yansıtılabildiği, verginin vergi mükellefine hissettirilmeden vergi mükellefinden alınabildiği, vergi konusu ve kaynağı bakımından sürekli olmayan bir vergi türüdür. Dolaylı vergiler özellikle tüketim ve üretim üzerinden alınan vergilerdir.

Bu çalışma gelişmekte olan ülkeler örneklemine ilişkin 1990-2018 yıllarını kapsayan dengesiz panel veri seti kullanarak dolaylı vergilerin insani kalkınmışlık ve yoksulluk üzerindeki etkisini analiz etmektedir. Bu amaca yönelik olarak oluşturulan basit ve çoklu ülke spesifik sabit ve rastsal etki modelleri arasında tercih Hausman testine dayalı olarak gerçekleştirilmiştir.

Üç farklı dolaylı vergi türü kullanılarak yapılan basit ve çoklu regresyon analizi sonuçlarına göre, dolaylı vergiler ile yoksulluk arasında pozitif yönlü ve istatistiksel olarak anlamlı bir ilişki görülmüştür. Bir başka ifade ile gelişmekte olan ülkelerde dolaylı vergilerdeki artış yoksulluğu arttırmakta ve insani kalkınmışlığı azaltmaktadır.

**Anahtar Kelimeler:** Dolaylı Vergiler, Yoksulluk, İnsani Kalkınmışlık, Panel Veri Analizi.

**Abstract:** The concept of poverty, which has deeply affected human history for centuries, has become a problem that worries all countries of the world with increasing regional development and income inequality across countries and/or within countries as a result of globalization. In recent years, many international organizations and non-governmental organizations have been trying to implement various policies to reduce poverty in the world. In addition, various efforts are being carried out to combat interregional poverty within a country and to ensure human development.

The state or the institutions appointed by the state collect taxes from individuals and institutions by compulsory, gratuitous, and monetary means to take various measures to solve the socio-economic problems of the country as well as to finance public expenditures. Indirect taxes are a type of tax that can be easily reflected by an individual to another, and the tax can be collected from the taxpayer without being noticed by the taxpayer, and which is not continuous in terms of tax subject and source. Indirect taxes are taxes levied, especially on consumption and production.

This study analyzes the impact of indirect taxes on human development and poverty using an unbalanced panel data set covering the years 1990-2018 on a sample of developing countries. The choice between simple and multi-country specific fixed and random effects models created for this purpose was based on the Hausman test.

According to the results of simple and multiple regression analysis using three different types of indirect taxes, a positive and statistically significant relationship was found between indirect taxes and poverty. In other words, the increase in indirect taxes in developing countries increases poverty and decreases human development.

**Key Words**: Indirect Taxes, Poverty, Human Development, Panel Data Analysis.

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## 1. GİRİŞ

Yoksulluk, insanların beslenme, giyinme ve barınma gibi temel ihtiyaçlarının bir kısmını ya da tamamını karşılayamaması ve yaşamını devam ettirebilmesi için yeterli gelire sahip olamaması durumudur. Ancak yoksulluk, bireylerin gelir yoksulluğunun yanında eğitim, sağlık, altyapı gibi bireysel ve sosyal faktörlerden de yoksun olması özelliği ile ekonomik nedenlerin yanında sosyal, demografik, siyasal gibi çeşitli nedenlerden de etkilenmektedir.

Gereksinimlerin karşılanamaması ve içinde bulunulan toplumun refah seviyesine erişilememesi açısından mutlak ve göreli yoksulluk olarak iki farklı yoksulluk tanımı ortaya çıkmaktadır (Arabacı, 2017: 152). Mutlak yoksulluk, "bireylerin temel ihtiyaçlarının karşılayamama durumu" iken göreli yoksulluk "bireyin, içinde bulunulan toplumun ortalama refah düzeyinin altında kalması ve içinde bulunulan toplumun bireylerinin karşılaştırılması" nı ifade etmektedir. Dolayısıyla ülkeler arası karşılaştırma yapıldığında refah seviyesi düşük olan ülkeler, refah seviyesi yüksek olan ülkelere göre göreli yoksuldur. Refah seviyesi düşük olan ülkelerin mutlak, kronik ve aşırı yoksulluk sorunları ile karşılaşabilmesi daha muhtemeldir. Ayrıca bir ülkede gelir eşitsizliğinin artması ve bir ülkenin bir bölgesinin çok gelişirken diğer bölgesinin gelişememesi ülke içindeki göreli yoksulluğu arttırmaktadır. Dahası yoksulluğunun gelişmiş ve az gelişmiş ülkeler ayrımı yapmadan tüm dünyayı etkisi altına alması zengin ve fakir ayrımının ciddi boyutlara ulaşması küresel eşitsizliğin artmasına neden olmaktadır. Küreselleşmenin zengin getireceği düşüncesinin aksine tüm dünyada yoksulluğa neden olmasının yanında önceden yoksul olmayıp bu süreçte uygulanan sosyal ve ekonomik politikalar nedeniyle işsiz kalan ve yoksullaşan yeni bir toplumun ortaya çıkmasına neden olmuştur (Dağdemir, 2013: 172).

Çok boyutlu ve karmaşık tanımlamalara sahip olan yoksulluk kavramı insani yoksulluğun tanımlaması ile farklı açılardan incelenme imkânı sunmaktadır. İnsani yoksulluk endeksinde; gelir düzeyi ölçümü yerine kısa bir yaşam, temel eğitim eksikliği ve kamu-özel kaynaklara erişim eksikliği gibi yoksulluğun en temel boyutlarının göstergeleri kullanılmaktadır (HDR, 1997: 5). Bireylerin iyi bir eğitim alması, sağlıklı ve uzun bir hayatı olması, bunların yanında asgari bir gelir sağlamaları sonucunda toplumun gelişiminde her insan sadece ekonomik alanda değil, insanın bulunduğu her alanda gelişim sağlayacaklardır.

Vergi, devlet ve devletin görevlendirdiği kurumların birey ve kurumlardan topladığı zorunlu, karşılıksız ve parasal ödemelerdir. Due (1967: 88) verginin devlet faaliyetlerinin finansmanı için şahıslardan talep edilen zorunlu ve karşılıksız ödemeler olarak temin edildiğini belirterek bu tanımı doğrulamaktadır. Eski toplumlarda halk tarafından devlet büyüklerine veya tapınaklara hediye olarak sunulan vergiler, günümüzde kamu gelirlerinin büyük bir bölümünü oluşturmakta; birey ve kurumlardan zorunlu olarak alınmaktadır. Dolaylı vergiler ise, vergiyi ödeyecek kişinin bir başka kişiye kolaylıkla yansıtılabildiği bir vergi türüdür. Dolaylı vergilerin dolaysız vergilere nazaran süreksizdir ve geçicidir. Ayrıca vergi yükümlüsünün üzerine düşen vergi yükünü hissetmemesi veya ne kadar vergi ödeyeceğini bilmemesi durumu da dolaylı verginin özelliklerdendir.

İbni Haldun'un Mukaddime adlı eserinde hükümdarların kendi çıkarları doğrultusunda kamu harcamalarını arttırması, halktan çok fazla vergi almasına neden olmuş; dolayısıyla halkın ağır vergi yükü altında yoksullaşmasına ve halkın yoksullaşması ile devletlerin yıkılmasına neden olacağı belirtilmiştir (Pehlivan, 2010: 23). Halkın vergi yükü altında ezilmesi, vergiyi ödeyecek gücünün olmaması, hükümdarların keyfi harcamalarının sonucudur.

Yoksulluk; küreselleşme, gelir dağılımındaki eşitsizlik, enflasyon, işsizlik, ekonomik büyüme, ekonomik krizler, hızlı nüfus artışı gibi ekonomik, siyasal, sosyal ve demografik birçok nedeni içinde barındırmaktadır. Söz konusu nedenlerden ötürü ortaya çıkan yoksullukla mücadele etmek amacıyla çeşitli politikalar uygulanmaktadır. Yoksullukla mücadelede vergisel politikaların incelendiği bir çalışmada yoksulluk karşısında iyi planlanmış vergi kanunları, başarılı bir vergi idaresi ve kayıtdışılığın düşük olması durumunda yoksulluğun azalmasını sağlayabileceği belirtilmiş; vergi politikalarının gelir dağılımını azaltmak, çalışan kesimi yoksulluktan korumak ve istihdam alanı açmak gibi amaçları olduğu ileri sürülmüştür (Günaydın ve Yıldız, 2016: 90).

## 2. LİTERATÜR TARAMASI

Yoksulluk ve dolaylı vergiler ile ilgili çeşitli çalışmalar olmasına rağmen yoksulluk ile vergiler ilişkisini inceleyen doğrudan ekonometrik çalışmalara rastlanmamıştır. Ancak insani gelişme ve vergiler arasındaki ilişkiye dair çok az sayıda ekonometrik çalışmalara rastlanmıştır.

Şaşmaz ve Yayla (2018: 79) çalışmalarında AB geçiş ekonomilerinden 11 ülke için 2004-2015 yılları arasında dolaylı-dolaysız vergiler ve ekonomik büyüme ile insani gelişme arasındaki ilişkiyi incelemişlerdir. Bu çalışma sonucunda dolaysız vergilerden insani gelişmeye doğru tek yönlü ve insani gelişmeden ekonomik büyümeye doğru tek yönlü bir nedensellik ilişkisi ortaya çıkmıştır. Ayrıca dolaylı vergiler ile insani gelişme arasında çift yönlü bir nedensellik ilişkisi tespit edilmiştir.

Kızılkaya vd. (2015) çalışmalarında 1998-2007 döneminde 14 OECD ülkesi için vergilerin, devlet harcamalarının, gelirin ve altyapının (elektrik tüketiminin) insani gelişme üzerindeki etkisini incelemiştir. Bu çalışma sonucunda Panel FMOLS sonuçlarına göre vergiler insani kalkınma üzerinde olumsuz yönde, devlet harcamaları ve gelirleri olumlu yönde etkilemektedir. DOLS panel sonuçlarına göre devlet harcamalarının ve elektrik tüketiminin insani gelişme üzerinde olumlu yönde etkilemektedir. Ancak gelir ve vergi katsayıları istatistiksel olarak anlamlı değildir. Nedensellik testi sonuçları, uzun vadede vergilerden, devlet harcamalarına, elektrik tüketiminden ve gelirden insani gelişmeye, vergilerden, devlet harcamalarına, insani gelişme ve elektrik tüketiminden gelire nedensellik ilişkileri olduğunu görülmüştür.

Dronca (2016) çalışmasında, Avrupa Birliği üyesi 28 devlet için 1999-2010 döneminde mali özgürlük, hükümet etkinliği ve İnsani Gelişme Endeksi ile vergi kaçırma arasındaki ilişkiyi incelemiştir. Bu çalışmada mali özgürlük, hükümet etkinliği ve insani gelişme endeksi ile vergi kaçırma arasında negatif yönlü bir ilişki olduğu görülmüştür. Dolayısıyla mali özgürlük, hükümetin etkinliği ve insani gelişme değişkenlerindeki artışlar vergiden kaçırmayı azaltmaktadır.

Vergiler ile yoksulluk arasında dolaylı yoldan en çok araştırma ekonomik büyüme ve gelir eşitsizliği üzerinde yapılmıştır. Vergiler ile ekonomik büyüme ilişkisi, vergiler ile gelir eşitsizliği ilişkisi, yoksulluk ile ekonomik büyüme ilişkisi ve yoksulluk ile gelir eşitsizliği ile ilgili oldukça ampirik çalışma bulunmaktadır.

Topal (2017) çalışmasında 22 OECD ülkesi için 1971-2014 yılları arasında yatay kesit bağımlılığını dikkate alan panel nedensellik ve dinamik panel tahmin yöntemleri ile vergi yapısının uzun dönem ekonomik büyüme üzerine etkisini incelemiştir. Uzun dönem ekonomik büyüme üzerinde dolaylı vergilerin istatistiksel olarak pozitif, vergi yükü ile dolaysız vergilerin negatif etkisi olduğu sonucuna varılmıştır.

Kanca ve Bayrak (2019) çalışmalarında OECD ülkeleri için 1990-2017 yılları arasında panel veri analizi yöntemiyle dolaylı ve dolaysız vergilerin gelir dağılımına etkisini incelemişlerdir. Bu inceleme sonucunda dolaylı ve dolaysız vergiler ile Gini Katsayısı arasında istatistiksel olarak anlamlı ve pozitif bir ilişki bulunmuştur. OECD ülkelerindeki dolaylı ve dolaysız vergilerdeki artış, bu ülkelerin gelir dağılımını olumsuz yönde etkilemektedir.

Guiga ve Rejep (2012) çalışmalarında 1990-2005 dönemi için panel veri analizi kullanarak yoksulluk, büyüme ve eşitsizlik arasındaki ilişkiyi gelişmekte olan 52 ülkenin konumlarına göre incelemişlerdir. Bu çalışma sonucunda kamu harcamalarının eğitim ve sağlık gibi sosyal sektörler için kullanılması ve kırsal nüfusun yaşam koşullarının iyileştirilmesi, ekonomik büyümeyi olumlu yönde etkilediği ve dolayısıyla eşitsizliği azaltabildiği sonucuna varılmıştır.

Ncube vd.(2014) çalışmalarında 1985-2009 yılları arası Orta Asya ve Kuzey Afrika ülkeleri için kesitsel zaman serisi verilerini kullanarak gelir eşitsizliğinin toplumsal kalkınma ve yoksulluk üzerine etkisini incelemiştir. Bu çalışma sonucunda gelir eşitsizliğinin bölgedeki büyümeyi azalttığını ve yoksulluğu artırdığı görülmektedir.

## 3. DATA VE METODOLOJİ

Dolaylı vergilerin insani kalkınmışlık ve yoksulluk üzerindeki etkisi incelenen bu çalışmada gelişmekte olan ülkeler örneklemine ilişkin 1990-2018 yıllarını kapsayan dengesiz panel veri seti kullanılmıştır. Bu amaca yönelik olarak oluşturulan basit ve çoklu ülke spesifik sabit ve rastsal etki modelleri arasında

tercih Hausman testine dayalı olarak gerçekleştirilmiştir. Seçilen her vergi türü için basit ve çoklu regresyon modeline göre elde edilen tahmin sonuçları tablolaştırılmış ve yorumlanmıştır.

Modelde YOKSULLUK bağımlı değişkeni için en geniş veri tabanına sahip olan İnsani Gelişmişlik Endeksi (HDI) ele alınmıştır. İnsani Gelişmişlik Endeksi (HDI) verileri -1 ile çarpılarak en düşük değer ile en yüksek yoksulluk oranı, en yüksek değer ile en düşük yoksulluk oranı elde edilmiştir.

Tablo 1: Bağımlı Değişken Listesi

| **Değişken** | **Tanımı** | **Kaynak** |
|---|---|---|
| YOKSULLUK | İnsani Gelişmişlik Endeksi (HDI) verilerinin -1 ile çarpılması sonucunda en düşük değer ile en yüksek yoksulluk oranı, en yüksek değer ile en düşük yoksulluk oranı elde edilmiştir. | http://hdr.undp.org/en/indicators/137506 |

Dolaylı vergiler ana değişkeni için üç farklı dolaylı vergi türü ele alınmıştır. DOLAYLI1 ana değişkeni için "Mal ve Hizmet üzerinden alınan diğer vergiler", DOLAYLI2 ana değişkenleri için "Satış Vergileri" göstergelerine ulaşılmıştır. DOLAYLI3 değişkeni için "Mal ve Hizmetler Üzerinden Alınan Vergilerin (Cari LCU=Yerel Para Birimi)/Resmi Döviz Kuru (ABD Doları başına LCU, dönem ortalaması)] Vergi Gelirine (GSYIH'nin yüzdesi)/100)*GSYIH(Cari ABD Doları)] oranı" ele alınmıştır.

Tablo 2: Dolaylı Vergiler Ana Değişkeni Listesi

| **Değişkenler** | **Tanımı** | **Kaynak** |
|---|---|---|
| DOLAYLI1 | Mal ve Hizmet Üzerinden alınan diğer Vergileri gösterir. | IMF-Tax Policy Reform Database (TPRD) |
| DOLAYLI2 | Satış Vergilerini gösterir. | IMF-Tax Policy Reform Database (TPRD) |
| DOLAYLI3 | [Mal Ve Hizmetler Üzerinden Alınan Vergiler (Cari LCU=Yerel Para Birimi)/Resmi Döviz Kuru (ABD Doları başına LCU, dönem ortalaması)] / [Vergi Geliri (GSYIH'nin yüzdesi)/100)*GSYIH(Cari ABD Doları)] | Mal ve Hizmet Üzerinden alınan vergiler (Cari LCU) için: https://data.worldbank.org/indicator/GC.TAX.GSRV.CN<br><br>Resmi Döviz Kuru(ABD Doları Başına LCU) için: https://data.worldbank.org/indicator/PA.NUS.FCRF<br><br>Vergi Geliri ( GSYIH'nin yüzdesi) için: https://data.worldbank.org/indicator/GC.TAX.TOTL.GD.ZS<br><br>GSYIH (Cari ABD Doları) için: https://data.worldbank.org/indicator/NY.GDP.MKTP.CD |

Tutarlı ve sağlıklı sonuçlara ulaşabilmek için ENFLASYON, İŞSİZLİK, SAĞLIK ve EĞİTİM kontrol değişkenleri eklenmiş olup tanım ve kaynakları Tablo 3'te gösterilmiştir:

Tablo 3: Kontrol Değişkenler

| **Değişkenler** | **Tanımı** | **Kaynak** |
|---|---|---|
| ENFLASYON | Enflasyon, GSYİH deflatörü: bağlantılı seri (yıllık%) | https://data.worldbank.org/indicator/NY.GDP.DEFL.KD.ZG.AD |
| İŞSİZLİK | Toplam işgücünün yüzdesine göre işsizlik (modellenmiş ILO | https://data.worldbank.org/indicator/SL.UEM.TOTL.ZS |

| | | |
|---|---|---|
| | tahmini) oranını göstermektedir. | |
| SAĞLIK | Cari Sağlık Harcamaları GSYIH üzerindeki payını göstermektedir. | https://data.worldbank.org/indicator/SH.XPD.CHEX.GD.ZS |
| EĞİTİM | Eğitim süresine ve eğitime dönüşe dayalı kişi başına beşeri sermaye endeksidir. | Human Capital-Penn World Table(PWT) https://doi.org/10.15141/S50T0R |

Tahmini sonuçları bölümünde dolaylı vergiler ile yoksulluk arasındaki ilişki basit ve çoklu regresyon sonuçlara göre analiz edilmiştir. DOLAYLI1, DOLAYSIZ2 VE DOLAYSIZ3 için basit ve çoklu regresyon modeli uygulanmıştır.

•DOLAYLI1 için basit regresyon modelinde bağımlı değişken YOKSULLUK iken bağımsız değişken DOLAYLI1'dir. Çoklu regresyon modelinde bağımlı değişken YOKSULLUK iken modelin sağ tarafında DOLAYLI1 ana değişkenimizin yanında kontrol değişkenleri olarak ENFLASYON, İŞSİZLİK, SAĞLIK ve EĞİTİM değişkenleri kullanılmıştır.

•DOLAYLI2 için basit regresyon modelinde bağımlı değişken YOKSULLUK iken bağımsız değişken DOLAYLI2'dir. Çoklu regresyon modelinde Çoklu regresyon modelinde bağımlı değişken YOKSULLUK iken modelin sağ tarafında DOLAYLI2 ana değişkenimizin yanında kontrol değişkenleri olarak ENFLASYON, İŞSİZLİK, SAĞLIK ve EĞİTİM değişkenleri kullanılmıştır

•DOLAYLI3 için basit regresyon modelinde bağımlı değişken YOKSULLUK iken bağımsız değişken DOLAYLI3'dir. Çoklu regresyon modelinde bağımlı değişken YOKSULLUK iken modelin sağ tarafında DOLAYLI3 ana değişkenimizin yanında kontrol değişkenleri olarak ENFLASYON, İŞSİZLİK, SAĞLIK ve EĞİTİM değişkenleri kullanılmıştır.

### 3.1. Tahmin Sonuçları

Dolaylı vergiler ile yoksulluk arasındaki ampirik ilişkiyi irdelemek için oluşturulan basit ve çoklu ülke spesifik sabit etki (FEM) modellerinin görünümü aşağıdaki gibidir:

$YOKSULLUK_{it}=\beta_{0i}+\beta_1 DOLAYLI1+u_{it}$

$YOKSULLUK_{it}=\beta_{0i}+\beta 1 DOLAYLI2+u_{it}$

$YOKSULLUK_{it}=\beta_{0i}+\beta 1 DOLAYLI3+u_{it}$

$YOKSULLUK_{it}=\beta_{0i}+\beta 1 DOLAYLI1+\beta_2 ENFLASYON+\beta_3 İŞSİZLİK+\beta_4 SAĞLIK+$

$\beta_5 EĞİTİM+u_{it}$

$YOKSULLUK_{it}=\beta_{0i}+\beta 1 DOLAYLI2+\beta_2 ENFLASYON+\beta_3 İŞSİZLİK+\beta_4 SAĞLIK+$

$\beta_5 EĞİTİM+u_{it}$

$YOKSULLUK_{it}=\beta_{0i}+\beta 1 DOLAYLI3+\beta_2 ENFLASYON+\beta_3 İŞSİZLİK+\beta_4 SAĞLIK+$

$\beta_5 EĞİTİM+u_{it}$

Dolaylı vergiler ile yoksulluk arasındaki ampirik ilişkiyi irdelemek için oluşturulan basit ve çoklu ülke spesifik rastsal etki (REM) modellerinin görünümü aşağıdaki gibidir:

$YOKSULLUK_{it}=\beta_0+\beta_1 DOLAYLI_1+\varepsilon_i+u_{it}$

$YOKSULLUK_{it}=\beta_0+\beta_1 DOLAYLI2+\varepsilon_i+u_{it}$

$YOKSULLUK_{it}=\beta_0+\beta_1 DOLAYLI3+\varepsilon_i+u_{it}$

$YOKSULLUK_{it}=\beta_0+\beta 1 DOLAYLI1+\beta_2 ENFLASYON+\beta_3 İŞSİZLİK+\beta_4 SAĞLIK+\beta_5 EĞİTİM+\varepsilon_i+u_{it}$

$YOKSULLUK_{it}=\beta_0+\beta_1 DOLAYLI2+\beta_2 ENFLASYON+\beta_3 İŞSİZLİK+\beta_4 SAĞLIK+\beta_5 EĞİTİM+\varepsilon_i+u_{it}$

$YOKSULLUK_{it}=\beta_0+\beta_1 DOLAYLI3+\beta_2 ENFLASYON+\beta_3 İŞSİZLİK+\beta_4 SAĞLIK+\beta_5 EĞİTİM+\varepsilon_i+u_{it}$

Yukarıda ifade edilen *it* alt indisi *i.nci* ülkenin *t* yılındaki ilgili değişkene ait almış olduğu gözlem değerini; $\beta_{0i}$ FEM modeline ait ülke spesifik sabit etkiyi; $\beta_0$ REM modeline ait sabit terimi; $\mathcal{E}_i$ zamanlar arası aynı kalan fakat ülkeler arası değişen ülke spesifik rastsal etkiyi; $u_{it}$ ise regresyon modelinin hata terimini ifade etmektedir.

Tablo 4 dolaylı vergileri temsilen kullanılan DOLAYLI1 değişkeninin yoksulluk üzerindeki etkisini inceleyen basit regresyon modeli tahmin sonuçlarını vermektedir. %5 anlamlılık düzeyinde gerçekleştirilen Hausman test sonuçlarına göre en uygun model REM modeli seçilmiş ve bundan dolayı yorumlar REM modeline göre yapılacaktır. DOLAYLI1 değişkenine ait katsayı pozitif değer almakta ve istatistiksel olarak anlamlıdır. Tahmin sonuçlarına göre dolaylı vergilerdeki artış yoksulluğu arttırmakta ve insani gelişmişliği azaltmaktadır. Modelin açıklama gücünü yansıtan R-kare değeri 0.0097'tür. F-testi sonuçları da modelin bir bütün olarak anlamlı olduğunu göstermektedir.

Tablo 4: DOLAYLI1 için Basit Regresyon Sonuçları

| | FEM Modeli | | REM Modeli | |
|---|---|---|---|---|
| Değişken | Katsayı | P-değeri | Katsayı | P-değeri |
| C | -0.7098 | 0.0000 | -0.6896 | 0.0000 |
| DOLAYLI1 | 0.0115 | 0.0048 | 0.0108 | 0.0081 |
| Ülke Sayısı | 61 | | 61 | |
| Gözlem Sayısı | 706 | | 706 | |
| R-kare | 0.89728 | | 0.009691 | |
| F-istatistik | 92.22072 | | 6.8895 | |
| P-değeri(F-ist.) | 0.0000 | | 0.008859 | |
| Hausman İstatistik | 3.313614 | | 3.313614 | |
| P-değeri(Hausman İst.) | 0.0687 | | 0.0687 | |
| Seçilen Model | REM | | REM | |

Tablo 5 dolaylı vergileri temsilen kullanılan DOLAYLI1 değişkeninin yoksulluk üzerindeki etkisini inceleyen çoklu regresyon modeli tahmin sonuçlarını vermektedir. %5 anlamlılık düzeyinde gerçekleştirilen Hausman test sonuçlarına göre en uygun model olarak REM modeli seçilmiştir ve bundan dolayı yorumlar REM modeli sonuçlarına göre yapılacaktır. DOLAYLI1 değişkenine ait katsayı pozitif işaret almakta ve istatistiksel olarak anlamlıdır. Diğer bir ifade ile dolaylı vergilerdeki artış yoksulluğu arttırmakta ve dolayısıyla da insani kalkınmışlığı azaltmaktadır. ENFLASYON, İŞSİZLİK, SAĞLIK, EĞİTİM kontrol değişkenlerinin her biri istatistiksel olarak anlamlıdır. Tahmin sonuçlarına göre ENFLASYON ve İŞSİZLİK değişkenlerindeki artış YOKSULLUK değişkeni üzerinde artırıcı etkiye sahip iken SAĞLIK ve EĞİTİM değişkenlerindeki artış YOKSULLUK değişkeni üzerinde azaltıcı etkiye sahiptir. Modelin açıklama gücünü yansıtan R-kare 0.7393 olup, R-kare değerine göre DOLAYLI1, ENFLASYON, İŞSİZLİK, SAĞLIK, EĞİTİM değişkenlerinden oluşan bağımsız değişkenlerin tamamının YOKSULLUK değişkenindeki toplam değişimin %73'lük kısmını açıkladığı, geriye kalan %27'lik kısmını ise bu beş değişkenin dışındaki unsurlar tarafından açıklandığını göstermektedir. F-testi sonuçlarına göre modelin bir bütün olarak anlamlı olduğu görülmektedir.

Tablo 5: DOLAYLI1 için Çoklu Regresyon Sonuçları

| | FEM Modeli | | REM Modeli | |
|---|---|---|---|---|
| Değişken | Katsayı | P-değeri | Katsayı | P-değeri |
| C | -0.2830 | 0.0000 | -0.2801 | 0.0000 |
| DOLAYLI1 | 0.0165 | 0.0000 | 0.0163 | 0.0000 |
| ENFLASYON | 0.0004 | 0.0001 | 0.0005 | 0.0000 |
| İŞSİZLİK | 0.0024 | 0.0000 | 0.0024 | 0.0000 |
| EĞİTİM | -0.0068 | 0.0000 | -0.0070 | 0.0000 |

| | | | | |
|---|---|---|---|---|
| SAĞLIK | -0.1571 | 0.0000 | -0.1541 | 0.0000 |
| Ülke Sayısı | 45 | | 45 | |
| Gözlem Sayısı | 496 | | 496 | |
| R-kare | 0.9817 | | 0.7393 | |
| F-istatistik | 487.4677 | | 277.9067 | |
| P-değeri(F-ist.) | 0.0000 | | 0.0000 | |
| Hausman İstatistik | 3.0299 | | 3.0299 | |
| P-değeri(Hausman İst.) | 0.6954 | | 0.6954 | |
| Seçilen Model | REM | | REM | |

Tablo 6 dolaylı vergileri temsilen kullanılan DOLAYLI2 değişkeninin yoksulluk üzerindeki etkisini inceleyen basit regresyon modeli tahmin sonuçlarını vermektedir. %5 anlamlılık düzeyinde gerçekleştirilen Hausman test sonuçlarına göre en uygun model FEM modeli seçilmiştir ve dolayısıyla yorumlar FEM modeli sonuçlarına göre yapılacaktır. DOLAYLI2 değişkenine ait katsayı pozitif değer almakta ve istatistiksel olarak anlamlıdır. Tahmin sonuçlarına göre dolaylı vergilerdeki artış yoksulluğu arttırmakta ve insani gelişmişliği azaltmaktadır. Modelin açıklama gücünü yansıtan R-kare değeri 0.9089 olup bu değer DOLAYLI2 değişkeninin YOKSULLUK değişkeni üzerinde oldukça yüksek bir açıklama gücüne sahip olduğunu yansıtmaktadır. F-testi sonuçları da modelin bir bütün olarak anlamlı olduğunu göstermektedir.

Tablo 6: DOLAYLI2 için Basit Regresyon Sonuçları

| | FEM Modeli | | REM Modeli | |
|---|---|---|---|---|
| Değişken | Katsayı | P-değeri | Katsayı | P-değeri |
| C | -0.715071 | 0.0000 | -0.695083 | 0.0000 |
| DOLAYLI2 | 0.010595 | 0.0000 | 0.00905 | 0.0000 |
| Ülke Sayısı | 61 | | 61 | |
| Gözlem Sayısı | 693 | | 693 | |
| R-kare | 0.9089 | | 0.0263 | |
| F-istatistik | 103.2535 | | 18.65897 | |
| P-değeri(F-ist.) | 0.0000 | | 0.000018 | |
| Hausman İstatistik | 4.639811 | | 4.639811 | |
| P-değeri(Hausman İst.) | 0.0312 | | 0.0312 | |
| Seçilen Model | FEM | | FEM | |

Tablo 7 dolaylı vergileri temsilen kullanılan DOLAYLI2 değişkeninin yoksulluk üzerindeki etkisini inceleyen çoklu regresyon modeli tahmin sonuçlarını vermektedir. %5 anlamlılık düzeyinde gerçekleştirilen Hausman test sonuçlarına göre en uygun model REM modeli seçilmiştir ve bundan dolayı yorumlar REM modeline göre yapılmaktadır. DOLAYLI2 değişkenine ait katsayı pozitif işaret almakta ve istatistiksel olarak anlamlıdır. Yani dolaylı vergilerdeki artış hem yoksulluğu hem de insani gelişmişliği kötüleştirmektedir. ENFLASYON, İŞSİZLİK, SAĞLIK, EĞİTİM kontrol değişkenlerinin her biri istatistiksel olarak anlamlıdır. Tahmin sonuçlarına göre ENFLASYON ve İŞSİZLİK değişkenlerindeki artış YOKSULLUK değişkeni üzerinde artırıcı etkiye sahip iken SAĞLIK ve EĞİTİM değişkenlerindeki artış YOKSULLUK değişkeni üzerinde azaltıcı etkiye sahiptir. Modelin açıklama gücünü yansıtan R-kare değeri 0.7039 olup, R-kare değerine göre DOLAYLI2, ENFLASYON, İŞSİZLİK, SAĞLIK, EĞİTİM değişkenlerinden oluşan bağımsız değişkenlerin tamamının YOKSULLUK değişkenindeki toplam değişimin %70'lik kısmını açıkladığı, geriye kalan %30'luk kısmını ise bu beş değişkenin dışındaki unsurlar tarafından açıklandığını göstermektedir. F-testi sonuçlarına göre modelin bir bütün olarak anlamlı olduğu görülmektedir.

Tablo 7: DOLAYLI2 için Çoklu Regresyon Sonuçları

| | FEM Modeli | | REM Modeli | |
|---|---|---|---|---|
| Değişken | Katsayı | P-değeri | Katsayı | P-değeri |
| C | -0.3076 | 0.0000 | -0.3041 | 0.0000 |
| DOLAYLI2 | 0.0030 | 0.0094 | 0.0026 | 0.0172 |
| ENFLASYON | 0.0006 | 0.0000 | 0.0006 | 0.0000 |

| | | | | |
|---|---|---|---|---|
| İŞSİZLİK | 0.0024 | 0.0000 | 0.0024 | 0.0000 |
| EĞİTİM | -0.0063 | 0.0000 | -0.0066 | 0.0000 |
| SAĞLIK | -0.1492 | 0.0000 | -0.1464 | 0.0000 |
| Ülke Sayısı | 44 | | 44 | |
| Gözlem Sayısı | 493 | | 493 | |
| R-kare | 0.9791 | | 0.7039 | |
| F-istatistik | 432.3539 | | 231.5197 | |
| P-değeri(F-ist.) | 0.0000 | | 0.0000 | |
| Hausman İstatistik | 3.7511 | | 3.7511 | |
| P-değeri(Hausman İst.) | 0.5858 | | 0.5858 | |
| Seçilen Model | REM | | REM | |

Tablo 8 dolaylı vergileri temsilen kullanılan DOLAYLI3 değişkeninin yoksulluk üzerindeki etkisini inceleyen basit regresyon modeli tahmin sonuçlarını vermektedir. %5 anlamlılık düzeyinde gerçekleştirilen Hausman test sonuçlarına göre en uygun model REM modeli seçilmiştir ve bundan dolayı yorumlar REM modeline göre yapılacaktır. DOLAYLI3 değişkenine ait katsayı pozitif değer almakta ve istatistiksel olarak anlamlıdır. Tahmin sonuçlarına göre dolaylı vergilerdeki artış yoksulluğu arttırmakta ve insani gelişmişliği azaltmaktadır. Modelin açıklama gücünü yansıtan R-kare değeri 0.0075'tir. F-testi sonuçları da modelin bir bütün olarak anlamlı olduğunu göstermektedir.

Tablo 8: DOLAYLI3 için Basit Regresyon Sonuçları

| | FEM Modeli | | REM Modeli | |
|---|---|---|---|---|
| Değişken | Katsayı | P-değeri | Katsayı | P-değeri |
| C | -0.646317 | 0.0000 | -0.630367 | 0.0000 |
| DOLAYLI3 | 0.001399 | 0.0002 | 0.001422 | 0.0002 |
| Ülke Sayısı | 108 | | 108 | |
| Gözlem Sayısı | 1861 | | 1861 | |
| R-kare | 0.8841 | | 0.0075 | |
| F-istatistik | 123.6886 | | 13.95448 | |
| P-değeri(F-ist.) | 0.0000 | | 0.000193 | |
| Hausman İstatistik | 0.404995 | | 0.404995 | |
| P-değeri(Hausman İst.) | 0.5245 | | 0.5245 | |
| Seçilen Model | REM | | REM | |

Tablo 9 dolaylı vergileri temsilen kullanılan DOLAYLI3 değişkeninin yoksulluk üzerindeki etkisini inceleyen çoklu regresyon modeli tahmin sonuçlarını vermektedir. %5 anlamlılık düzeyinde gerçekleştirilen Hausman test sonuçlarına göre en uygun model REM modeli seçilmiştir ve dolayısıyla yorumlar REM modeline göre yapılmaktadır. DOLAYLI3 değişkenine ait katsayı pozitif işaret almakta ve istatistiksel olarak anlamlıdır. Bu sonuç bize dolaylı vergilerin yoksulluk ve insani kalkınmışlığı kötüleştirdiğini göstermektedir. ENFLASYON, İŞSİZLİK, SAĞLIK, EĞİTİM kontrol değişkenlerinin her biri istatistiksel olarak anlamlıdır. Tahmin sonuçlarına göre ENFLASYON ve İŞSİZLİK değişkenlerindeki artış YOKSULLUK değişkeni üzerinde artırıcı etkiye sahip iken SAĞLIK ve EĞİTİM değişkenlerindeki artış YOKSULLUK değişkeni üzerinde azaltıcı etkiye sahiptir. Modelin açıklama gücünü yansıtan R-kare değeri 0.6225 olup, R-kare değerine göre DOLAYLI3, ENFLASYON, İŞSİZLİK, SAĞLIK, EĞİTİM değişkenlerinden oluşan bağımsız değişkenlerin tamamının YOKSULLUK değişkenindeki toplam değişimin %62'lik kısmını açıkladığı, geriye kalan %38'lik kısmını ise bu beş değişkenin dışındaki unsurlar tarafından açıklandığını göstermektedir. F-testi sonuçlarına göre modelin bir bütün olarak anlamlı olduğu görülmektedir.

Tablo 9: DOLAYLI3 için Çoklu Regresyon Sonuçları

| | FEM Modeli | | REM Modeli | |
|---|---|---|---|---|
| Değişken | Katsayı | P-değeri | Katsayı | P-değeri |
| C | -0.2108 | 0.0000 | -0.2087 | 0.0000 |
| DOLAYLI3 | 0.0007 | 0.0000 | 0.0007 | 0.0000 |
| ENFLASYON | 0.0003 | 0.0000 | 0.0003 | 0.0000 |
| İŞSİZLİK | 0.0027 | 0.0000 | 0.0027 | 0.0000 |

| | | | | |
|---|---|---|---|---|
| EĞİTİM | -0.0046 | 0.0000 | -0.0046 | 0.0000 |
| SAĞLIK | -0.1857 | 0.0000 | -0.1850 | 0.0000 |
| Ülke Sayısı | 80 | | 80 | |
| Gözlem Sayısı | 1086 | | 1086 | |
| R-kare | 0.9793 | | 0.6225 | |
| F-istatistik | 563.0864 | | 356.1519 | |
| P-değeri(F-ist.) | 0.0000 | | 0.0000 | |
| Hausman İstatistik | 1.083318 | | 1.083318 | |
| P-değeri(Hausman İst.) | 0.9556 | | 0.9556 | |
| Seçilen Model | REM | | REM | |

## 4. SONUÇ

Kamu harcamalarını finanse etmek ve ülkenin sosyal, ekonomik sorunlarına çözümler üretmek amacıyla alınan ve kamu gelirlerinin büyük bir bölümüne sahip vergiler, belli oranlarda ve belli durumlarda sürekli veya geçici olarak birey ve kurumlardan alınmaktadır. Yoksulluğu azaltmak ve insani kalkınmışlığı arttırmak amacıyla devletin vergi toplaması söz konusudur. Ancak verginin türü, oranı ve kaynağı ne olursa olsun birey ve kurumlar üzerinde ağır bir yük oluşturmamalıdır. Gelişmekte olan ülkeler örneklemine ilişkin 1990-2018 yıllarını kapsayan bu çalışmada dengesiz panel veri seti kullanarak dolaylı vergilerin insani kalkınmışlık ve yoksulluk üzerindeki etkisini analiz edilmiştir. Üç farklı dolaylı vergi türü kullanılarak yapılan basit ve çoklu regresyon analizi sonuçlarına göre, dolaylı vergiler ile yoksulluk arasında pozitif yönlü ve istatistiksel olarak anlamlı bir ilişki görülmüştür. Bu gelişmekte olan ülkelerde dolaylı vergilerdeki artış yoksulluğu arttırmakta ve insani kalkınmışlığı azaltmaktadır. Söz konusu ülkelerde yoksulluğu azaltmak ve insani kalkınmışlığı arttırmak için dolaylı vergilerin toplanması yerine yansıtılması zor, gelir ve harcama üzerinden alınan vergiler gibi konusu ile kaynağı sürekli ve vergi yükümlüsü önceden belli olan dolaysız vergilerin toplanması tercih edilebilir.

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# Yerel Halkın Balkan Ülkelerinden Gelen Turistlere Yönelik Algısı: Edirne Örneği

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**Özet**: Türkiye'ye ve özellikle Trakya Bölgesine gelen yabancı turist hareketliliği incelendiğinde, Balkan ülkelerinden gelen turistlerin yoğunlukta olduğu görülmektedir. Bu noktada özellikle Edirne'nin doğa ve tarihi güzellikleri, soyut ve somut kültür mirası ve gastronomideki zenginliği yabancı turistleri bu bölgeye çekmektedir. Bunun yanında son zamanlarda Balkan ülkelerindeki para birimlerine karşı Türk lirasının değer kaybetmesi, bu ülkelerde yaşayan vatandaşlar için Edirne'yi cazibe merkezi haline getirmekte, özellikle günübirlik turistlerin sayısını artırmaktadır. Bu artış Edirne'deki ekonomik ve sosyo-kültürel hayatı etkilemekte ve çevresel değişimler meydana getirmektedir. Bu kapsamda çalışmanın amacı, Edirne'de yaşayan bireylerin Balkan ülkelerinden gelen turistlere karşı bakış açısını belirlemektir. Çalışma kapsamında Edirne merkezde ikamet eden 204 kişiye yüz yüze anket yöntemi yoluyla ulaşılarak veriler elde edilmiştir. Ankete katılan bireylerin demografik özellikleri ve anketteki sorulara verdikleri yanıtlar yüzde ve frekans olarak belirlenmiş, ayrıca bireylerin Balkan ülkelerinden gelen turistleri algılama düzeyleri, demografik değişkenler bakımından t Testi ve Anova testleri ile analiz edilmiştir.

**Anahtar Kelimeler:** Turizm, Yerel Halkın Algısı, Turizm Etkisi, Edirne, Balkan Ülkeleri

# Residents' Perceptions Toward Tourists From Balkan Countries: Edirne Case

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**Abstract**: When examining the mobility of foreign tourists coming to the Turkey and especially Thrace region, it is seen that the density of tourists from Balkan countries. At this point, the natural and historical beauties of Edirne, its intangible and tangible cultural heritage and its richness in gastronomy attract foreign tourists to this region. In addition, the depreciation of the Turkish lira against the currencies of the Balkan countries has made Edirne a center of attraction for the citizens living in these countries and it increases the number of day tourists. This increase affects the economic and socio-cultural life in Edirne and creates environmental changes. In this context, the aim of this study is to determine the perspective of individuals living in Edirne towards tourists from Balkan countries. 204 people living in the center of Edirne were reached through face-to-face survey method. The demographic characteristics of the surveyed individuals and their answers to the questions in the questionnaire were given as percentage and frequency, in addition the perception levels of the individuals living in Edirne to tourists from the Balkan countries were analyzed with t test and Anova in terms of demographic variables.

**Key Words:** Tourism, Resident's Perception, Tourism impacts, Edirne, Balkan Countries

## 1. GİRİŞ

Turizmin sürdürülebilir gelişimi noktasında yerel halkın bu sürecin ayrılmaz bir parçası olarak görülmeye başlanması, araştırmacı ve akademisyenlerin yerel halkın algılarını ve sektöre verdikleri desteği anlamaya büyük özen göstermeleri bu konu üzerine çok sayıda çalışma yapılmasını sağlamıştır (Nunkoo and Ramkisson, 2011: 964). Bu çalışmalar neticesinde, bölgedeki turizmin gelişmesine karşı yerel halkın birtakım olumlu ve olumsuz tepkiler sergileyebileceği görülmektedir. Örneğin, turizmin gelişmesi olumlu anlamda yerel halk için iş imkânlarının artmasına, bölgedeki iş bağlantılarının gelişmesine, bölgede yaşayanların yaşam standartlarının artmasına, anıtların ve arkeolojik bölgelerin korunmasına yardımcı

olmaktadır. Bunun yanında turizmin gelişmesi çevresel, ekonomik ve sosyo-kültürel alanlarda negatif etkiler oluşturabilmektedir. Özellikle turizmin hat safhaya ulaştığı dönemlerde, halka açık yerler ve eğlence yerleri tamamen dolabilmekte, trafik ve park sorunları yaşanabilmektedir. Ayrıca turizmdeki yoğunluk uyuşturucu ve alkol problemlerinin ortaya çıkmasına sebebiyet verebilmekte, hava ve çevre kirliliğinde artış meydana getirebilmektedir. Bu sebepler nedeniyle bölgede yaşayan insanlar turizme karşı negatif tutumlar sergileyebilmektedir (Almeida-García et al., 2016:259-260). Bunların yanında turizmin gelişmesi çevresel ve kültürel değerlerin korunmasına, tarihi eserlerin veya somut olmayan kültürel varlıkların daha titizlikle ele alınması, bölgedeki yolların ve tesislerin yenilenmesine ve rekreasyon fırsatlarının artmasına yardımcı olabilmektedir (Yoon et al., 2001: 365). Yerel halkın turizme ve turistlere karşı bakış açısı, yaklaşımları ve misafirperverliği turizmin gelişmesi ve sürdürülebilirliği ile oldukça ilgilidir (Gürsoy et al., 2002). Çünkü bölgede yaşayan insanların turistlere karşı hoş olmayan tavırlar sergilemeleri, turistleri o bölgeye tekrar gelmeleri konusunda isteksizliğe itecektir. Bunun aksine bölgede yaşayan insanların turistlere karşı misafirperver bir tutum sergilemeleri, turistleri memnun ederek bölgeye tekrar gelmelerine ve bölgede turizmin gelişmesine katkı sağlayacaktır. Özellikle turizm gibi hizmet sektörlerinde ağızdan ağıza pazarlamanın oldukça önemli olduğu düşünüldüğünde, ilgili destinasyondan memnun kalan turistlerin bu memnuniyetlerini yakın çevresine iletecekleri düşünülmektedir. Bunun yanında olumsuz deneyimlerin diğer insanlarla paylaşılma ihtimalinin daha yüksek olduğu göz önüne alındığında, yerel halkın algı ve tutumlarının önemi daha da artmaktadır.

Edirne'nin önemli tarihi eserlere, önemli bir gastronomiye sahip olması ve Avrupa'dan Türkiye'ye geçiş noktasında bir "sınır şehri" olması, dönemsel olarak yabancı turistlerin özellikle Balkan ülkelerinden gelen turistlerin sayısının artmasına neden olmaktadır. Bu noktada, şehrin en önemli paydaşlarının yani yerel halkın turizmi ve turistleri nasıl algıladıkları ise oldukça önem arz etmektedir. Bu sebeple çalışmada, yerel halkın Edirne'ye Balkan ülkelerinden gelen turistlere karşı algılarının, onlarla yapılan yüz yüze anket yöntemi ile belirlenmesi amaçlanmıştır. Covid-19 pandemi süreci öncesini, yani 2019 yılının ikinci yarısı ile 2020 yılının ilk çeyreğini kapsayan dönemde gerçekleştirilen çalışmada, yerel halkın turistlere yönelik algıları incelenerek elde edilen sonuçlar hakkında önerilerde bulunulmuştur.

## 2. TURİZM MERKEZİ OLARAK EDİRNE

Edirne, Türkiye'nin Marmara Bölgesinin en batısında bulunan ilidir. Edirne'nin 2019 yılı itibariyle nüfusu 413 bin kişi olup, merkez nüfusu ise yaklaşık 185 bindir (nufusu.com). Kuzeyinde Istranca Dağları, orta bölümünde Ergene Havzası, güneyinde dağ ve platolar ile Meriç Deltası bulunmaktadır. Ayrıca Edirne'de bulunan Meriç nehri Yunanistan ile sınır oluşturmakta; Tunca nehrinin bir kısmı ise Bulgaristan ile sınır oluşturmaktadır. Edirne, ülkemizin Avrupa'ya kara ve demiryolu ile bağlantısını sağlayan 5 sınır kapısına sahiptir. Kapıkule sınır kapısı, ülkemizin en büyük kara ve demiryolu sınır kapısıdır. Bulgaristan üzerinden Avrupa'ya açılan Kapıkule haricinde, Yunanistan ile Türkiye'yi birleştiren İpsala ve Pazarkule sınır kapıları mevcuttur. Ayrıca Uzunköprü'den yine Yunanistan'a giden demiryolu sınır kapısı mevcuttur (Edirne.bel.tr).

Edirne, 92 yıl boyunca Osmanlı İmparatorluğu'na başkentlik etmiş, pek çok kültürel ve tarihi eseri bünyesinde barındıran bir şehirdir. Anadolu ile Avrupa arasında bir köprü olması nedeniyle pek çok halkı içinde barındırarak çeşitli tarihi yapıları günümüze kadar korumuştur. Selimiye Camii 2011 yılında Dünya Kültür Mirası listesine dâhil edilmiştir. Ayrıca Eski (Ulu) Camii, Muradiye Camii, Üç Şerefeli Camii, Rüstempaşa Kervansarayı, Ali Paşa Kapalı Çarşısı, Selimiye Arastası, Deveci Hanı ve Bedesten gibi Osmanlı döneminden günümüze kalan pek çok esere sahiptir. Ayrıca Meriç ve Tunca Köprüleri ile Uzunköprü gibi tarihi köprüler günümüzde hizmetine devam etmektedir (edirne.ktb.gov.tr). Bunun yanında pek çok kilise ve havra gerekli restorasyonların yapılmasıyla günümüzde ayakta durabilmektedir. Edirne'nin sahip olduğu ve en çok turist çeken önemli eserlerinden birisi de "II. Beyazıt Külliyesi Sağlık Müzesi"dir. Ayrıca yaklaşık 660 yıldır devam eden "Kırkpınar Yağlı Güreşleri", "Kakava Şenlikleri" ve "Hıdrellez Festivalleri" gibi kültürel miraslara ev sahipliği yapmaktadır. Turistlerin konaklama imkânları değerlendirildiğinde ise Edirne'de konaklama için 123 tesisin bulunduğu ve yatak kapasitesinin 8.311 olduğu görülmektedir (Kültür ve Turizm Bakanlığı, 2019).

Kültür ve Turizm Bakanlığı'nın "2019 Sınır İstatistikleri Yıllık Bülten" verilerine göre; 2019 yılında Türkiye'ye Edirne'deki sınır kapılarından giriş yapan ziyaretçilerin sayısı 4.348.565 kişidir. Türkiye'ye 2019

yılında yaklaşık olarak 51,7 milyon turist geldiği düşünüldüğünde, bunların yaklaşık %8,3'ünün Edirne'deki sınır kapılarından giriş yaptığı görülmektedir. Bu kişilerin milliyetlere göre dağılımı incelendiğinde; Balkan ülkelerinden gelen ziyaretçilerin sayısı yaklaşık 4 milyondur. Bu rakam çerçevesinde Edirne sınır kapılarından giren toplam ziyaretçilerin yaklaşık %92'sini balkan ülkelerinden gelen ziyaretçiler oluşturmaktadır. Afrika kökenli ziyaretçilerin oranı %0,4 iken Amerika kökenli ziyaretçilerin oranı %0,5, Asya kökenlilerin oranı %0,6, Avrupa'daki OECD ülke vatandaşlarının oranı ise %13'tür. Türkiye'ye en çok ziyaretçi gönderen ülkeler ise 7 milyon kişi ile Rusya, 5 milyon kişi ile Almanya ve 2,7 milyon kişi ile Bulgaristan'dır. Rapora göre Edirne sınır kapılarından geçen yabancı ziyaretçilerin sıralamasına bakıldığında; en çok ziyaretçinin 2.713.464 kişi ile Bulgar vatandaşların, ikinci sırada ise 570.419 kişi ile Yunan vatandaşların, üçüncü sırada 262.083 kişi ile Romanya vatandaşlarının, dördüncü sırada ise 154.099 kişi ile Kuzey Makedonya vatandaşlarının yer aldığı görülmektedir. Bu rakamlara göre Edirne'ye gelen turistlerin yaklaşık %62'sinin Bulgar vatandaşı olduğu, %13'ünün ise Yunan vatandaşı olduğu görülmektedir. Ayrıca rapora göre sınır kapılarından geçen Yunan ve Bulgar vatandaşlarının sayısının yıldan yılda arttığı görülmektedir.

## 3. YEREL HALKIN TURİZMİN GELİŞİMİNE YÖNELİK ALGISI

Belirli bir bölgede ikamet eden ve orada yaşayan topluluğu ifade eden yerel halk, özellikle eğlence ve turizm sektörleri için en önemli paydaşlardan birisidir. Bir bölgedeki turizm faaliyetleri, oradaki yerel halka odaklanılarak tüm paydaşların ilgisi ve yardımıyla yönetilmelidir (Mohammadi et al., 2010). Bir destinasyonun doğal ve tarihi güzellikleri, yapısal özellikleri orada turizmin gelişmesi için tek başına yeterli değildir. Turizmin gelişiminin tek başına gerçekleşmediği, belirli ortamlarda kendine has özellikleri olduğu görülmektedir. Bu noktada yerel halkın desteği, turizmin gelişmesinde kilit bir rol oynamaktadır (Almeida-García et al., 2016: 206). Butler (1980) yerel halkın turistlere yönelik tutumları ile turizmin gelişimi arasında bir bağlantı olduğunu ileri sürmektedir. Butler "destinasyon yaşam döngüsü modeline" göre, bir destinasyondaki turist sayısı arttıkça yerel halkın turistlere yönelik iyi niyetli eğilimleri yerini, turistlerin uzun dönemli faydaları hakkındaki çekincelere bırakmaktadır (Vargas-Sánchez et al., 2015). Bu nedenle turizmin kendine has özellikleri, yerel halkın algısını ve turizmin gelişimini etkilemektedir.

Yerel halkın turizmi destekleme durumları, turizmin etkilerini nasıl algıladıklarına göre değişebilmektedir. Sosyal değişim teorisi (Social Exchange Theory - SET) çerçevesinde bir bölgedeki yerel halk, turizmden elde edilen faydaların turizmin getirdiği olumsuz sonuçlardan daha fazla olduğunu düşündüğü sürece turizmin gelişmesine katkı sağlayacaklardır (Yoon et al., 2001: 364). Fakat bölge halkı turizmin sosyal, kültürel ve çevresel açıdan getirmiş olduğu maliyetlerin daha fazla olduğunu düşünürse turizmin gelişmesine katkıda bulunmayacaktır. Yerel otoritelerin halkın desteğini almadan yapacakları turizmi geliştirme faaliyetleri başarısızlıkla sonuçlanabilecek ve bu durum bölgeye gelen turistlere ilgisizlik veya güvensizlik olarak geri dönebilecektir. Bu sebeple turizmin ve bunun en önemli parçası olan turistlerin nasıl algılandığının bilinmesi, yerel halkın desteği ile bölge turizminin gelişmesi noktasında oldukça önemlidir.

Yerel halkın turizmde anahtar bir rol oynaması nedeniyle, onların turizmin gelişimine ve bu gelişmenin olumlu ve olumsuz etkilerine yönelik algıları üzerine pek çok araştırma yapılmıştır (Jani, 2018; Afthanorhan et al., 2017; Rasoolimanesh and Jaafar, 2016; Sharpley, 2014). Turizmin ilgili bölgeye yönelik etkileri incelendiğinde bu etkilerin genellikle üç ana başlık etrafında toplandığı görülmektedir. Turizmin gelişmesinin destinasyona etkileri ve bunların yerel halk tarafından algılanmaları "ekonomik", "sosyo-kültürel" ve "çevresel" boyutta ele alınmaktadır (Yoon vet al, 2001: 363). Bu başlıklar şu şekilde açıklanabilmektedir:

### 3.1. Turizmin Gelişiminin Ekonomik Etkileri

Turizmin sağlamış olduğu olumlu ekonomik etkiler, yerel halk için en değerli unsurlardan birisidir. Bu nedenle turizmin gelişimi, ekonomik anlamda yerel halk tarafından genellikle olumlu olarak algılanmaktadır (Sinclair-Maragh et al., 2015: 37). Turizm, genellikle yerel ekonominin gelişmesine, gelir ve yaşam kalitesinin artmasına yardımcı olmaktadır. Bunun yanında turizmin gelişmesi; aile gelirinin artmasına, vergi gelirlerinin artmasına, yeni iş imkanları ve yatırım fırsatlarının ortaya çıkmasına, kültürel

değerlerin korunmasına hatta bireylerin benlik saygısının gelişmesine yardımcı olabilmektedir (Rasoolimanesh et al., 2015: 336; Nunkoo and Gursoy, 2012: 247). Özellikle nüfusu az olan destinasyonlarda turizmin gelişmesiyle birlikte pansiyon, butik otel gibi işletmelerin sayıları artmaktadır. Bunun yanında mikro ve küçük işletmelerin ve kadın girişimcilerin sayılarında da artış meydana gelmektedir. Yöresel ürünlerin, el yapımı hediyelik eşyaların, yeme-içme mekânlarının artması hem yeni iş imkanlarının hem de istihdamın artmasına yardımcı olarak, ekonomik anlamda yerel halkın gelişimine katkı sağlayabilmektedir.

Turizmin gelişiminin olumlu ekonomik etkileri yanında bir takım olumsuz etkileri de bulunmaktadır. Bunlar yaşam maliyetlerinin artması, mal ve hizmetlerin fiyatlarının artması, ev ve işyeri kiralarının artması, ürünlerdeki vergi oranlarının artması şeklinde sıralanabilmektedir (Rasoolimanesh et al., 2015: 336; Nunkoo and Gursoy, 2012: 248).

### 3.2. Turizmin Gelişiminin Kültürel ve Sosyal Etkileri

Yerel halkın turizmin gelişmesine yönelik algıları incelendiğinde kültürel ve sosyal anlamda bir takım olumsuz etkilerin olabileceği görülmektedir. Örneğin turizmin gelişmesi, geleneksel aile yapısının değişmesine, kültürel ticarileşmeye, ziyaretçilerin norm ve değerlerine uyum sağlayan yeni bir kültürün ortaya çıkmasına neden olabilmektedir. Bunun yanında yerel halk ile turistler arasındaki sosyo-kültürel farklar, ekonomik refah ve satın alma gücü arasındaki farklar uzun dönemde turistler ile yerel halk arasında sosyal ve kültürel çatışmalar yaratabilmektedir (Dyer et al. 2007: 416). Turizmin gelişmesi yerel halkın alışkanlıklarının, günlük rutinlerinin, inanç ve değerlerinin değişmesine neden olabilmektedir. Bunun yanında geleneklerden uzaklaşılmasına, materyalizmin artmasına, suç oranlarının ve sosyal çatışmaların, stresin, kalabalığın, trafiğin ve park sorunlarının artmasına neden olabilmektedir (Andereck et al, 2005: 1058).

Turizmin gelişmesinin kültürel ve sosyal anlamda bir takım olumlu yönleri de mevcuttur. Turizmin gelişmesi yeni parkların yapılmasına, rekreasyon ve kültürel tesisler ve kültürel faaliyetlerin artmasına yardımcı olarak sosyo-kültürel anlamda topluma yönelik hizmetlerin gelişmesine katkı sağlayabilmektedir (Andereck et al, 2005: 1058). Ayrıca turizmin gelişmesi, özellikle genç kuşağın kültürel farkındalığının artmasına yardımcı olabilmektedir (Sinclair-Maragh et al., 2015: 37). Bunun yanında turizmin gelişmesi, bir takım kültürel değerlerin gün yüzüne çıkması ve gerekli onay mercileri tarafından koruma altına alınmasına yardımcı olabilmektedir.

### 3.3. Turizmin Gelişiminin Çevresel Etkileri

Turizm gelişmesinin etki edebileceği bir diğer alan ise çevredir. Turizmin gelişmesi çevre kirliliğinin ve çöplerin artmasına neden olabilmektedir. Taşıt trafiğinin artması egzoz gazlarından dolayı hava kirliliğine neden olabilmektedir. Bunun yanında turizmin aşırı gelişmesi atık su problemlerine, doğal yaşamların bozulmasına, kentin siluetini bozabilecek yapıların oluşmasına neden olabilmektedir (Nunkoo and Uysal, 2012: 248; Andereck et al, 2005: 1059).

Turizmin gelişmesinin çevresel anlamda olumlu yönlerinin olabileceği de düşünülmektedir. Kirliliğin artmasıyla beraber bu kirliliği giderecek yeni düzenlemelerin, atık su ve katı atık depolarının yapılması yerel halkın geniş çerçevede faydasına olabilecek uygulamalar olarak görülebilmektedir.

Turizmin potansiyel etkilerini azaltmak amacıyla yapılan çalışmalar ve uygulamalar neticesinde "sürdürülebilir turizm" kavramı ortaya çıkmıştır. Sürdürülebilir turizm; ekolojik süreçlerin, doğal hayatın ve çeşitliliğin korunmasına yardımcı olma, ev sahibi toplulukların sosyo-kültürel özgünlüğüne saygılı olma ve tüm paydaşlara sosyo-ekonomik faydalar sağlama temeline dayanmaktadır (Törn et al. 2008). Böylelikle yerel halkın bir paydaş olarak görüldüğü, onların ekonomik ve kültürel anlamda korunması ve gelişmesi gerektiğine yönelik bir çabanın var olduğu görülmektedir. Turizmin etkilerinin olumlu algılanması, yerel halkın turizmin gelişmesini desteklemesine, olumsuz algılanması ise desteklerini geri çekmeye ve turizmin sürdürülebilir gelişimini engellemeye neden olmaktadır (Rasoolimanesh and Jaafar, 2016: 93).

## 4. ARAŞTIRMANIN METODOLOJİSİ

Bu bölümde araştırmanın amacına, yöntemine ve bulgularına dair bilgiler yer almaktadır.

### 4.1. Araştırmanın Amacı

Turizmin gelişimine yönelik yerel halkın algısını ölçmek, turizmin gelişmesinden dolayı ortaya çıkabilecek olumsuzlukların azaltılmasına, olumlu yönlerin de artırılmasına yardımcı olacaktır. Çünkü turizmin başarılı bir şekilde gelişmesinde "mutlu ev sahibi" durumunun oluşturulması esastır. Bu nedenle yerel halkın turizmin gelişimine yönelik tutumunun belirlenmesi ve turizmin yerel halkın yaşamını nasıl etkilediğinin bilinmesi, turizmin gelişiminin başarıya ulaşmasında oldukça önemlidir. Karşılıklı yarar sağlayacak gelişmeler (sosyal gelişim teorisinde olduğu gibi) turizmdeki gizli çatışmaları ve muhalefeti önleyebilecektir (Bimonte and Faralla, 2016: 200). Turizmin gelişme sürecinde erken aşamalarda yerel halkın dâhil edilmesi, turizmin gelişimi için oldukça önemlidir. Bunun yanında planlı bir gelişim sürecinde yerel halktan alınacak düzenli bilgiler, gelişimin daha sağlıklı yürütülmesinde oldukça önemlidir. Ayrıca turizmin planlama ve gelişmesinde yerel halkın karar alma süreçlerine katılımının sağlanması, onların turistlere ve turizme karşı daha olumlu tutum sergilemelerine yardımcı olacaktır (Almeida-García et al., 2016: 260).

Edirne coğrafi konumu itibariyle Balkan coğrafyasında yer almaktadır. Balkan coğrafyası ya da "Balkan Ülkeleri" olarak nitelendirilen ülkeler ise; Arnavutluk, Bosna-Hersek, Bulgaristan, Hırvatistan, Karadağ, Kosova, Kuzey Makedonya, Romanya, Sırbistan, Slovenya, Yunanistan ülkelerinden oluşmaktadır. Edirne'ye gelen turistlerin büyük çoğunluğunun Balkan ülkelerinden gelmesi nedeniyle çalışma, yerel halkın Balkan ülkelerinden gelen turistlere yönelik bakış açısını yansıtacak şekilde oluşturulmuştur.

Turizmin gelişmesi noktasında yerel halkın algısının önemi ve Edirne özelinde, turistlerin genellikle Balkan ülkelerinden gelmesinden dolayı bu çalışmanın amacı, Edirne'deki yerel halkın Balkan ülkelerinden gelen turistlere yönelik bakış açılarını ortaya koymaktır. Bu çerçevede turizmin etkileri ekonomik, sosyo-kültürel ve çevresel yönden ele alınmıştır. Yerel halkın Balkan turistlerine yönelik algılarına dair genel değerlendirmenin yanında cinsiyete, yaşa, öğrenim durumuna, mesleğe, aylık ortalama gelire, Edirneli olup olmama durumuna ve ikamet süresi değişkenlerine göre farklılık gösterip göstermediğinin belirlenmesi hedeflenmektedir.

### 4.2. Araştırmanın Yöntemi

Bu çalışmanın ana kütlesini Edirne'de ikamet eden yerel halk oluşturmakta ve veriler rastgele örnekleme yöntemine göre yüz yüze anket aracılığıyla toplanmıştır. Araştırmada 210 kişiye ulaşılmış olup bazı anketlerdeki yetersiz ve eksik bilgilerden dolayı 204 anket araştırmaya dâhil edilmiştir. Anket iki bölümden oluşmaktadır. İlk bölümde Edirne'deki yerel halkın Balkan turistlerine yönelik algılarını ekonomik, sosyo-kültürel ve çevresel açıdan belirleyecek 20 soru ve genel bir değerlendirme içeren 2 soru olmak üzere 22 soru yer almaktadır. Söz konusu sorular Çeken vd., (2018) ile Boğan ve Sarıışık (2016)'ın çalışmalarından yararlanılarak oluşturulmuştur. Bu bölümdeki sorular 5'li Likert tipi ölçekle "hiç katılmıyorum=1", "katılmıyorum=2", "kararsızım=3", "katılıyorum=4" ve "tamamen katılıyorum=5" şeklinde hazırlanan ifadelerden oluşmaktadır. Anketin ikinci bölümünde ise katılımcıların sosyo-demografik özellikleri (cinsiyet, yaş, gelir, eğitim, meslek, doğum yeri) ile Edirne'deki ikamet sürelerine yönelik toplam 7 adet soru yer almaktadır.

Araştırmadan elde edilen veriler SPSS 21.0 programında analiz edilmiştir. Öncelikle katılımcıların sosyo-demografik özelliklerinin belirlenmesi için "tanımlayıcı istatistikler" kullanılmıştır. Daha sonra katılımcıların her bir soruya vermiş oldukları yanıtların otalama ve standart sapmaları alınarak, Edirne halkının balkan turistlerin etkilerine yönelik algıları ölçülmüştür. Araştırmanın son bölümünde ise algıma düzeyine ilişkin sorulara verilen yanıtlar "Bağımsız t-testi" ve "Anova" yardımıyla analiz edilerek, sosyo-demografik değişkenler çerçevesinde farklılıkların olup olmadığı belirlenmiştir.

### 4.3. Bulgular ve Yorumlar

Araştırmanın bu bölümünde ankette yer alan ölçeğin güvenilirliği, katılımcıların sosyo-demografik özellikleri ve yapılan analizlere ait sonuç ve yorumlar yer almaktadır.

Cronbach Alpha katsayısına göre ölçeğin güvenilirliği test edildiğinde sonucun 0,669 olduğu görülmektedir. Böylelikle soruların yer aldığı ölçeğin güvenilirliğinin 0,60 ile 0,80 değerleri arasında aldığı için "oldukça güvenilir" olduğu ortaya çıkmaktadır.

Katılımcılara ait sosyo-demografik verilere ilişkin yapılan tanımlayıcı istatistik sonucunda Tablo 1.'deki sonuçlar elde edilmiştir.

Tablo 1. Katılımcıların Sosyo-Demografik Özellikleri

| **Cinsiyet (n=204)** | **f** | **%** | **Edirne'de mi doğdunuz? (n=204)** | **f** | **%** |
|---|---|---|---|---|---|
| Kadın | 82 | 40.2 | Evet | 117 | 57,4 |
| Erkek | 122 | 59.8 | Hayır | 87 | 42,6 |
| **Yaş (n=204)** | **f** | **%** | **Ailenin aylık ortalama geliri (n=204)** | | |
| 18-28 | 69 | 33,8 | 0-2000 | 26 | 12,7 |
| 29-39 | 51 | 25,0 | 2001-4000 | 99 | 48,5 |
| 40-50 | 61 | 29,9 | 4001-6000 | 43 | 21,1 |
| 51-60 | 20 | 9,8 | 6001-8000 | 20 | 9,8 |
| 60+ | 3 | 1,5 | 8001 ve üzeri | 16 | 7,8 |
| **Öğrenim (n=204)** | **f** | **%** | **Meslek (n=204)** | | |
| İlkokul | 7 | 3,4 | Öğrenci | 58 | 28,4 |
| Ortaokul | 27 | 13,2 | Ev hanımı | 13 | 6,4 |
| Lise | 56 | 27,5 | İşçi | 22 | 10,8 |
| Önlisans | 9 | 4,4 | Kamu personeli | 26 | 12,7 |
| Lisans | 88 | 43,1 | Emekli | 5 | 2,5 |
| Lisansüstü | 17 | 8,3 | Esnaf | 74 | 36,3 |
| | | | Serbest meslek | 6 | 2,9 |

| **Edirne'deki ikamet yılı (n=204)** | **f** | **%** |
|---|---|---|
| 5 yıl ve altı | 48 | 23,5 |
| 5-10 yıl | 23 | 11,3 |
| 10-15 yıl | 14 | 6,9 |
| 15 yıl ve üzeri | 119 | 58,3 |

Yapılan incelemeler sonucunda katılımcıların yaklaşık %60'ının erkek, %40'ının kadın olduğu; yaş aralığına bakıldığında ise %33,8'inin 18-28 yaş aralığında olduğu, %29,9'unun 40-50 yaş aralığında olduğu, %25'inin 29-39 yaş aralığında olduğu görülmektedir. Katılımcıların öğrenim durumlarına bakıldığında %13,2'sinin ortaokul, %27,5'inin lise ve %43,1'inin lisans mezunu olduğu görülmektedir. Katılımcıların mesleklerine bakıldığında; %36,3'ünün esnaf, %28,4'ünün öğrenci ve %12,7'sinin kamu personeli olduğu; aylık ortalama gelir durumlarına bakıldığında ise %48,5'inin 2001-4000 TL aralığında, %21,1'inin 4001-6000 TL aralığında gelire sahip oldukları görülmektedir. Bunun yanında katılımcıların %57,4'ünün Edirne doğumlu olduğu ve %58,3'ünün 15 yıldan daha fazladır Edirne'de ikamet ettiği görülmektedir.

Edirne halkının, Balkan ülkelerinden gelen turistlerin ekonomik, sosyo-kültürel ve çevresel etkilerine yönelik algıları ile genel olarak turistlere yönelik değerlendirmeleriyle ilgili sorulara verilen yanıtların ortalamaları ve standart sapmaları Tablo 2., Tablo 3., Tablo 4. ve Tablo 5.'te gösterilmektedir.

Tablo 2. Turistlerin Ekonomik Etkilerine Yönelik Yerel Halkın Algısı

| **Turistlerin Ekonomik Etkilerine Yönelik Edirne Halkının Algısı (n=204)** | **Ortalama** | **Standart Sapma** |
|---|---|---|
| Edirne'de Balkan ülkelerinden gelen turistlerin fazla para harcamaları sayesinde yaşam standartlarımız hızlı bir şekilde yükselmektedir. | 2,70 | 1,356 |
| Edirne'nin ekonomisi canlanmaktadır. | 3,47 | 1,249 |
| Edirne'de birçok ürün ve hizmetin fiyatı artmaktadır. | 3,34 | 1,278 |
| Yeni iş olanakları ortaya çıkmaktadır. | 2,63 | 1,148 |
| Sadece küçük gruplara fayda sağlamaktadır. | 2,91 | 1,245 |
| Hediyelik eşya sektörünün canlanmasını sağlamaktadır. | 3,65 | 1,093 |
| Edirne'de birçok kişiye iş imkânı sağlamaktadır | 2,76 | 1,177 |
| Edirne'ye zenginlik getirmektedir. | 3,27 | 1,110 |
| Edirne'de emlak fiyatlarının aşırı yükselmesine neden olmaktadır. | 3,20 | 1,269 |

Tablo 2. incelendiğinde, Edirne halkının Balkan ülkelerinden gelen turistlerin olumlu olarak; hediyelik eşya sektörünü canlandırdığını, Edirne ekonomisini canlandırdığını, Edirne'ye zenginlik getirdiklerini düşündüğü söylenebilmektedir. Bunun yanında, Balkan ülkelerinden gelen turistlerin ekonomik olarak olumsuz etkilerine bakıldığında; birçok ürün ve hizmetin fiyatının artmasına ve emlak fiyatlarının artmasına neden olduklarına yönelik bir algı oluştuğu söylenebilmektedir. Bunun yanında turistlerin yerel halkın yaşam standartlarını yükselttiğine ve birçok kişiye iş imkânı sağladığına dair olumlu bir algının olmadığı görülmektedir. Genel olarak Tablo 2. incelendiğinde, turistlerin Edirne ekonomisine hareketlilik getirdiği fakat birçok mal, hizmet ve gayrimenkul fiyatlarında artışa sebep olduklarına dair bir algı oluştuğu görülmektedir.

Tablo 3. Turistlerin Sosyo-kültürel Etkilerine Yönelik Yerel Halkın Algısı

| **Turistlerin Sosyo-kültürel Etkilerine Yönelik Edirne Halkının Algısı (n=204)** | **Ortalama** | **Standart Sapma** |
|---|---|---|
| Balkan ülkelerinden gelen turistlerle bir arada olmak mükemmel bir deneyimdir. | 3,07 | 1,160 |
| Edirne'nin geleneksel kültüründe olumsuz değişmelere neden olmaktadır. | 2,48 | 1,116 |
| Edirne'nin tanınmasına katkı sağlamaktadır. | 3,59 | 1,246 |
| Balkan ülkelerinden gelen turistler ile yerel halk arasında kültür alışverişi sağlamaktadır. | 3,58 | 1,040 |
| Balkan ülkelerinden gelen turistlerden yeni bilgiler öğrenilmektedir. | 3,15 | 1,207 |
| Balkan ülkelerinden gelen turistlere konut ve arsa satışı artmaktadır. | 2,99 | 1,170 |

Tablo 3. incelendiğinde, Edirne halkı Balkan ülkelerinden gelen turistlerin olumlu olarak; Edirne'nin tanınmasına katkı sağladıklarını ve kültür alışverişine yardımcı olduklarını düşünmektedir. Bunun yanında turistlerin, Edirne'nin geleneksel kültüründe olumsuz bir değişime sebebiyet verdiğine dair bir düşüncenin olmadığı görülmektedir. Genel olarak değerlendirildiğinde, Edirne halkının Balkan

ülkelerinden gelen turistlerin sosyo-kültürel olarak olumlu etkiler bıraktıklarını düşündüğü söylenebilmektedir.

Tablo 4. Turistlerin Çevresel Etkilerine Yönelik Yerel Halkın Algısı

| **Turistlerin Çevresel Etkilerine Yönelik Edirne Halkının Algısı (n=204)** | **Ortalama** | **Standart Sapma** |
|---|---|---|
| Edirne'de doğal kaynakların tahribatına neden olmaktadır. | 2,53 | 1,089 |
| Caddelerin, parkların rahatsız edici bir şekilde kalabalıklaşmasına neden olmaktadır. | 3,24 | 1,307 |
| Çevre kirliliğine yol açmaktadır. | 3,01 | 1,300 |
| Trafik yoğunluğuna neden olmaktadır. | 3,78 | 1,146 |
| Edirne'nin dokusu bozulmaktadır. | 2,57 | 1,166 |

Tablo 4. incelendiğinde, Edirne halkının Balkan ülkelerinden gelen turistlerin trafik yoğunluğuna ve cadde, parklarda kalabalığa neden olduğuna dair bir algısının olduğu görülmektedir. Bunun yanında turistlerin Edirne'nin dokusuna veya doğal kaynaklarına zarar verdiğine dair olumsuz bir algının olmadığı görülmektedir.

Tablo 5. Turistlere Yönelik Yerel Halkın Genel Algısı

| **Katılımcıların Genel Olarak Balkan Ülkelerinden Gelen Turistlere Yönelik Algıları (n=204)** | **Ortalama** | **Standart Sapma** |
|---|---|---|
| Genel olarak değerlendirildiğinde, Balkan ülkelerinden gelen turistlerin ziyaretleri Edirne'ye yarardan çok zarar vermektedir. | 2,60 | 1,273 |
| Genel olarak değerlendirildiğinde, Balkan ülkelerinden gelen turistlerin ziyaretleri Edirne'ye zarardan çok yarar sağlamaktadır. | 3,37 | 1,266 |

Tablo 5. incelendiğinde, Edirne halkının Balkan ülkelerinden gelen turistlere yönelik olumlu bir algısının olduğu, Edirne'ye zarardan çok yarar sağladıklarına inandıkları görülmektedir.

Edirne halkının Balkan ülkelerinden gelen turistlere yönelik algıları incelendiğinde; sosyo-kültürel olarak ve kısmen ekonomik olarak olumlu düşüncelere sahip olduklarına, çevresel anlamda ise birtakım olumsuz düşüncelere ve ekonomik olarak fiyat artışına sebep olduklarına dair düşüncelere sahip oldukları görülmektedir. Genel olarak değerlendirildiğinde, Edirne halkının Balkan ülkelerinden gelen turistlere yönelik birtakım olumlu ve olumsuz düşünceleri olsa da, sosyal değişim teorisi çerçevesinde değerlendirildiğinde; ağırlıklı olarak olumlu düşüncelerin olduğu, turizmin olumlu etkilerinin olumsuz etkilerinden daha ağır bastığı görülmektedir.

Edirne halkının Balkan turistlere yönelik algılarının sosyo-demografik değişkenlere göre farklılaşıp farklılaşmadığına dair yapılan t Testleri ve Anova testlerine ait sonuçlar Tablo 6. ve Tablo 7.'de gösterilmektedir.

Tablo 6. Yerel Halkın Cinsiyete ve Edirneli Olma Durumuna Göre Turistlere Yönelik Algılarına Dair t Testi Sonuçları

| **Değişkenler** | **Gruplar** | **n** | **Ortalama** | **Standart Sapma** | **t** | **Sig. (p)** |
|---|---|---|---|---|---|---|
| Cinsiyet | Kadın | 82 | 3,19 | ,423 | 2,557 | |
| | Erkek | 122 | 3,03 | ,446 | | ,011* |
| Edirne'li olma durumu | Edirneli | 117 | 3,04 | ,413 | -1,800 | |

| | | | | | | |
|---|---|---|---|---|---|---|
| | Edirneli değil | 87 | 3,15 | ,474 | | ,073 |

*p<0,05

Tablo 6. incelendiğinde, yerel halkın Balkan turistlerine yönelik algılarında cinsiyete göre bir farklılık ortaya çıktığı (0,011 <0,05) görülmektedir. Bu sonuca göre, kadınların erkeklere göre turistlere yönelik algılarının daha olumlu olduğu ortaya çıkmaktadır. Katılımcıların Edirneli olup olmamaları durumuna göre Balkan turistlere yönelik algılarında ise bir farklılık olmadığı (0,073 > 0,05) görülmektedir. Balkan turistleri algılama noktasında cinsiyet ve Edirneli olma durumları istatistiki olarak bir farklılık yaratmasa da, kadınların ve Edirneli olmayanların Balkan turistlere karşı nispeten daha olumlu düşüncelere sahip olduğu söylenebilmektedir.

Tablo 7. Yerel Halkın Yaşa, Öğrenim Durumuna, Mesleğe, Aylık Ortalama Gelire ve Edirne'de İkamet Edilen Yıla Göre Turistlere Yönelik Algılarına Dair Anova Testi Sonuçları

| **Değişkenler** | **Gruplar** | **n** | **Ortalama** | **Standart Sapma** | **Levene Stat.** | **F** | **Sig. (p)** | **Tukey** |
|---|---|---|---|---|---|---|---|---|
| **Yaş** | 18-28 | 69 | 3,22 | ,441 | ,866 | | | |
| | 29-39 | 51 | 3,17 | ,410 | | | | |
| | 40-50 | 61 | 2,94 | ,438 | | 4,791 | | 40-50<18-28,29-39 |
| | 51-60 | 20 | 2,92 | ,393 | | | | |
| | 60 + | 3 | 3,08 | ,351 | | | ,001* | |
| **Öğrenim** | İlkokul | 7 | 3,0143 | ,43753 | ,241 | | | |
| | Ortaokul | 27 | 2,6981 | ,39963 | | | | |
| | Lise | 56 | 3,0339 | ,37260 | | 8,031 | | Ortaokul<lisans ve lisansüstü |
| | Önlisans | 9 | 3,1056 | ,47661 | | | | |
| | Lisans | 88 | 3,2523 | ,39841 | | | | |
| | Lisansüstü | 17 | 3,1441 | ,53616 | | | ,000* | |
| **Meslek** | Öğrenci | 58 | 3,2621 | ,43390 | ,112 | | | |
| | Ev hanımı | 13 | 3,1808 | ,52063 | | | | |
| | İşçi | 22 | 3,0750 | ,42671 | | 2,768 | | |
| | Kamu personeli | 26 | 3,0712 | ,55806 | | | | Öğrenci>esnaf |
| | Emekli | 5 | 3,1900 | ,38308 | | | | |
| | Esnaf | 74 | 2,9736 | ,37692 | | | | |
| | Serbest meslek | 6 | 2,9000 | ,21679 | | | ,013* | |
| **Ortalama gelir** | 0-2000 | 26 | 3,0154 | ,53996 | ,186 | | | |
| | 2001-4000 | 99 | 3,0586 | ,44847 | | | | |
| | 4001-6000 | 43 | 3,0919 | ,35253 | | 1,641 | | |
| | 6001-8000 | 20 | 3,2775 | ,48544 | | | | |
| | 8001 ve üzeri | 16 | 3,2344 | ,35764 | | | ,165 | |
| **İkamet** | 5 yıl ve altı | 48 | 3,2646 | ,46264 | ,678 | | | |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **süresi** | | | | | | | | |
| | 5-10 yıl | 23 | 3,0891 | ,48640 | | 3,760 | | 5 yıl ve altı >15 yıl ve üstü |
| | 10-15 yıl | 14 | 3,1679 | ,36617 | | | | |
| | 15 yıl ve üzeri | 119 | 3,0197 | ,41935 | | | ,012* | |

*p<0,05

Tablo 7.de ilk olarak katılımcıların yaşları ile Balkan turistlere yönelik algıları arasında anlamlı farklılık olup olmadığına dair Anova testi sonuçları yer almaktadır. Öncelikle Levene testine bakıldığında 0,866>0,05 olduğundan, varyansların homojen olduğu ve verilerin Anova testine uygun olduğu görülmektedir. Test sonuçlarına göre, katılımcıların yaşları ile Balkan turistlerine yönelik algıları arasında p<0,05 anlamlılık düzeyinde istatistiksel olarak farklılık (0,001<0,05) bulunmuştur. Yapılan Tukey Post-hoct testi sonucunda 40-50 yaş aralığındaki katılımcı grubunun 18-28 ve 29-39 yaş aralığındaki katılımcılara göre Balkan turistlerine yönelik daha olumsuz bir algıya sahip oldukları görülmektedir. Katılımcıların öğrenim durumları ile Balkan turistlere yönelik algıları arasında anlamlı farklılık olup olmadığına dair yapılan test sonuçlarına göre; Levene testi 0,241>0,05 olduğundan dolayı Anova testine uygun olduğu görülmektedir. Anova testine göre, katılımcıların öğrenim durumu ile Balkan turistlerine yönelik algıları arasında p<0,05 anlamlılık düzeyinde istatistiksel olarak farklılık (0,000<0,05) bulunmuştur. Yapılan Tukey Post-hoct testi sonucunda, ortaokul mezunu katılımcıların lisans ve lisansüstü mezuniyete sahip katılımcılara göre Balkan turistlerine yönelik daha olumsuz bir algıya sahip oldukları görülmektedir.

Tablo 7.deki katılımcıların meslekleri ile Balkan turistlere yönelik algıları arasında anlamlı farklılık olup olmadığına dair testi sonuçlarına göre; Levene testi 0,112>0,05 olduğundan dolayı Anova testine uygun olduğu görülmektedir. Anova testine göre, katılımcıların meslekleri ile Balkan turistlerine yönelik algıları arasında p<0,05 anlamlılık düzeyinde istatistiksel olarak farklılık (0,013<0,05) bulunmuştur. Yapılan Tukey Post-hoct testi sonucunda öğrenci ve esnaf katılımcılar arasında anlamlı bir farklılığın olduğu, öğrencilerin Balkan turistlerine yönelik daha olumlu bir algıya sahip olduğu görülmektedir. Ayrıca Balkan turistlere yönelik en olumlu algının öğrencilerde olduğu, bunu ev hanımı ve işçilerin takip ettiği görülmektedir. Katılımcıların aylık ortalama gelir durumları ile Balkan turistlere yönelik algıları arasında anlamlı farklılık olup olmadığına dair test sonuçlarına göre; Levene testi 0,186>0,05 olduğundan dolayı Anova testine uygun olduğu görülmektedir. Anova testine göre, katılımcıların aylık ortalama gelirleri ile Balkan turistlerine yönelik algıları arasında p<0,05 anlamlılık düzeyinde istatistiksel olarak farklılık (0,165>0,05) bulunmamıştır. Bu sonuca göre aylık ortalama gelirin, istatistiki olarak balkan turistlere yönelik algılamada bir farklılık yaratmadığı görülmekte olup, bununla birlikte en olumlu algının 8000 TL ve üzerinde aylık ortalama geliri olan katılımcılarda olduğu görülmektedir. Katılımcıların Edirne'deki ikamet süreleri ile Balkan turistlere yönelik algıları arasında anlamlı farklılık olup olmadığına dair testi sonuçlarına göre; Levene testi 0,678>0,05 olduğundan dolayı Anova testine uygun olduğu görülmektedir. Anova testine göre, katılımcıların Edirne'deki ikamet süreleri ile Balkan turistlerine yönelik algıları arasında p<0,05 anlamlılık düzeyinde istatistiksel olarak farklılık (0,012<0,05) bulunmuştur. Yapılan Tukey Post-hoct testi sonucunda, 5 yıl ve daha az süredir Edirne'de ikamet eden katılımcılar ile 15 yıl ve daha fazla süredir Edirne'de ikamet eden katılımcılar arasında anlamlı farklılığın olduğu ortaya çıkmıştır. Bu sonuca göre 5 yıldan daha az süredir Edirne'de ikamet eden katılımcıların Balkan turistlere yönelik en olumlu algıya sahip grup olduğu, en olumsuz algıya sahip grubun ise 15 yıl ve üzerinde ikamet süresine sahip katılımcıların oluşturduğu görülmektedir.

Genel olarak değerlendirildiğinde 18-28 yaş aralığındaki, lisans eğitim düzeyine sahip, 5 yıldan daha az süredir Edirne'de ikamet eden kadın öğrencilerin, Balkan turistlere yönelik daha olumlu bir algıya sahip olduğu görülmektedir. Bunun aksine 51-60 yaş aralığındaki, ortaokul eğitim düzeyine sahip, 15 yıldan daha fazla süredir Edirne'de ikamet eden ve serbest meslek icra eden katılımcıların Balkan turistlerine yönelik en olumsuz algıya sahip kişiler oldukları görülmektedir.

## SONUÇ

Yerel halkın, turizmin gelişmesinde önemli bir paydaş olarak görülmesi ve yerel halkın turizme ve turistlere yönelik bakış açılarının incelenmesi gerekliliği yapılan pek çok araştırmada ortaya çıkmaktadır. Çünkü şehrin yerel sakinlerine, turizmi desteklemeye ikna edilmesi gereken bir müşteri gibi davranılmaması gerekmektedir. Bunun yerine yerel halk, sürdürülebilir turizm için tutum ve çıkarlarının oldukça önemli olduğu bir paydaş olarak görülmelidir (Nunkoo and Gursoy, 2012). Yerel halkın algı ve tutumlarının belirlenmesi, turizmin sürdürülebilir şekilde geliştirilmesi için oldukça önemlidir. Kültür ve Turizm Bakanlığının verilerine neticesinde Edirne iline büyük çoğunlukta Balkan ülkelerinden turistlerin geldiği görülmektedir. Bu çerçevede yürütülen çalışmada, turizm açısından önemli bir paydaş olan halkın, Balkan ülkelerinden gelen turistlere yönelik algıları ölçülerek Edirne özelinde bu konu hakkındaki araştırma eksikliği kapatılmaya ve elde edilen sonuçların diğer çıkar gruplarıyla paylaşılmaya çalışılmaktadır.

Araştırma sonucundan elde edilen sonuçlara göre, Edirne halkının Balkan ülkelerinden gelen turistlere yönelik olumlu bir algıya sahip olduğu, turistlerin olumlu etkilerinin olumsuz etkilerinden daha çok olduğu görülmektedir. Bunun yanında yerel halka göre Balkan ülkelerinden gelen turistlerin sosyo-kültürel olarak olumlu etkiler bıraktığı görülmektedir. Bu durumun, Edirne bölgesi de dâhil Balkan ülkelerinin benzer coğrafyada yaşamasından ve benzer kültürlere sahip topluluklardan oluşmasından kaynaklandığı düşünülmektedir. Bunun yanında Edirne halkına göre, Balkan turistlerin fiyat artışlarına sebebiyet vermeleri dışında genel olarak ekonomik anlamda olumlu etkiler bıraktığı, çevresel anlamda ise genel olarak olumsuz etkiler bıraktığı görülmektedir. Söz konusu sonuçlar literatürde yer alan diğer çalışmalarda paralellik göstermektedir. Bu noktada yerel yöneticilerin, turizm sektöründe çalışanların ve turizmin gelişmesi için çabalayan grupların, bu çalışma sonuçlarını değerlendirerek yerel halkın bakış açısına göre turizm politikaları ve uygulamaları geliştirilmesi tavsiye edilmektedir. Halk tarafından algılanan park ve caddelerin kalabalık olması, trafik yoğunluğunun artması ve kirlilik ile ilgili problemler, yerel yöneticiler tarafından dikkatle takip edilip gerekli çözümlerin üretilmesi sağlanabilir. Yerel halkın algısında sosyo-demografik değişkenlerin farlılık oluşturup oluşturmadığı araştırıldığında, genellikle üniversiteli gençlerin turistlere yönelik daha olumlu bir algıya sahip oldukları görülmektedir. Bu noktada yerel yöneticilerin ve turizm sektörünün diğer paydaşlarının üniversite öğrencileri ile işbirliğine girmesi, bu algının daha da güçlenerek sürekli hale gelmesini ve turistlerle etkileşime girmelerini sağlayacak faaliyet ve organizasyonlar yürütmesi tavsiye edilebilmektedir. Bunun yanında turistlere yönelik olumsuz algıya sahip olan kitle ile iletişime geçilerek, bunun sebeplerinin araştırılması ve bu algının değiştirilmesine yönelik gerekli eylem planlarının hazırlanması tavsiye edilmektedir.

Genel olarak değerlendirildiğinde, turizmin ve turistlerin olumsuz etkilerine rağmen olumlu etkilerin daha etkin bir şekilde algılanması ve bu durumun devam ettirilmesi turizmin sürdürülebilirliği açısından önemlidir. Bu noktada gerçekleştirilen çalışma, sürdürülebilir turizmin önemli bir paydaşı olarak yerel halkın algısını ölçmeye ve literatüre katkı sağlamaya çalışmakta, aynı zamanda yerel yöneticilere ve diğer paydaşlara yönelik bilgiler ve tavsiyeler sunmaktadır.

### Sınırlılıklar ve Gelecek Araştırmalar İçin Öneriler

Araştırmada bulunan sınırlılıklardan bir tanesi, örneklem büyüklüğü ve araştırma periyodunun kısıtlılığıdır. Bütçe kısıtlamasından dolayı daha büyük örneklem grubuna ulaşılamaması ve yalnızca kısa bir dönemi kapsayan zamanda verilerin toplanması, araştırmanın en önemli kısıtını oluşturmaktadır. Bu nedenle gelecek araştırmalarda daha geniş bir örnek kitleye ulaşılması, ayrıca yılın farklı sezonlarında verilerin elde edilmesi tavsiye edilmektedir.

Ayrıca elde edilen sonuçlar, yalnızca Edirne halkının turistlere ve turizme yönelik algılarını içermektedir. Her bir destinasyon ve orada yaşayan halk, farklı özelliklere sahiptir. Bu nedenle gelecek araştırmaların farklı destinasyonlarda yapılarak sonuçların karşılaştırılması, bölgesel farklılıkların olup olmadığını ortaya koyma noktasında yardımcı olacaktır.

Araştırma, pandemi sürecinden önce gerçekleştirilmiştir. Bu nedenle pandemi sürecinin çeşitli zamanlarında sınır kapılarının kapatılması ve sokağa çıkma yasağı gibi uygulamalar, halkın turizme ve turistlere bakış açısından bir değişiklik meydana getirmiş olabilmektedir. Bu nedenle pandemi sürecinin

sona ermesiyle normal hayata dönüldüğünde, aynı çalışmanın tekrar yapılması faydalı olacaktır. Böylelikle pandeminin yerel halkın turistlere yönelik algılarında bir değişikliğe neden olup olmadığı ortaya çıkartılabilecektir.

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# Covid-19 Pandemisinin Sağlık Ekonomisi Alanındaki Etkileri: Türkiye Örneği

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**Özet:** Tarih boyunca bulaşıcı hastalıklar dünya ekonomisini ve ülkelerin politikalarını etkilemiştir. Yaşanan salgınların sağlık, demografi, sosyo-ekonomi ve politika alanlarında birçok olumsuz yönleri olmuştur. Tüm dünya, 2020 yılının başından itibaren Çin'in Wuhan bölgesinde ortaya çıkan ve 11 Mart'ta Dünya Sağlık Örgütü tarafından "pandemi" olarak ilan edilen Covid-19 salgınının etkisi altında kalmıştır. Tarih boyunca Bunlardan sosyo-ekonomik alandaki etkilerin üretimin azalması, işsizliğin artması, temel ihtiyaç maddelerinin temin edilememesi ve insan ilişkilerinin olumsuz etkilenmesi gibi örnekleri bulunmaktadır. Covid-19 salgını büyük sağlık sorunlarına ve kitlesel kayıplara da neden olmuştur. Enfekte vakaların ve ölüm vakalarının sayısı keskin bir şekilde artarken ve salgının atlatılması gelişmiş ülkelerde bile belirsizliğini korurken salgını önlemeye yönelik alınan tedbirlerin yeterli olup olmadığı konusu hala birçok kesim tarafından tartışılmaktadır. Bu süreçte Covid-19 pandemisinin etkileri küresel ve bölgesel açıdan çeşitli araştırmalara da konu olmuştur. Çalışmada, literatür taraması yapılarak tarihte yer alan önemli salgın hastalıkların potansiyel etkileri ve sonuçları değerlendirilmiş, devam eden Covid-19 pandemisinin potansiyel etkileri ve olası sonuçları incelenmiş ve bazı çözüm önerileri sunulmuştur. Covid-19 pandemisinin küreselleşmesinin, dünyadaki tüm ekonomileri etkileyeceği ve birçoğunu durgunluğa ve muhtemel ekonomik geriliğe sürükleyeceği öngörülmektedir.

**Anahtar Kelimeler:** Pandemi, Covid-19, Sağlık, Ekonomi.

**Abstract**: Throughout history, infectious diseases have affected the world economy and the policies of countries. The whole world has been under the influence of the Covid-19 epidemic that has emerged in the Wuhan region of China since the beginning of 2020 and was declared as a "pandemic" by the World Health Organization on March 11. These epidemics have had many negative effects in the fields of health, demography, socio-economy and politics. Among these, there are examples of socio-economic impacts such as decreased production, increased unemployment, not being able to supply basic necessities and negatively affected human relations. The Covid-19 outbreak has also caused major health problems and mass casualties. While the number of infected cases and death cases is increasing sharply and the recovery of the epidemic remains uncertain even in developed countries, the issue of whether the measures taken to prevent the epidemic are sufficient or not is still debated by many parties. In this process, the effects of the Covid-19 pandemic have been the subject of various studies from a global and regional perspective. In the study, the potential effects and consequences of important epidemic diseases in history were evaluated, the potential effects and possible consequences of the ongoing Covid-19 pandemic were examined and recommendations were submitted. It is predicted that the globalization of the Covid-19 epidemic will affect all economies in the world and will drag many of them into recession and possible economic backwardness.

**Key Words:** Pandemic, Covid-19, Health, Economy.

## 1. GİRİŞ

Dünya tarih boyunca birçok salgın hastalıkla karşı karşıya kalmıştır. Geçmişte yaşanan Asya gribi, İspanyol gribi, SARSCOV, kuş gribi, domuz gribi MERS-COV gibi salgın hastalıklar hem ülkeler için hem de insanlık için kayıplara neden olmuştur. Geçmişte yaşanan salgın hastalıkların üzerinden uzun zaman geçmesi, etkilerinin unutulmasına neden olmuştur. 21. yüzyılda dünya Covid-19 pandemisi ile boğuşmaktadır. Koronavirüs ailesinin yeni bir mutasyonu olan Covid-19, 1 Aralık 2019'da Çin'in Wuhan bölgesinde ilk vakanın görülmesiyle ortaya çıkmıştır. Daha sonra hızla diğer ülkelere yayılmış ve küresel olarak milyonlarca insanı etkilemiştir. Özellikle COVID-19'un başlangıçta ulaştığı ülkelerin, virüsün ölümcül etkisine ve hızlı yayılmasına hazırlıklı olmamasından dolayı tıbbi ihtiyaçlar ve diğer temel ihtiyaçlar için sürekli bir mücadele içinde bulunması gerekmiştir. Covid-19 pandemisi dünya çapında birçok ülkede hasara neden oldu ve olmaya da devam etmektedir. Oldukça bulaşıcı olan bu salgının

önüne geçmek için tüm dünya kısmen kapanmaya dayalı önlemler alarak insani etkileşimi minimal düzeyde tutmaya çalışarak hem sağlıklı bir yaşamı sürdürebilmek hem de ekonomiyi ayakta tutabilmek gerekli çalışmalarını sürdürmektedir.

Halk sağlığını tehdit eden Covid-19 pandemisi salgın bir hastalık olmasının yanında aynı zamanda etkisini giderek arttıran ekonomik bir tehdittir. Durumun gelişen doğası göz önüne alındığında, COVID-19'un dünya ekonomisi üzerindeki tam etkisini tahmin etmek için henüz çok erken, ancak COVID-19'un gerçek ve potansiyel ekonomik sonuçları hakkında yapılan çalışmaların çoğunda COVID-19'un farklı ekonomik perspektifler üzerindeki kısmi ekonomik etkileri ortaya konulmaya çalışılmıştır. Yaşanan pandeminin yakın zamanda kontrol altına alınması durumunda bile ekonomik etkilerinin beklenenden daha uzun süreceği düşünülmektedir.

Bu araştırmada, sağlık ekonomisi kavramının kapsamını, tarihte yaşanan salgın hastalıkların etkilerini, belirlenen sonuçlarını değerlendirerek, devam eden Covid-19 pandemisinin potansiyel etkileri ve olası sonuçlarını belirlemek ve önerilerde bulunmak, COVID-19'un önemli, gerçek ve öngörülen etkilerini tasvir etmek amaçlanmıştır. Elde edilen bilgiler ışığında salgın hastalıkların bir ülke ekonomisini sağlık, ulaşım, tarım ve turizm sektörleri de dahil olmak üzere çeşitli kanallardan etkilediğini göstermektedir. Aynı zamanda, diğer ülkelerle ticaret de etkilenebilirken, modern ekonomilerin birbirine bağlı olması nedeniyle, pandeminin uluslararası tedarik zincirlerini de kapsayabileceği anlamına gelmektedir ve pandeminin kümülatif etkisi, yoksulluk oranlarında önemli bir artışa yol açacağı öngörülmektedir.

## 2. SAĞLIK EKONOMİSİ KAVRAMI VE KAPSAMI

Sağlık ekonomisi, sağlık sektörüne ayrılmış olan tüm kaynakların veya üretim faktörlerinin en üst düzeyde sağlık hizmeti üretmek için en etkili ve verimli bir şekilde nasıl kullanılması gerektiği ve üretilen sağlık hizmetlerinin toplumu oluşturan fert ve gruplar arasında en iyi şekilde paylaştırılmasını amaçlayan bilim dalı olarak ifade edilmektedir (Çelik, 2019: 48). Sağlık alanındaki yasal düzenlemeler, sağlık politikalarının oluşturulması ve sonuçların değerlendirilmesi, birey ve toplum sağlığını ilgilendiren düzenlemelerin iktisadi sonuçlarının, sağlık hizmetlerinde kaynakların etkin kullanımının sağlanması ve yaygınlığın ve sürekliliğin oluşturulması, hizmet alanlarında elde edilen analizi faydaların artırılması amacıyla sağlık hizmetlerinin finansmanını, arz ve talebinin; yönetim, organizasyon ve insan gücü boyutuyla yeniden yapılandırılması ve geliştirilmesi faaliyetlerini kapsamaktadır (Tıraş, 2013: 131).

Ekonomi, "*insanların sahip oldukları sınırlı kaynakları, sınırsız ihtiyaçlarını karşılamak için nasıl dağıttıklarının incelenmesi"* olarak tanımlamaktadır (Andargie,2008: 1). Ekonomi, kıt kaynakların en iyi kullanımı, toplumsal ve bireysel kararlarda birçok alternatifin doğru şekilde değerlendirilmesidir. Sağlık ekonomisi, kıt kaynaklar ile sağlık hizmetlerinde sınırı belli olmayan ihtiyaçlar arasındaki uyumun sağlanması ile ilgilidir (Paksoy, 2017: 9). Mevcut kaynakların en iyi şekilde kullanılması ve arttırılması ile ilgili problemlerin çözülmesine olan ihtiyaç ekonominin uygulamalı bir alanı olan sağlık ekonomisine olan ilgiyi arttırmıştır (Şantaş, 2017: 86). Sağlık ekonomisinin öneminin artmasının nedenleri aşağıdaki gibi özetlenebilir (Şantaş, 2017: 86-87):

- Alternatif kullanım alanlarına sahip kaynakların olması,
- Her bir kişinin kendi istek ve ihtiyaçlarının diğer kişilere göre daha önemli olduğu düşüncesinin var olması,
- Mevcut kaynakların kıt olması ve kişinin istek ve ihtiyaçlarının karşılanamayacağı düşüncesinin oluşması.

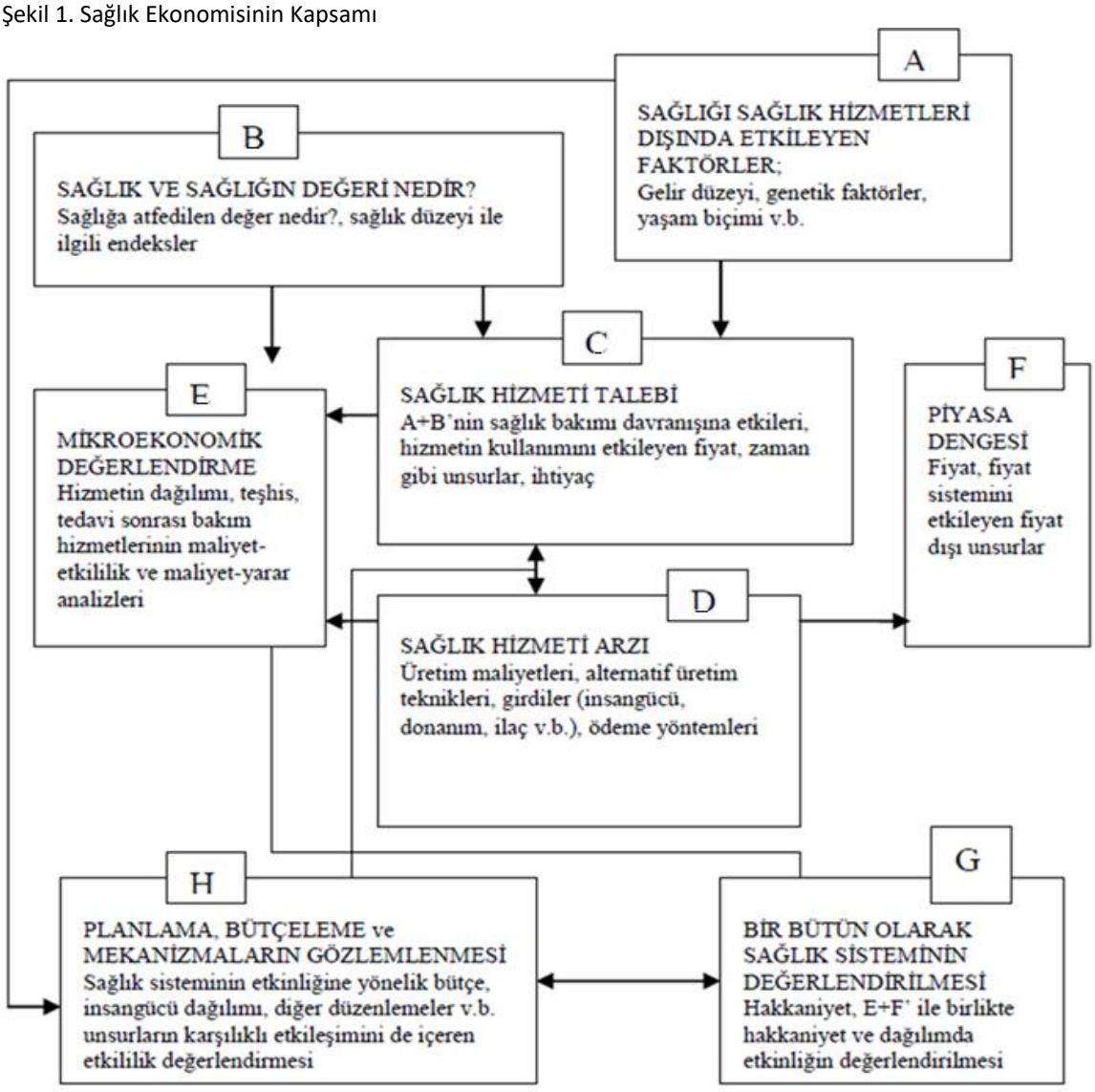
Sağlığın öneminin artmasına paralel olarak gelişen disiplinlerden biri de sağlık ekonomisidir. Sağlık hizmetlerinde arz ve talep önemli yer tutmaktadır. Sağlık ekonomisinin üretim yönünü sağlık hizmetleri arzı oluşturmaktadır. Sağlığa ayrılan kaynaklar, alternatif üretim teknikleri, üretim maliyetleri, piyasanın yapısı, sağlık hizmetlerinin finansman biçimi, kar amacı gütmeden faaliyet gösteren sağlık kurumlarının varlığı gibi etkenler sağlık hizmetlerinin arz yönündeki temel unsurları oluşturmaktadır. Sağlık hizmetleri talebi ise sağlık ekonomisinin tüketim tarafını oluşturmaktadır. Kişilerin gelir düzeyi, sağlık hizmetlerine yönelik bakış açısı ve davranış biçimi ve piyasa şartları gibi etkenler sağlık hizmetleri talebini belirleyen etkenlerdir (Tıraş, 2013: 131). Sağlık hizmetlerinde fiyatların genellikle yükselme eğiliminde olduğu ve talebin arz edilen hizmete göre belirlendiği düşünülmektedir. Hem hastane gibi sağlık kuruluşlarının

inşasının hem de sağlık hizmeti sağlayıcıların yetiştirilmesinin uzun sürede olması nedeniyle sağlık hizmetlerinde fiyatların yüksek olması olasıdır ve dolayısıyla sağlık hizmetlerinde arz esnekliği katıdır.

Sağlık ekonomisinin kapsamı Williams (1987) tarafından oluşturulan akım tablosunda bir arada açıklanmaya çalışılmıştır. Şekildeki ilk 4 kutu (A, B, C, D) sağlık sektörünü analiz etmeyi sağlayan temel yapı taşlarını; Culyer ve Newhause (2000) tablodaki ilişkiyi açıklarken sağlık ekonomisinin kapsamına ilişkin ayrıntılı analiz ortaya koymuştur.

Culyer ve Newhouse (2000) ilk dört kutuyu makine dairesi olarak tanımlamaktadır; diğer kutular uygulama alanlarını ifade etmektedir (Şantaş, 2017: 87). Aşağıdaki şekilde sağlık ekonomisinin kapsamı yer almaktadır.

Şekil 1. Sağlık Ekonomisinin Kapsamı




Kaynak: Çalışkan, 2008: 33.

Şekil 1'deki (A) kutusu sağlık hizmetlerinin dışında kalan ve sağlığı etkileyen unsurları içermektedir. Sağlık, kişilerin genetik yapıları belirleyiciliğinde eğitim, gelir düzeyi ve dağılımı, barınma koşulları, beslenme ve yaşam biçimi gibi sağlık hizmetleri dışındaki faktörden etkilenmektedir. (B) kutusu ise sağlığın tanımı ve ölçülmesi ile ilgili kısımdır. Dünya Sağlık Örgütü (DSÖ) tarafından sağlık "*yalnızca hastalık ya da sakatlığın olmayışı değil, bedensel, ruhsal ve sosyal yönden tam bir iyilik halidir*" şeklinde tanımlanmıştır. Birçok unsuru içerdiğiden bu tanım geniş kabul görmüştür. (C) kutusu sağlık talebi ile ilişkili olarak değerlendirilmesi gerekmektedir. Çünkü bireylerin nihai amacı sağlıklı olmak olduğundan

doğrudan ve açıkça sağlık talep etmeleri kaçınılmazdır. (D) kutusu bir sağlık sisteminde sağlık hizmetleri üretimi ve üretim maliyetleri ile ilgilidir. Sektör düzeyinde ele alındığında sağlık hizmetleri koruyucu hizmetler, tedavi hizmetleri, rehabilitasyon ve sağlığı geliştirme hizmetleri olmak üzere dört farklı biçimde sunulmaktadır. (E) kutusu sağlık hizmetlerinde önceliklerin belirlenmesinde kullanılan araçları içermektedir. (F) kutusu büyük ölçüde iktisadın temel kurgusu olan kıt kaynak yönetimi ile ilgilidir. Bu hem sağlık alanına ayrılan kaynaklar hem de bu alandaki kaynakların dağılımı hangi düzeyde olmalıdır sorusuna yanıt aramayı gerektirir. (G kutusu) sağlık sistemi amaçlarının tanımlanması ve performans değerlendirmesinin yapılması anlamına gelmektedir. Bu, ulusal düzeyde ve uluslararası düzeyde karşılaştırmaların yapılmasını gerektirmektedir. (H) kutusu doğumda beklenen yaşam süresi, çocuk ve bebek ölüm hızı gibi sağlık çıktıları sağlık iktisatçıları tarafından sağlık sisteminin performansını ölçmek amacıyla geniş kabul gören ölçütleri içermektedir (Çalışkan, 2008: 34-39).

Sağlık hizmetleri piyasasında genellikle risk ve belirsizlik vardır ve ihtiyaçlar ortaya çıktığı zamanda maliyetler oldukça yüksektir. Üretim ve tüketim aynı zamanda gerçekleştiğinden hizmeti alan ile sunan arasında bilgi asimetrisi vardır. Hizmeti alan rasyonel bir davranış gösterememektedir (Yıldırım, 2015: 25). Sağlık hizmetlerinin ekonomik sistemi; arz-talep, en uygun fiyat ve finansmandan oluşmaktadır. Sağlık hizmetlerinin ekonomik özellikleri aşağıdaki gibidir (Tutar ve Kılınç, 2007: 34):

- Talep tesadüfi ve esnekliği katıdır.
- Hizmetler toplumsal özellik taşır.
- Kişilerin taleplerini doktor belirler.
- Sosyal amaçlıdır ve hasta aldığı hizmetin kalitesini ölçme yeteneğine sahip değildir.

19-22 Temmuz 1946 tarihinde New York'ta düzenlenen Uluslararası Sağlık Konferansı'nda Birleşmiş Milletler e üye 51 ülkenin temsilcisi DSÖ Anayasasını oluşturmuştur. DSÖ anayasasında temel amaç "*Tüm insanların mümkün olan en yüksek sağlık düzeyine ulaşmaları*" dır (T.C. Dışişleri Bakanlığı). Dünyada birçok devlet ve örgüt sağlık sorunlarına ortak çözüm bulmak için ortaya çıkan ve uluslararası anlaşma niteliğinde olan birçok sağlık bildirgesi yayınlanmıştır. Bu bildirgelerden başlıcalarını aşağıdaki gibi sıralayabiliriz.

Tablo 1. Sağlık Bildirgeleri

| Bildirgenin Adı | Yayınlandığı Yıl | Bildirgenin Ana Teması |
|---|---|---|
| Almata-Ata Bildirgesi | 1978 | Temel sağlık hizmetleri açıklanmış ve devletin görevleri üzerinde durulmuştur. |
| Lizbon Bildirgesi | 1981 | Hasta hakları ele alınmıştır. |
| Ottowa Şartı | 1986 | Sağlığı geliştirme yalnızca sağlık sektörüne ait bir sorumluluk olmaktan çıkarılmıştır. |
| Adelaide Tavsiyeleri | 1988 | Sağlıklı halk politikası stratejileri belirlenmiştir. |
| Amsterdam Bildirgesi | 1994 | Hasta hakları; bilgilendirme, onay, mahremiyet ve özel hayat; bakım ve tedavi başlıkları altında ele alınmıştır. |
| Kopenhag Bildirgesi | 1994 | Avrupa'da sağlığa yönetilen eleştiriler yer aldığı gibi gerekli değişimlerin yapılmasını öngörmektedir. |
| Bali Bildirgesi | 1995 | Amsterdam Bildirgesi'ne ek olarak intihar girişimi, dini temsilcilerin desteği gibi düzenlemeler yer almıştır. |
| Ljubıjana Bildirgesi | 1996 | Güneydoğu Avrupa'da sağlık hizmetlerinden faydalanamayan nüfusun ihtiyaçlarının giderilmesidir. |
| Jakarta Deklerasyonu | 1997 | 21. yüzyılda sağlığı geliştirme eylem planları sunulmuş ve önceliklerine yer verilmiştir. |
| Dubrovnik Sözleşmesi | 2001 | Sağlık alanında hedef ve stratejilerin belirlenmesi üzerinde durulmuştur. Ayrıca kalite üzerinde durulmuştur. |
| Bangkok Konferansı | 2005 | Sağlıklı halk politikası ve destekleyici çevreler oluşturma, sağlık hizmetlerini yeniden yönlendirilmesi |
| Tallinn Şartı | 2008 | Sağlık sistemlerinin güçlendirilmesi için stratejik çerçeve ve kılavuz oluşturulması |
| Malta Belgesi | 2012 | Sağlık alanındaki eşitsizliklerin azaltılması, halk sağlığını güçlendirilmesi ve insan odaklı sağlık sistemlerinin oluşması ve sürdürülebilirliği |

Kaynak: Akalın, 2018: 17; Madenoğlu Kıvanç, 2015: 164.

Tablo 1'de yer alan verilere göre ilk olarak 1978 yılında yayınlanan bildirgede sağlık hizmetleri ile ilgili tanımlamalar yapılmış ve devlete düşen görevler açıklanmıştır. Sonrasında belirli aralıklarla bildirgeler yayınlanmıştır. Son olarak 2012 yılında Malta'da yapılmıştır. DSÖ bölgesindeki 53 üye devlet Sağlık 2020 yeni ortak bir politika çerçevesi üzerinde anlaşmaya varmışlardır. Her bir yeni bildirge bir öncekine göre daha insan odaklı ve gelişime açık olarak yayınlanmıştır. Sağlık bildirgelerinin ortak amacı; sağlık sisteminin sürdürülebilirliğini sağlamak, kişilerin faydalandığı sağlık kurum ve kuruluşlarını arttırmak, sağlık hizmetlerinde meydana gelebilecek eşitsizliği ortadan kaldırmak ve esenliği oluşturmak, insan odaklı, evrensel ve kaliteli sağlık sitemlerinin oluşturulmasını sağlamaktır. Kişilerin hayatlarını tehdit eden yeni sorunların ortaya çıkması durumunda sağlık bildirgeleri ile ilgili yeni eylem planları hazırlanmaya çalışılmaktadır.

DSÖ 1948 yılında kurulduktan sonra sağlık sorunlarına teknik açıdan yaklaştığı görülmektedir. Yaşanan gelişmeler ile ihtiyaçların değişkenlik göstermesi ve eşitsizliğin giderek artmasıyla DSÖ politikasını değiştirmeye karar vermiştir. DSÖ'nün 80'li yılların başından itibaren sağlık hizmetlerine olan yönelimini arttırmış ve sağlık hizmetlerine daha fazla önem vermiştir. DSÖ, kişilerin sağlık hizmetlerinden eşit şartlarda yararlanması için gerekli eklemeleri yapmıştır.

## 3. DÜNYADA YAŞANAN SALGIN HASTALIKLAR VE ETKİLERİ

Pandemi, Eski Yunan dilinde *"tüm"* anlamına gelen *"pan"* ve *"insanlar"* anlamına gelen *"demos"* sözcüklerinden oluşan *"tüm insanları etkileyen"* anlamındadır (Aslan, 2020: 36). İnsanlık tarihinde iki düzineden fazla büyük pandemi meydana gelmiştir.

Toplum sağlığı kurallarına uyulmaması ekolojik dengenin bozulması, doğal afetler ve kıtlıklar gibi faktörler salgın hastalıkların ortaya çıkmasına neden olmaktadır (Kılıç, 2020: 18). İnsanlar dünyanın dört bir yanına yayıldığından, salgın hastalıklar da var oldu. Modern çağda bile pandemiler kaçınılmaz bir durum olmaktadır. Teknolojik gelişmeler yaşandıkça ve insanların sağlık bilgisi arttıkça pandemileri kontrol altına alabilme imkânı ortaya çıkmıştır (Feyisa, 2020: 64).

Tablo 2. Zamanla Meydana Gelen Büyük Salgınlar

| **İsim** | **Periyod** | **Ölü Sayısı** |
|---|---|---|
| Antonine Vebası | 165-180 | 5.000.000 |
| Japon Çiçek Hastalığı | 735-737 | 1.000.000 |
| Justinian Vebasına | 541-542 | 30.000.000-50.000.000 |
| Kara Veba | 1347-1351 | 200.000.000 |
| Yeni Dünya Çiçek Hastalığı | 1520 | 56.000.000 |
| Londa'nın Büyük Vebası | 1665 | 100.000 |
| İtalyan Vebası | 629-1631 | 1.000.000 |
| Kolera Salgını | 1817-1923 | 1.000.000 dan fazla |
| Üçüncü Veba | 1885 | 12.000.000 |
| Sarıhumma | 1800 sonları | 100.000-150.000 (ABD) |
| Rus Gribi | 1889-1890 | 1.000.000 |
| İspanyol Gribi | 1918-1919 | 40.000.000-50.000.000 |
| Asya Gribi | 1957-1958 | 1.100.000 |
| Hong Kong Gribi | 1968-1970 | 1.000.000 |
| HIV/AIDS | 1981- | 25.000.000-35.000.000 |
| Domuz Gribi | 2009-2010 | 200.000 |
| Sars | 2002-2003 | 770 |
| Ebola | 2014-2016 | 11.000 |
| Mers | 2015- | 850 |
| Covid-19 | 2019- | 3.339.193* |

Kaynak: Feyisa, 2020: 64.*: Covid-19 ile ilgili güncel veri worldometer, 2021'den alınmıştır.

Tablo 2'de geçmişten günümüze kadar öne çıkan pandemilerin tarihsel açıdan sıralanmış hali yer almaktadır. Bu salgınların ortak özelliği dünyayı etkisi altına alması ve birçok insanın hayatını kaybetmesidir. En çok can kaybına sebep olan kara vebayı, 56 milyon ölü sayısı ile çiçek hastalığı takip etmiştir. 1630-1770 yılları arasında çiçek hastalığının Amerika'daki yerli halklara bulaştırılması sonucu ortaya çıkan salgınlar, yerli halk nüfusunda yüksek oranda ölümlere ve Avrupalı işgalcilere karşı

savunmasız kalmalarına neden olmuştur. Sonrasında İspanyol gribi gelmiştir. Ciddi hastalığa ve çok sayıda ölüme neden olan İspanyol gribinde büyük ölçekli aşılamaya geçilmeden ABD'deki toplam ekonomik etkisinin tahminleri 71,3 milyar dolar ile 166,5 milyar dolar arasında değiştiği görülmektedir. İspanyol gribine kişilerin bağışıklık kazanmasıyla ortadan kaybolduğu, domuz gribi ile İspanyol gribi arasında genetik benzerlik olduğu ve aşılamada iki salgından da koruma sağlayabileceği düşünülmektedir.

2014 yılında Ebola salgını sırasında sıtma, HIV/AIDS ve tüberküloz için rutin bakım eksikliğinden dolayı Gine, Liberya ve Sierra Leone'de tahmini 10.600 ek ölüme neden olmuştur. Bu ülkelerde rutin çocukluk aşılama oranlarında yüzde 30'luk bir azalmaya yol açmıştır (Şahin ve Demir, 2020: 72-74). SARS ve halen yok olmayan MERS ve 2019 yılının son aylarında ortaya çıkıp bütün dünyayı etkisi altına alan COVID-19 pandemileri Koronavirüs kaynaklı salgınlardır (Kılıç, 2020: 32). Yaşanan salgın hastalıklardan (HIV, MERS, COVİD-19 gibi) bazılarının halen devam ettiği ve kesin bir tedavi yönteminin bulunamadığı ve ölüm sayılarının da kesin bir sayıya ulaşmadığı görülmektedir.

Salgın hastalıklarda kısa zamanda kaynağın ve sebebin kesin olarak bilinmemesinden dolayı kişilerde şok ve panik etkisi yarattığı görülmektedir. Kişilerin salgın hastalığın ortaya çıkmasından sonra bulundukları bölgeleri terk etmek istedikleri ve ailelerini ihmal edip ölüme teslim oldukları görülmüştür. Veba salgını sonrasında Floransalı kişilerin her gün öleceklerini düşünerek yaşadıkları kaydedilmiştir (Slavicek, 2008: 79).

Salgın hastalıkların sonrasında ölüm oranları giderek artmaktadır. Örneğin Kara Veba salgını sırasında ve sonrasında bebek ölüm oranlarında bir yükselme görülmüştür. Kişilerin salgın sırasında psikolojilerinin bozulmasıyla bebeklerin boğularak öldürülmesi eylemi yaygın hale gelmiştir. 1445 yılında Floransa'da kurulan yetimhanelere olan yoğunluğun sebebi ise salgın hastalıklarda kişilerin psikolojik rahatsızlıklarından dolayı bebeklerini terk etme eğilimi göstermesidir (Kılıç, 2020: 34).

Etienne ve arkadaşlarının (2020: 2) yapmış oldukları çalışmada salgın hastalıklar sırasında ve sorasında sağlıklı bir sistemin oluşturulabilmesi ve ülkenin sürdürülebilirliği için yapılması gerekenler;

- Bir insan güvenliği, ekonomik ve sosyal kalkınma sorunu olarak sağlığı yükseltmek,
- Entegre politika geliştirme ve planlamaya öncelik vermek,
- Evrensel sağlık ve insan güvenliğini sağlamak için sağlık sistemlerini dönüştürmek,
- İlaçlara, aşılara ve diğer sağlık teknolojilerine eşit erişim sağlamak için bilim, teknoloji ve yeniliğe yatırım yapmak,
- Temel halk sağlığı işlevlerini ve risk azaltma ve azaltmada ulusal kapasiteyi güçlendirmek olarak ifade edilmiştir.

Küresel olarak yaşanan pandemilere cevap verebilmek, sağlık yönetimine ve sağlık sistemlerinin ulusal ve yerel düzeylerde koordineli bir şekilde yanıt verme becerisinin geliştirilmesine bağlıdır. Bu salgınların etkisi büyük ölçüde sağlık sistemlerinin nasıl organize edildiğine, finanse edildiğine ve bunların mevcut tehdide hazırlanma ve hızla adapte olma ve bunlara yanıt verme kapasitelerine bağlıdır. Bunlar dayanıklı bir sağlık sisteminin özellikleridir. Bir pandeminin veya benzer bir tehdidin bir toplum ve ekonomi üzerindeki daha geniş etkisi, insanların hükümetleri tarafından alınan önlemlere olan güvenine, sağlığı, refahı ve refahı teşvik eden değerler ve politikalardaki dengeye ve insanların istekliliğine bağlıdır (Etienne,2020: 2).

### 3.1. Dünyada Covid-19 Pandemisi ve Etkileri

Koronavirüs, ek sarmallı RNA genomuna sahip pozitif anlamlı zarflı virüslerdir (Şahin ve Demir, 2020: 65). COVID-19, dünyanın çeşitli bölgelerine hızla yayılan viral bir hastalıktır. Öksürük, boğaz ağrısı, ateş ve solunum güçlüğü gibi birçok belirtisi vardır. Bu virüsün havada ve birçok yüzeyde birkaç saat hayatta kalabileceğine inanılmakta ve bu nedenle hastalığın yayılmasını önlemek için azami önlemlerin alınması gerekmektedir (Singh ve Gupta, 2021: 2). 2019 yılının Aralık ayında Çin'in Wuhan kentinde ortaya çıkmıştır. Çin, Dünya Sağlık Örgütü'ne 31 Aralık 2019 tarihinde pnömoni vakalarının kümelenmesi üzerine bildirimde bulunmuştur. Sonrasında 4 Ocak 2020 tarihinde salgın üye ülkelere duyurulmuştur

(Buzgan ve Güner, 2020: 141). 11 Mart 2020 tarihinde de DSÖ, Covid-19 salgın hastalığını pandemi olarak ilan etmiştir.

Başlangıçta algı, COVID-19 pandemisinin yalnızca Çin'de lokalize olacağı yönündeydi. Daha sonra insanların hareketiyle tüm dünyaya yayıldı. İnsanlardan evde kalmaları istendiğinde ekonomik problemler şiddetlendi ve havacılık sektörünü etkileyen seyahat yasakları, spor sektörünü etkileyen spor etkinlikleri iptalleri, olayları etkileyen toplantıların yasaklanması ve ekonominin çeşitli sektörlerinde şiddeti hissedildi (Ozili, 2020: 5).

COVID-19 pandemisi bulaşıcılık ve ölümcüllük açısından yıkıcı oldu ve ekonomileri durma noktasına getirdi. Covid-19 pandemisi, dünya çapında benzeri görülmemiş politika tepkilerine, kilitlenmelere, sosyal mesafeler ve teşvik paketlerine yol açtı. Şubat 2020'de Çin'deki arz şoku, COVID-19 pandemisini izleyen ve küresel üretim ve tedarik zincirlerinin zaaflarının altını çizen kapatma politikaları nedeniyle küresel bir talep şokunu tetikledi. Benzer şekilde, COVID-19 pandemisinin ardından küresel olarak ticaret birbirine bağlılığında önemli bir azalmaya neden oldu ve açıkça küresel ticarete olumsuz bir etki gösterdi (Lyke,2021:2).

Tedarik zinciri, bir ürün veya hizmeti tasarlamak, üretmek ve bir pazara sunmak için birlikte çalışan, hammaddelerin çıkarılmasından bitmiş ürün veya hizmetlerin dağıtımına kadar uzanan bir organizasyon veya operasyon sistemini ifade eder. Otomobil, bilişim sektörlerinde çok önemli bir rol oynuyor ancak Covid-19 salgını nedeniyle tüm otomobil, imalat ve bilişim sektörlerinin kapatılması gerekti ve bu da küresel olarak tedarik zincirini etkiledi. Covid-19 salgınının tedarik zincirini nasıl etkilediğine ve dünya çapında üretim operasyonlarını nasıl aksattığına dair raporlar her geçen gün artıyor. Covid-19 pandemisi ABD, Avrupa ve Hindistan'daki binlerce şirketi hâlihazırda montaj ve üretim tesislerini kısmaya veya geçici olarak kapatmaya zorladı (Omkar, 2020: 21).

Covid-19 hızla yüzyılın dünya krizlerinden biri haline geldi. DSÖ Avrupa ülkelerindeki evler için bazı yönergeler hazırladı. Bu yönergelerde evlerde sağlıklı yaşama ve belirlenen standartları uygulama yer aldı. Ayrıca sağlıklı ev standartları oluşturulması ile ülkelerin kişilerin sağlığına ev yaşamlarında da önem verdiğinin bir göstergesi olarak görülmektedir (Zarrabi vd., 2021: 1). Ülkeler, salgına çeşitli düzeylerde yanıt verdiler. İnsanların hareketini kontrol etmek için seyahat kısıtlamaları, sokağa çıkma yasakları, evde kalma emirleri ve tesislerin kapatılması uyguladı. Hükümetler, hastalara uygun tedaviyi sağlamak için karantina merkezleri ve özel Covid-19 hastaneleri açtı.

Tablo 3. Seçilmiş Ülkelerde ve Dünyada Covid-19 Pandemisine İlişkin Veriler

| Sıra | Ülkeler/Dünya | Toplam Vaka Sayısı | Bir milyonda vaka | Aktif Vaka Sayısı | Toplam İyileşen Sayısı | Toplam Ölüm Sayısı | Bir milyonda ölüm | Toplam Test Sayısı |
|---|---|---|---|---|---|---|---|---|
| | **Dünya** | **160.855.450** | **20.636** | **17.893.277** | **139.622.980** | **3.339.193** | **428.4** | |
| 1 | ABD | 33.568.552 | 100.907 | 6.389.362 | 26.581.881 | 597.309 | 1.796 | 460.946.066 |
| 2 | Hindistan | 23.663.494 | 17.004 | 3.732.026 | 19.673.714 | 257.754 | 185 | 307.583.991 |
| 3 | Brezilya | 15.285.048 | 71.473 | 1.012.146 | 13.847.191 | 425.711 | 1.991 | 46.834.128 |
| 4 | Fransa | 5.821.668 | 89.019 | 754.268 | 4.960.281 | 107.119 | 1.638 | 79.684.856 |
| 5 | Türkiye | 5.072.462 | 59.594 | 227.350 | 4.801.291 | 43.821 | 515 | 50.058.648 |
| 6 | Rusya | 4.905.059 | 33.599 | 272.199 | 4.518.529 | 114.331 | 783 | 132.100.000 |
| 7 | Birleşik Krallık | 4.441.975 | 65.139 | 58.232 | 4.256.103 | 127.640 | 1.872 | 167.749.070 |
| 8 | İtalya | 4.131.078 | 68.412 | 352.422 | 3.655.112 | 123.544 | 2.046 | 61.820.196 |
| 9 | İspanya | 3.592.751 | 76.817 | 222.387 | 3.291.156 | 79.208 | 1.694 | 47.213.067 |
| 10 | Almanya | 3.551.550 | 42.273 | 245.329 | 3.220.300 | 85.921 | 1.023 | 56.836.969 |
| 11 | Arjantin | 3.191.097 | 70.055 | 268.422 | 2.854.364 | 68.311 | 1.500 | 11.983.959 |
| 12 | Kolombiya | 3.031.726 | 59.043 | 104.802 | 2.848.153 | 78.771 | 1.534 | 15.564.899 |
| 13 | Polonya | 2.842.339 | 75.172 | 189.141 | 2.582.519 | 70.679 | 1.869 | 14.960.240 |
| 14 | İran | 2.707.761 | 31.888 | 469.740 | 2.162.087 | 75.934 | 894 | 17.480.333 |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 15 | Meksika | 2.368.393 | 18.205 | 258.018 | 1.891.052 | 219.323 | 1.686 | 6.774.089 |
| 16 | Ukrayna | 2.129.073 | 48.936 | 284.950 | 1.797.136 | 46.987 | 1.080 | 9.682.286 |
| 17 | Peru | 1.858.239 | 55.694 | 72.883 | 1.720.665 | 64.691 | 1.939 | 11.761.084 |
| 18 | Endonezya | 1.728.204 | 6.262 | 95.709 | 1.584.878 | 47.617 | 173 | 15.410.887 |
| 19 | Çekya | 1.648.667 | 153.707 | 32.480 | 1.586.400 | 29.787 | 2.777 | 20.529.829 |
| 96 | Çin | 90.799 | 63 | 302 | 85.861 | 4.636 | 3 | 160.000.000 |

Kaynak: Worldometers, 2021.

Tablo 3'te 12 Mayıs 2021 tarihinde seçilmiş ülkelerdeki Covid-19 pandemisine ilişkin son veriler yer almaktadır. Tablodan da anlaşılacağı gibi ABD'de toplam vaka sayısı yaklaşık 34 milyondur. Toplam ölüm sayısı 597.309 iken toplam iyileşen sayısı 26.581.881'dir. En yüksek vaka sayısına sahip olan ABD'yi bir milyondaki vaka sayısında Çekya'nın geçtiği görülmektedir. Çekya'da bir milyondaki 2.777 sayısı ile en yüksek ölü sayısına sahip olduğu görülmektedir. Aşı çalışmaları ile öne çıkan Almaya, Rusya ve Çin gibi ülkelerin verilerine bakıldığında, Rusya'da toplam vaka sayısının yaklaşık 5 milyon, 114.331 ölü sayısı, toplam iyileşen sayısı 4.518.529'dur. Almanya'da toplam vaka 3.551.550'dir. 85.921 ölü sayısının varken iyileşen sayısı 3.220.300'dür. Salgının ortaya çıktığı Çin'de ise toplam vaka sayısı 91 bin olarak, toplam ölüm sayısı 4.636 iken toplam iyileşen sayısı 85.861'dir. Çin'in yapmış olduğu kısıtlamalar, aldığı önlemler ve kontrollü aşılama sistemi ile pandemi sürecini iyi bir şekilde yürüttüğü söylenebilir.

Çin, koronavirüs salgınının merkez üssü olan Wuhan kentindeki tüm hastaneleri geçici olarak kapattı. İran hastaneleri koronavirüs salgınıyla başa çıkmak için mücadele etti. İspanya'da İspanyol hükümeti, virüs çok hızlı yayılırken tüm özel hastaneleri ve sağlık hizmeti sağlayıcılarını kamulaştırdı. Singapur, artan COVID-19 hasta sayısı ile başa çıkmak için yeterli sağlık tesislerine ve doktora sahipti ve özel hastaneler yabancı COVID-19 hastalarını kabul ediyordu. Daha sonra Singapur'daki Sağlık Bakanlığı (MOH), kamu ve özel hastanelerdeki ve özel uzman kliniklerdeki tüm doktorlara Singapur'da yaşamayan yeni yabancı hastaları kabul etmeyi durdurmalarını tavsiye etti (Ozili, 2020: 12).

Salgından sağlık sigortacıları da etkilendi. ABD'deki birçok sağlık sigortacısı, hastanelere yapılan sigorta ödemeleri ile baş edemedi ve sigortacılar, sağlık sektörünün ekonomik görünümü olumsuz olduğundan planlanan federal yardım teşvik paketine dahil edilmek istedi. Standard & Poor's (S&P) 500 Yönetilen Sağlık Hizmetleri endeksi, yatırımcıların sağlık sektörünün ciddi şekilde zarar göreceğini düşündüklerini gösterdi. Moody's derecelendirme kuruluşu, COVID-19 pandemisinin yayılması nedeniyle kar amacı gütmeyen kuruluş ve kamu sağlık hizmetleri sektörünün görünümünü durağandan olumsuza indirdi. COVID-19 pandemisi kontrol altına alınabilse bile, kar amacı gütmeyen sağlık şirketlerinin zaten artan harcamalar ve yaygın belirsizlikle karşı karşıya olduğunu belirtti (Ozili, 2020: 12).

Tablo 4. COVID-19 Pandemisi Süresinde Hükümetlerce Uygulamaya Koyulan Politikalar

| Politika Türü | Alınan Tedbirler | Uygulayan Ülkeler |
|---|---|---|
| Para Politikası | Bankalara zorla düzenleyici işlem yaptırılması, Covid-19'dan etkilenen borçlulara anapara-faiz moratoryumu verilmesi | İrlanda, Çin, Nijerya, İtalya |
| | Merkez bankalarının finansal piyasalara likidite sağlaması | ABD, Çin |
| | Merkez bankalarının hızla değer kazanan tahvil ve menkul kıymetleri satın alması | Avustralya, AB, Kanada |
| | Merkez bankaları tarafından faiz oranlarının düşürülmesi | Türkiye, ABD, Yeni Zelanda, Japonya, İngiltere, Nijerya, Güney Kore, Kanada |
| | Bankalara, KOBİ'lere, halk sağlığı sektörüne, bireylere ve önemli işletmelere sürekli kredi akışı | İngiltere, ABD, Avustralya, Nijerya |
| Maliye Politikası | Covid-19 salgından en fazla etkilenen sektörler ve endüstriler için büyük bir federal teşvik paketini onaylayan hükümetler | Türkiye, İngiltere, ABD, Avustralya, Nijerya, |
| | Her hanehalkını desteklemek için sosyal yardım ödemeleri | Türkiye, Avustralya, ABD |
| | Bireyler için gelir desteği sağlanması | Türkiye, Avustralya, ABD, İngiltere, Hindistan |

Kaynak: Acar, 2020: 291.

Tablo 4'te Covid-19 pandemisi sürecinde bazı hükümetlerin uyguladığı para ve maliye politikaları görülmektedir. Bu ülkeler uyguladıkları bu politikalar ile ekonomik açıdan hem sektörel hem de bireysel rahatlamayı hedef almışlardır. Türkiye'de faiz oranlarının düşürülmesi ve sosyal yardım paketleriyle Covid-19 pandemisi dönemini sorunsuz bir şekilde atlatmayı hedeflemiştir.

COVID-19 pandemisi, ülkeleri ihtiyaç temelli düzeyde iş birliği konusunu ele almaya zorladı. Aşı çalışmalarında bir araya gelmesi mümkün olmayan hükümetlerin bir araya gelmesinin mümkün olması gibi (Aybet, 2020: 315). Pek çok ülke salgını durdurmak için olağanüstü önlemler alırken, bazıları pek çok önlemi yanlış uyguladıkları için ağır şekilde eleştirildi. Bazı hükümetler, zorunlu olmayan çalışanları görevden alarak ve küçük işletme sahiplerine tazminat ödeyerek işçilerin gelirlerini desteklerken, diğerleri, Covid-19 pandemisi karşısında ekonomide paylaşımı başarılı bir şekilde yapamamıştır (Hossain, 2021: 2).

Son araştırmalar Covid-19 pandemisinin tüketim, hizmetler, finans ve yatırımlar ile kısmen sektörlere ilişkin ilk etkilerini değerlendirmeye odaklanmıştır. Kısıtlama yaptırımları ve gönüllü sosyal uzaklaşma nedeniyle hizmet sektörü (seyahat, turizm, yiyecek-içecek ve eğlence gibi) ciddi şekilde etkilendi. Salgının ilk ortaya çıktığı Çin, lüks seyahat acenteleri tarafından beklenen turizm geliri %75 olarak tahmin edildi ve bu, 2019 verilerine bakıldığında 2020'de yaklaşık 95 milyar dolar anlamına gelecektir. Uluslararası Hava Taşımacılığı Birliği (IATA) tarafından yapılan tahmine göre, havacılık endüstrisinin 2020 için beklenen yolcu geliri kaybı 113 milyar ABD dolarıdır ve bu, öngörülen toplam gelirin %20'si civarındadır (Ceylan vd., 2020: 819).

Birçok hükümet, gençleri kendilerini ve genel nüfusu koruma çabalarını benimsemeye çağırdı. Gençler aynı zamanda en savunmasız olanlara yardım edebilecek ve toplumları arasında halk sağlığı ve sosyal farkındalık kampanyalarının artırılmasına yardımcı olacak bir konumdadır. Bu nedenle, gençler virüsün yayılmasını ve halk sağlığı, toplum ve genel olarak ekonomi üzerindeki etkisini sınırlamak için kritik öneme sahiptir. (Verma ve Prakash, 2020: 7358).

Covid-19 salgınının pandemi olarak ilan edilmesi ile bazı ülkeler hem kendi ülkelerini korumak hem de salgının yayılmasını önlemek amacıyla kapılarını diğer ülkelere belirli süreyle kapatma kararı almıştır. Salgın sonuçlarının ağırlaşması, ağır hasta ve ölü sayılarında artışın korkutan seviyelere ulaşması, kısmen ya da tamamen kapanmaların yaşanmasına sebep olmuştur. Yaşamın sürdürülebilirliği için ülkelerin çeşitli desteklerle vatandaşlarını, kurum ve kuruluşları desteklediği görülmüştür. Yoğun bakımlarda yatan hastalar için ihtiyaç duyulan ventilatör cihazlarının üretimine ağırlık verilmiştir. Sağlık sektöründe aşı ve ilaç çalışmalarına ağırlık verilmiştir. Genel olarak Çin, Almanya ve Rusya'nın geliştirdiği aşıların onay almasıyla bazı ülkelerde uygulanmaya başlanmıştır.

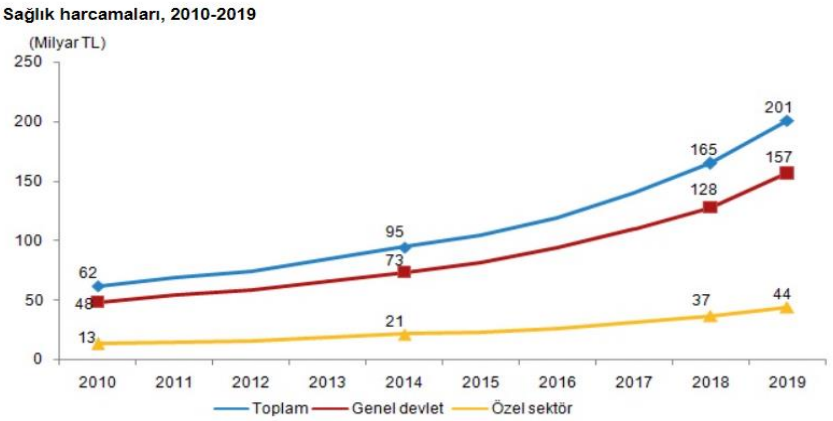
### 3.2. Türkiye'de Covid-19 Pandemisi ve Sağlık Hizmetlerinin Sunumu

Türkiye'de sağlık alanında yapılan reform çalışmaları ve düzenlemeler uzun bir geçmişe sahiptir. Sağlıkta dönüşüm ve reform çalışmaları 2000'li yıllarda hız kazanmıştır. Sağlık hizmetleri sunumunda kişilerin beklenti ve taleplerinin artması, kamusal kaynakların sınırlı olması ve maliyetlerin artması sağlık hizmetleri sunumunda reforma gidilmesine sebep olmuş ve Sağlıkta Dönüşüm Programı (SDP) ilan edilmiştir (Memişoğlu ve Kalkan, 2016: 655). SDP, 2003-2011 birinci stratejik plan ile uygulanmaya başlanmıştır. Sağlık hizmetlerinin verimli ve etkili, hakkaniyete uygun bir şekilde organize edilmesi, finansmanın sağlanması ve sunulması amaçlanmıştır. Sağlık Bakanlığı'nın planlama ve denetlemeden sorumlu bir kurum olması, Türkiye'deki tüm vatandaşları Sosyal Güvenlik Kurumu (SGK) çatısı altında birleştiren Genel Sağlık Sigortasının hayata geçirilmesi, sağlık hizmetleri sunumunun genişletilmesi ve kalite-akreditasyon sistemlerinin düzenlenmesi, sağlık çalışanlarının gerekli eğitimleri almasının sağlanması ve motive edilmesi, sağlık bilgi sistemlerinin kurulması ve tıbbi cihaz ve malzeme yönetiminin uygulanması SDP'nin hedefleri arasında yer almaktadır (Madenoğlu Kıvanç, 2015: 4).

Türkiye'de sağlık harcamaları merkezi yönetim bütçe giderleri içinde yer almaktadır. Sağlık harcamaları; genel tedavi ve sağlık malzemeleri giderlerinden, genel ilaç ve sağlık malzemeleri giderlerinden oluşmaktadır (Akar, 2014: 316). Sağlık harcamalarının Gayri Safi Yurtiçi Hasıla (GSYİH) içerisindeki payı, nüfus artış hızı, kişi başına sağlık harcamaları, doğum oranı, ölüm oranı, bebek ölüm hızı, toplam

doğurganlık oranı gibi değişkenler sağlık göstergesi olarak kullanılmaktadır. Birçok çalışmada sağlık göstergesi olarak en çok kullanılan "*doğuşta yaşam beklenti süresi*" dir (Yardımcıoğlu, 2012: 33). Gelişmiş ülkelerde ekonomik kalkınma sağlandığı için sağlık harcamalarının düzeyi diğer ülkelere göre daha fazla olduğu söylenebilir (Akar, 2014: 321). Türkiye'de 2019 yılı toplam sağlık harcaması bir önceki yıla göre %21,7 artarak 201 milyar 31 milyon TL'ye yükselmiştir. Genel devlet sağlık harcaması %22,5 artarak 156 milyar 819 milyon TL'ye ulaşmış, özel sektör sağlık harcaması ise %18,8'lik bir artış oranı ile 44 milyar 212 milyon TL olarak tahmin edilmiştir (TÜİK, 2020). Sağlık harcamalarına gereken önemin verilmesi, sağlık hizmetlerinde ihtiyaçların önemsenmesi ve sağlık kurumlarının ve personelinin sayısının istenen sayıya ulaştırılmasında gerekli çalışmaların yapıldığı söylenebilir.

Şekil 2. 2010-2019 Yılları Arasında Sağlık Harcamalarının Genel Devlet ve Özel Sektöre Göre Dağılımı

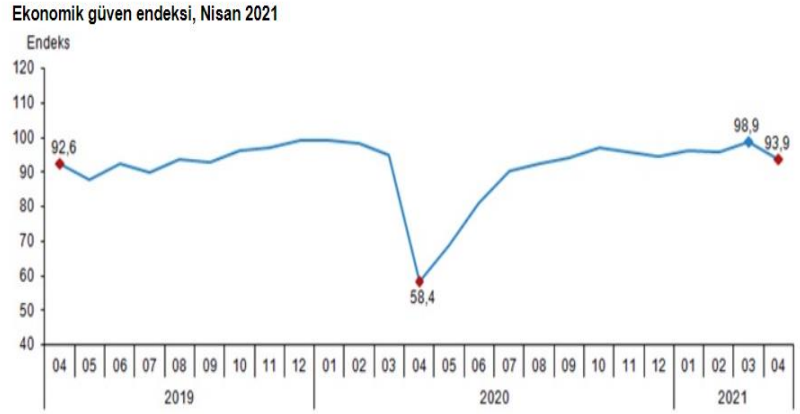



Kaynak: TÜİK, 2020.

Şekil 2'de 2010 yılından itibaren sağlık harcamalarına yapılan yatırımın dörder yıllık periyodlarda devlet ve özel sektörde artış gösterdiği, genel devlet sağlık harcamasının toplam sağlık harcamasına oranı 2019 yılında %78,0, özel sektör sağlık harcamasının ise %22,0 olarak gerçekleştiği görülmektedir.Genel devlet ve özel sektörün alt bileşenlerine bakıldığında, 2019 yılında Sosyal Güvenlik Kurumu %51,7, merkezi devlet %25,6, hanehalkları %16,7, sigorta şirketleri %2,9, hanehalklarına hizmet eden kar amacı gütmeyen kuruluşlar ile diğer işletmeler %2,4, mahalli idareler %0,7'lik bir paya sahip olduğu belirtilmiştir (TÜİK, 2021).

Şekil 3'te Nisan 2019, 2020 ve Nisan 2021 yıllarına ait ekonomik güven endeksi değişim oranları yer almaktadır.

Şekil 3. Ekonomik Güven Endeksi Değişim Oranları




Kaynak: TÜİK, 2021.

Şekil 3'te ekonomik güven endeksi Mart ayında 98,9 iken, Nisan ayında %5,1 oranında azalarak 93,9 değerine düşmüştür. Ekonomik güven endeksindeki düşüş, tüketici, reel kesim (imalat sanayi), hizmet,

perakende ticaret ve inşaat sektörü güven endekslerindeki düşüşlerden kaynaklandığı söylenebilir (TÜİK, 2021).

Tablo 5'te Türkiye'de 11 Mart 2020'de ilk vakanın ortaya çıkmasından ititaren aylık vaka sayısının değişimi, toplam ölüm sayısı, toplam iyileşen hasta sayısı ve toplam yapılan test sayıları yer almaktadır.

Tablo 5. Türkiye'deki Covid-19 Pandemisine İlişkin Veriler

| Tarih | Toplam Test Sayısı | Artış | Toplam Vaka Sayısı | Artış | | Toplam Ölüm Sayısı | Artış | | Toplam İyileşen Hasta Sayısı | Artış | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Sayı | % | | Sayı | % | | Sayı | % |
| 11.03.2020 | | | 1 | | | | | | | | |
| 31.03.2020 | 92.403 | | 13.531 | 13.530 | | 214 | | | 243 | | |
| 30.04.2020 | 1.033.617 | 941.214 | 120.204 | 106.673 | 788 | 3.174 | 2.960 | | 48.886 | 48.643 | |
| 31.05.2020 | 2.039.194 | 1.005.577 | 163.942 | 43.738 | 36 | 4.540 | 1.366 | 43 | 127.973 | 79.087 | 162 |
| 30.06.2020 | 3.381.650 | 1.342.456 | 199.906 | 35.964 | 22 | 5.131 | 591 | 13 | 173.111 | 45.138 | 38 |
| 31.07.2020 | 4.800.823 | 1.419.173 | 230.873 | 30.967 | 15 | 5.691 | 560 | 11 | 214.535 | 41.424 | 24 |
| 31.08.2020 | 7.138.492 | 2.337.669 | 270.133 | 39.260 | 17 | 6.370 | 679 | 12 | 244.926 | 30.391 | 23 |
| 30.09.2020 | 10.380.261 | 3.241.769 | 318.663 | 48.530 | 18 | 8.195 | 1.825 | 29 | 279.749 | 34.823 | 14 |
| 31.10.2020 | 14.001.814 | 3.621.553 | 375.367 | 56.704 | 18 | 10.252 | 2.057 | 25 | 323.971 | 44.222 | 17 |
| 30.11.2020 | 18.592.292 | 4.590.478 | 500.865 | 125.498 | 33 | 13.746 | 3.494 | 34 | 404.727 | 80.756 | 25 |
| 31.12.2020 | 24.504.567 | 5.912.275 | 2.208.652 | 1.707.787 | 341 | 20.881 | 7.135 | 52 | 2.100.650 | 1.695.923 | 12 |
| 31.01.2021 | 29.631.422 | 5.126.855 | 2.477.463 | 268.811 | 12 | 25.993 | 5.112 | 24 | 2.362.415 | 261.765 | 12 |
| 28.02.2021 | 33.175.016 | 3.543.594 | 2.701.588 | 224.125 | 9 | 28.569 | 2.576 | 10 | 2.572.234 | 209.819 | 2 |
| 31.03.2021 | 38.578.057 | 5.403.041 | 3.317.182 | 615.594 | 23 | 31.537 | 2.968 | 10 | 3.014.226 | 441.992 | 17 |
| 30.04.2021 | 47.261.999 | 8.683.942 | 4.820.591 | 1.503.409 | 45 | 40.131 | 8.594 | 27 | 4.323.897 | 1.309.671 | 2 |
| **12.05.2021** | **50.058.648** | 2.796.649 | **5.072.462** | 251.871 | 5 | **43.821** | 3.690 | 9 | **4.801.291** | **477.394** | 11 |

Kaynak: Sağlık Bakanlığı, 2021 tarafından sunulan verilerden derlenmiştir.

Tablo 5'te yer alan verilere göre en fazla test, en fazla vaka ve ölüm olayı Nisan 2021'de gerçekleşmiştir. Toplam vaka sayısı ve iyileşen hasta sayısında en fazla artış Aralık 2020 döneminde olmuştur. Bir önceki döneme göre toplam vaka sayısındaki artış hızının en düşük olduğu dönem Şubat 2021'dir. Bir önceki döneme göre toplam ölüm olayı artış hızının en falza olduğu Aralık 2020 dönemidir. 12 Mayıs 2021 tarihi itibariyle toplam vaka sayısı 5.072.462, toplam vefat eden 43,821 ve iyileşen sayısının 4.801.291 olduğu görülmektedir. Covid-19 pandemisinde vaka sayılarının en üst sayılara ulaşmasıyla ülkede kapanma tedbirleri alınmış ve bu tedbirler günlük vaka sayılarına olumlu yönde yansımıştır. Yapılan test sayılarının artması, öncelikle sağlık personelinin ve yaşlıların aşılanması ve uygulanan tedavilerde iyileşen hasta sayısının vefat eden sayısına oranla daha fazla olması salgını yönetmedeki başarıyı ortaya koymaktadır.

Tablo 6'da Covid-19 pandemisi ile yaşanan küresel krizde Türkiye'nin ekonomik açıdan nasıl etkileneceği ile ilgili öngörülerde bulunulmuştur.

Tablo 6. Covid-19 Pandemisi Nedeni ile Oluşan Küresel Krizin Türkiye Ekonomisine Etkileri

| Gösterge | Nasıl Etkileneceği | Açıklama |
|---|---|---|
| İhracat | Düşer | İhracat yapılan ülkelerde ekonomik daralma ortaya çıkacağından ithalat düşüşleri yaşanacak ve bu Türkiye'nin ihracatını olumsuz etkileyecek. |
| İthalat | Karışık | İthalat, korona virüs etkisi sonucu düşecek. Bu bir yandan cari açığımızın |

| | | |
|---|---|---|
| | | denetlenmesine ve dolayısıyla dış finansman ihtiyacımızın düşmesine bir yandan da üretimin düşmesine ve dolayısıyla büyümenin gerilemesine yol açacak. |
| Turizm | Karışık, Olumsuz Etki Daha Ağırlıklı | Korona virüs nedeniyle turistler gezilerini erteleyecekleri için bu gelişme Türkiye'yi iki yönlü etkileyecek. Türkler yurt dışına eskisi kadar gitmeyecek, yabancılar da Türkiye'ye ve diğer yerlere eskisi kadar gitmeyecek. Toplamda Türkiye'ye etkisi olumsuz olacak. |
| Üretim | Düşer | Üretimimizde girdi olarak kullandığımız ithal mallar oldukça ağırlıklı. Bunların çoğu Çin kökenlidir. Bunların ithalatında oluşacak sıkıntılar üretimimizi olumsuz etkileyecek. |
| Risk Primi | Yükselir | Ekonomisi kırılgan olan Türkiye'nin bu aşamada riskleri artacak ve dolayısıyla CDS primi yüksek kalacak. |
| TL'nin Değeri | Düşer | Risklerin yükselmeye devam ettiği böyle bir ortamda TL'nin dış değerinin düşmesi beklenir. |
| Altın | Yükselir | Risklerin yükselmeye devam ettiği böyle bir ortamda altının değerinin yükselmesi beklenir. Altın ithalatçısı olan Türkiye'de ithalat miktarı değişmese bile ödenecek bedel yükselir. |
| Enflasyonu Cari Denge | Yükselir | TL'nin dış değerinin düşmesi enflasyonu da yükseltir. İhracatın ve ithalatın birlikte düşeceği bir ortamda hangisinin etkili olacağını önceden kestirmek kolay değil. |
| Bütçe Açığı" | Yükselir | Büyümenin düşeceği bir ortamda hükümet ekonomiyi canlı tutabilmek için harcamaları artırıp, vergileri düşürecektir. Bu da bütçe açığını büyütür. |

Kaynak: Arabacı ve Yücel, 2020: 93; Eğilmez,2020.

Tablo 6'da pandemi sürecinde birçok ülkede olduğu gibi Türkiye'de de bazı sektörler olumsuz etkilenmiş, üretim düşmüştür. Küresel bir salgın olmasından dolayı ithalat ve ihracatta karşılıklı düşüşler ve karmaşık durumlar ortaya çıkmıştır. Örneğin, üretilen ve teslimatı yapılması gereken araçların gemilerde bekletilmesi ile ürünün tüketici ile buluşamaması ve bu durumun fiyatlara yansıması. Diğer yandan üretimde pandeminin yayılmasını önlemek amacıyla kullanılan maske, dezenfektan ve eldiven gibi ürünlerin üretimine ağırlık verilmiş ve sağlık hizmetlerindeki talep karşılanmaya çalışılmıştır.

Covid-19 pandemisi sürecinde yapılan bu kısıtlamalar turist sayısında azalmaya sebep olmuştur. Yaşanan bu düşüş ile turizm gelirlerinde düşüşe neden olmuştur (Eğilmez, 2021). Bununla birlikte sağlık turizmi kapsamında birçok ülkeye aşı olabilmek için seyahat eden turistlerin olduğu ve reklamlar ile ülkelere turların görülmüştür. Bazı ülkeler bu şekilde aşılanmanın önüne geçmek için kısıtlamalar yapmış ve bu tür seyahatlerin önünü kapatmıştır.

Covid-19 pandemisi sürecinin devam etmesi, yatan hasta sayısında olası artış yaşanması durumlarına karşı İstanbul'un her iki yakasında 1008'er yataklı acil durum hastanesinin temelinin atılmıştır. Şehir hastanelerindeki tek kişilik 100.000 yatak kapasitesinin yoğun bakım yatağına dönüştürülebilir hale getirilmiş sanayi işbirliği ile solunum destek cihazı üretilmeye başlanmış ve yeterli sağlık çalışanı istihdam edilmiştir (Aydın, 2020: 104). Türkiye, sağlık çalışanlarının ve vatandaşların kişisel koruyucu malzemelerini eksiksiz temin edebilmenin yanında tedavide kullanılacak tüm ajanları, oluşturduğu ciddi ekonomik yüke rağmen vatandaşına ücretsiz temin etmiştir. Sosyal devlet olmanın getirdiği bu avantajlar tedavideki başarı oranlarını önemli oranda artırmıştır. Kısacası dünyada sağlık hizmetleri sunulurken sorunlar yaşanmasına rağmen hiçbir konuda eksiklik çekilmemiştir (Türkiye Cumhuriyeti Sağlık Bakanlığı, 2020). Türkiye'de şehir hastanelerinin sayısının arttırılması, yeni sağlık çalışanı atamalarının yapılması ve destekler ile aşı ve ilaç çalışmalarının desteklenmesi gibi faaliyetler başarılı bir şekilde yürütülmektedir.

## 4. SONUÇ

Düzenli faaliyet gösteren sağlık sektörü olmadan sağlıklı bir ekonomi olması mümkün değildir. Sağlıklı bir ekonomi ve sağlık hizmetlerinin istenilen düzeyde olması için sağlık kurum ve kuruluşlarının istenilen kriterlere sahip olup olmadığına dikkat edilmelidir. Halk sağlığı ve sağlıkla ilgili araştırma ve geliştirme faaliyetleri küresel işbirliği yatırımları ile desteklenmeli ve teşvik edici nitelikte olmalıdır. Covid-19 pandemisini kontrol altına almak için küresel işbirliği yapmak daha iyi sonuçlara daha hızlı ulaşmamızı sağlayabilir. Karşılıklı güveni artırmak, bilgi ve deneyimi paylaşmak, tıbbi malzeme ve ekipmanların tedarikini ve teslimatını sağlamak için bölgesel ve küresel düzeyde acil ve uyumlu eylemler gerçekleştirilmelidir.

Covid-19 pandemisinde ekonomide hem arz hem de talep etkileri vardır. Salgının başlangıcında stokların olmasından dolayı taleplerin karşılanmasında herhangi bir sorun yaşanmamıştır. Talepte yaşanan dinamikler ve tüketicilerin değişen satın alma davranışları ve tüketim ihtiyaçları ile taleplerin karşılanmasında güçlülüklerin yaşanmasına neden olmaya başlamıştır.

Türkiye'nin diğer gelişmiş ve gelişmekte olan birçok ülkede olduğu gibi bu süreci şuana kadar başarılı bir şekilde yürüttüğü söylenebilir. Covid-19 pandemisi, bu dönemde insanları kapalı mekanda tutarken, doktorların, hemşirelerin, sağlık görevlilerinin, polislerin ve temizlik görevlilerinin iş yükünü arttırmıştır. Sağlık personelinin hizmetleri insanların hayatını kurtarmak için belirtilen iş tanımı ve şartnamelerin ötesine geçmiştir. Sağlık personelleri hastanelerin içinde ve ailelerinden ayrı kalmıştır. Büyük özveride bulunan sağlık personelinin istek ve ihtiyaçları karşılanmaya çalışılmış ve gerekli sağlık personeli atamaları aralıklarla yapılmıştır.

Türkiye, Covid-19 pandemisi karşısında proaktif önlemler almaya hazırlıklı olmalıdır. Sağlıkla ilgili bütçenin bir kısmını ölüm oranlarını ve vaka sayılarını bir kısmını da pandemi sonrası ekonomik sarsıntı derecesini azaltmak için kullanmalıdır.

Bu çalışma için farklı kaynaklar incelenmiş ve birçoğunda aynı konu ve önerilerin yer aldığı görülmüştür. Covid-19 pandemisi özelinde pandemilerin sağlık ekonomisi alanındaki etkilerinin anlaşılabilmesi bakımından üzerinde durulması önerilen temel konular;

- Covid-19 pandemisinin kaynağı ile ilgili kaygı unsurlarının ortadan kaldırılması,
- Bazı endüstri dallarının bu krizde nasıl hayatta kalacağı ve gelişebileceği konusunda destek programlarının oluşturulması,
- Sosyal yardımların ihtiyaç sahiplerine istenilen yer, zaman ve şekilde ulaştırılması,
- Sağlık hizmeti sağlayıcılarının istek ve ihtiyaçlarının belirlenmesi ve giderilmesi,
- Gerekli sayıda sağlık personelinin istihdam edilmesi,
- Sağlık hizmeti arz edenlerle talep edenler arasında koordinasyonun sağlanması ve hizmetin gerçekleştirilmesi,
- Covid-19 kapsamında ar-ge, inovasyon ve aşı ve ilaç geliştirme çalışmalarına destek verilmesi ve gerekli mali desteğin sağlaması,
- Sağlık turizmi kapsamında konaklama rezervasyonlarının iptali veya ertelenmesinin önüne geçilmesidir.

Yaşanan salgın hastalıkların sonucunda, salgının öncesi ve sonrasında ekonomik ve sosyal kalkınma sorunu olarak sağlık hizmetlerine ulaşımı kolaylaştırmak, sağlık sistemini evrenselleştirerek yükseltmek, entegre politika geliştirmek ve planlamaya öncelik vermek, sağlıkta dijital dönüşümün sağlamak, insan sağlığını güven altına alacak sağlık hizmetlerini sağlamak ve ilaçlara, aşılara ve diğer sağlık teknolojilerine eşit erişim sağlamak için bilim, teknoloji ve yeniliğe yatırım yapmak gerekmektedir.

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# Türkiye'de Mısır Üretiminde Kendine Yeterliliğin Değerlendirilmesi

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**Özet:** Enerjiden hayvan beslenmesine kadar geniş bir kullanım alanına sahip olan mısır, Türkiye'de tahıllar içerisinde buğday ile arpadan sonra en fazla üretim payına sahip olan üçüncü üründür. Bu çalışmanın amacı, stratejik bir ürün olan mısırın dünya ve Türkiye perspektifinden güncel durumunu incelemek ve Türkiye'nin mısır üretiminde kendine yeterlilik düzeyini değerlendirmektir. Bu çalışmada makro verilerin değerlendirilmesinde 2009/2010 pazarlama yılı başlangıç olarak belirlenmiş ve sonraki on yıllık dönem ele alınmıştır. Türkiye'nin mısır üretiminde kendine yeterlilik seviyesi, 2015 yılından itibaren düşüş eğilimi göstermekte, son yıllarda %70 düzeyinde seyretmektedir. Bu durum ithalatı zorunlu kılmaktadır. Dekara verim seviyesi, dünya ortalamasının üzerinde olmasına rağmen kendine yeterliliğin sağlanamadığı mısır için teknik ve ekonomik destekleyici önlemlerin alınması gerekmektedir. Girdi maliyetlerinin azaltılması, sulama problemlerinin çözülmesi, üreticiyi kaliteli ürün ve üretimin devamlılığına yönlendirecek destekleme modellerinin geliştirilmesi kendine yeterlilik seviyesini yükseltebilecek bazı tedbirlerdir. Ayrıca yerli çeşitlerin ıslah edilmesi ve yeterli miktarda üretilmesinin sağlanması, tohumda Ar-Ge çalışmalarına önem verilmesi de dışa bağımlılığın azaltılması için önemli görülmektedir.

**Anahtar Kelimeler:** Kendine Yeterlilik, Tahıl, Mısır, Türkiye

# Evaluation of Self-Sufficiency in Corn Production in Turkey

**Abstract**: Corn, which having a wide range of applications such as animal nutrition and energy production the third cereal products with the highest production share in grains after wheat and barley in Turkey. The aim of this study is to examine the current production and trade status of the corn is a strategic product in the world and in Turkey, and also to evaluate the self-sufficiency in corn production in Turkey. In this study, in the evaluation of macro data, the marketing year 2009/2010 was determined as the beginning and the next ten-year period was considered. Turkey's level of self-sufficiency in corn production shows a downward trend since 2015, has remained at the 70% level in recent years. This situation makes corn import mandatory. Although the productivity is above the world average, supporting measures should be taken with technical and economic tools for corn, where self-sufficiency cannot be achieved. Reducing input costs, solving irrigation problems, developing support models that will direct the producer to the continuity of quality products and production are some measures that can increase the level of self-sufficiency. In addition, it is important to improve domestic varieties and to ensure that they are produced in sufficient quantity, and to give importance to R&D studies in seeds, in order to reduce foreign dependency.
**Keywords:** Self-Sufficiency, Grain, Corn, Turkey

## 1. GİRİŞ

Dünya genelinde temel tarım ürünleri arasında yer alan mısır, hayvan yeminden, işlenmiş gıdalardaki mısır şurubuna, enerji kaynaklarından temel gıdalarda kullanımına kadar çok geniş yelpazede kullanılmaktadır (BÜGEM, 2019). Mısır bitkisi halen Dünya nüfusunu doyuran altı tahıldan bir tanesidir. Bu nedenin yanı sıra, çok yönlü kullanım alanı, adaptasyon kabiliyeti ve verimliliği ile Dünya'da en fazla üretilen tahılları arasındadır (Cengiz, 2016: 304). Mısırın anavatanı Amerika kıtası olup buradan Dünya'nın her yerine yayıldığı bilinmektedir. Mısırın Türkiye'ye girişi, Kuzey Afrika üzerinden olmuştur. Bu bitkiye, mısır adının verilmiş olması, bu bitkinin Mısır ve Suriye üzerinden girdiğinin bir göstergesi olarak kabul edilmektedir (Babaoğlu, 2005: 2). Hububat, bakliyat ve yağlı tohumlarda dünyadaki gelişmeler ışığında Türkiye'nin dövizdeki artışa bağlı olarak yaşadığı ekonomik kriz dikkate alındığında ülkeyi bu zorlu süreçten çıkaracak olan ana sektörlerden birisi tarım olacağı düşünülmektedir. En liberal ülkeler bile tarımda korumacılık politikası uygulamaktadır. Yerli üretimin artırılması için çaba gösterilirken, başka ülkelerin ürünlerine karşı engeller çıkarılması ise olağan hale gelmektedir. Ülkeler

arasında yaptırımlar, ticaret savaşları tarım ve gıda ürünleri üzerinden yapılmaktadır. Yaşanan birçok siyasi sorunda bile, ülkeler birbirlerine karşı tarım veya gıda yaptırımı uygulamaktadır. Bu nedenle yoğun ticaret savaşları yaşanmaktadır. Böyle bir ortamda, tarım ve gıdada "kendine yeterlilik" konusunun önemini ciddi bir şekilde hatırlatmaktadır (Yıldırım, 2018). Tarım ve Orman Bakanlığı'na göre, dünya genelinde önümüzdeki yıllarda kanatlı et ve yumurta tüketiminin artması ve buna bağlı olarak da mısır ihtiyacının artması beklenmektedir. Türkiye'deki nüfus artış hızı, hayvan sayısındaki artış ve artan gereksinimlere karşın mısır üretiminin son yıllarda 6 Milyon ton düzeylerinde sabit kalması ise kendine yeterlilik ile ilgili bir sorun olduğunu göstermektedir (ZMO, 2020). Bu çalışmanın temel amacı, Türkiye'nin mısır üretiminde kendine yeterlilik düzeyini ortaya koymak ve değerlendirmektir. Çalışmanın ana konusu olan Kendine Yeterlilik; bir bölgenin kullanılabilir üretiminin (iç üretim) o bölgenin talebini ya da yurt içi kullanımını (insan, hayvan ve endüstrinin bütün ihtiyaçlarını) ne ölçüde karşıladığını göstermektedir (TUİK, 2020). Kendi kendine yeterlilik düzeyi = (üretim x 100 / (üretim + ithalat - ihracat) şeklinde hesaplanmaktadır (FAO, 2011; Akouegnonhou ve Demirbaş, 2019: 205). Değerin, 100'den küçük olması, üretimin yurt içi talebi tam olarak karşılayamadığını göstermektedir. 100'den büyük olan bir değer, iç ihtiyaçları geçen, ihraç edilebilir ve/veya stoklanabilir miktarı ortaya koymaktadır (TUİK, 2020). Çalışmada, makro verilerin değerlendirilmesinde 2009/2010 yılı başlangıç olarak alınmış ve 10 yıllık veriler incelenmiştir. Bazı tablo ve grafiklerde ise 2020/2021 pazarlama yılı bilgilerine ulaşılabildiği için başlangıç yılı 2011/2012 olarak alınmıştır.

## 2. DÜNYADA MISIR ÜRETİM, KULLANIM ve DIŞ TİCARETİ

### 2.1. Dünyada Mısır Üretimi ve Verimi

Dünyada tarımsal üretim yapısı içerisinde, tahıllar oldukça önemli yere sahiptir. Tahıl grubu içinde yer alan mısır ise, diğer tahıllara göre oldukça geniş bir kullanım alanı olması nedeni ile farklı bir konuma sahiptir. İçerdiği zengin besin maddeleri ile mısır hem insan hem de hayvan beslenmesinde kullanılabilmektedir. Hayvan beslenmesinde yem hammaddesi olarak kullanılan mısır insan beslenmesinde ise, doğrudan kullanımının yanı sıra birçok gıda maddesinin üretiminde hammadde olarak kullanılmaktadır. Diğer yandan imalat sanayinin başka dallarında da doğrudan ya da türevleri kullanılabilmektedir. Bu kullanım çeşitliliğinin yanı sıra artan nüfus, işlenmiş ürünlere olan talep artışı, sağlıklı yaşam trendi, hayvansal üretimin artışı ve işleme sanayinin gelişimi gibi faktörlere bağlı olarak ortaya çıkan talep gelişimi dünya mısır üretiminin sürekli olarak artmasını sağlamıştır (UHK, 2012: 2).
Dünya mısır üretimi son 6 yılda, 1,1 milyar tonluk seviyesini korumuştur. Giderek artan hayvansal üretime bağlı yemlik kullanımın yanı sıra biyoyakıt başta olmak üzere endüstriyel kullanımdaki artış ile ortaya çıkan yüksek talep düzeyi üretimin bu seviyede kalmasını sağlamaktadır (Grafik 1).

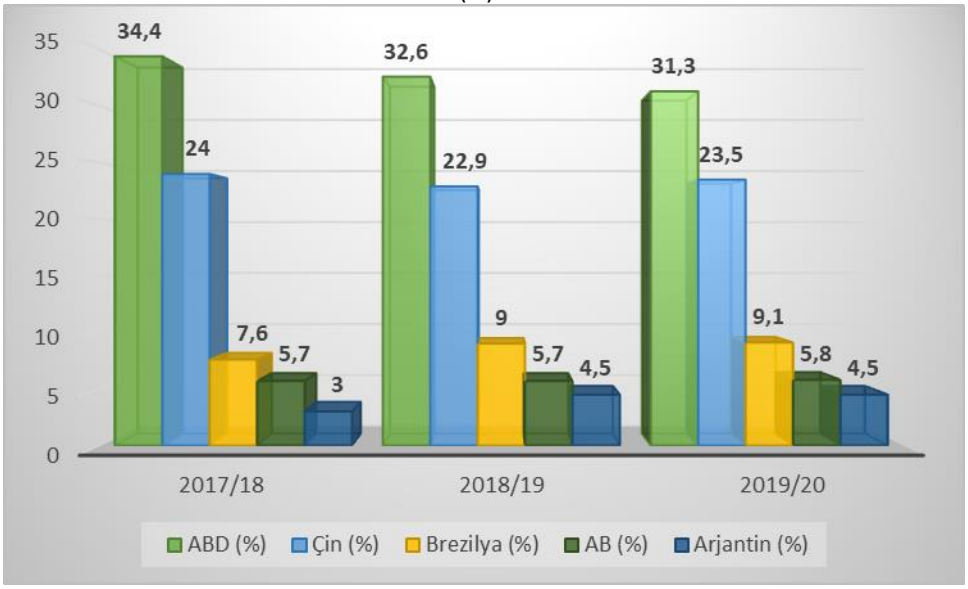
Grafik 1: Dünyada Mısır Üretimi (Milyon Ton)




Kaynak: Uluslararası Hububat Konseyi, (IGC, 2020)

Son 10 yıllık dönemde Ukrayna, Rusya, Hindistan gibi ülkelerdeki ekim alanlarındaki genişleme de üretimi olumlu yönde etkilemiştir. Ayrıca artan verim de üretim artışını desteklemiştir (TEPGE, 2020: 1). 2019/2020 döneminde mısır üretim ve ekim alanı açısından en önemli ülkeler ABD, Çin ve Brezilya'dır (Grafik 2). Üretimde %31,3 ile ABD'nin oransal ağırlığı büyük iken, Çin %22'lik payı ile ekim alanı büyüklüğünde ilk sıradadır.

Grafik 2: Mısır Üretiminde Önemli Ülkeler (%)




Kaynak: Uluslararası Hububat Konseyi, (IGC, 2020)

Dünya mısır verimi 2012 yılında kuraklığın özellikle ABD ve AB mısır verimini düşürmesi ile önemli bir azalış göstermiş, sonraki sezonlarda ise genellikle arttığı görülmektedir (Tablo 1). Son üç sezonda dünya mısır verimi neredeyse aynı seviyededir (TMO, 2019: 16).

Tablo 1: Ülkeler Bazında Mısır Verimi (Ton/ha)

| Ülkeler | 2009/10 | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 | 2017/18 | 2018/19 |
|---|---|---|---|---|---|---|---|---|---|---|
| **ABD** | 10.3 | 9.6 | 9.2 | 7.7 | 9.9 | 10.7 | 10.6 | 11 | 11.1 | 11.1 |
| **Kanada** | 8.4 | 9.8 | 8.9 | 9.2 | 9.6 | 9.3 | 10.2 | 9.8 | 10 | 9.7 |
| **Türkiye** | 7.2 | 7.3 | 7.1 | 7.4 | 8.9 | 9 | 9.3 | 9.4 | 9.1 | 9.2 |
| **AB** | 6.9 | 7 | 7.3 | 6 | 6.5 | 7.9 | 6.4 | 7.4 | 7.9 | 8 |
| **Ukrayna** | 5 | 4.5 | 6.5 | 4.8 | 6.4 | 6.2 | 5.7 | 6.6 | 5.4 | 8 |
| **Uruguay** | 5.5 | 3.5 | 4.3 | 5.6 | 4.3 | 5.8 | 5.9 | 7.1 | 4.4 | 7.9 |
| **Arjantin** | 5.2 | 5.2 | 5 | 2.7 | 4.7 | 6.5 | 5.4 | 7.3 | 4 | 7.8 |
| **Romanya** | 7.8 | 6.4 | 5.7 | 6.6 | 6.8 | 7.3 | 7.4 | 7.6 | 6.2 | 7.6 |
| **Çin** | 3.4 | 4.1 | 4 | 2.2 | 3.9 | 4.5 | 3.4 | 4.1 | 5.9 | 6.8 |
| **Brezilya** | 5.3 | 5.5 | 5.8 | 5.9 | 6 | 5.8 | 5.9 | 6 | 6.1 | 6.1 |
| **Rusya** | 4.3 | 4.2 | 4.8 | 5.2 | 5.1 | 5.4 | 4.2 | 5.6 | 4.9 | 5.5 |
| **Moldova** | 2.9 | 2.2 | 4.3 | 4.2 | 5 | 4.2 | 4.8 | 5.5 | 4.4 | 4.7 |
| **Dünya** | **5.2** | **5.1** | **5.1** | **4.9** | **5.4** | **5.6** | **5.4** | **5.8** | **5.7** | **5.8** |

Kaynak: Uluslararası Hububat Konseyi, (IGC, 2019)

### 2.2. Dünyada Mısır Tüketimi ve Kullanımı

Küresel mısır tüketimi, etanol ve yem talebindeki artışa bağlı olarak son yıllarda rekor seviyelere ulaşmıştır. FAO Gıda Görünüm Raporlarına göre (2013 ve 2018) son beş yılda dünya karkas et üretimi (büyükbaş, küçükbaş, kanatlı ve domuz eti) %9, ticarete konu olan et miktarı ise %10 artış göstermiştir. Ayrıca dünyanın en büyük et üreticisi olan Çin'in, ABD ile sürmekte olan ticaret savaşı neticesinde tedarik sıkıntısı çektiği soya fasulyesine yönelik talebini mısırla ikame etmesi ve mısırın etanol üretimi için işlenmesinden sonra kalan küspesi olan biyoetanol artığı DDGS (Distillers Dried Grains with Solubles) üretim tesislerinde giderek artan üretimi için devasa mısır stoklarını kullanması dünya mısır tüketiminin artmasında önemli bir rol oynamaktadır (TMO, 2019: 16).

Mısır için küresel talep, büyük ölçüde tahılın yakıt ve enerji piyasalarına olan bağlantıları nedeniyle koronavirüs salgınından sert bir şekilde etkilenmiştir. COVID-19 ile ilgili kamusal hareket kısıtlamalarından dolayı benzin talebinin 2020 ilkbaharında düştüğü görülmekte, özellikle ABD'de önemli kullanıcılarda yakıt etanol alımının kısıtlandığı, dezenfektanlar ve dezenfektanlar için artan etil alkol üretiminin sadece kısmi bir artış sağladığı görülmektedir. Mısır bazlı nişastaların üretimini de sınırlayan ekonomik faaliyetle birlikte, 2019/20 dünya endüstriyel kullanımının altı yıllık genişlemenin ardından yaklaşık %4 düşerek üç yılın en düşük seviyesine gerilediği tahmin edilmektedir (IGC, 2021). Dünya mısır üretiminde 2013/14 pazarlama yılından itibaren aşılan 1 milyar tonluk seviyenin üzerindeki seviye korunmakla birlikte 1.1 milyar tonu aşamadığı görülmektedir. Tüketimde de benzer durum söz konusu iken 2016/2017 pazarlama yılından itibaren 700 milyon tona yaklaşan yem üretiminin tüm yıllarda en büyük kullanım alanı olduğu görülmektedir (Tablo 2).

Tablo 2: Dünya Mısır Verileri (Milyon Ton)

| | **2011/12** | **2012/13** | **2013/14** | **2014/15** | **2015/16** | **2016/17** | **2017/18** | **2018/19** | **2019/20** | **2020/21*** |
|---|---|---|---|---|---|---|---|---|---|---|
| **Açılış Stokları** | 177.8 | 198.7 | 212.6 | 272.7 | 302.6 | 325.1 | 369.4 | 344.3 | 326.7 | 297.7 |
| **Üretim** | 907.3 | 900.9 | 1031.8 | 1061.2 | 1022.9 | 1134.6 | 1090.8 | 1129.2 | 1123.9 | 1145.9 |
| **Toplam Kullanılabilirlik** | 1085.2 | 1099.7 | 1244.4 | 1333.9 | 1325.5 | 1459.7 | 1460.1 | 1473.5 | 1450.5 | 1443.6 |
| **Gıda** | 108.2 | 109.2 | 112.6 | 118.0 | 113.6 | 122.6 | 125.2 | 127.3 | 129.7 | 131.4 |
| **Yem** | 495.3 | 494.9 | 551.4 | 593.3 | 569.8 | 633.6 | 649.3 | 673.7 | 690.7 | 696.5 |
| **Endüstriyel** | 250.5 | 250.1 | 269.6 | 277.9 | 281.4 | 292.8 | 303.6 | 304.4 | 293.4 | 302.1 |
| **Diğer** | 32.5 | 32.9 | 38.1 | 42.2 | 35.7 | 41.5 | 37.6 | 41.4 | 39.0 | 39.0 |
| **Toplam kullanım** | 886.4 | 887.1 | 971.7 | 1031.4 | 1000.4 | 1090.4 | 1115.8 | 1146.9 | 1152.8 | 1169.0 |

Kaynak: Uluslararası Hububat Konseyi, (IGC), 2021

Çin ve Hindistan gibi nüfusu oldukça yüksek olan ülkelerin yanı sıra gelişmekte olan birçok ülkede hayvansal ürün talebinin giderek artmasına ek olarak Brezilya gibi et ihracatını geliştiren ülkeler dikkate alındığında, mısır talebini gelecekte de yönlendirecek faktörler arasında yemin ağırlığını koruyacağını, hatta daha da yükseltebileceğini göstermektedir. OECD'ye göre 2027'ye kadar yemlik mısır kullanım oranı gelişmekte olan ülkelerde hayvansal üretimdeki genişlemeye bağlı olarak, 2 puan artacaktır. Diğer yandan, gıda amaçlı kullanımda da Alt-Sahra bölgesi başta olmak üzere gelişmekte olan ülkelerden kaynaklı olarak artacaktır (TEPGE, 2018: 3). Uluslararası Hububat Konseyi (IGC); 2019/20 sezonu sonunda 1.141 milyon ton miktarda gerçekleşeceğini öngördüğü dünya mısır tüketiminin, 2020/21 döneminde, 1.175 milyon ton düzeyinde olmasını beklemektedir (TTB, 2020: 3).

## 2.3. Dünyada Mısır Dış Ticareti

Dünyada 2018/2019 pazarlama sezonunda 37,5 milyar $ değerinde 163 milyon ton mısır ithalatı ve 34 milyar $ değerinde 180 milyon ton mısır ihracatı gerçekleşmiştir (Tablo 3). Dünya mısır ithalatında AB ülkeleri ve Asya ülkeleri, mısır ihracatında ise ABD ve Güney Amerika ülkeleri söz sahibidir. Dünyada 2019 yılında 1.109 milyon ton mısır üretimi yapılmış olup; en büyük ihracatçı ülke olan ABD mısır tüketiminde %27'lik bir paya sahiptir. Türkiye ise 2018/2019 pazarlama sezonunda 2,1 milyon ton ithalat ile dünya sıralamasında 23. sıradadır (BÜGEM, 2020: 2). Mısır üretimi dünya genelinde ekiliş alanlarındaki daralma ve verimdeki düşüşe bağlı olarak 2017/18 döneminde bir önceki yıla kıyasla 40 milyon ton civarı azalmıştır (Tablo 3). Söz konusu azalış büyük oranda Arjantin ve Brezilya'nın üretimlerinde kuraklığın etkisine bağlı olan düşüşten kaynaklanmıştır (TMO, 2017: 9).

Tablo 3: Dünya Mısır Ticaret Verileri (Milyon Ton)

| | **2011/12** | **2012/13** | **2013/14** | **2014/15** | **2015/16** | **2016/17** | **2017/18** | **2018/19** | **2019/20** | **2020/21*** |
|---|---|---|---|---|---|---|---|---|---|---|
| **Üretim** | 907.3 | 900.9 | 1031.8 | 1061.2 | 1022.9 | 1134.6 | 1090.8 | 1129.2 | 1123.9 | 1145.9 |
| **Kullanım** | 886.4 | 887.1 | 971.7 | 1031.4 | 1000.4 | 1090.4 | 1115.8 | 1146.9 | 1152.8 | 1169.0 |
| **Ticaret** | 99.3 | 99.6 | 121.8 | 125.1 | 136.3 | 137.4 | 153.3 | 164.6 | 173.6 | 185.1 |
| **Stok** | 177.8 | 198.7 | 212.6 | 272.7 | 302.6 | 325.1 | 369.4 | 344.3 | 326.7 | 297.7 |

Kaynak: IGC, 2021

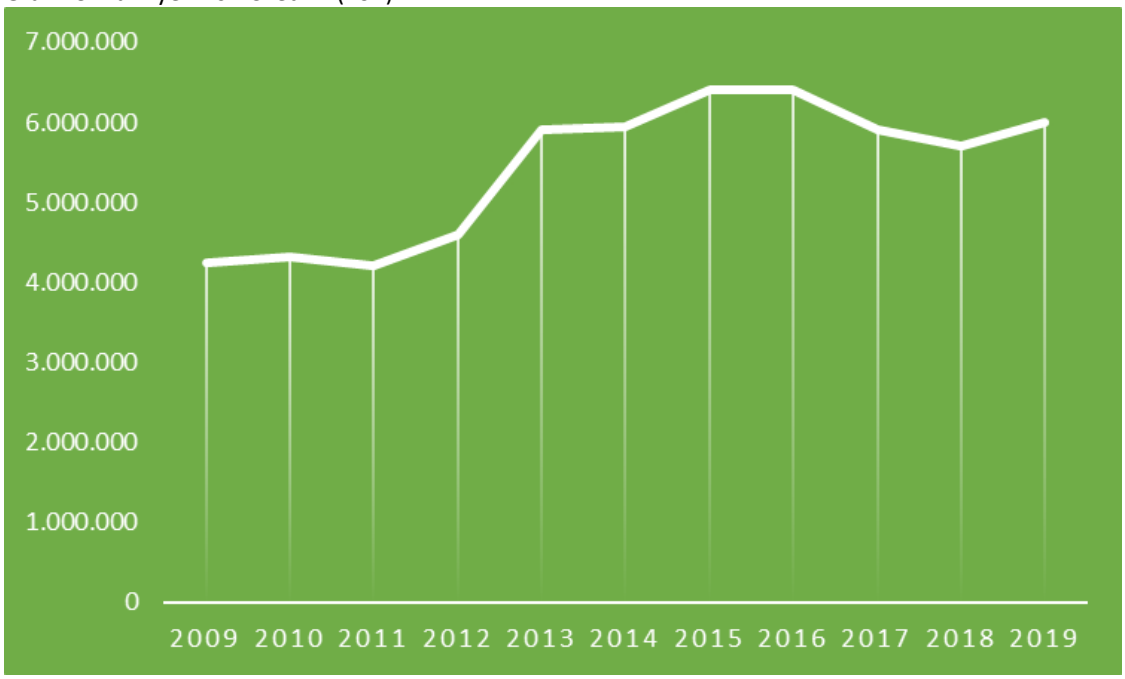
Yüklü ithalatları ile uluslararası piyasaları etkileyen önemli bir ülke olan Çin'in piyasadan her talep ettiği ürün karşısında fiyatlar yükselmektedir. Çin'in 2021 Ocak ayında ABD'den yüksek miktarda mısır alımı yapması mısır fiyatlarını hızla yükseltmiştir. Mısır fiyatlarının artışında Çin'in taleplerinin yanı sıra Güney Amerika'da yaşanan kuraklık etkisinin belirsizliği, Arjantin'in mısır ihracatına miktarsal kısıtlama getirmesi (karar yürürlükten kalktı ama piyasaları gerilemedi), Ukrayna'nın bu yılki rekolte düşüklüğü ve ihracat miktarını 24 milyon tonla sınırlama kararı etkili olmaktadır (İK Tarımüssü, 2021: 3).

## 3. TÜRKİYE'DE MISIR ÜRETİM ve DIŞ TİCARETİ

### 3.1. Türkiye'de Mısır Üretimi, Ekim Alanı ve Verimi

Tahıllar içerisinde Türkiye'de mısır üretimi, buğday ve arpadan sonra üçüncü sıradadır. Bunun en büyük sebeplerinden bazılarını, Türkiye'de insan gıdası olarak tüketim alışkanlıklarının diğer dünya ülkelerinden biraz farklı olması (Un ve ekmek vd. gibi unlu mamullerin yoğun tüketilmesi vb.), ayrıca buğday ve arpa gibi ürünlerin hayvancılıkta kesif yem (Dane, kırma, kepek vb.) ve kaba yem (yeşil ot, kuru ot, saman vb.) amacıyla kullanılması olarak sıralanabilmektedir. 1980'li yıllardan sonra Türkiye'de mısır üretiminde belirgin artışlar kaydedilmiştir. Bunun nedeni devletin mısır üretimini teşvik etmesi, üreticilerin modern mısır üretim tekniklerini uygulamaları, hibrit tohum kullanımının yaygınlaştırılması, mısır üretiminin sulanan alanlara kaydırılması ve belli düzeylerde gübre kullanımının sağlanmasıdır. Özellikle Güneydoğu Anadolu Projesi (GAP) ile sulanabilen alanlarda mısır üretiminin yaygınlaştırılmasıyla Türkiye mısır üretiminde gözle görülür bir artış olmuştur. Türkiye'de mısır ticaretindeki en büyük pay %70'ler civarındaki tüketimle yem hammaddesi olarak; büyükbaş – küçükbaş hayvan yemlerinde, broiler yemlerinde, yumurta ve damızlık yemlerinde kullanılmaktadır. Mısırın en çok kullanıldığı ikinci sektör ise, yaklaşık %20'lere varan tüketim kapasitesi ile nişasta sektörüdür. Etanol üretimi, dünyada olduğu gibi Türkiye'de de son yıllarda artarak yükselerek devam eden önemli bir sektör haline gelmektedir (Nogay, 2019: 56).

Grafik 3: Türkiye Mısır Üretimi (Ton)

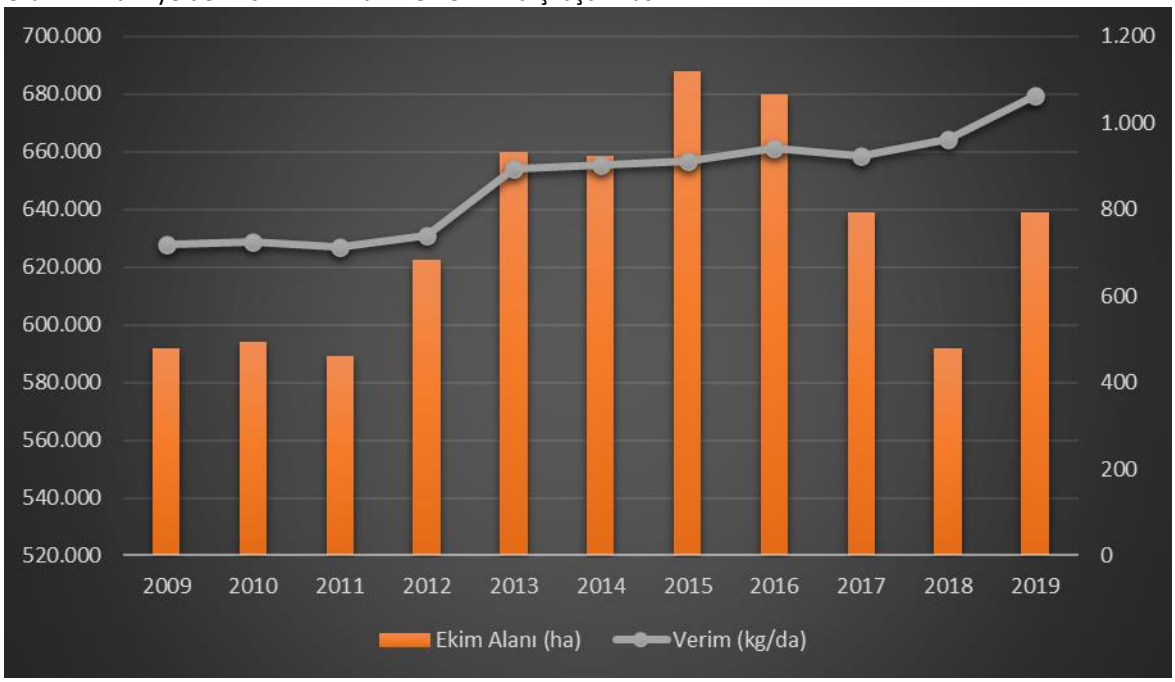



Kaynak: TUİK, 2020

Mısır ekimi için iklim şartları bakımından en elverişli bölge Karadeniz Bölgesi'dir. Ancak bölgede çay ve fındık gibi daha fazla gelir getiren ürünlerin yetiştirilmesi ve bölgenin doğal yapısı mısır ekim alanlarının daha fazla genişlemesini kısıtlamıştır. Türkiye mısır ekim alanları, 2013/14-2017/18 pazarlama yılları arasında 6.4-6.9 milyon dekar aralığında iken, 2018/19'da bir önceki döneme göre %8 azalarak 6.4 milyon da seviyesinde gerçekleşmiştir. Geleneksel mısır üretim bölgesi olan Doğu Akdeniz ve sulamanın etkisiyle önemli artışın olduğu Güneydoğu Anadolu en önemli paya sahip bölgelerdir. Konya ve Manisa ise, son yıllarda alan genişlemesinin olduğu önemli illerdir (TEPGE, 2020: 2). Diyarbakır ilinde ise mısır ekim alanı 6.2 kat artmıştır. Bu artışta Diyarbakır ilinin mısır tarımı için uygun iklim koşullarına sahip olmasının yanı sıra GAP'ın da etkili olduğu belirtilmektedir (Yaşa ve Kutlar, 2019: 168). 2017 itibarıyla, 1 milyon tondan fazla üretime sahip Doğu Akdeniz ile Güneydoğu Anadolu, ekim alanı gibi üretimde de en önemli paya sahip bölgelerdir. Üretimde il bazında sıralama son üç yılın ortalaması itibariyle 865.543 ton ile Adana, 1.023.828 ton ile Konya ve 473.834 ton ile Mardin şeklindedir (TEPGE, 2020: 2).

Dünya mısır verimi ortalaması 580 kg/da'dır. Türkiye'de verim ortalaması son yıllarda dünya ortalamasının üstünde olup, Grafik 4'te de görüleceği üzere yıllara göre 700-1000 kg/da aralığında değişmektedir. 2015/2016 üretim sezonunda 930 kg/da olan verim ortalaması, %4 oranında artarak 2018/2019'da 963 kg/da'a yükselmiş, 2019'da ise 1062 kg/da 'a ulaşmıştır (Grafik 4).

Grafik 4: Türkiye'de Mısır Ekim Alanı ve Verim Karşılaştırması




Kaynak: TUİK, 2020

### 3.2. Türkiye'de Mısır Tüketimi ve Kullanımı

Mısır üretim miktarı 2015/16 sezonunda 6.400 bin ton iken, 2018/19 sezonunda 5.700 bin tona düşmüş, kullanılabilir üretim 5.529 bin ton olmuştur. Üretim kayıpları 2001/02 sezonunda 22 bin ton iken, 2018/19 sezonunda 171 bin tona yükselmiştir. Mısırda "arz (kullanım)" 2001/02 sezonunda 3.375 bin tondan 2018/19 sezonunda 9.211 bin tona çıkmıştır. "Yurt içi kullanım" ise, sürekli artarak 7.866 bin tona ulaşmıştır (Tablo 4).

Tablo 4: Türkiye'nin Mısır Denge Tablosu

| Yıllar | Ekilen Alan (ha) | Üretim Miktarı (ton) | Üretim kayıpları (ton) | Kullanılabilir Üretim (ton) | Kullanım (Arz) (ton) | Yurt İçi Kullanım(ton) | Tüketim(ton) | Kişi başına tüketim(kg) |
|---|---|---|---|---|---|---|---|---|
| **2009/10** | 592.000 | 4.250.000 | 127.500 | 4.122.500 | 4.692.525 | 5.153.535 | 1.203.427 | 16.6 |
| **2010/11** | 594.000 | 4.310.000 | 129.300 | 4.180.700 | 4.566.167 | 5.253.425 | 1.263.167 | 17.1 |
| **2011/12** | 589.000 | 4.200.000 | 126.000 | 4.074.000 | 4.830.092 | 5.112.472 | 1.217.379 | 16.3 |
| **2012/13** | 622.609 | 4.600.000 | 138.000 | 4.462.000 | 6.006.531 | 5.757.400 | 1.439.853 | 19.0 |
| **2013/14** | 659.998 | 5.900.000 | 177.000 | 5.723.000 | 6.984.330 | 6.649.887 | 1.160.000 | 15.1 |
| **2014/15** | 658.645 | 5.950.000 | 178.500 | 5.771.500 | 7.707.166 | 6.834.907 | 1.339.879 | 17.2 |
| **2015/16** | 688.170 | 6.400.000 | 192.000 | 6.208.000 | 6.811.739 | 5.912.901 | 1.028.404 | 13.1 |
| **2016/17** | 680.019 | 6.400.000 | 192.000 | 6.208.000 | 7.633.469 | 7.074.330 | 1.571.029 | 19.7 |
| **2017/18** | 639.084 | 5.900.000 | 177.000 | 5.723.000 | 8.475.140 | 7.804.190 | 1.201.603 | 14.9 |
| **2018/19** | 591.900 | 5.700.000 | 171.000 | 5.529.000 | 9.211.366 | 7.866.233 | 1.192.077 | 14.5 |

Kaynak: TUİK, 2020.

Türkiye'de mısır kullanım miktarının 2015/16 dönemi itibariyle 7 milyon tonu aştığı görülmektedir. 10 yıllık verilere göre yemlik kullanım toplam kullanımın içerisinde birinci sırayı almaktadır. 2019 piyasa yılında 7.8 milyon tonluk kullanımın içerisinde yemlik kullanımın payı %82 olmuştur (Tablo 5). Son yıllara kadar çoğunlukla yem üretimi ve öz tüketim dahil gıda amaçlı kullanılan mısır, günümüzde bunlara ek olarak biyoyakıt da dahil olmak üzere çok geniş bir alanda kullanılmaktadır. Yemlik kullanımın %41'i etlik piliç yemi, %34'ü yumurta ve damızlık tavuk yemi, %25'i de büyük ve küçükbaş yemi üretiminde kullanılmaktadır (Taşdan, 2019: 12).

Tablo 5: Türkiye'nin Mısır Kullanım Tablosu

| Yıllar | Yurtiçi Kullanım (Ton) | Tohumluk Kullanım (Ton) | Tohumluk Kullanımın Toplamdaki Payı (%) | Yemlik Kullanım (ton) | Yemlik Kullanımın Toplamdaki Payı (%) | Endüstriyel Kullanım (Ton) | Endüstriyel Kullanımın Toplamdaki Payı (%) |
|---|---|---|---|---|---|---|---|
| **2009/10** | 5.153.535 | 14.800 | 0,29 | 3.693.760 | 71,67 | 117.873 | 2,29 |
| **2010/11** | 5.253.425 | 14.850 | 0,28 | 3.745.907 | 71,30 | 104.080 | 1,98 |
| **2011/12** | 5.112.472 | 14.725 | 0,29 | 3.650.304 | 71,40 | 164.020 | 3,21 |
| **2012/13** | 5.757.400 | 15.565 | 0,27 | 3.997.952 | 69,44 | 170.170 | 2,96 |
| **2013/14** | 6.649.887 | 16.500 | 0,25 | 5.086.000 | 76,48 | 215.697 | 3,24 |
| **2014/15** | 6.834.907 | 16.466 | 0,24 | 5.125.000 | 74,98 | 180.417 | 2,64 |
| **2015/16** | 5.912.901 | 17.204 | 0,29 | 4.656.000 | 78,74 | 25.053 | 0,42 |
| **2016/17** | 7.074.330 | 17.000 | 0,24 | 5.276.800 | 74,59 | 23.261 | 0,33 |
| **2017/18** | 7.804.190 | 15.977 | 0,20 | 6.379.637 | 81,75 | 35.283 | 0,45 |
| **2018/19** | 7.866.233 | 14.798 | 0,19 | 6.450.506 | 82,00 | 42.983 | 0,55 |

Kaynak: TUİK, TMO, 2020

### 3.3. Türkiye'de Mısır Dış Ticareti

Dünya mısır fiyatlarında son dönemlerde görülen azalma eğilimi, üretimi koruma amaçlı gümrük vergileri ve üretim dalgalanmaları nedeniyle yurtiçi piyasalarına aynı şekilde yansımamaktadır. Bununla birlikte, yumurta ve kanatlı üretimi ile nişasta bazlı şeker başta olmak üzere mısırı hammadde olarak kullanan gıda sanayi dallarındaki gelişmelerin yurtiçi piyasalarda mısır fiyatlarını belirleyen etkenlerin başında geldiği bilinmektedir (TEPGE, 2020: 3). İthalat miktarını yem sanayi ihtiyacı belirlemekte ve hayvansal üretimdeki artış, yem ihtiyacını da artırmaktadır. Mısır üretiminin talebi karşılayamaması ise ithalatın artışına yol açmaktadır (Tablo 6).

Tablo 6: Mısır Ticaret Verileri

| Yıllar | İthalat (ton) | İhracat (ton) |
|---|---|---|
| **2009/10** | 570.025 | 390.766 |
| **2010/11** | 385.467 | 212.323 |
| **2011/12** | 756.092 | 275.046 |
| **2012/13** | 1.544.231 | 285.848 |
| **2013/14** | 1.261.330 | 593.036 |
| **2014/15** | 1.935.666 | 421.311 |
| **2015/16** | 603.739 | 603.844 |
| **2016/17** | 1.425.469 | 728.344 |
| **2017/18** | 2.752.140 | 669.865 |
| **2018/19** | 3.682.366 | 1.496.421 |

Kaynak: AGRISTAT, 2021

TMO'ya son yıllarda sıfır gümrük vergili ithalat olanağı sağlanmış olması bu açığı kapatmak üzere alınmış bir önlemdir. Rusya, Moldova, Romanya ve Ukrayna gibi yakın bölge ülkeleri ithalatta önemli paya sahiptir (Tablo 7).

Tablo 7: İthalat Yapılan İlk 5 Ülke ve İthal Edilen Değerler (Bin $)

| | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 |
|---|---|---|---|---|---|---|---|---|---|---|
| **Ukrayna** | 25.083 | 24.256 | 23.255 | 149.827 | 5.820 | 8.026 | 1.629 | 52.701 | 118.807 | 341.830 |
| **Romanya** | 22.305 | 40.465 | 25.176 | 21.906 | 53.940 | 54.476 | 18.603 | 56.650 | 55.481 | 168.076 |

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| **Rusya** | 16.825 | 8.456 | 135.605 | 248.276 | 207.875 | 164.388 | 76.150 | 171.376 | 232.548 | 72.145 |
| **Moldova** | 1.291 | 9.346 | 1.517 | 1.644 | 10.027 | 11.474 | 420 | 9.841 | 2.459 | 48.323 |
| **Bulgaristan** | 1.228 | 14.824 | 10.897 | 27.945 | 22.255 | 12.588 | 4.204 | 3.342 | 7.905 | 32.317 |

Kaynak: Trade Map (2021)

Son üç yılın ortalaması itibariyle İhracat yapılan ilk beş ülke ise sırasıyla Irak, İran, İtalya, Suriye ve Fransa'dır (Tablo 8).

Tablo 8: İhracat Yapılan İlk 5 Ülke ve İhraç Edilen Değerler (Bin $)

| | **2010** | **2011** | **2012** | **2013** | **2014** | **2015** | **2016** | **2017** | **2018** | **2019** |
|---|---|---|---|---|---|---|---|---|---|---|
| **İran** | 922 | 1.536 | 2.978 | 4.099 | 2.670 | 3.329 | 2.962 | 3.320 | 3.915 | 5.982 |
| **Irak** | 541 | 919 | 2.233 | 5.245 | 5.946 | 10.240 | 3.113 | 14.552 | 7.167 | 4.010 |
| **Fransa** | 2.043 | 580 | 4.016 | 9.356 | 9.333 | 3.396 | 11.386 | 1.383 | 1.781 | 3.387 |
| **İtalya** | 8.618 | 12.335 | 11.924 | 19.075 | 13.668 | 6.200 | 5.735 | 1.515 | 4.602 | 3.188 |
| **Suriye** | 42 | 210 | 7 | 1.971 | 1.289 | 545 | 1.333 | 1.416 | 2.866 | 2.747 |

Kaynak: Trade Map (2021)

### 3.4. Mısırda Uygulanan Tarım Politikaları

Mısır politikasının dört ana bileşeni vardır. Bunlar;

- TMO alımları
- Fark ödemesi
- Girdi destekleri
- Dış ticaret uygulamaları

TMO alımını yaptığı ürünlerde en önemli piyasa yapıcıdır ve uluslararası fiyatlar ile diğer piyasa koşullarına bağlı olarak mısır alımı yapabilmektedir. TMO tarafından yapılan alımlarda mısırın çok büyük bölümü peşin alım yöntemiyle alınmakta bunun yanı sıra emanet usulü alım da yapılabilmektedir. Alım miktarı TMO'nun alım politikasına ve pazarın durumuna göre değişmektedir (Kara, 2020).

Tablo 9: TMO Alımı

| **Yıllar** | **Üretim (ton)** | **TMO Alımı (ton)** | **Alımın Üretime Oranı (%)** |
|---|---|---|---|
| **2009** | 4.250.000 | 183.467 | 4,3 |
| **2010** | 4.310.000 | 83.491 | 1,9 |
| **2011** | 4.200.000 | 47.632 | 1,1 |
| **2012** | 4.600.000 | 125.962 | 2,7 |
| **2013** | 5.900.000 | 1.373.444 | 23,3 |
| **2014** | 5.950.000 | 173.541 | 2,9 |
| **2015** | 6.400.000 | 1.752.453 | 27,4 |
| **2016** | 6.400.000 | 1.756.906 | 27,5 |
| **2017** | 5.900.000 | 204.757 | 3,5 |
| **2018** | 5.700.000 | 184.247 | 3,2 |

Kaynak: TÜİK, Tarım ve Ormancılık Bakanlığı, TMO, (2020)

Tarım ve Orman Bakanlığı tarafından Türkiye Tarım Havzaları Üretim ve Destekleme Modeli kapsamında üreticilere, ürettikleri ürün karşılığında yapılan "Fark Ödemesi" mısır destekleme politikasının en önemli aracıdır. Mısıra ödenen fark ödeme desteği birim tutarı 2010-2015 döneminde değişmemiş ve 40 TL/ton olarak uygulanmıştır. Buna karşın mazot ve gübre başta olmak üzere diğer desteklerde yıllar itibarıyla artış gerçekleşmiştir. 2016 yılında fark ödeme desteği 20 TL/tona gerilerken, gübre ve mazot desteği birleştirilerek 11 TL/da olarak uygulanmıştır. 2017'de ise desteğin veriliş biçiminde önceki duruma dönülmesinin yanı sıra bu verilerde de önemli değişim olmuştur. Buna göre mazot ve gübre desteği ayrılırken sırasıyla 17 TL/da ve 4 TL/da olarak belirlenmiş ve 21 TL/da ile 2016'ya göre neredeyse iki katına çıkarılmıştır. Fark ödeme desteği de 2016'nın yarısı kadar artırılarak 3 kr/kg olmuştur. 2019 ve 2020 yıllarında ise mazot desteği 25 TL/da, gübre desteği ise 4 TL/da olarak belirlenmiştir. Gümrük vergileri başta olmak üzere dış ticaret uygulamaları son yıllarda mısır piyasasını etkileyen en önemli

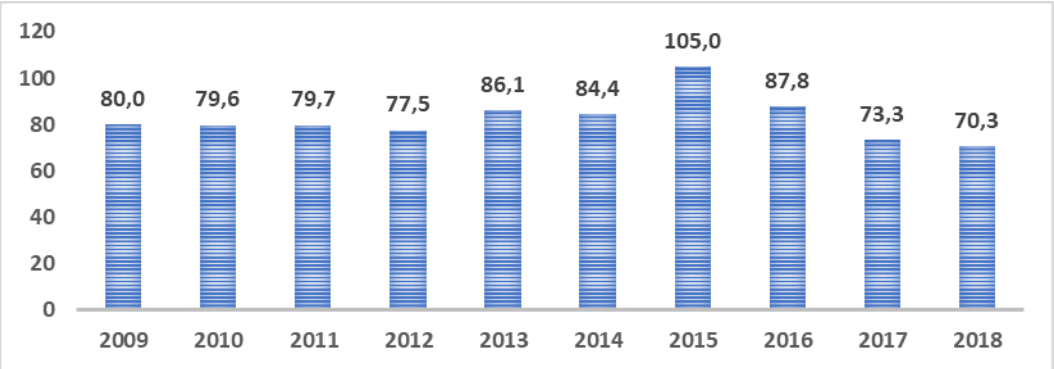
politika araçlarından olmuştur. Gümrük vergileri 2008 öncesinde hasat döneminde artan, talebin yoğun ancak iç kaynaklı arzın düşük olduğu dönemlerde de azalan bir seyir izlemiştir. 2008 yılından itibaren ise değişmemiş %130 olarak uygulanmıştır. Mısır ve türevi olan ürünlerin tabi olduğu piyasalara ilişkin diğer yasal düzenlemeler de hem iç piyasayı hem de dış ticareti doğrudan etkilemektedir. 2009 yılı Kasım ayında yürürlüğe giren GDO yönetmeliği ve Mart 2010'da yürürlüğe giren biyogüvenlik yasası bu duruma örnektir. Yine doğrudan dış ticarete yönelik olmasa da DDGS için uygulanan KDV oranlarının artırılması gibi iç ticarete yönelik uygulamalar da dış ticareti ve mısır piyasasını önemli ölçüde etkilemiştir (Taşdan, 2019: 15).

## 4. TÜRKİYE'DE MISIR ÜRETİMİNDE KENDİNE YETERLİLİK DURUMU

FAO'ya göre, "Gıdada ve tarımda kendine yeterlilik kavramı, bir ülkenin kendi gıda üretimini kendi yerel üretiminden ne ölçüde karşılayabileceği" anlamına gelmektedir. Bu en temel tanım bireyler, ülkeler veya bölgeler düzeyinde kendine yeterliliği açıklamaktadır. Ticaret ve gıda güvenliğiyle ilgili tartışmalar bağlamında, kendine yeterlilik, tipik olarak, kendi tüketiminin tamamını veya çoğunu kendi iç tüketimi için üretmeye çalışan ülkeleri ifade etmektedir (Anonim, 2018).

Mısır gerek üretimi ve talebi gerekse dış ticareti açısından dünya tarım ürünleri piyasası içerisinde oldukça önemli bir yere sahiptir. Büyük oranda hayvan yemi olarak kullanılmasının yanısıra, insan beslenmesi için kullanımı önemini daha da artırmaktadır. Türkiye'de de mısır, üretimi oldukça yaygın olan ve tahıl grubu içerisinde buğday ile arpadan sonra en fazla üretim payına sahip olan üründür (UHK, 2012: 87). Dünyada 2019 yılında ortalama mısır verimi 587 kg/da iken, Türkiye'de bu değer 963 kg/da olarak gerçekleşmiştir. Uygulanan politikalar ve piyasa koşulları nedeniyle ekim alanlarında yaşanan azalmadan dolayı, dünya ortalamasından daha yüksek verime sahip olunmasına rağmen, toplam üretimde bir artış olmamaktadır (Tipi ve Erdal, 2021: 2). Gelişen imalat sanayii ve sürekli artan mamul madde ihracatıyla birlikte sektörün hammadde ihtiyacı, üretimin yanı sıra ithalat yoluyla da giderilmektedir. TÜİK verilerine göre toplam tahıl ürünlerinde 2017/18 piyasa döneminde yurtiçi üretimin yurtiçi talebi karşılama oranı %98,0 ve 2018/19 piyasa döneminde ise %92,4 olarak gerçekleşmiştir. Mısır için kendine yeterlilik düzeyi ise 2009 ve 2018 yılları arasında sadece 2015 yılında %100'ün üzerine çıkabilmiştir. 2018 yılında kendine yeterlilik %70,3 düzeyinde gerçekleşmiştir (Grafik 6 ).

Grafik 6: Türkiye'de Mısır Üretiminde Kendine Yeterlilik Düzeyi (%)




Kaynak: TUİK, 2020

## 5. SONUÇ ve ÖNERİLER

Dünya ve Türkiye tarımsal üretim yapısı ve piyasasındaki yeri, yem ve biyoyakıt başta olmak üzere çok geniş alanda kullanılabilen ve hem üretim hem de kullanım miktarı giderek artan mısırın, bu konumunu koruyarak gelecekte daha da güçlendireceği öngörülmektedir.

Türkiye'de 2017/18 döneminde hem fiyat hem de destekleme açısından avantajlı konuma geçen pamuk ve soya gibi ürünlerin tercih edilmesi ile birlikte 2018/19 döneminde mısır üretimi %3,4 azalmıştır. 2019/20 döneminde bu durum tersine dönmüş ve üretim yeniden 6 milyon tona çıkmıştır. Ancak halen

2015/16'daki 6,4 milyon tonluk seviyeye ulaşılamamıştır. Hızlı artan ve 8 milyon ton sınırına yaklaşan talep, ithalatı zorunlu kılmaktadır. Bu nedenle kendine yeterliliğe ulaşma sorunu yaşanan mısır bitkisi için bazı önlemlerin alınması zorunluluk arz etmektedir. Bunun için, Türkiye'de mısır ekim alanlarının en fazla olduğu Karadeniz Bölgesi'nde verimi artırmaya yönelik önlemler alınabilir. Bu önlemlerin özellikle Marmara ve Ege Bölgeleri'nde de alınması önemlidir. Akdeniz Bölgesi ile Güney Doğu Anadolu Bölgesi'nin sulanabilir alanlarında mısırın ikinci ürün olarak üretimi mümkün olabilir. Bütün bunların yanı sıra Türkiye'de mısır üretiminde istenilen seviyeye ulaşılabilmesi için kaliteli tohum kullanılmalı ve gübre kullanımı da yaygınlaştırılmalıdır. Mısırın sulu tarım olarak üretildiği bölgelerde sulama sorununun çözümü de giderek önem kazanmaya başlamıştır. Türkiye için en önemli önerilerden biri organik mısır üretme stratejisinin güçlendirilmesi olabilir. Dünyanın en önemli mısır üreticisi ülkelerinden biri olan ABD Türkiye'den organik mısır ithalatı yapmaktadır. Genetik Olarak Modifiye edilmiş (GDO) mısır üretiminin yaygınlığı, organik hayvancılık yapan işletmelerin organik hayvan yemi tedarikini zorunlu kılmakta, ABD organik mısır üretimi için stratejiler geliştirmektedir. Ayrıca, orta ve uzun vadede değişen iklim koşullarına adaptasyonu yüksek yerli mısır tohumları üretimine ağırlık verilmesi de öncelikli öneriler arasında sıralanabilir.

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# Inclusive and Employment Generating Growth To Remove Inequality

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**Abstract:** With the First Industrial Revolution, there were significant increases in production, income and therefore prosperity. However, the resulting increase in prosperity did not reach the world population in fair conditions, leading to increased inequalities. While unemployment and poverty constitute the negative side of inequalities, increased wealth and prosperity have only reached the narrow part of the society. In addition to increasing prosperity, the "inclusive growth" approach, which aims to achieve increased prosperity across all segments of society, is of greater importance with deepening inequalities.

The aim of this study is to; using ILO data, to emphasize the need for policies that combat unemployment to create jobs and improve employment conditions in order to share development gains fairly and eliminate poverty. While there is sufficient academic and theoretical work in this regard, it is now important to draw attention to the need to take action towards inclusive growth, which improves the level of employment and conditions.

**Key Words:** Inclusive Growth, Jobless Growth, Unemployment

## 1.INTRODUCTION

Mainstream economics has maintained an approach that perceives the increase of Gross Domestic Product(GDP) or Per Capita Income as a success alone as an indicator of economic growth. On the other hand, while GDP has increased, at the same time, problems such as the increase of unemployment problem at the global level, lack of employment level and quality, and the lack of fair sharing of prosperity resulting from growth have reached significant levels. These developments brought up the "Inclusive growth" approach by drawing attention to the quantitative increase in growth and the process of division. Inclusive growth is growth that makes it possible for prosperity to grow and increased prosperity to reach all segments of society. The OECD defines inclusive growth as growth that allows to improve the well-being of the entire population, while at the same time sharing all components of monetary and non-monetary prosperity with fairness among all individuals (OECD 2018).

Achieving inclusive growth can be made possible by the elimination of unemployment, inequality and poverty. Unemployment, low wages, insecure or poor quality employment, lack of a fair income distribution policy reduce unemployment but do not contribute to the elimination of poverty and inequalities.

Level of employment and quality are the most important factors determining the nature of growth. Any economy that can create jobs and employment can also significantly utilizes its growth potential. Just as the high level of employment is advantageous, unemployment is also an important problem that leads to the loss of income and morale of both unemployed individuals and their relatives and national economies.

Unemployment leads to the bluntness of the ability and skills of individuals in addition to income losses, and prolonged unemployment periods cause people to move away from formal labor markets. If the unemployment problem is widespread and the unemployment rate is high, problems such as unprotected and insecure employment or working poverty are also raised. The production and revenue growth since the 1st Industrial Revolution, which is considered the turning point of economic growth, has not been shared fairly between countries and individuals on a global scale. This unequal distribution of emerging prosperity has led to the emergence of new approaches or searches in the growth process with the concepts of "good growth", "sustainable growth" and "inclusive growth" in the near term.

## 1.THEORETICAL FRAMEWORK AND LITERATURE

Arthur Okun studied the relationship between growth and unemployment in the American economy between 1948 and 1960. He determined that the unemployment rate decreased during periods of rising real GDP, and in the opposite case, unemployment increased while real growth fell (Okun,1962:98-104). Okun basically determined that employment tends to increase when there is a real increase in GDP and the unemployment rate decreases. Although he had different interpretations (Zanin, 2014: 243-248), Okun emphasized that unemployment decreased as the economy grew, and that there were growth losses if unemployment increased.

ΔU= -0.4 (ΔY- 3%)

Every extra 1% economic growth, which occurs above 3% in this first form of the Okun Law, reduces the unemployment rate by 4%.

In the second step: U-4%=-0.3 out put gap

It refers to the output gap that any unemployment rate exceeding 4%, which is considered as the natural unemployment rate, will create. When two formulas are edited

(Yp -Y)/Y = -α (U- U*) is obtained. Yp Potential GDP, Y real GDP, U unemployment rate, U* natural unemployment rate and α is the decrease in unemployment if production exceeds the threshold.

The negative relationship between unemployment and growth has been included in the literature as the Law of the Okun and has been the basis of many studies examining this relationship. Pehlivanoğlu and Thanga (2016:31-44) have concluded that the Okun Law does not apply to Turkey, Brazil and South Africa for the period 1990-2014. In the study conducted by Yildirim, et al. for Turkey(2009) with data covering the years 1975-1995, it was concluded that unemployment decreased by 0.13 percentage points compared to every 1 point increase in growth exceeding 4.3%.

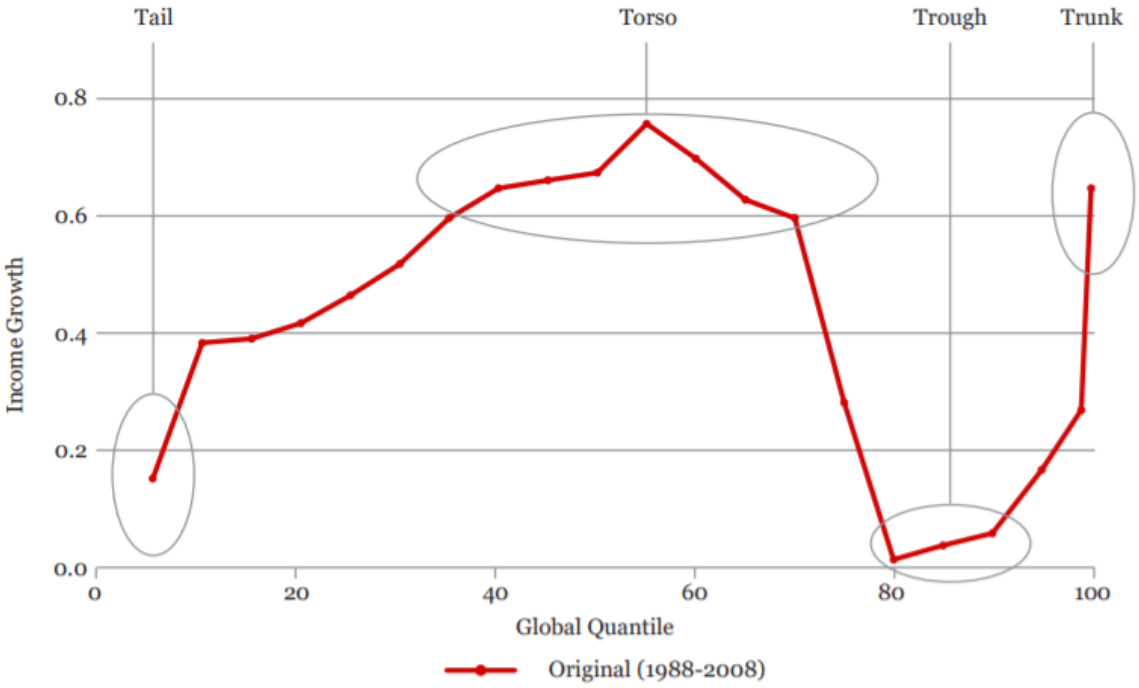
As the 1950-2007 study for Turkey by Ceylan and Şahin reached; The unemployment-enhancing effect of the recession periods is greater than the unemployment-reducing effect of economic expansion (Ceylan and Şahin, 2010:158). This finding has brought the concept of "jobless growth" or ‘growth that does not create employment to the literature. Growth that does not create employment; technological developments can be associated with import dependence in developing countries, education and public policies.

In the study for India, Bhalla addressed widespread poverty in response to low unemployment. In addition to the distinction between efficient and inefficient employment, it has revealed that not everyone is included in the scope of growth. He addressed the inclusiveness of growth according to income and food poverty criteria on a regional, sectoral and individual scale. Bhalla recommends supporting sectors that will be more effective in alleviating poverty in order to expand inclusion.(Bhalla, 2007:24-43). This study is important to draw attention to employee poverty and inefficient employment problems.

The process of globalization, which is at the heart of technological and financial developments, is also cited as a cause of inequalities. Milanovic conducted a study on globalization and income distribution using household data from 1988 of 95 countries and 113 countries from 1993 and 1998. According to its conclusion: Globalization increases inequality in income distribution in low-income countries, while in countries with high-income levels, globalization reduces inequality in income distribution. (Milanovic, 2005:21-44).

In 2013, Christoph Lakner and Branko Milanovic examined the global income distribution for the period 1988-2008 and gave the literature a graph as "Elephant Curve".

Figure1: Original Elephant Chart




**Source:** Homi Kharas and Brina Seidel(2018), What's Happenıng To The World Income Dıstrıbutıon? The Elephant Chart Revısıted, Global Economy & Development Workıng Paper 114, Aprıl 2018, 1-2.

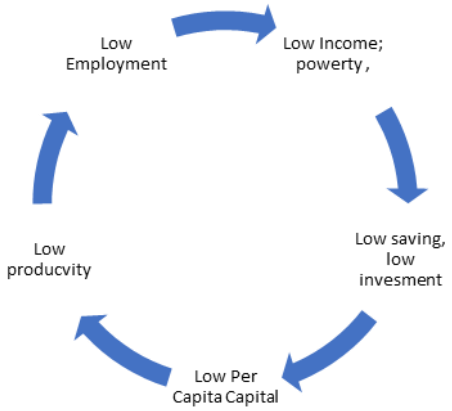
Figure 1:

• Revenue has increased greatly in favor of the elites, which amounts to 1% in the world; the area where the elephant's hose is above
• The global upper-middle income group has stagnated with 0 growth in 20 years, which is related to real wage growth and frustrations in populist politics; the location of the elephant proboscis in the pit,
• In countries such as China, large poor populations rise to the middle class; torso in the body of the elephant,
• Globally, extreme poor and many countries are stuck in a cycle of poverty and violence and left behind, in the tail of the elephant (Kharas and Seidel, 2018: 1-2).

Inequalities arise, multiply and are not solved as a result of economic and political choices. In poor societies where there is no social security or trust in the state, children are seen as an element of security for the future. Thus, the growing population is included in the "vicious cycle of poverty" with the inheritance they receive from their families.

The vicious cycle of poverty, which Ragnar Nurkse (1953) put forward as "poor countries are poor because they are poor", states that poverty in underdeveloped countries also leads to low levels of austerity, investment, productivity and employment rates, and ultimately poverty, which is the starting point.

Figure2: Vicious Circle of Poverty




Source: Ragner Nurkse: Vicious Circle of Poverty (1953)

The Vicious Cycle theory put forward by Nurkse is important for stating that poverty and unemployment would continue if not intervened. In this respect, as well as the elimination of unemployment, the elimination of employee poverty is important as an important determination.

Ianchovichina, Lundstrom and Garrido (2009:1-16) use the concept of inclusive growth as an approach that addresses the concepts of poverty and growth together, which are handled separately. Inclusive growth; it is sustainable, high rate and includes an analysis of resources and obstacles that target not only the poor but also society as a whole. Policies developed for inclusive growth are also an important component of most public strategies developed for sustainable growth.

Inclusive growth is defined as absolute as the per capita income of the poor rises as an absolute figure, which is that it is characterized as inclusive growth in favor of the poor. Growth is also relatively defined as being considered inclusive, when the average income of the poor increases by more than the average income of society (Anand et al., 2013:4).

There is a wide accumulation of growth, poverty and inequality in the literature. Solutions are also offered. However, the results show that inequalities persist through poverty, unemployment and labour markets. Addressing inequalities will be possible with prosperity reaching all individuals, which will be possible with a significant improvement in employment conditions and an inclusive approach.

## 2.GOOD GROWTH, SUSTAINABLE GROWTH AND INCLUSIVE GROWTH

Approaches that measure economic growth with quantitative increase in production and income are replaced by approaches that are sensitive to issues such as income distribution justice, poverty, unemployment, environmental problems, democracy and cultural changes. The Human Development Report prepared by the United Nations in 1996 expressed the growth that could not create sufficient employment opportunities, the distribution of increasing income was not fair, democracy, rights and freedoms did not improve, cultural values, traditions and customs were lost and the ecological balance was stated as "Poor Growth". Growth that promotes employment, shares prosperity fairly, promotes democratic rights and freedoms, maintains cultural values and achieves social cohesion, cooperation and solidarity, and protects the environment to be left to future generations is referred to as "Good Growth" (UNDP, 1996). As a general approach, it is accepted that there is a correct relationship between employment and economic growth.

The production power of an economy is closely related to the factors of production it has. However, the way in which it employs the production factors it has is of particular importance as the main issue. The participation of production factors in full production is expressed as full employment. Increasing the

level of employment means increasing production, income and prosperity by evaluating the production potential of the economy.

In 2015, the United Nations adopted the Sustainable Development Goals (SDGs) to eradicate poverty, protect our planet, and combat inequality and injustice with the goals set out in 17 articles to be completed in 2030. These objectives are a continuation of the Millennium Development Goals adopted in 2000, focusing on pro-poor growth covering the period 2000-2015 (UNDP, 2015).

Almost all of the SDG seen in Figure 3 is directly related to participation in business life, improved working conditions and fair sharing of emerging prosperity. The report also emphasizes the need for cooperation between businesses and governments to achieve these goals. It is also clear that these objectives are extremely comprehensive.

Figure3. Sustainable Development Goals




Source: UNDP

In 2015, "The Inclusive Growth and Development Report" was published as part of the World Economic Forum. The report laid out the need to strike a balance between the ceiling target, which is to improve the performance of the national economy measured by gross domestic product per capita, and the base target based on increasing the standard of living of society by spreading it over large layers. Although increasing gross domestic product per capita for all developed and developing countries is necessary for economic performance, it is stated that it alone is not enough to meet the social expectations of the society (Samans et al., 2015:1).

Inclusive growth has an approach to address inequalities and poverty with its human rights dimension, social and political dimension, economic dimension. It focuses on the benefits of disadvantaged groups such as women and the poor, excluded sectors or regions, from development gains.

**3. Inclusive Growth and Employment Relationship**

Achieving a higher level of prosperity, which is the common goal of all individuals and societies, is largely possible by producing more. Limited production factors and meeting the increasing demand due to the increasing population necessitates production to take place within the framework of efficiency and productiveness (Yıldız et al., 2009;202). The labor that remain inactive, the increase in unemployment, the lack of employment despite growth causes the social structure to deteriorate as well as the economic balances.

Economic growth is the most powerful tool to reduce poverty and increase human well-being in developing countries (OECD, 2018). Achieving rapid economic growth is one of the most important indicators taken into account for the success of the economy (Gordon, 2000:286).

The issues of how economic growth, which is a quantitative change, contributes to social well-being, employment level and unemployment problem, improved income distribution, sustainable use of natural resources, and the improvement of democratic rights and freedoms, also reveals the need to question the quality of growth (Berber, 2011:6-7). With this inquiry, the United Nations published five types of "Bad growth" in the 1996 Human Development Report; emphasis has been on jobless growth, relentless growth, quiet growth, rootless growth and futureless growth.

-Jobless growth: In economies, unemployment does not decrease but rather increases due to the fact that the level of employment is not increased at the required rate, even though there is growth.

Jobless growth

- Negative divergence from potential GDP,
- Keep the workforce idle,
- Increase in public expenditures due to reasons such as unemployment benefits,
- Leads to increased idle capacity and socio-economic effects.

-Relentless Growth: The failure to share the positive developments achieved by economic growth fairly; although income increases with growth, income distribution is not improved.

Unemployment and deprivation of income, in addition to disrupting the distribution of income, as Keynes stated, cause the total demand levels of highly prone workers to decrease, leading to a contraction of production and employment (Alkin, 1995:141). Thus, unemployment, which is seen as an individual problem, causes social, national and global impacts.

-Silent Growth: Despite economic growth, democratic rights do not improve, for example, workers' rights are not given importance.

The World Economic Forum (WEF,2014) stated that deepening income inequality and growth without permanent employment are already among the most important problems that threaten humanity (WEF 2014).

It is the common longing of people to have a fair job opportunity in all aspects of decent work, working life and work, equal treatment and conditions in the workplace, protection of social protection, employment and freedom rights. However, the regulation of labor markets for governments is a complex and challenging process due to the difference in employee-employer interests, technological and demographic developments (ILO, 2020:16). Although this process is complex, it requires governments to take decisive solution-oriented steps. Table 1 shows an overall assessment of the global workforce according to the ILO's 2019 data.

According to ILO 2019 data, 188 million people are unemployed globally, 165 million are not paid enough even they employed and 120 million people have stopped looking for work or are unable to access the labor market. An additional 2.5 million people are expected to be added to the unemployed in this table, and 267 million 15-24 year olds are neither in education nor in employment. The mismatch between labor supply and labor demand, the unavailability of the workforce, labor force participation in inadequate or poor conditions, inadequate and low wages, unequal conditions in labor markets continue to lead to socio-economic losses on an individual and global scale.

- Economic growth does not have a significantly reducing effect on unemployment and poverty,

• The prevalence of the share of informal employment of 61% globally, especially in developing countries, leads to problems such as unprotected employment and the inability to benefit from support,

Overworked poverty comes in below US$1.90 per person per day on a SAGP basis, and moderate working poverty (in terms of SAGP, an income of between $1.90 and US$3.20 per person per day is considered zero in high-income countries such as the European Union, North America, Japan, Canada, Australia and New Zealand (ILO,2020).

Table 1: Global Workforce (2019)

| **Global Population** | **Working-age population 15+** | | |
|---|---|---|---|
| 7,67 billion | 5,7 billion (74,3%) | | |
| | **Employed** | Total labour underutilization | Out of labour force: |
| | 3,3 billion (57 %) | 473 Million | 2,3 billion ( 39%) |
| **Youth working-age population (15–24 years):** 1.2 billion | | | |
| Youth in employment | Youth in education or training (not employed) | Youth not in employment, education or training | |
| 429 Million (36 %) | 509 Million ( 42 %) | 267 Million ( 22%) | |

| **Characteristics of global employment** | | |
|---|---|---|
| **Way of Employment** | **Formal/İnformal Employment** | **Employee Welfare** |
| 53% Wage and salaried workers<br>34% Own-account workers<br>11% Contributing family workers<br>2 %Employers | %39 Formal<br>% 61 İnformal | % 7 Extreme working poverty<br>% 12 moderate working poverty<br>% 81 Yoksul değil |
| **The labour force participation rate** | | |
| Men 74% | Women 47% | |

Source: Organized from ILO, World Employment and Social Outlook-Trends 2020 data, 18-21.

There are deep inequalities in the division leg of economic developments consisting of four basic periods: production, consumption, trade and division. These inequalities are largely related to unemployment, poor quality of employment, job-creating growth, inequalities and poverty. The solution of these problems requires egalitarian and inclusive public policies that want to be resolved first and foremost, that are planned, that improve employment in a quality way. This approach requires an adaptation and employment program that takes care of the private sector but also embraces the workforce and shares social well-being fairly.

The inclusive growth process can be achieved by coordinating income distribution justice, inclusive and qualified education, legal regulations and sanctions to address inequalities, and ultimately inclusive employment policies. As figure 4 shows, inclusive growth fundamentally requires fairness in income distribution, but equal and qualified education to all is an extremely important step in addressing inequalities. While inclusive growth requires the support of market actors, it needs to be supported and coordinated with legal and institutional regulations. It is also of particular importance to develop employment opportunities in the process, as the training and production knowledge that improves the skills of individuals will gain economic value if they find employment opportunities. Each of these steps requires political stability.

Figure 4. Inclusive Growth Process




For the regulation of market conditions for income distribution justice,

- Eliminating the imbalance between the real economy and the financial economy,
- Stability of exchange rates and interest rates, and for this, price stability,
- Fee policies; minimum wage level and regulation of tax liability,
- Wealth tax application can be implemented.

Qualified education is considered the most important tool of development. It is a great necessity that education be delivered equally to disadvantaged groups such as the poor, disabled, refugee-migrant, child laborers and girls as a right. As well as achieving education, it is also important that education is qualified and has an elevating quality of employment capability.

Low income level, child labor, gender inequality, difficulties in reaching schools as a distance, leaving school are the main reasons for barriers to participation in education.

- Starting by focusing on preschool education and educating families,
- Implementation of education programs in accordance with market demand within the scope of vocational education, employment and career planning,
- Supporting university-industry cooperation with a focus on innovation and technology,
- To reach the whole population of media and communication tools with the understanding of lifelong education,
- Ensuring rationale, science and technology-oriented coordination between educational institutions is a very necessary process for the welfare community.

Inadequate employment opportunities and unemployment, informal employment, women's low participation in the workforce and female unemployment, discrimination and gender inequality against women, disability labor force participation and disability unemployment, youth unemployment, long working hours and poor working conditions, low wages, child labor are the main obstacles and problems in the labor markets (Candaş and Yilmaz, 2012: 60-81). Employment policies that encourage employment and participation in the workforce and reduce unemployment are steps that need to be taken to solve these problems.

There are four basic conditions under which decent work should be employment, social security, basic rights to work life and social dialogue (Ghai, 2003:114).

## 4.RESULTS AND RECOMMENDATIONS

The way to sustainable inclusive growth is to address inequalities and achieve the high level of employment provided by good and qualified education. Inequalities, inadequate or failure of education policies, low labor force participation or high unemployment is the most important reasons that impair the quality of growth.

For the prosperity of countries and social peace, inequalities must be addressed, i.e. prosperity must cover all segments of society. Since this requirement cannot take place in the market, which considers economic profitability as its top priority, it needs public regulations.

Although growth that does not create employment primarily affects young people and the disadvantaged, unemployment leads to the deterioration of individual and social peace as well as economic aspects, and the increase of problems such as migration.

- Making public arrangements in solving and developing the problems of education and labor markets,
  For example, such as providing financing facilities to entrepreneurship, supporting cooperatives for the disadvantaged and excluded segments
- To meet the demand for labor; improving learning quality and skills and ensuring the transition to employment (UNDP,2012),
- Creating and supporting the jobs that will employ the existing labor supply while growing the demand for labor that technological developments will create,
- Decisive struggle with informal employment,
- Preventing individuals from being subjected to lower levels of earnings due to unemployment and the prevalence of informal employment,
- Widespread use of advances in information and technology in agriculture and agriculture-based industries, thus ensuring migration to cities and efficient employment of the unemployed in the agricultural sector,
- Achieving social consensus for these practices are steps that will be wounded.

In conclusion, the solution of unemployment, inequality and poverty is a priority problem that is too comprehensive to be solved by the market and requires public regulation. None of these findings are new findings. There are also many theoretical and academic studies that indicate that unemployment causes welfare losses that are transferred to social and future generations more than individual growth that does not create jobs. At this point, what needs to be done is to urgently implement inclusive growth policies.

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# Kobi'lerin İnovasyon Stratejileri Ve İşbirliklerinin İhracat Performansına Etkileri Üzerine Nitel Bir Araştırma

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**Özet:** Günümüzde inovatif faaliyetler, işletmelere uluslararası pazarlarda rekabet avantajı sağlayan önemli araçlardır. Rakiplerin yapamadığı yeniliklerin gerçekleştirilmesi maliyetlerin minimize edilmesine yönelik çabalardan daha fazla önem kazanmakta, işletmeleri rakiplerine karşı ürün ya da süreçlerinde yeniliğe zorlamaktadır.

Bu çalışmada, KOBİ'lerin ihracat performansları ile inovasyon uygulamaları ve inovasyon işbirlikleri arasındaki ilişkinin değerlendirilmesi amaçlanmıştır. Veriler, nitel araştırma yöntemlerinden birisi olan görüşme metodu ile elde edilmiştir. Oluşturulan görüşme soruları, tipik durum örneklemesi yöntemine göre seçilen, Kırklareli ilinde faaliyeti olan imalatçı/ ihracatçı bir işletmenin üst düzey firma yöneticisine iletilmiştir. Elde edilen veriler betimsel analiz yöntemi ile değerlendirilmiştir. Araştırma bulgularına göre inovasyon uygulamalarının ihracatçı işletmelerin rekabet gücü ve pazar payları üzerinde olumlu etkileri bulunmaktadır. Buna göre, inovasyon geliştirme konusunda istekli işletmeleri destekleyecek inovasyon işbirliklerinin KOBİ'ler düzeyinde yaygınlaştırılmasına yönelik öneriler geliştirilmiştir.

**Anahtar Kelimeler:** KOBİ, İnovasyon İşbirliği, İnovasyon Yönetimi, İhracat Performansı.

**Abstract:** Nowadays innovative movements are important tools for businesses enterprises to provide advantage in competition. Realizing innovations that competitors cannot make becomes more important than efforts to minimize costs and forces businesses to innovate in their products or processes against their competitors. In this study, it is aimed to evaluate the relationship between export performance of SMEs and their efforts towards innovation and their attitudes towards cooperation in innovation management. The data were obtained by interview method, which is one of the qualitative research methods. The interview questions were forwarded to the senior company manager of a manufacturer / exporter operating in Kırklareli, selected according to the "typical case" sampling technique. Descriptive analysis technique was used in the analysis of these data. According to the research findings, innovation practices positively affect the competitiveness and market share in export markets. Suggestions have been developed to expand innovation cooperation at the level of SMEs. that will support businesses willing to develop innovation.

**Key Word:** SME, Innovation Collaboration , Innovation Management, Export Performance.

## 1.GİRİŞ

İşletmelerde inovasyon kültürünün yeterince oluşmaması, üniversiteler ve diğer aktörlerle geliştirilemeyen işbirlikleri, inovasyon faaliyetleri sonucu elde edilen çıktının ticarileştirilmesi ve fikri mülkiyet hakları gibi konularda yeterince bilgiye sahip olmamak gibi olumsuzluklar, işletmelerin inovasyon yapmalarını etkilemekte ve rekabet güçlerini azaltmaktadır (Yüksel vd., 2013: 24).

Günümüzün yoğun rekabetçi ortamında, bir firmanın teknolojik ilerlemeyi yakalama ve sürekli yenilik yapma yeteneği, hayatta kalması ve büyümesi için çok önemlidir. Bununla birlikte, sınırlı uzmanlık ve kaynakların bir sonucu olarak, firmaların yeni teknolojileri tamamen kendi başlarına keşfetmeleri giderek zorlaşmaktadır. Küresel pazarda endüstriyel inovasyona yönelik artan talebi karşılamak için endüstri ve araştırma üniversiteleri arasındaki işbirliğinin geliştirilmesi gerektiğine dair evrensel bir kabul bulunmaktadır (Guan and Zhao, 2013: 1271).

İnovasyonun, olumlu etkilerinden yararlanabilmek ve bu etkileri maksimize edebilmek için öncelikle birey, toplum, kurum ve kuruluşlar açısından belirli düzeyde bir farkındalığa sahip olunması, inovasyonun öneminin kavranması, gerekli mekanizmaların kurularak bu mekanizmalar arasındaki iletişim ve etkileşimin sağlanması gerekmektedir (Çütcü, 2017: 595).

Bu çerçevede çalışmada öncelikle, inovasyonun KOBİ'lerin ihracat performansı üzerindeki etkileri ve dış aktörler ile inovasyon stratejileri konusunda işbirliği yapmanın işletmeler açısından önemine yönelik yabancı ve yerli literatür incelenmiştir. Çalışmanın uygulama aşamasında, Kırklareli ilinde tekstil örgü makineleri için yedek parça üreten ve 2005 yılından bu yana birçok ülkeye ihracat yapan örgü platini üreticisi bir firma örnek olay olarak ele alınmıştır. Görüşme yöntemi uygulanarak toplanan veriler analiz edilerek, işletmenin pazarlama, süreç ve ürün inovasyonu konularındaki uygulamalarının ihracat performansı üzerindeki etkileri değerlendirilmiştir. Aynı zamanda işletmenin inovasyonda işbirliği konusundaki tecrübeleri ve buna yönelik tutum ve beklentileri ile ilgili araştırma bulgularına yer verilmiştir.

## 2. İNOVASYON KAVRAMI

İnovasyon Peter F. Drucker tarafından, "yeni, gelişken yetenekler veya artan kullanışlılıkla donatılma süreci" olarak tanımlanmaktadır. Drucker, inovasyonu girişimcilerin özel aracı olarak nitelendirir; girişimciler bu aracı farklı bir iş veya farklı bir hizmet için değişim fırsatı olarak kullanırlar (Elçi vd., 2008: 26).

Oslo El Kitabında (OECD 2005) ise inovasyon türlerine ilişkin tanımlamalar çerçevesinde işletmelerin dört farklı türde inovasyon yapabilecekleri kabul edilmektedir. Bunlar; ürün inovasyonu, süreç inovasyonu, pazarlama inovasyonu ve örgütsel inovasyondur. (Angelo, 2012: 394). Ürün inovasyonu, hem yeni ürün ve hizmetlerin pazara sunulmasını hem de mevcut mal ve hizmetlerin işlevselliğinde veya kullanıcı özelliklerinde önemli iyileştirmeleri içermektedir (Oslo Kılavuzu, 2005). Süreç inovasyonu, yöntemlerde, ekipmanlarda ve/veya yazılımlarda büyük değişiklikleri içinde barındırmaktadır. Bu inovasyona örnek olarak yeni bir üretim yöntemi gösterilebilir. Örgütsel inovasyon , bir işletmenin ticari uygulamalarında, organizasyonunda ve/veya dış ilişkilerinde yeni bir örgütsel yöntemin uygulanması olarak tanımlanabilir (Özgül, 2020: 64). Pazarlama inovasyonu ise var olan ürün ya da hizmetlerin, mevcut müşterilerin memnuniyeti arttırmak ve sürdürülebilir bir ticaret gerçekleştirmek için, yeni müşteriler edinerek pazar payını artırmak için pazarlama stratejilerine yönelik yapılan yenilik çalışmalarıdır. İşletmeler, ürün ve hizmetlerini pazara sunmak için geliştirirler. Pazara sundukları ürün ve hizmetlerde pazar paylarını arttırmak için farklı, değişik ve yeni tasarımların, ambalajların ve pazarlama yöntemlerini geliştirilip kullanılması pazarlama inovasyonu olarak adlandırılır (https://pazarlamaturkiye.com).

Schumpeter'e göre (1950) kapitalizmin arkasındaki itici güç işletmelerin oluşturdukları yeni ürünler, yeni üretim ya da ulaşım metodları, yeni pazarlar ve yeni endüstriyel örgüt yapılarıdır. İşletmeler pazar liderini takip ederek liderin kurallarına göre oyunu oynamak yerine yenilikler ile pazarda lider konuma gelerek oyunun kurallarını değiştirebilir ve bu şekilde rekabetçi avantaj elde edebilir (Kahveci, 2013: 47).

Yeni olarak adlandırılan her şeyin inovasyon olmadığını anlamak, inovasyon kavramının içeriğini kavrayabilmek adına önem arz etmektedir. İnovasyon hareketliliğini meydana getiren yenilikler, sosyal ve ekonomik katma değere çevrilebilen yeniliklerdir. Sosyal ve ekonomik katma değeri bulunmayan hiçbir yenilik özgün ya da yaratıcılığı olsa dahi inovasyon kavramı içinde yorumlanmamaktadır (Şahin, 2020: 38).

### 2.1.Kobi'ler ve İnovasyon

İsviçre'de yerleşik olan Dünya Ekonomik Forumu (DEF) tarafından hazırlanan 2019 Küresel Rekabetçilik Raporunu (KRR) verilerine göre Türkiye 141 ülke arasında 61 inci sırada yer almaktadır. Raporun değerlendirmesinde temel alınan bileşenlerden birisi olan "İnovasyon Kabiliyeti" sıralamasında ise Türkiye 49. sıradadır. Raporda vurgulanan temel bulgulardan birisi, güçlü inovasyon kabiliyetine sahip birçok ekonominin yetenek tabanını ve işgücü piyasasının işleyişini geliştirmesi gerektiği şeklindedir (www.gazetesu.sabanciuniv.edu).

İnovasyonun mikro perspektifte işletmeler ve organizasyonların, makro çapta ülkelerin refah seviyesini yükselterek, küresel rekabette ayakta kalmalarını sağlayan bir faktör olduğunu, önemle vurgulamak gerekir. Sürdürülebilirlik, yüksek istihdamı oranı, düşük cari açık oranı ve ihraç fazlası gibi bir ülkenin en

önemli ekonomik hedeflerinin gerçekleştirilmesinde yenilikçi politikaların benimsenmesi gerekmektedir (Oralhan ve Büyüktürk, 2019: 472).

Ülke ekonomisinin doğası ne olursa olsun, KOBİ'ler inovasyona, bölgesel kalkınmaya ve sosyal uyuma büyük katkı sağlamakta, bu da GSYİH, istihdam ve ihracat üzerinde önemli ölçüde olumlu etkiler yaratmaktadır (İmran et al., 2017: 40).

Yapılan araştırmalar küçük firmaların artan payı dikkate alındığında, daha büyük firmaların inovasyon ve uluslararasılaşmada lider olduğu şeklindeki geleneksel anlayışın modası geçmiş olduğunu göstermektedir. Daha büyük firmalar genellikle organizasyonel rutinlerine kilitlenirken, daha az rutin ve daha az bürokratik dirence sahip küçük firmaların, çevresel değişikliklere daha kolay uyum sağlama yeteneğine sahip olmaları, onları büyük rakiplerine kıyasla yenilikler sunmaya daha yatkın hale getirmektedir. (Angelo, 2012: 394). Diğer yandan daha büyük bir kalifiye teknik ve yönetim kadrosu yüzdesine sahip firmalar daha yenilikçi yeteneklere sahiptir. Ayrıca, KOBİ'ler pazara yönelik yenilikler geliştirme olasılıklarını artırmak için üniversitelerle işbirliği yapabilmektedirler. Bu tür işbirlikleri, bu firmaların kendi iç yeteneklerini güçlendirmelerine olanak sağlarken, gelişmekte olan ekonomilerdeki KOBİ'ler, üniversitelerin düşük standardı nedeniyle bu tür faydalardan çoğu zaman yararlanamamaktadır (Edeh et al., 2020: 2).

İnovasyonun rekabet gücü, kalkınma ve ekonomik büyümedeki etkileri incelendiğinde, inovasyon uygulamalarının gerçekleştirilmesi büyüklüğü ne olursa olsun tüm işletmeler için büyük önem taşımaktadır. Dolayısıyla KOBİ'lerin de ürün ya da hizmetlerini sunumunda ve sunum kalitesinde fark oluşturarak verimliliklerini arttırmaları gerekmektedir. Bu yüzden inovasyon stratejilerinin KOBİ'lerin öncelikli konuları arasında yer alması ve bu stratejilerin uygulanıyor olması bu işletmelerin faaliyetlerini daha etkin ve verimli şekilde sürdürebilmeleri bakımından önem arz etmektedir (Korucuk vd., 2020: 158).

## 2.2.İnovasyonda İşbirliğinin Önemi

İnovasyonun planlanması, uygulanması ve kontrol edilmesine ilişkin dikkatle incelenmesi gereken ilkelerden birisi olan işbirliği ilkesine göre inovasyon konusunda gelen başarı, iş birlikleri olan unsurlarla doğrudan ilişkilidir. İnovasyon fikirleri genel olarak bir kişiden doğmakta ama değerlendirme ve fikirleri gerçekleştirmede birden fazla kişiye ihtiyaç duyulmaktadır. İnovasyon kavramı amaçları ve gerçekleşmesi için ekip çalışmasını gerektirmektedir (Şahin, 2020: 43).

İnovasyon faaliyetleri genellikle işbirliğine dayalı bağlantılar çerçevesinde gerçekleşmektedir. Bugün hala izole bir şekilde çalışan yenilikçi işletmeler olsa da, günümüzde yenilikçi şirketler, üniversiteler ve araştırma merkezleri, stratejik işbirliklerinden toplu sinerji ve bireysel avantajlar elde etmeyi amaçlayan işbirlikçi Ar-Ge projelerinde giderek daha fazla bilgi ve kaynak aktarmaktadırlar (Galaso, 2018: 2).

İşletmelerin, çeşitli çıkar grupları, hükümetler ve diğer paydaşlarla ortak paydada birleşme çabaları, rekabetçi avantaj elde etmek, çevredeki fırsatları yakalayabilmek ve çeşitli tehditlerin etkilerini dengeleyebilmek için önemlidir.(Kahveci, 2013: 5).

KOBİ 'lerde inovasyon çalışmaları sırasında karşılaşılan problemlerden birisi de, inovasyonun kollektif bir çalışmayı gerektirmesine karşılık, inovasyon geliştirme grupları arasında bir koalisyonun oluşturulamamasıdır. İnovasyon girişimcinin tek başına yapacağı bir iş değildir. Toplumsal yapıdan, hükümetlerin uygulamalarından, endüstrinin özelliklerinden, gerekli bilgi ve kaynağa sahip olup olmamaktan etkilenen bir süreçtir (Bozkurt, 2007: 6). Günümüzde KOBİ'ler, değişen ve gelişen ekonomik çevrede hayatta kalabilmek için çeşitli ortak girişimler, işbirliği ağı oluşturma ve yeni pazar stratejileri oluşturma çabasındadırlar. Diğer taraftan kümelenmenin bel kemiğini oluşturan üç temel avantaj olarak sayabileceğimiz elverişli bilgi ortamı, azaltılmış belirsizlik ve birlikte hareket etme gücü sayesinde firmalar, daha yakın etkileşim, işbirliği, ölçek ekonomileri, daha fazla uzmanlık, daha etkin strateji uygulamaları ve daha fazla yenilik elde etmektedir (Öztürk,2020: 33).

Çalışmalar, firmaların dış pazarlarda bilime dayalı ortaklarla işbirliği yaparak yenilikçiliklerini ve üretkenliklerini artırabileceklerini göstermektedir (Edeh et al., 2020: 9). Özellikle, birçok ülkenin ekonomisinin temel motorunu temsil eden KOBİ'lerin, ürünlerini, süreçlerini ve iş modellerini sürekli

olarak yenilemedikleri sürece artık güvenli bir geleceğe sahip olmadığı görülmektedir (Bertello et al., 2021: 3).

İnovasyon yapan işletmeler, inovasyon faaliyetini tamamlayıcı stratejilere ve yetkinliklere ihtiyaç duymaktadırlar. İnovasyon konusunda rakipler de dâhil olmak üzere dış paydaşlarla işbirliği yapma becerisi ve stratejileri; işletmenin faaliyetlerini ilgilendiren alanlarda, işletmenin bulunduğu bölgede, yurtiçinde ve dışında geliştirilen yeni teknolojilerin ve üretilen bilginin sürekli olarak takibi ve ihtiyaç duyulanların firma tarafından özümsenmesi gibi konular, bu tür yetkinlik ve stratejilere verilebilecek örneklerdendir. Diğer yandan, inovasyonda işbirliğinin, işletmelerin rekabet avantajının belirlenmesinde önemli rolü bulunmaktadır (Elçi vd., 2008: 29).

Güler (2011)'in, inovasyon işbirliklerinin inovasyon performansı üzerindeki etkisinin araştırıldığı çalışmasında, İnovasyon faaliyetleri ile ilgili kuruluşlarla işbirliği yapmanın inovasyon performansını olumlu yönde etkilediği, kuruluşlarla yapılan işbirliği ve sıkı ilişkiler sayesinde ortaya çıkan öğrenme ve bilgi yayınımının inovasyon performansının en temel kaynağını oluşturduğu sonuçlarına ulaşılmıştır (Güler ve Kanber, 2011: 73).

Guan(2013)'a göre üniversiteler ve sanayi arasındaki bağlantılar, bölgesel ve ulusal inovasyon sistemlerinin önemli kısmını oluşturmaktadır. Bu nedenle, aralarındaki işbirliğinin güçlendirilmesi bir ülkenin rekabet gücü için çok önemlidir. Üniversite-endüstri bilgi transferi günümüzde hem ekonomi hem de yönetim çalışmalarında önemli bir araştırma konusudur ve aynı zamanda bir dizi gelişmiş ve gelişmekte olan ülkenin bilim ve teknoloji politikası gündeminin ilk sıralarında yer almaktadır (Guan ve Zhao, 2013: 1271).

Abar (2020)' a göre sanayileşmiş ülkelerin ekonomileri ve inovasyon seviyeleri incelendiğinde üretilen bilginin sanayide doğrudan kullanıldığı ve böylece küresel pazarlarda rekabetçi avantajlar elde ettikleri görülmektedir. Üniversiteler ve endüstriler arasındaki işbirliği, bilgi transferini kolaylaştırabilir ve yeni bilgi ve teknolojinin üretimini teşvik edebilir (Abar, 2020: 1032).

Hancıoğlu (2019)' nun, İngiltere, Amerika Birleşik Devletleri Ve Türkiye'nin Ulusal İnovasyon Sistemlerinin İncelenmesi: Türkiye İçin Öneriler başlıklı çalışmasında yer alan bilgilere göre ise, İngiltere inovasyon sisteminde küçük işletmeler, küçük işletme hizmeti ve iş bağlantıları ile desteklenmektedir. ABD'de "Küçük İşletme İnovasyon Araştırma Programı" ile küçük işletmeler inovasyon yapmaları için teşvik edilmektedir. ABD'deki mevzuat küçük işletmelerin oluşumunu engellememektedir. Türkiye'de KOSGEB'in KOBİ'lere verdiği inovasyon ve Ar-Ge'ye yönelik özel eğitim ve danışmanlık hizmetleri bu ülkeler ile benzerlikler göstermektedir (Hancıoğlu ve Atay, 2019: 544).

Dolayısıyla, inovasyon ve girişimcilikle ilgili son literatür, günümüzün iş ortamının karmaşıklığının birden çok aktörün işbirliğine dayalı çabaları gerektirdiğini vurgulamaktadır (Bertello et al., 2021: 3).

### 2.2.1.İnovasyonda İşbirliği Türleri

**-İnovasyon Ağları:** İnovasyon ağları, firmalar, üniversiteler, kamu kuruluşları, müşteriler ve diğer aktörler tarafından oluşturulur ve bunlar arasındaki bağlantılar ve etkileşimlerle hayat bulur. Bu nedenle, bir firmanın bu tür ağlarda yer alması, stratejik olarak büyük bir önem taşır ve bulunduğu ağdaki gücünü ve etkisini yansıtır. Ağlar, inovasyon için pek çok yeni fırsatın ortaya çıkmasına da yol açar (https://inomer.org).

**-İnovasyona Dayalı Kümelenmeler:** Michael Porter, Amerika'nın inovasyonla gelen rekabet avantajının kümelenmeler temeline oturan bölgesel ve yerel inovasyon sistemlerinden kaynaklandığını ortaya koymuştur. Porter, kümeyi belli bir alanda birbiriyle bağlantılı şirketler ve kurumların oluşturduğu coğrafi yoğunluk olarak tanımlar. Küme, birbiriyle bağlantılı sanayileri ve rekabet için gerekli diğer kuruluşları kapsar. Örneğin, parça, makine ve hizmet gibi belli alanlarda uzmanlaşmış girdi tedarikçilerini ve yine alanında uzmanlaşmış altyapı sağlayıcılarını içerir. Genellikle, birbirlerini tamamlayan ürünlerin üreticileri, müşterileri ve dağıtım kanallarından beceri, teknoloji ve ortak girdi bakımından ilişkili sanayilerde faaliyet gösteren şirketlere kadar uzar. (https://inomer.org.)

### 2.2.2.Tim İnovalig Ve İnosuit Programları

Türkiye İhracatçılar Meclisi (TİM) tarafından oluşturulan İNOVALİG ve İNOSUİT gibi programlar ile ihracatçı firmaların inovasyon yetkinliklerinin sürdürülebilir hale gelmesi inovasyon altyapısının ve yönetiminin güçlendirilmesi hedeflenmektedir. İnovasyon bilincinin sağlanması ve uluslararası standartta firmaların inovasyon karnelerinin çıkarılması amaçlanmaktadır. Programa katılımcı firmaların başarı öykülerinde, belirlenen yol haritasında, yapılan inovasyon uygulamaları ile pazar paylarını arttırdıkları ve yurt dışı pazarlara açılmada atılım gerçekleştirdikleri görülmektedir.

Üniversite - Sanayi işbirliğine dayanmakta olan "İnoSuit - İnovasyon Odaklı Mentorluk Programı" kapsamında, İhracatçı Birlikleri üyesi şirketlerde inovasyon yönetimi yetkinliğinin sürdürülebilir şekilde arttırılması, inovasyon yönetimi altyapısının oluşturulması, güçlendirilmesi, her bir kurumun kendi hedeflerine, yapısına ve ihtiyaçlarına uygun kurumsal inovasyon sistemlerinin tasarlanması ve hayata geçirilmesi amaçlanmaktadır. Programın hedeflerinden bazıları (www.tim.org.tr);

1.İnovasyon yönetimi yetkinliğinin sürdürülebilir şekilde arttırılmasının, bunun sonucunda da ihracat performansının yükseltilmesinin sağlanması,

2.İnovasyon yönetimi konusunda ülkemizdeki üniversiteler ve özel sektör arasında iş birliğinin arttırılması,

3.Ürünlerde, süreçlerde, organizasyonel yapılanmalarda veya pazarlama faaliyetlerinde inovasyon projelerinin hayata geçirilmesi,

4.İnovasyon yönetimi konusunda, ülkemiz üniversitelerindeki bilimsel bilgi, araştırma ve uygulama tecrübesinin arttırılmasıdır.

Olarak belirtilmektedir.

## 3.İHRACAT PERFORMANSI

İhracat performansı, genel olarak işletmenin uluslararası satışlardan elde ettiği çıktılar şeklinde tanımlanmaktadır. Uluslararası satışlardan elde edilen çıktıların yüksek olması ihracat performansının yüksek olduğunun göstergesidir. Çıktılar performansın finansal, stratejik yönleri ve değişimi yakalayabilecek şekilde belli bir zaman aralığını kapsamalıdır (Kahveci, 2013: 45).

Thirkell ve Dau (1998:817-818) ihracat performansı ölçmede sekiz yaklaşım kullanıldığını belirtmişlerdir. Bu sekiz yaklaşım, İhracat engelleri, ihracat eğilimi, ihracat problemleri, ihracatçılarla ihracatçı olmayanların karşılaştırılması, ihracat satışları, ihracat seviyesi (ihracatın toplam satışlar içindeki oranı), ihracatın büyüme yoğunluğu ve yöneticilerin ihracatı algılamalarından oluşmaktadır (Torlak vd., 2007: 106).

McGuinnes ve Little (1981: 115) ihracatın toplam satışlara oranı ile ihracat performansını ölçmüştür. Ayal (1982), ek olarak ihracatın sermayeye oranını da finansal bir gösterge şeklinde performans ölçümü için kullanmıştır (Sarıhan ve Tepeci, 2017: 869).

İhracat performansının tanımı konusunda literatürde genel kabul gören bir tanım birliği olmamasına rağmen, ihracat performansının ölçümünün nasıl yapılacağı ve ihracat performansının alt boyutları ile ilgili olarak genel bir uzlaşma vardır. Genel olarak ihracat performansı ölçülürken objektif ve subjektif kriterler kullanılmaktadır (Yücel ve Yeniçeri, 2008: 709):

Tablo 1: İhracat Performans Ölçüm Kriterleri

| **İhracat performans ölçümünde kullanılan objektif kriterler** | **İhracat performans ölçümünde kullanılan sübjektif kriterler** |
|---|---|
| Toplam Satış Hasılatı İçinde İhracat Satış Hasılatının Oranı | Stratejik Nitelikli Kriterler |
| İhracat Faaliyetinin Finansal Sonucu | Davranışsal Kriterler |
| İhracattaki Büyüme | |

Objektif ölçütler ihracat performansıyla ilgili kesin değerleri ortaya koyarlar. Objektif ölçütler arasında satışla ilgili ölçütler (ihracat yoğunluğu, ihracat satış büyümesi gibi) en çok kullanılan ölçütler arasında bulunmaktadır. Bu ölçütler ancak işletmenin ihracata özgü kayıtları mevcutsa doğru bilgiler vermektedir ve bu bilgiler işletmeler tarafından araştırmacılara gönüllü bir şekilde verilebiliyor olmalıdır. Subjektif ölçütler ise algısal veya tutumsal performansı ortaya koyar. Bu ölçütler arasında algılanan ihracat başarısı, ihracat satışlarındaki tatmin düzeyi ve beklentilerin karşılanması yer almaktadır (Ghabangandi, 2018: 68).

İhracat performans ölçütleri konusunda literatürdeki gelişim incelendiğinde son periyotta öne çıkan konuların işletmeye özgü faktörlerden oluşan strateji, firma büyüklüğü, performans, verimlilik ve inovasyon gibi kavramlar olduğu gözlemlenmektedir (Tanrıverdi ve Altıntaş, 2019: 307).

### 3.1.Kobi'lerin İhracat Performansını Etkileyen Faktörler

TÜİK 'in 2019 yılında yayınlanan KOBİ istatistikleri raporuna göre; Türkiye'nin ekonomik hacminde KOBİ'lerin toplam girişimin (işletme) %99,8'ini, istihdamın %72,4'ünü, maaş ve ücretlerin %51'8 ini, cironun (satışların) %50'sini ve katma değerin de %44'ünü oluşturdukları görülmektedir. Aynı rapora göre 2019 yılında KOBİ'lerin ihracat miktarı 65 milyar dolar olarak gerçekleşmiş olup, bu rakam toplam ihracatın %36'sını oluşturmaktadır.

Özellikle gelişmekte olan ülkelerde küçük firmalar için, iç pazar ihracat pazarlarına göre oldukça istikrarsız, daha az karlı ve daha az caziptir. Dahası, iç pazar genellikle çok küçüktür. Bu nedenle, iç pazar doygun hale geldikten sonra, dış pazarlardaki ticari genişleme, büyümeyi ve uzun vadeli hayatta kalmayı sağlamanın tek yoludur (Gupta and Chahuan, 2020: 2).

Birçok işletme açısından ihracat işlemleri karmaşık olarak algılanmaktadır ve ihracatın gerektirdiği kalite standartlarına ulaşmak ve yeterli finansman bulma gibi konular aşılması zor engeller olarak bilinmektedir. Bu nedenlerle, gelişmemiş ve gelişmekte olan ülkelerde KOBİ'lerin dış pazarlara açılma ve başarılı olmalarının büyük çaplı işletmelere göre çok daha zor olduğu bilinmektedir (Kaya, 2012: 29).

Eisenhardt ve Martin (2000)'a göre "dinamik yetenekler", işletmelerin, pazarda değişime cevap vermek, hatta değişim yaratmak için gereken yöneticilerin kaynak tabanını değiştirmesi, ürün yenilemesi gibi özel örgütsel ve stratejik süreçler olarak tanımlanmaktadır (Şahin, 2017: 111). *İnovasyon, ağ oluşturma ve pazarlama yetenekleri gibi dinamik yeteneklerin küçük firmaların ihracat performansında önemi üzerine geniş bir fikir birliğinin oluşmasını sağlayan çok sayıda çalışma gerçekleştirilmiş ve bu üçü, son literatürde bu ilişkide en çok etkisi olan küçük firma yetenekleri olarak tanımlanmıştır (Gupta and Chahuan, 2020: .2).*

KOBİ'lerin faaliyetleri bölge ve ülke ekonomisi açısından önem arz etmekle birlikte, ihracat faaliyetlerinde bu işletmeler bir takım sorunlar yaşamaktadırlar. KOBİ'lerin ihracat faaliyetlerini etkileyen ulusal düzeydeki sorunlar dokuz başlık altında toplanmaktadır (Aktepe vd, 2018: 109):

1.Kamu finansman yardımlarının ve teşviklerinin yetersiz olması,

2.KOBİ'leri ihracata yönelten ve ihracatlarını geliştirmeye yönelik planlı bir stratejinin izlenmemesi,

3. KOBİ'lerin ihracata katkısını artırmaya yönelik amaçların açıkça ortaya konmaması,

4.Tarife ve kotalara ilişkin engeller,

5.Bürokratik engeller ve mevzuat sorunu,

6. İç piyasa şartlarının dış piyasaya göre cazip olması,

7.KOBİ'lerin organize olmamaları,

8.KOBİ'lerin ihracatını kolaylaştırmaya yönelik pazarlama kanalları ve ihracat pazarlama örgütleri, konsorsiyumlar gibi sistemlerin kurulması için uygun ortamların bulunmaması,

9.İhracata yönelik uygulamaların KOBİ'lerin yararına işlememesi.

## 3.2.İnovasyon Stratejileri ile İhracat Performansı İlişkisi

Dünya ekonomilerini inovasyon yeteneklerine göre sıralayan Küresel İnovasyon Endeksi (Global Inovation Index)'nin 2020 yılı raporuna göre Türkiye 51. Sırada yer almaktadır (www.zucder.org.tr). Elmacı (2021) nın bu konuda yaptığı değerlendirmelere göre; yaygın toplantılara, demeçlere, ödüllere, teşviklere karşın Türkiye'nin dünya çapında bir markası olmadığı gibi geliştirdiği, ihraç ettiği yeni ürün, yeni teknoloji, yeni üretim süreci de bulunmamaktadır. Yeni ürün, yeni teknoloji ihracının yokluğu bir yana, ileri teknoloji ürünlerinin ihracat içindeki payı da son derece düşüktür. Türkiye daha çok geleneksel sanayi ürünlerini, onların da büyük ölçüde montajını yaparak dışarıya satmaktadır. Türkiye'nin ihracatında ortalama kg. değeri 1.46 ABD Doları (USD) olarak hesaplanmaktadır. Bu değer, teknoloji ürünü satan Ar-Ge harcamalarının yüksek olduğu Güney Kore'de 3.0 USD, Japonya'da 3.5 USD, Almanya'da 4.1 USD'ye kadar yükselmektedir. (https://portal.dpu.edu.tr/orhan.elmaci).

Yenilikçi firmaların yenilikçi olmayanlardan daha iyi performans gösterdiği ihracat pazarları, yeniliğin önemli kalite farklılıklarına yol açtığı pazarlardır (Mallinguh et al., 2020: 6). Hızla gelişen teknolojide ticarileşmek, inovasyonla mümkün olabileceği gibi ihracatla desteklenen bir ekonomi, gelişmekte olan ülkelerin uzun vadeli sürdürülebilir, ihracata dayalı bir inovasyon modelinin önemini arttırmakta ve her geçen gün, böyle bir modele, daha da fazla ihtiyaç duyulduğunu göstermektedir. Girdileri ve çıktıları açısından tüm ekonomik faaliyetlerde, ülke ekonomilerinin gelişmesinde, istihdamda, milli kalkınmada, "inovasyon ve ihracat'' çarpan ve hızlandıran etkisiyle önemli bir kaldıraç rolü üstlenmekte ve firmaların genel performanslarını önemli derecede artırmaktadır (Çetin ve Gedik, 2017: 110).

Literatürde bu konuda yapılan çalışmalardan bazıları şu şekilde özetlenebilir. Edeh (2020) 'in inovasyon türlerinin KOBİ lerin ihracat performansı üzerindeki etkileri başlıklı araştırmasında; inovasyon-ihracat performansı büyük ölçüde bir firmanın çevresiyle nasıl etkileşim kurduğuna bağlı olduğundan, dış inovasyon işbirliklerinin olası etkileri incelenmiştir. Elde edilen bulgulara göre firmaların, hem yurtiçi hem de yurtdışı pazarlarda bilime dayalı ortaklarla işbirliği yaparak inovasyon yeteneklerini geliştirebilecekleri sonucuna ulaşılmıştır. Üniversiteler ile inovasyon işbirliklerinin İhracat performansıyla olumsuz yönde ilişkili olduğu, ancak yurtdışındaki kamu araştırma kurumları ile yapılan işbirliğinin ihracat performansı üzerinde olumlu bir etkisi olduğunu göstermektedir. İş yeniliklerinin geliştirilmesinde bilime dayalı ortakların önemi vurgulanmaktadır (Edeh et al., 2020: 9).

Easmon (2019), Gana'daki ihracatçı firmaların yöneticileri ve üst düzey yöneticilerinden elde ettiği veriler ile, KOBİ'lerin ihracat performansı ile inovasyon yeteneklerinin ilişkisi üzerine yaptığı araştırmada, KOBİ'lerin ihracat pazarlamasındaki performansında inovasyon yeteneklerinin kritik rolünün bulunduğu sonucuna ulaşmıştır (Easmon et al., 2019: 20).

Guan ve Ma (2003), inovasyon yeteneklerinin sadece çeşitli endüstrilerdeki imalat firmalarının ihracat oranını etkilemekle kalmayıp, aynı zamanda ihracat büyümesinin de inovasyon yeteneklerinin iyileştirilmesiyle ilgili olduğu sonucuna varmıştır.

İnovasyon yapmak ihracatı tetiklediği gibi, inovasyon yapma isteği ve dışa dönük ticari faaliyetler de yeni pazarlar oluşturmaya ve markalaşmaya destek sağlamaktadır. Yüksek kazanç isteği ve pazar payı hâkimiyeti yerel pazarda üründe, süreçte ve piyasada pazarda yenilik yapmayı sürekli kılmaktadır. İhracat yapan işletmeler ise değişime ayak uydurup karlılık ve rekabet güçlerini koruyabilmek için daha çok inovasyon yapmak zorunda kalmaktadır. Küresel rekabet için uluslararasılaşmada en çok tercih edilen dış pazar bulma yöntemi ve pazarı genişletme yolu ihracattır. Bu anlamda, "Dünya ekonomisine damgasını vuran en önemli iki dinamik: küreselleşme ve inovasyondur (Çetin ve Gedik, 2017: 111).

Ülkeler belli bir süre, ihracat oranlarındaki iyiye gidiş veya iç talebin yüksekliği sayesinde büyüyebilseler de bu büyümenin uzun vadeli ve sürdürülebilir olması, ülkenin inovasyon performansına ve bu performanstaki artışa bağlıdır (Elçi vd., 2008: 30).

Tekin ve Hancıoğlu (2018) 'nun Avrupa İnovasyon Karnesi'nde yer alan 36 ülkenin 2008-2015 yılları arasındaki verilerinin panel veri analizi ile incelendiği çalışmasının sonuçlarına göre, inovasyon ile ihracat performansı arasında pozitif bir ilişki olduğu bulunmuştur (Tekin, 2018: 897).

Jusufi ve Ukaj (2020)'ın Kosova'da imalat ve ihracat yapan 100 KOBİ'nin inovasyon modelini analiz ettiği çalışmasında ürün çeşitliliği ile ihracattaki artış arasında bir bağlantı olduğu sonucuna ulaşılmıştır.

İnovasyon ile bu KOBİ'lerin ihracat büyümesi arasında güçlü bir pozitif ilişki bulunmaktadır. Bu çalışma, ürün inovasyonunun KOBİ'lerin ihracat performansı üzerindeki etkisini değerlendirerek Batı Balkan literatüründe mevcut olan mevcut boşluğu ele almaktadır. Ekonometrik sonuçlar, ürün inovasyonunun önemli olduğunu ve ihracat büyümesi ile güçlü bir ilişkisi olduğunu göstermektedir (Jusufi et al., 2020: 215).

## 4.ARAŞTIRMANIN METODOLOJİSİ

Torlak (2007) 'ın Türk İşletmelerinin İhracat Performansı Belirleyicileri başlıklı araştırmasında işletmelerin yer aldığı coğrafi bölgelerin dağılımı ile ihracat performansları arasında bir ilişki olduğu tespit edilmiştir. Akdeniz, Ege ve Marmara bölgelerinin; ihracat performansı açısından diğer coğrafi bölgelerden daha yüksek performanslı olduğu görülmektedir. TUİK'in dış ticaret verilerine göre de, 2020 yılında gerçekleşen 179 milyon dolarlık ihracat rakamı ile Kırklareli ili, illere göre ihracat listesinde 45. Sırada yer almaktadır. Kırklareli ilinin son yıllarda yurt içi ve dışında yatırımcıların ilgi odağı haline gelmeyi başarmasında, İstanbul ve Tekirdağ'da fabrika kurmak isteyen ancak yer bulmakta sıkıntı çeken yatırımcının, İstanbul'a yakınlığı ile Kırklareli'ni tercih etmeye başlaması rol oynamaktadır (https://www.haberturk.com).

Bu bağlamda Kırklareli ilinde, Türkiye ekonomisinin en önemli sektörü olan imalat sektöründe (Bağcı,2016: 74) faaliyet gösteren, ihracatçı bir işletmenin inovasyon uygulamalarının ihracat faaliyetlerine etkisi çalışmanın ana çerçevesini oluşturmaktadır.

Bu çalışmada, KOBİ'lerin ihracat performansları ile inovasyon uygulamaları ve inovasyon yönetiminde işbirliğine yönelik tutumları arasındaki ilişkinin değerlendirilmesi amaçlanmıştır. Çalışmada nitel veri toplama araçlarından biri olan görüşme tekniği kullanılmıştır. Bu yöntem katılımcının bir konu hakkındaki kişisel deneyimlerini, bakış açısını ve düşüncelerini kendi ifadeleri ile anlatmasına olanak tanıyan esnek bir yöntemdir.

Araştırmada, nitel araştırmalarda kullanılan amaçlı örnekleme yöntemlerinden birisi olan tipik durum örneklemesi yöntemi kullanılmıştır. Bu yöntemde araştırmacı yeni bir uygulamayı veya yeniliği tanıtmak istediğinde, bu uygulamanın yapıldığı veya yeniliğin olduğu bir dizi durum arasından en tipik bir ya da birkaç tanesini saptayarak bunları çalışabilir. Bu kapsamda, ön çalışma olarak Kırklareli ili Babaeski Ticaret Odasına kayıtlı ihracatçı işletmelerden anket yöntemi ile elde edilen veriler değerlendirilmiştir. Çalışmanın amacına uygun olarak son 2 yıl içinde ihracat pazarlama faaliyetlerinde inovatif süreç geliştirmiş olduğunu belirten, tekstil örgü makineleri için yedek parçalar üreten ve Türkiye'nin ilk ve tek örgü platini üreticisi olan, üretici-ihracatçı işletme tipik bir durum olarak ele alınmıştır. İşletmenin dış pazarlardaki inovasyon stratejileri yeni bir uygulama olarak incelenmiş; yerli rakibi olmayan ancak girdiği yabancı ülke pazarlarında yoğun rekabet çevresinde faaliyetlerini sürdüren işletmenin inovasyonda işbirliğine yönelik tutumları hakkında bakış açısı kazanılmaya çalışılmıştır.

Araştırmanın amacı doğrultusunda, işletmenin yöneticisi ile yapılan görüşmede yedi sorudan oluşan yarı yapılandırılmış mülakat formu kullanılmıştır. Katılımcının gerçek ismi yerine takma ismin (Yönetici 1) kullanıldığı çalışmada veriler mülakattan yapılan alıntılarla desteklenmiştir.

Çalışmada toplanan veriler, konuya ilişkin katılımcının görüş ve tutumlarını derinlemesine tanımlamak amacıyla betimsel analiz ile çözümlenmiştir. Betimsel analizde görüşülen ya da gözlenen bireylerin görüşlerini çarpıcı bir biçimde yansıtmak amacıyla doğrudan alıntılara sık sık yer verilir (Yıldırım ve Şimşek, 2011). Betimsel analizde amaç elde edilen bulguların düzenlenmiş ve yorumlanmış bir biçimde okuyucuya sunmaktır. Çalışmada betimsel analiz yapılırken Yıldırım ve Şimşek (2011)'in ifade ettiği; (1)betimsel analiz için bir çerçeve oluşturma, (2) tematik çerçeveye göre verilerin işlenmesi, (3)bulguların tanımlanması, (4) bulguların yorumlanması adımları izlenmiştir. Araştırma konusu ihracatçı işletmeye ait demografik veriler ve görüşmede yöneltilen sorular aşağıdaki gibidir:

Tablo 2: Demografik Veriler

| | |
|---|---|
| Katılımcının Ünvanı | Genel Müdür Yardımcısı |
| İşletmenin Faaliyette Bulunduğu Yıl Sayısı | 25 |
| İşletmenin Çalışan Sayısı | 50 |

| | |
|---|---|
| İşletmenin Ağırlıklı Pazar Yapısı | Karma (Ulusal ve Uluslararası) |
| İhracat Yapılan Yıl | 9 |
| İhracat Yapılan Ülke Sayısı | 23 |
| İşletmenin İhracat Satışlarının Toplam Satışlara Oranı | % 14,3 |

Tablo 3: Görüşme Soruları

| No | Sorular |
|---|---|
| 1 | İşletmenizin geliştirdiği inovatif ürün ya da süreçler nelerdir? |
| 2 | Size göre ihracata yönelik hedef pazarlardaki pazar payınızın artışı için İnovatif faaliyetler önemli mi? |
| 3 | Sizce inovasyon yeni pazarlar oluşturmak için gerekli midir? |
| 4 | İşletmeniz diğer şirket ya da kurumlarla ortaklaşa inovasyon geliştirme konusunda istekli midir? Bu konuda bugüne kadar bir girişiminiz oldu mu? |
| 5 | Türkiye'deki inovasyon geliştirmeye yönelik desteklerin kapsamı konusundaki düşüncelerinizi öğrenebilir miyim? |
| 6 | Bugüne kadar işletmenizin dış kaynaklardan inovasyon danışmanlığı alma konusunda herhangi bir girişimi oldu mu? |

## 4.1.Araştırma Verilerinin Analizi

Çalışmada katılımcı yöneticinin görüşlerini çarpıcı bir biçimde yansıtmak amacıyla doğrudan alıntılara yer verilerek, verilerin analizinde "betimsel analiz" yöntemi kullanılmıştır. İlk aşamada, kavramsal çerçeveye bağlı olarak görüşme sonunda elde edilen verilerin hangi temalar altında düzenleneceği ve sunulacağı belirlenmiştir. İkinci aşama olarak, tematik çerçeveye göre veriler anlamlı ve mantıklı bir şekilde ilişkilendirilerek düzenlenmiştir. Düzenlenen bu veriler tanımlanarak, doğrudan alıntılarla desteklenmiş ve yorumlanmıştır. Verilen yanıtlar örgütsel ve yönetsel anlamda değerlendirilmiştir. Yönetici ile görüşme, 40- 60 dakika arasındaki bir sürede gerçekleştirilmiş olup, bilgilerin kaybolmaması için görüşme katılımcının izniyle kaydedilmiştir.

## 4.2.Araştırmanın Bulguları

Araştırmada öncelikle katılımcıya firmanın inovatif ürün ve süreçleri ile ilgili uygulamalarını, inovasyon konusundaki girişimlerinin ihracat performanslarına etkilerini öğrenmeye yönelik sorular yöneltilmiştir. Daha sonra görüşme, inovasyon süreçlerinde işbirliğine yönelik tutum ve beklentileri konusundaki değerlendirmelerine yönelik sorularla devam etmiştir. Yapılan görüşmede ortaya çıkan bazı çarpıcı ifadeler aşağıda yer almaktadır (kişisel görüşme, 2020):

**Soru 1:** İşletmenizin geliştirdiği inovatif ürün ya da süreçler nelerdir?

**Yönetici**: …… *hem üretim yapan hem de ürettiği ürünleri kendi kanalları aracılığı ile satan bir firmayız. Bugün artık her şey maliyet odaklı hale geldi. Müşterilerimizin de yaklaşımı "ürün Alman kalitesinde olsun ama bunu bana Çin fiyatıyla sat" şeklinde. Böyle olunca da kaliteyi korurken maliyetleri düşürmenin arayışına giriyoruz. Üretimde daha hızlı daha uygun fiyata daha kaliteli nasıl yaparız arayışındayız. Sarf malzeme ve makine alımı yaptığımız, tedarikçimiz olan bir firmanın proses uzmanı ile şu anda ortak bir proses çalışması yürütüyoruz. Ürünümüzü müşterinin daha fazla arayacağı bir ürün haline getirecek bir çalışma bu. Dünya genelindeki rakiplerimizin kullandığı makineler var ancak bizim kur artışı, bürokratik süreçler, vergiler nedeniyle aynı makinelere rakiplerimizin ulaştığı fiyatlarla ulaşmamız çok kolay değil. Yurtdışından yüksek maliyetle getirmek yerine ben bu işi başka türlü nasıl çözerim arayışına giriyoruz. Yurtdışından 250 -300 bin euro ödeyerek tedarik etmem gereken bir fırının elimdeki mevcut fırında bir takım sistem ve aparat değişiklikleri yaparak çözmüş durumdayım. Dolayısıyla işletmem 300 bin euroluk yatırımı yapmaktan kurtuldu. Elindeki imkânları kullanarak ürün kalitesini arttırdı. Bu da pazara daha kaliteli ürünü daha düşük maliyetle sunmamı sağlıyor. Türkiye'de rakibimiz yok bu sektörde tek üretici biziz, iç pazarımız da var, ihracatın toplam satışlar içindeki payı % 15*

*civarında. Yurtiçinde yatırımcıların çekimser olması, üretimin yavaşlaması vb nedenlerle ihracata yönelik çalışmayan firmalar ciddi sıkıntılar yaşayabiliyor. Bu nedenle nihai hedefimiz ihracatın payını % 50 ye çıkarmak. Biz örneğin 2019 yılı itibariyle pazarlama süreçlerimizde de değişime gittik; önceden müşterilerimizle fuarlardan alınan iletişim bilgileri üzerinden e posta yoluyla iletişim kurmaya yöneliyorken yerinde müşteri ziyaretleri yapmaya başladık. İlk ziyaretlerimizi Arjantin, Brezilya ve Peru'ya gerçekleştirdik. Trade Map sitesinden ülkelerin hangi ürünlere kaç milyon dolarlık ithalat yaptıklarını araştırdık. Arjantinle başladık. Önce bizim ürünlerimizi alıp son müşteriye satan tedarikçileri ziyaret ettik. Sonra onlarla birlikte onların müşterilerini ziyaret ederek marka ile ilgili güven ortamı oluşturmaya çalıştık son kullanıcının gözünde.*

İhracat yapan KOBİ'lerin yenilikçi faaliyetleri içerisinde ürün inovasyonları özel bir önem taşımaktadır (Jusufi et al., 2020: 216). Açıklamalara göre, işletmede hem ürün hem pazarlama inovasyonuna yönelik çalışmalar yapılmaktadır. Ürün inovasyonu konusunda mevcut tedarikçiler ile sektörel işbirliği kapsamında ortak proje yürütülmüş, yapılan yenilik ile beraber önemli ölçüde maliyet avantajı elde edilmiştir. Pazarlama süreçleri ile ilgili ise yine inovatif bir yaklaşımla, genelde ihracatçı işletmelerin tercih ettiği yöntem olan klasik e posta yoluyla iletişim kurmanı dışında, dış pazarlarda yerinde müşteri ziyaretleri yapmak şeklinde yeni bir pazarlama iletişimi yolu denenmiştir. Oldukça maliyetli olan bu yöntem işlemenin tamamen kendi içindeki kaynaklar kullanılarak, yönetim kademesinde alınan bir karar ile uygulamaya konmuştur.

**Soru 2:** Size göre ihracata yönelik hedef pazarlardaki pazar payınızın artışı için İnovatif faaliyetler önemli mi?

**Yönetici:** *Önemli. Önceki sorunuzun cevabı olarak bahsettiğim pazarlama çalışmasını Peru ve Breziya'da da yapıp geri döndükten sonra bu ülkelerde o güne kadar gerçekleştiremediğimiz şekilde ihracatımız arttı. Ziyaret ettiğimiz ilk ülke olan Arjantin'de 15.000 dolara yakın bir satış gerçekleşti. Peru pazarında 5.000 dolar olarak, Brezilya pazarında ise 25.000-26.000 dolar olarak gerçekleşti bu ziyaretlerin arkasından. Dolayısıyla bizim pazarlama süreçlerimizde yaptığımız bu ufak yenilik firmamıza çok büyük bir değişiklik olarak yansıdı. Bir önceki yılın (2018) ihracatı ile karşılaştırınca % 60 gibi bir artış oldu.*

Pazarlama inovasyonu, üründe veya ambalajında farklı ve yeni tasarımların gerçekleştirilmesi, farklı pazarlama yöntemlerinin geliştirilmesi ve uygulanması ya da var olanların iyileştirilerek daha gelişkin hale getirilmesi olarak tanımlanmaktadır (Çütcü, 2015: 22). Diğer bir tanımla var olan ürün ya da hizmetlerin, mevcut müşterilerin memnuniyeti arttırmak ve sürdürülebilir bir ticaret gerçekleştirmek için, yeni müşteriler edinerek pazar payını artırmak için pazarlama stratejilerine yönelik yapılan yenilik çalışmalarıdır. Yetkili, bu tanıma uygun olarak, pazarlama sürecinde gerçekleştirdikleri inovasyonun ardından, işletmenin Güney Amerika pazarında o güne kadar kullanılan geleneksel yöntemlerle ulaşılamayan ihracat rakamlarına ulaştığını belirtmektedir. Önceki yıllarla karşılaştırıldığında gözlenen % 60'lık artış inovatif faaliyetlerin ihracata yönelik hedef pazarlardaki Pazar payının artışı üzerinde etkili olduğunu ortaya koymaktadır.

**Soru 3:** Sizce inovasyon yeni pazarlar oluşturmak için gerekli midir?

**Yönetici:** *Gerekli. Biz yukarıda bahsettiğim pazarlama yeniliğini potansiyel müşteriler için yaptık ve sonuç aldık şimdi hedefimiz mevcut müşteriler ile hacmimizi arttırmak üzere bu çalışmalarımızı geliştirmek. Yenilik yapmadan farklı sonuçlar elde etmek mümkün değil. Yıllarca aynı yöntemi kullanabilir, yıllarca dış pazardaki müşterilere mail yoluyla iletişim kurmaya çalışabilirdik. Hala da mail yoluyla ulaşmaya çalışıyoruz. ABD de ki potansiyel müşterilerin listesine ulaştık Trakya Kalkınma Ajansının ilgili istihbarat birimi aracılığıyla 90 adet firmaya mail yolladık. Kaç tane geri dönüş oldu derseniz hiç olmadı. Dolayısıyla ziyaretlerimizi devam ettirmek zorunda olduğumuzu anladık. Yeni kanallar açmak için inovasyonun şart olduğunu anladık. Herkes yerinden kalkmadan müşteriye ulaşmaya çalışıyor ama bunu farklı yöntemle yapmak fark yaratıyor. Bu ziyaretler sırasında pazarların kendi iç dinamiklerindeki ihtiyaçlarını öğrenmek mümkün oluyor. Brezilyada enerji çok pahalı vergi yüksek üretici birim zamanda maksimum ürünü almaya çalışıyor. Daha fazla ürün alabilmek için makinanın hızını arttırmış ürünün ömrünü azaltmışlar. Ürünü değiştirdik müşterinin ürünü daha uzun süre kullanabilmesini sağladı bu yenilik. Müşterinin üretim verimliliği arttı biz tercih edilir olduk En büyük rakibimiz yüz elli iki yüz yıl önce bu işe başlamış olan Alman firmaları. Tekel haline gelmiş durumdalar. Müşteriye çözüm sunmak yenilik yaratmak zorundayız rekabet edebilmek için..*

Pazarlama yeniliklerinin ayırıcı özelliği, yeniliklere konu olan pazarlama yönteminin işletme bakımından daha önceden kullanılmamış olmasını teşkil etmektedir (Şahin, 2020: 57). Görüşülen yetkiliye göre, işletme potansiyel müşterilerine yönelik ilk defa uyguladığı pazarlama yeniliği yoluyla pazar payını arttırmış olup inovasyon yeni pazarlar oluşturmada önemli rolü olan bir araçtır. Ayrıca işletme, mevcut müşterilerine de yerinde müşteri ziyaretleri gerçekleştirmeye başladıktan sonra pazarlama inovasyonu yoluyla elde edilen bilgiyi kullanarak mevcut üründe müşterinin ihtiyaçlarına uygun uyarlama yapmış ve rekabet gücünü arttırmıştır. Bu girişimleri de pazarlama yeniliği aracılığıyla üründe inovasyon yapmak olarak değerlendirilebilir.

**Soru 4:** İşletmeniz diğer şirket ya da kurumlarla ortaklaşa inovasyon geliştirme konusunda istekli midir? Bu konuda bugüne kadar bir girişiminiz oldu mu?

**Yönetici:** *Elbette istekliyiz örneğin bizim ürettiğimiz ürünlerin üretimi noktasında sarf malzeme tedarik ettiğimiz firmaların ürün bilgisinden uzmanlığından faydalanıyoruz bizim 3 ya da 6 ayda yapabileceğimiz bir şeyi 1 ayda yapabilmemizi sağlıyor böyle bir sektörel işbirliği dolayısıyla açığız böyle sektörel işbirliklerine*.

Süreç inovasyonu, yeni veya önemli derecede iyileştirilmiş bir üretim veya teslimat yönteminin gerçekleştirilmesi olarak tanımlanmaktadır (İyidemirci, 2019: 23). Yetkili açıklamasında, hem inovasyonda işbirliği türlerinden birisi olan **"İnovasyona Dayalı Kümelenme"** tanımına uygun biçimde işletmenin faaliyeti ile bağlantılı sanayilerle işbirliği yaptığına işaret etmekte; hem de teknoloji ve ortak girdi bakımından ilişkili olunan tedarikçi işletmelerle işbirliği yoluyla süreç inovasyonu gerçekleştirildiğinden bahsetmektedir. İşletme, ortaklaşa çalışma ile uzmanlık bilgisinden faydalandığı tedarikçisi aracılığı ile üretim sürecinde iyileştirme gerçekleştirmiştir.

**Soru 5:** Türkiye'deki inovasyon geliştirmeye yönelik desteklerin kapsamı konusundaki düşüncelerinizi öğrenebilir miyim?

**Yönetici:** *Bizim ürünlerimizi kullanan firmalardan zaman zaman bazı ürün üzerinde değişiklik yapma talepleri alıyoruz çünkü tekstil tarafında da bir üründe yenilik yapmazsan o ürünü satamazsın. Türkiye'nin tekstilde kendisine ait markası yok maalesef. Fason kısmını yapıyoruz daha çok. Yerel firmaların ürüne özellik katma gibi girişimler oluyor. Biz de tekstil makine yedek parçası ürettiğimiz için bizden üretimlerinde yenilik yaratabilecek farklı parça talepleri olabiliyor. Bu anlamda işbirliği yapıyoruz müşterilerimiz ile. Ama gönül ister ki çok iyi üniversitelerin tekstil mühendisliği bölümleri var keşke bu üniversiteler de bu işlerin içine girse bu firmalarla ortaklaşa bir çalışma yapsa yeni kumaş tipleri yeni modeller geliştirse dünyada olmayan özellikli ürünler çıkarsa markalaşma süreci daha kolay hale gelebilir. Buradaki üretim Bangladeşe Vietnama kaymasa. Bu noktada üniversitelerin ya da devletin resmi kurumlarının sanayi ile yeteri kadar işbirliği yapmadığını yapamadığını görüyorum. Üniversitelerle çalışma çabalarımız oldu zaman zaman. Ama sanayici işin verimliliği ile maliyeti ile ya da ortaya çıkacak olan ürünün ne kadar kullanışlı olduğu ile ilgilenirken, üniversite tarafı işin teorik kısmında kalıyor daha çok kağıt üzerinde kalıyor. Üniversitede akademisyenlerin sektör tecrübesi olması önemli. Yurt dışında bir alanda eğitim verecek öğretim görevlisinin öncelikli olarak sektör tecrübesi olması koşulu aranıyor diye biliyorum. Maalesef sanayi ile üniversite işbirliği açısından bence bu bir olumsuzluk. Aynı dili konuşamıyoruz. Beklentiler aynı değil bakış açıları aynı değil. Geliştirmek istediğimiz süreç ile ilgili cevap almaya çalıştığımızda aradığımız cevabı bulamıyoruz. Keşke farklı olsa üniversite ve devletin resmi kurumları sanayi ile daha fazla iç içe olsa 2023 ihracat hedefi gibi hedeflere ulaşmanın daha kolay olacağını düşünüyorum. Yapılan planlamalardan önce sektör temsilcilerinin üniversitelerin bürokratların, ticari ateşelerin fikirleri alınarak, çalıştaylar düzenlenerek kağıt üzerinde yapılan bir şeyler iyi görünen uygulamalar var ama ortaklaşa kararla yapılması KOBİlerin ihracatını arttırmak, yeni pazarlar açabilmek için daha verimli olacaktır. Ortak akılla yapılacak çalışmalara ihtiyacımız var. Her KOBİ bugün kendi imkânı ile bir şeyler yapmaya çabalıyor. Kendi insiyatifi kendi özkaynakları ile firmalar bir şeyler yapmaya çalışıyor. Bizi de dâhil edecek ne yapıyorsun nasıl yapıyorsun diye soracak girişimlere açığız. Böyle bir yapı kurulsa keşke dâhil oluruz.*

İnovasyonda üniversite işbirliği, özellikle iş dünyasında hızlı değişikliklerle karşılaşıldığında, firmaların dahili inovasyon faaliyetlerinin ve danışman tarafından üretilen dış inovasyonların önemli bir tamamlayıcısı olarak kabul edilmektedir (Kurdve et al., 2020: 1584). Görüşmede yetkili, üniversiteler ile sanayi arasında yapılacak işbirliklerinin hem işletme hem ülke ölçeğinde ihracat hedeflerine ulaşmada

katkı sağlayacağını ancak deneyimlerine dayanarak üniversiteler ile işbirliklerinin çok somut ve verimli sonuçlar doğurmadığını belirtmiştir. Gerek üniversiteler gerekse diğer devlet kuruluşları ile sanayinin ihtiyaçlarını temel alan katılımcı işbirliklerinin, KOBİ'lerin ihracatının arttırması ve yeni pazarlara açılabilmelerini sağlamak adına daha verimli olacağı düşünülmektedir. Böyle bir inovasyon işbirliği yapısı içinde olmaya olumlu bakılmaktadır.

**Yönetici: Soru 6:** Bugüne kadar işletmenizin dış kaynaklardan inovasyon danışmanlığı alma konusunda herhangi bir girişimi oldu mu?

**Yönetici:** *Danışman tanımı iyi yapılmalıdır. Devletin yetkilendirdikleri de dâhil olmak üzere, danışmanlık firmalarında uzman diye nitelendirilen kişilerin tecrübe yetersizlikleri var. Benim danışmanlık almak istediğim konuda benden daha tecrübesiz olmamalı. Danışmanlık firmalarının daha çok ticari odaklı olduğunu düşünüyorum. Danışmanlık firmalarından edinebileceğim çok fazla fayda olmadığını tecrübelerime dayanarak söyleyebilirim. Bu yüzden çok sıcak gelmiyor bize. Geçmişte olumsuz örnekler yaşadık. Danışmanlık ücreti adı altında yüksek meblağlar talep edilebiliyor. Hem çok fazla ücret ödeyip firma olarak hem de karşılığını somut olarak alamadığımız örnekler yaşadık. Hakkı ile yapılırsa çalışmak isterim ama mevcut durumda çok sıcak bakmıyoruz. Türkiye'de sağlanan destekler bürokratik anlamda zorlayıcı. Bizde çok fazla kağıt üzerinde iş yapmanız emek ve zaman harcamanız gerekiyor. Bürokratik engeller belki daha önce yaşanmış zorluklar suistimaller nedeniyle oluştu ama bu durum KOBİ lerin yeterince desteklerden faydalanamaması sonucunu doğuruyor. Bunun İhracatın artmasının önünde engel olduğunu düşünüyorum.*

*Global piyasada inovasyon konusunda çabanız olmazsa ayakta kalamazsınız. Rakiplerimiz de kendi ülkelerinde destek alıyor. Türkiye'de bu anlamda destekler çok yoğun bürokratik süreçlere tabi. Örneğin Güney Amerika ülkelerini ziyaretimiz sonrasında Ticaret Bakanlığının ihracata yönelik desteklerinden birisi olan yurt dışı Pazar araştırma desteği var, ondan yararlanmak için bir çalışma yaptık, ilgili birimlerle görüştük 55 sayfalık bir rapor hazırladık, ilettik. Ancak Şubat ayından Aralık ayına kadar beklediğimiz halde bu konuda bir dönüş alamadık. Yurtdışında teşviklerin daha kolay verildiğini duyuyoruz. Bizim kağıt üzerinde çok iş yapmamız gerekiyor. 1 seneye yakın bir süre sonuç almak için beklemek çok uzun bir süre. Bu anlamda KOBİ'lerin ihracat Pazar paylarını genişletebilmek için devlet desteklerinden daha kolay ve kısa sürede faydalanmaları gerekir.*

Yetkili, daha önce dış kaynaklardan inovasyon danışmanlığı alma girişiminde bulunduklarını ancak yüksek danışmanlık ücretleri, bürokratik süreçlerin karmaşıklığı ve uzun zaman alması gibi olumsuzluklar ile karşılaştıklarını ifade etmiştir. Hem özel şirketler hem de devlet kurumları aracılığı ile destek almak istediklerinde yaşanılan olumsuzluklar işletmeyi kendi özkaynakları ve işletme içi uygulama ve stratejiler ile inovasyon geliştirme çabasına yöneltmiştir. Bu faktörlerin KOBİ'lerin yeterince desteklerden faydalanamaması sonucunu doğurduğu, ihracatın artmasının önünde de engel olduğunu düşündüklerini ifade etmişlerdir.

## 5.SONUÇ ve ÖNERİLER

Global rekabete karşı mücadele edebilmek, ekonomik açıdan büyümek, ülke refahını arttırmak gibi makro hedeflerin gerçekleştirilmesinde inovasyon kritik bir kavram olarak görülmektedir. Bir ülkedeki inovasyon yapan işletme sayısı ne kadar fazla ise o ülkedeki insanların yaşam şartları da o kadar yüksektir. (https://www.zucder.org.tr)

Yenidünyada, inovasyonun kalitesi ve hızı için işbirliklerinin öneminin büyük olduğu anlaşılmaktadır. Türkiye'de mevcut işbirliklerini gerçekten değer yaratma odağıyla yapılandırmak yarınlar adına önem verilmesi gereken konulardan birisidir. (Arslanhan 2018).

Firmalar, yenilikçi oluşumları, ya kendi dâhili yaratma süreçlerinden veya harici örneğin danışmanlar ve üniversiteler gibi işbirlikçi aktörlerden faydalanarak edinebilirler (Kurdve et al., 2020: 1585). Son yıllara yerli ve yabancı çalışmalarda (Abar, 2020; Galas, 2018; Kurdve 2020; Bertello 2020; Çelik 2011; Durgut 2007; Yüksel, 2013; Sungur, 2014; Yaşar, 2020) inovasyonda işbirliği ağlarının işletmeler ve ülke ekonomileri açısından önemi vurgulanmakla beraber Türkiye'de KOBİ'lerin bu ağlara etkin şekilde dâhil olabilmelerini etkileyen faktörlerin neler olduğu konusundaki araştırmalar sınırlıdır.

Bu çalışmada Türkiye'nin ihracata katkısı en yüksek bölgesi olan Marmara bölgesindeki bir imalatçı-ihracatçı KOBİ'nin inovasyon konusundaki çabalarının ihracat performansı üzerindeki etkisini ortaya koymak ve yönetimin inovasyonda işbirliğine yönelik bakış açısının değerlendirilmesi amaçlanmıştır.

Çalışmada elde edilen bulgular önceki çalışmaları (Kılıç ve Yörükoğlu, 2020: 49) destekler nitelikte pazarlama inovasyonunun uluslararası pazar performansı üzerinde olumlu ve pozitif etkilerinin olduğu sonucunu ortaya koymaktadır.

İnovasyonun tanımı konusunda uluslararası düzeyde kabul gören kaynakların başında gelen Oslo Manual Kılavuzun' da (2005) inovasyon; "…yeni veya önemli ölçüde geliştirilmiş ürünün (mal veya hizmet) veya sürecin, yeni pazarlama yönteminin veya yeni örgütsel yöntemin işletme içi uygulamalarında, işyeri organizasyonunda veya dış ilişkilerde uygulanması" şeklinde tanımlanmıştır (Açıkalın, 2019: 10). Çalışmada elde edilen bulgulara göre işletme yeni süreç, yeni pazarlama yöntemi ve yeni ürün uygulamalarını dış pazarlarla olan ilişkilerinde uygulama yoluna gitmiş, bu yöntemlerin uygulamaya konmasının ardından ihracat pazarlarını çeşitlendirmiş, mevcut pazarlarında da satış hacmini arttırmıştır. Buna göre inovatif uygulamalar işletmenin ihracat performansını pozitif yönde etkilemiştir.

İşletme inovasyon konusundaki girişimlerini destekleyecek işletme dışı kurumlarla işbirliklerine açıktır. Bu anlamda üniversiteler ya da diğer ilgili devlet kuruluşları ile yapılacak işbirliklerinin, inovasyon ve ihracat performanslarını arttıracağına yönelik olumlu bir tutum içinde olunduğu belirtilebilir.

Elde edilen bulgulardan yola çıkılarak, sanayi ile üniversite yada sanayi ile diğer yurtiçi aktörler arasındaki inovasyon işbirliklerinin, ihracatçı KOBİ'lerin inovasyon girişimlerini, yabancı pazarlarda rekabet güçlerini arttırmaya katkı sağlayacak biçimde daha etkili ve verimli kılabilmesi adına yapılabilecek iyileştirme önerileri şöyle sıralanabilir;

1)İşbirliği yapılacak kuruluşlar ile süreçlerde, işletmelerin karşı karşıya kaldığı bürokratik süreçlerin daha az zaman kaybı oluşturacak şekilde gerçekleştirilmesi

2) İnovasyon konusunda uzman, tecrübeli kişilerle işletmenin ve pazarının ihtiyaçlarına ve somut hedeflere yönelik çalışmalar yapılması

3) İşbirliği sürecine dâhil olacak kurumlar ile işletmeler arasında yakın ilişkiler kurulup, süreç öncesi planlamalarda katılımcı, yönetici fikir ve görüşlerinin de değerlendirildiği yöntemlerin geliştirilmesi.

Bunun yanında, KOBİ' lerin, yukarıda amaç ve hedefleri açıklanan Türkiye İhracatçılar Meclisi (TİM) tarafından ihracatçı işletmeler için oluşturulan İNOSUİT programı gibi uygulamalar hakkında bilgi sahibi olmaları, programdan daha fazla yararlanabilmeleri adına çalışmalar yapılabilir.

Dünya'da küresel rekabet edebilirliğin bir ölçüsü olarak kabul edilen inovasyon kabiliyetini geliştirmeye yönelik teşvik edici adımlar atmak, bu konuda özellikle sınırlı kaynak ve uzmanlığa sahip KOBİ'leri destekleyecek işbirliklerini geliştirmek, hem işletmelerin hem gelişmekte olan ülkelerin ekonomik büyüme sürecine büyük katkı sağlayacaktır.

Şirketlerin işbirliği verilerinin karşılaştırmalı olarak değerlendirildiği AB'nin Bilim, Araştırma ve İnovasyon Performansı Raporunda büyük şirketler ve KOBİ'ler ayrı ayrı analiz edilmiştir. Türkiye'de büyük şirketlerin yüzde 30'unun herhangi bir aktör ile işbirliğine girdiği, AB ortalamasının ise yüzde 55 olduğu görülmektedir. KOBİ'ler söz konusu olduğunda ise, işbirliğinin oranı düşmekte, Türkiye'de KOBİ'lerin yüzde 17'si, AB ortalamasında ise yüzde 32'si herhangi bir aktör ile işbirliği yapmaktadır (https://www.dunya.com). Çalışma sonucunda elde edilen bulgular çerçevesinde yapılacak iyileştirme ve düzenlemeler gelecek dönemlerde KOBİ'lerin inovasyon işbirliği ve performans yüzdesinin artmasına katkı sağlayabilir.

Çalışmanın sınırlılıkları olarak; araştırmanın yapıldığı çevrede araştırmanın konusunu oluşturan imalatçı-ihracatçı işletmelerin, ihracat yönetim kademelerinin farklı mesafelerdeki illerde bulunmasının yüzyüze görüşme yöntemi açısından yarattığı kısıtlılık nedeniyle analiz çerçevesinin sınırlı tutulmuş olması sayılabilir. Nitel araştırmalarda evreni temsil edebilecek sayıda ve düzeyde kişiyi örnekleme dâhil etmek çoğu zaman mümkün olmadığı için, bu araştırmalarda elde edilen bulgular ile sınırlı genellemeler yapılabilmektedir (Karataş, 2015: 79). İleriye dönük olarak KOBİ'lerin inovasyon yetenekleri ve

işbirliklerinin ihracat performanslarına etkisini daha fazla genellenebilir sonuçlarla ortaya koymayı sağlayacak nicel araştırma yöntemine dayalı çalışmalar yapılabilir.

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# İşletme Yönetiminde Kuantum Liderlik Davranışı

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**Özet:** Günümüz teknoloji alanında yaşanan gelişmeler, işletme yönetimlerinde söz sahibi olan yöneticilerin yönetim alanında yaşanan yeni yaklaşımları takip etmelerini zorunlu kılmaktadır. Bu durum, günümüz işletmecilik alanında yöneticilerin liderlik davranışlarında da değişikliklerin oluşmasını sağlamaktadır. Ayrıca, örgütlerde yaşanan yenilikçi değişim ve dönüşümler sonucunda liderlerin özelliklerinin de bu kapsamda değerlendirilmesi yerinde olmaktadır. Özellikle içerisinde bulunduğumuz yüzyılda ortaya çıkan yenilikçi ve teknolojik gelişmeler, örgütsel alanda da güncellemeleri ve yeni davranış biçimlerinin oluşmasını gerekli kılmıştır. İnsan ve çevre ilişkilerine duyarlı davranış biçimine vurgu yapan kuantum liderlikte yenilikçi fikirlerin önemsenmesi, günümüz örgütlerinde üzerinde durulması gereken bir liderlik davranışı olmaktadır. Bu kapsamda çalışmada, kuantum liderlik davranışının teorik olarak ortaya konulması amaçlanmaktadır. Amaca yönelik, literatür taraması sonucunda kuantum liderlik davranışı incelenmiştir.

**Anahtar Kelimeler:** Kuantum Liderlik, İşletme Yönetimi, Liderlik.

## 1. GİRİŞ

Günümüz dünyasında ortaya çıkan iletişim ve bilgi teknolojilerinde yaşanan hızlı değişimler pek çok tutum ve davranışın öngörülebilir olmasını zorlaştırmaktadır. Bu nedenle; hızlı değişim ve dönüşüme yöneliş, içinde bulunduğumuz global dünyada liderlik özelliklerinin de güncellenmesini gerekli kılmaktadır. Ayrıca; çalışma hayatının tüm alanında ortaya çıkan değişimler, günümüz işletme yönetiminde yeni liderlik davranışlarına ihtiyaç duyulmasına neden olmaktadır.

Fizik biliminde ortaya çıkan gelişmelerin, farklı disiplinlerde olduğu gibi liderlik alanındaki çalışmaları da etkilemesi 19. yüzyılın sonlarına doğru olmaktadır. Bu eğilim ile birlikte doğrunun tek olduğu bir dünyadan rasyonel düşünce biçiminin esas alındığı pozitivist düşünme biçimine geçiş yaşanmıştır. Öncülüğünü Max Planck'ın yaptığı kuantum fiziği ile önemli bir değişime adım atılmış olup, bu değişime paralel olarak meydana çıkan modern liderlik kuramlarından birisi de kuantum liderlik olmaktadır (Tufan ve Korumaz, 2020: 727-728).

Yeni bilim olarak da isimlendirilen kuantum mekaniği pek çok alanda olduğu gibi işletme ve yönetim alanında da etkisini göstermiştir. Kuantum fiziğinin ana varsayımlarından hareket ederek araştırmacılar, örgütsel yapı ve işleyişe yönelik yeni modeller dizayn etmiş, kuantum örgüt, kuantum yapı, kuantum davranış ve bu doğrultuda yönetim alanında kuantum liderlik kavramlarını oluşturmuştur (Turan ve Erçetin, 2017: 766).

## 2. LİDERLİK KAVRAMI

Lider ve liderlik kavramlarının tanımlanmasının oldukça güç olduğunun belirtilmesinde fayda vardır. Bununla beraber, liderlik tanımlamalarına bakıldığında, liderliğin; a) grup süreçleri, b) kişilikler, c) amaca ulaşma, ç) güç, d) davranış, e) bireylerin birbirini etkileme, f) liderin izleyenleri etkileme biçimleri temel alınarak değişik tanım ve kavramlaştırmalardan oluştuğu görülmektedir. Bu doğrultuda liderlik, bireyleri ve grubu ortak amaçlar etrafında etkileme ve harekete sevk etme süreci olarak tanımlanmaktadır (Turan, 2020: 2).

Liderlik, bir yön oluşturma, işgörenlerin o yönde ilerlemelerini motive etme süreci olarak tanımlanmaktadır. Liderlik kavramı geleceğe yöneliktir. Liderler, örgütün devamlılığını sağlamaktan, görevlerin yapılış biçimleriyle nelere değer verilmesi gerektiğini belirlemekten, vizyon oluşturmaktan ve bu vizyonun örgüt içerisinde benimsetilmesinden sorumludurlar. Liderlik, özellikle örgüt inançlarının ve değerlerinin farkında olmayı ve bunların geleceğe uygunluğunu tasarlamayı gerekli kılmaktadır. Kısaca

belirtmek gerekirse liderlik, bir vizyon ortaya koyabilme ve ilham verme süreci olarak tanımlanmaktadır (Baltaş, 2015: 130).

Liderlik, belirli hedefler etrafında bir grup insanı toplayabilme, bu hedefleri gerçekleştirmek amacıyla onları yapması gerekenler konusunda harekete geçirme bilgi ve yeteneklerin toplamı olarak ifade edilmektedir. Lider geleceği öngörebilme ve geniş çaplı bir vizyona sahip olmalıdır. Öncelikle lider, örgütün bütün kadrolarında görev alan diğer lider ve yöneticilere vizyon ve misyonu tam olarak yerleştirmeli, onlara destek ve güç sağlamalıdır (Eren, 2013: 461-462).

Liderlerin örgütlerini başarıya ulaştırabilmeleri adına, örgüt içindeki değişik meslek grupları arasında uzlaşıyı sağlamaları, etik değerlerin korunmasına izin vermeleri, onların yönetsel yeteneklerine daima katkı sağlamaları ve çevrelerinde oluşan değişimleri sürekli takip ederek örgütlerini yeniliklere hazır tutmaları önem taşımaktadır (Uğurluoğlu ve Çelik, 2009: 150).

## 3. KUANTUM LİDERLİK

Kuantum yönetim biçimi farklı odaklara sahip bir anlayışı ortaya koymaktadır. Maddenin yerine enerjiyi, oluş yerine gelişimi, sebepler yerine rastlantıyı, determinizm yerine yapısalcılığı ve örgütsel anlamda yeni farkındalık özelliklerini ön plana çıkartmıştır (Overman, 1996: 489).

Kuantum teorisine göre, atom altı parçacıklar birbirlerini uzaktan etkilemektedir. Bu fikir, uzak etkiye tipik olarak değinilmemesi nedeniyle bilim felsefesine aykırı olarak kabul edilmektedir. Determinist bakış açışına göre, olaylar aynı olduğunda sonuçlar da aynı olmaktadır. Buna karşılık; kuantum teorisi ise, makro düzeyde meydana gelen olayların mikro düzeyde gerçekleşmeyebileceğini ortaya koymakta ve determinizmi reddetmektedir. Yani, bir maddenin nasıl davranacağı her zaman bilinmeyebilir (Gülcan, 2015: 6).

Kuantum perspektifi, işletmelerde etkileşimin ortak hedefler ile açık ve etkin iletişimle işgörenler arasında ortaya çıktığını ortaya koymaktadır. Bu doğrultuda işletmelerde, işgörenlerin ve iş hayatında pozitif bir fark oluşturabilmek amacıyla ortak hedefler etrafında ilerlemeye katkı sağlayan liderlik yaklaşımlarına ihtiyaç duyulmaktadır. Kuantum liderlik, içinde barındırdığı özelliklerle basit bir post modern teori değil, yeni bir paradigmadır. Kuantum liderliğinin var olduğu işletme ortamlarında genel olarak belirsizlik durumu hakim olmaktadır. Kuantum liderler; işletmelerde hakim olan belirsizlik ortamında, oluşturulan ortak amaçlara ulaşmada işgörenleri harekete geçirmektedir (Kosa, 2020: 917).

Kuantum liderlik; değişimi oluşturma, zengin bilgi akışı ve örgütsel öğrenmeyi sağlayabilmek için sistemi etkileme ve örgütü çevresine bağlama konusunda aktif bir rol oynamaktadır (Morrison, 2002: 71). Kuantum liderlik; enerjiye hareket sağlayacak üretkenliğe yönelten, kontrole değil, ortaya çıkan duruma ve belirsizliğin yaratıcı potansiyeline yönelik duygulara ve sezgilere dayalı bir liderlik biçimini tanımlamaktadır. Bu yönüyle liderlik, insan fiziğinin hareke geçirilmiş biçimidir (Uzunçarşılı vd., 2000: 90).

Kuantum liderler, çalışanların mevcut yeteneklerini yakından tanır ve çalışanların yeni yollarla etkileşime geçmelerini kolaylaştırma ve etkinleştirmesiyle ilgilenmektedir. Etkili kuantum liderlerde yerleşik olarak, motivasyonun önemli olduğu ve pozitif insan etkileşiminin ahlaki ilkelerin temeli üzerine kurulduğu, böylece liderin bir ahlaki sözleşmenin parçası olduğu ve davranışlarında ahlaki bütünlüğü koruduğu anlayışı vardır (Morrison, 2002: 71).

Kuantum liderlik; geleneksel liderlik kalıplarından uzak olarak, yenilikçi ve değişime açık, sofistike (karmaşık) durumlarla baş edebilen, enerjik, yaratıcı, organizasyonu canlı ve bir arada tutmayı amaçlayan, etkileşimi ve beraber öğrenmeyi teşvik eden bir liderlik biçimi olmaktadır (Konan ve Mermer, 2021: 80).

Kuantum lider, karar vermesi gereken veya üzerinde çalıştığı bir işin eşlenik çiftlerini oluşturmalı ve verdiği kararların doğuracağı sonuçları önceden tahmin edebilmelidir. Örneğin; insan kaynakları yönetiminde, kariyer planlaması ve kariyer hızı bir eşlenik çift olarak değerlendirebilmektedir. Örgütlerde

liderlerin bu gibi eşlenik çiftleri algılayabilmesi, kuantum liderliği olarak kabul edilmektedir (Soydaş, 2002: 662).

Alan yazın incelemeleri sonucunda kuantum liderlik davranışlarına yer veren ampirik çalışmaların kısıtlı sayıda olduğu görülmüştür (Erçetin vd., 2018: 112). Bu nedenle, kuantum liderliğe ilişkin araştırılması gereken pek çok özelliğin olduğu görülmektedir.

Morrison (2002: 71) çalışmasında kuantum liderlerin özelliklerini aşağıdaki biçimde ortaya koymaktadır;

- Ortak bir vizyon ortaya koymak,
- Örgüt kültürünü zenginleştirerek güçlendirmek,
- İş birliği yaparak örgütün gelişimini sağlamak,
- Öğrenen örgütü teşvik ederek desteklemek,
- Örgüt üyelerinin iyi ilişkilerini geliştirmek,
- Örgüt üyelerinin öğrenmelerini desteklemek ve yaygınlaştırmak,
- Bireyleri yetiştirmek ve birey merkezli bir örgüt geliştirmek.

Erçetin ve Kamacı (2008) çalışmalarında, klasik ve kuantum fiziğe dayalı liderlik varsayımlarını karşılaştırmalı olarak aşağıdaki Tablo 1'deki gibi göstermektedir.

Tablo 1: Klasik ve Kuantum Fiziğe Dayalı Liderlik Varsayımları

| **Klasik Fiziğin Varsayımları** | **Klasik Fiziğin Liderlik Varsayımları** | **Kuantum Fiziğinin Varsayımları** | **Kuantum Fiziğinin Liderlik Varsayımları** |
|---|---|---|---|
| - Dalga-parçacık ayrımı | - Liderlik, liderin özelliklerinden oluşan bir bütündür | - Parçacık-dalga ikilemi | - Liderlik, lider-izleyenler ikilemini içeren bir etkileşim alanıdır |
| - Sebep-sonuç ilişkisi ve kesinlik | - Liderlik, sebep-sonuç süreciyle açıklanır | - Belirsizlik ve olasılıklar | - Liderlik, yapılandırılamaz ve öngörülemez |
| - Enerjinin sürekliliği | - Liderlik, belirli bir kişiye atfedilen kalıcı bir niteliktir | - Enerjinin kesikliliği | - Liderlik olgusunun süreksizliği/kesikliği |
| - Uygulanan kuvvete göre meydana gelen hızlanma/ivme | - Liderliğin etkisi güce bağlıdır | - Kuvvet uygulamasında sınırlama | - Liderliğin etkisi etkileşime bağlıdır |

Kaynak: Erçetin ve Kamacı, 2008: 866.

Erçetin ve Kamacı (2008: 866-868) yapmış oldukları sınıflandırmada, kuantum liderlik paradigmasını aşağıdaki gibi dört boyut altında toplamaktadır:

- Liderlik, lider-izleyenler ikilemini içeren bir etkileşim alanıdır.
- Liderlik, yapılandırılamaz ve öngörülemez.
- Liderlik olgusunun süreksizliği/kesikliği vardır.
- Liderliğin etkisi etkileşime bağlıdır.

Uzunçarşılı vd. (2000: 90) çalışmalarında kuantum liderliğin üç boyutu olduğunu belirtmiştir. Bu çalışmada boyutlar; liderlik ilişkileri, liderlik etkisinin kaynağı ve belirsizlikten oluşmakta ve şu şekilde açıklanmaktadır: Liderlik ilişkileri; kuantum liderliği karşılıklı bir etkileşim alanı olarak değerlendirmekte ve burada lider, diğerlerinin beni izlemelerini nasıl sağlayabilirim? Sorusuna cevap aramaktadır. Liderlik etkisinin kaynağında kuantum liderliğin etkisi, lider-izleyici ilişkisinden oluşmaktadır ve buradaki ortak değerler; saygı, yüksek beklentiler, bilgi ve güven gibi değerlerden oluşmaktadır. Belirsizlik ise, ortaya çıkan durumlar karşısında ne kadar fazla bilgi sahibi olunursa olsun, geleceğin önceden kestirilemeyeceğini ortaya koymaktadır.

Kuantum liderliğin ortaya çıkmasıyla oluşan, eski ve yeni değerlere yönelik karşılaştırma aşağıdaki gibi Tablo 2'de gösterilmektedir.

Tablo 2: Kuantum Liderliğe Yönelik Değerlerin Karşılaştırılması

| **Önceki Değerler** | **Yeni Değerler** |
|---|---|
| Belirlilik | Belirsizlik |
| Öngörülebilir | Kesin olmayan |
| Kontrol altında tutulabilir | Güvene dayalı |
| İndirgemeci | Kendiliğinden oluşan |
| Parçalar bütünü tam olarak yansıtır | Bütün, parçaların toplamından daha büyük olmaktadır |
| Yukarıdan aşağıya liderlik yönetimi | Aşağıdan yukarıya liderlik yönetimi |
| Tepkisel | Hayal kuran ve deneysel |
| Kontrol altında tutulan | Kendi kendini örgütleyen |

Kaynak: Uzunçarşılı vd., 2000: 91.

Yukarıda liderlik ve kuantum liderlik başlıkları altında anlatılanlar ışığında; işletme yönetiminde belirsizlik ve değişim faktörlerinin önemli hale gelmesi, liderlik özelliklerinin de bu faktörlere adapte edilmesini zorunlu hale getirmiştir. Ayrıca, işlerin karmaşıklaştığı ve geleceğin belirsizlikler içerdiği ortamlarda çalışanlarıyla insan ilişkilerine ağırlık veren, onların motivasyonlarını başarılı bir şekilde sağlayabilen kuantum liderler işletmelerine rekabet avantajı sağlayabilmektedir.

## 4. SONUÇ

Yönetim ve liderlik anlayışını değişik bir bakış bir açısıyla değerlendiren kuantum liderlik günümüz dünyasında önemli bir kavram olarak göze çarpmaktadır. İşletme yönetimleri tarafından ortaya konulan planlama ve amaçların öngörülemeyen koşullarla karşılaşması kuantum liderlik özelliklerine ihtiyaç duyulmasına neden olmaktadır.

Kuantum liderler genellikle kaotik ortamlarda, çalışanları harekete geçirme ve değişime ayak uydurma gibi durumlarda etkili liderlik davranışı sergilemektedir. Bununla birlikte kuantum liderler; örgüt içi etkili iletişim sistemini oluşturarak üyeler arasında iş birliğine önem veren, çalışanların özelliklerini iyi analiz eden ve örgütsel adaleti sağlamak suretiyle üyelerinin güvenini kazanma yolunda davranışlar ortaya koymalıdır.

Günümüzün karmaşıklar ve belirsizlikler içeren dünyasında örgütlerde kaotik süreçlerle başa çıkmak durumunda kalan yönetici ve liderlere şu öneriler sunulmaktadır (Çakır, 2020: 41-42);

1. Örgütler davranış biçimleri pek çok seçime sahip çalışanlardan oluşmakta ve bu tür ortamda her bir bireysel davranışın örgüt tarafından öngörülemez sonuçlar doğuracağı hususu yönetici ve liderler tarafından göz önünde bulundurulmalıdır.

2. Örgütler kaosa içsel ve dışsal nedenlerden dolayı sürüklenebilmektedir. Bu nedenle, sürekli bilgi paylaşımını sağlayan iletişime açık bir yapı yönetici ve liderler tarafından oluşturulmalı ve bu süreç dinamik bir biçimde sürdürülmelidir.

3. Örgütler hedeflerine ulaşma doğrultusunda birbirleriyle bağlılığı olan çalışanlardan oluşmaktadır. Bu tür ortamlarda yönetici ve liderler ekip çalışması ve iş birliğini sürekli hale getiren bir ekip ruhu oluşturmalıdır.

4. Alınacak kararlar geleceğe yönelik belirsizlik içermesi nedeniyle örgüt içerisinde fikir alışverişine önem verilmelidir.

5. Geleceğin belirsizlik ve kaos içermesinden hareket ederek yönetici ve liderlerin geleceğin tasarlanmasına aktif olarak neyi, niçin yaptıklarını bilerek ve inisiyatif alarak katılmalıdırlar.

6. Kaotik ortamlarda örgüte öncülük edecek ve tüm çalışanlarca kabul edilmiş olan değer kültürü oluşturulmalı ve her koşulda örgütün bütün paydaşları davranışlarını bu değerleri göz önünde bulundurarak şekillendirmelidir.

Son olarak, işletme yönetiminde kuantum liderlik davranışı ortaya konulması liderlerin üyelerini daha etkin biçimde yönlendirmesini sağlamakta ve bu durumdan da örgütler fayda görebilmektedir. Özellikle kriz dönemlerinde ortaya çıkan belirsiz durumlarda, kuantum liderlerin etkin davranışlar sergilemesi

işletmelerin bu ortamı potansiyel bir fırsata çevirmelerine de zemin hazırlayabilmektedir. Bu açıdan değerlendirildiğinde, işletme yönetiminde kuantum liderlik davranışı ayrı bir öneme sahip olmaktadır.

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# Yatırım Bankalarının Ülke Ekonomisindeki Rolü ve Önemi

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**Özet:** Finansal piyasalar fon arz edenlerle fon talep edenlerin fon değişimini gerçekleştirdiği yer veya mekanizma olarak tanımlanabilir. Finansal piyasalarda fon akımı doğrudan finansman ve dolaylı finansman olmak üzere iki şekilde gerçekleşir. Doğrudan finansmanda fon arz edenlerle fon talep edenler arada finansal aracı olmadan doğrudan piyasada karşılaşarak fon değişimini gerçekleştirirler. Dolaylı finansmanda ise fon arz edenlerle fon talep edenler fon değişimini finansal aracı üzerinden gerçekleştirirler. Finansal aracı, fon fazlası olan kesimden bu fonu borç olarak alır ve fon açığı olan kesime borç olarak verir. Burada her iki kesimin de muhatabı finansal aracıdır. Finansal aracı aynı zamanda borç olarak verdiği fonun geri dönmemesi durumunda fon fazlası olan kesime borcunu ödemek zorundadır. Finansal aracı, yüklendiği geri dönmeme riski nedeni ile yapmış olduğu işleme aracılık maliyetini de eklemektedir. Bu da özellikle finansal aracıdan borç alan fon açığı olan kesim için borçlanma maliyetinin yükselmesi demektir. Doğrudan finansmanda ise arada finansal aracı olmadığı için fon açığı olan yatırım yapacak şirketlerin, menkul kıymet ihraç ederek doğrudan tasarruf sahiplerinden borç alması, fon maliyetinin daha düşük olmasına neden olacağı gibi, tasarruf sahiplerinin de daha yüksek getiri elde etmesine imkan sağlayacaktır. Yatırım bankaları, tasarruf sahipleriyle, fon açığı olan yatırım yapacak şirketler arasındaki fon alışverişinin gerçekleşmesini sağlamak amacıyla kurulmaktadırlar. Tümüyle aracı durumundaki yatırım bankaları; pazarlanacak menkul kıymetlerin rasyonel seçimini yapmak, finansal kıymet çıkarılması yoluyla gerekli fonu sağlamaya çalışan bir işletmenin, bundan sağlayacağı fonun işletmesini garanti etmek (underwiriting) ve finansal kıymeti çıkaran ortaklığa, bununla ilgili danışmanlık hizmeti sağlamak gibi hizmetler sunmaktadırlar. Bu çalışmada, yatırım bankalarının önemi ve ülke ekonomisine sağlayacağı yararlar tartışılacaktır. Bir ülkede yatırım bankalarının gelişmesi ile fon ihtiyacı olan, yatırım yapacak şirketlere daha uygun maliyetli fon kaynağı sağlanacak, tasarruf sahiplerine de daha yüksek getiri imkanı sunulabilecek ve böylece toplamda da ülke refahının artması sağlanacaktır.

**Anahtar Kelimeler:** Doğrudan Finansman, Finansal Aracılar, Yatırım Bankaları

# The Role and Importance of Investment Banks in the Country's Economy

**Abstract:** Financial markets can be defined as the place or mechanism by which fund providers and fund claimants carry out the exchange of funds. In financial markets, the flow of funds occurs in two ways, direct finance and indirect finance. Direct finance, those who supply of and demand for loanable funds meet directly in the market without financial intermediaries and carry out the exchange of funds. Indirect financing those who supply of and demand for loanable funds make the exchange of funds through the financial intermediaries. Financial intermediaries borrow this fund from the surplus and lend it to the deficit. In this place, the interlocutors of both parties are financial intermediaries. The financial intermediaries also have to pay the debt of the portion of the fund that is surplus in case the fund is not returned. It adds the brokerage cost to the transaction it has made due to the default risk that its financial intermediaries is loaded in this way. This means that the borrowing cost will rise which is deficit of funds borrowing from the financial intermediary. Since there are no financial intermediaries in direct financing, borrowing directly from savers by issuing securities will cause the fund cost to be lower and will enable savers to earn higher returns. Investment banks are established to facilitate the exchange of funds between savers and companies that have deficit of funds will invest. Totally intermediary investment banks; they provide services such as making the rational selection of securities to be marketed, underwriting the operation of an enterprise trying to provide the necessary funds by issuing financial assets, and providing consultancy services to the company that issues the financial value. In this study, the importance of investment banks and their benefits to the country's economy will be discussed. With the development of investment banks in a country, a more cost effective sources of funds will bw provided to companies that need funds, and higher returns will bw offered to savers, and thus the country's welfare will increase in total.

**Key Words:** Direct finance, financial intermediaries, investment banking

## 1. GİRİŞ

Finansal aracılık; fon açığı olan ekonomik birime fonu sunmak için fon fazlası olan ekonomik birimden bu fonu edinme süreci olarak tanımlanabilmektedir. Finansal aracıların varoluşunun birincil amacı, aracılık sürecini kolaylaştırmaktır. Ödünç verilebilir fonlar, borç verenler ve borç alanlar arasında farklı yollardan değiştirilebilir olmakla birlikte temelde iki farklı yol kullanılmaktadır. Bunlar doğrudan finansman ve dolaylı finansmandır. Doğrudan finansmanda, ödünç alanlar ve ödünç verenler, bir finansal aracı kurum veya başka bir finans kuruluşunun yardımı olmaksızın birbirleriyle doğrudan iletişim kurabilirler. Bu doğrudan finansman yöntemiyle bir anlaşma yapıldığında ödünç alan ödünç verene, hak talebini kanıtlayan bir finansal araç verir. Genellikle ödünç veren ödünç alana ait borcun geri ödenmeme riskini üstlenir ve bu risk karşılığında ek bir getiri talep eder.

Yatırım bankaları, tasarruf sahipleriyle, fon gereksiniminde olanlar arasındaki fon alışverişinin gerçekleşmesini sağlamak amacıyla kurulurlar. Tümüyle aracı durumundaki yatırım bankaları, mevduat kabul edemezler ancak yatırım yapacak şirketlere kredi kullandırabilirler, şirketlerin menkul kıymet ihraçlarına aracılık yapabilirler. Yatırım bankalarının özellikle birincil piyasada sundukları hizmetler; pazarlanacak menkul kıymetlerin rasyonel seçimini yapmak, finansal kıymet çıkarılması yoluyla gerekli fonu sağlamaya çalışan bir işletmenin bundan sağlayacağı fonun işletmesini garanti etmek ve finansal kıymeti çıkaran ortaklığa, bununla ilgili danışmanlık hizmeti sağlamak olarak sayılabilmektedir.

Bu çalışmanın ilk bölümünde finansman yöntemleri kısaca açıklanacak, ikinci bölümde konu ile ilgili literatür incelemesinin ardından üçüncü bölümde yatırım bankalarının faaliyetlerine değinilecek ve son bölümde yatırım bankalarının doğrudan finansman yöntemiyle ekonomiye sağladığı katkı incelenecektir.

## 2. FİNANSMAN YÖNTEMLERİ

Finansal hizmetler ekonomisinin, finansal piyasalar, finansal kurumlar ve finansal araçlardan oluşan üç temel bileşeni bulunmaktadır. Genellikle, finansal sistem, fon fazlaları ve açığı olan ekonomik birimler arasında aracılık görevini görmekte ve bu sistemde bulunan kurumlar fon aktarımını ise, dolaylı ve doğrudan finansman şeklinde sağlamaktadır. Dolaylı finansman ile, fon arz eden (tasarrufçu) ile fon talep eden (kredi) birimler arasında doğrudan bir ilişki bulunmamakta ve finansal aracı kurumlar bu iki kesim arasındaki fon aktarım görevini üstlenmiştir. Bu yöntemde kullanılan mali araçlar mevduat ve kredilerdir. Doğrudan finansman ile fon arz edenlerle, fon talep eden ekonomik birimler, finansal aracılar yardımıyla direkt olarak karşılaşırlar ve genellikle sermaye piyasaları araçları mali araçlar olarak kullanılırlar. Bu araçlar ise, hisse senetleri, tahviller ve finansman bonolarıdır (Uludağ ve Arıcan, 1999: 112).

## 3. LİTERATÜR İNCELEMESİ

Ülkemizde Kalkınma ve Yatırım Bankaları ile ilgili yapılmış çalışmalar mevcuttur. Bu bölümde bu çalışmalardan bazılarına değinilmiştir. Bunlardan Karahanoğlu (2017) tarafından yapılan çalışmada 2005 Haziran-2016 Ekim döneminde Türkiye'de aktif bir biçimde faaliyet gösteren 10 adet Kalkınma ve Yatırım Bankasının Aktif Karlılığı, Panel Data yöntemi ile analiz edilmiş, bankaların çeyrek yıllık bilanço verilerinden türetilen mikro yani bankaya özgü değişkenler ile makroekonomik değişkenler kullanılmış ve bir dizi ilginç sonuca ulaşılmıştır. Çalışmaya göre kalkınma ve yatırım bankalarının karlılığını hem makro hem de mikro faktörlerin %95 anlamlılık düzeyinde etkilediği görülmüştür. Kalkınma ve Yatırım Bankalarının karlılıkları; SYR, Kredi Başına Düşen Takibe Dönüşen Alacaklar, İşsizlik ve Yabancı Para Artışı (EUR, USD) ile ters, Aktif Başına Düşen Alınan Krediler, Aktif başına Düşen Verilen Krediler, Personel Başına Yapılan Diğer Harcamalar, Faiz Giderleri Başına Yapılan Diğer Harcamalar, Sanayi Üretim Endeksi ile doğru orantılıdır. Çalışmada, Kalkınma ve Yatırım Bankalarının karlılıklarını tahminleyen yapı panel data modeli ile ortaya konmuştur. Bu araştırma hem banka içi yani banka tarafından kontrol edilebilen ya da banka tarafından oluşturulan mikro değişkenler, hem de banka dışı global makro yapı vasıtasıyla ortaya çıkan makro değişkenlerin etkin olduğu gösterilmiştir (Karahanoğlu, 2017: 167).

Koç, Bağcı ve Işık (2016) tarafından yapılan çalışmada, Kalkınma ve Yatırım Bankalarının performans ve performans devamlılıkları aktif karlılığı (ROA) ve özkaynak karlılığı (ROE) 2002-2012 yıllarını kapsayan yıllık veriler kullanılarak ölçülmeye çalışılmıştır. Çalışma sonucuna göre, ROA (Aktif Karlılık) ve ROE (Özkaynak Karlılığı) açıklanan değişkenleri yabancı sermayeli kalkınma ve yatırım bankları grubunda uzun

dönemde performans sürekliliği göstermiş, Kamu Sermayeli Kalkınma ve Yatırım Bankaları'nda sadece ROA'ya göre, Özel Sermayeli Yatırım ve Kalkınma Bankaları'nda ise sadece ROE'ye göre uzun dönemde performansın olduğu tespit edilmiştir (Koç vd., 2016: 227).

Coşkun (2009) tarafından yapılan çalışmada 2007-2008 finansal krizi ile birlikte ABD'li finansal aracılarda ortaya çıkan dikkat çekici finansal başarısızlık hikâyelerinin erken dönem analizleri ile bu dönem öncesinde yaşanan finansal başarısızlıklara yönelik olarak kamu müdahalesi yoluyla verilen tepkinin niteliklerinden hareketle, ABD kapitalizminin yakın geleceği değerlendirilmiştir (Coşkun, 2009: 27).

## 4. YATIRIM BANKALARI

Yatırım bankaları ve kalkınma bankaları genellikle gelişmekte olan ülkelerde yakından ilişkilidir. Kalkınma bankaları, özellikle menkul kıymet piyasalarının zayıf olduğu ülkelerde yatırım bankacılığının teşvik edilmesinde önemli bir rol oynayabilir. Ancak iki banka da temelde farklıdır. Yatırım bankacılığı, öncelikle yeni menkul kıymetlerin tasarlanması ve teminat altına alınması ve bunları nihai yatırımcılara satmakla ilgilenir. Yenilikçi, pazara dayalı bir yaklaşım gerektirir. Bunun aksine, kalkınma bankacılığı uzun vadeli krediler vermekle ilgilenir; uzun vadeli kredibilite analizi ile ilgilenen farklı bir zihniyet gerektirir. Biri ticaret işidir; diğeri bir varlık biriktirme işi. Her ikisi de bir ülkenin finansal piyasalarını geliştirmede önemlidir, ancak sorunları (ve fırsatları) farklılık gösterir (Hakim, 1985: 2).

Yatırım bankacılığı kavramı hakkında tek bir tanımlama yapmak oldukça zordur. Yatırım bankacılığı kavramı, kalkınma bankalarının çalışmış olduğu alanlar dışında faaliyet gösteren ve mevduat kabul etmeyen mali kuruluşlar olarak tanımlanabilmektedir. Yatırım bankacılığının daha dar anlamda tanımlanması yapılacak olursa devlet kuruluşlarının, özel şirketlerin menkul kıymet ihracını başlatan ve bu kurumlara garanti veren, tedavülünü sağlayan firmalar olarak tanımlanmaktadır. Yatırım bankacılığı kavramı kalkınma bankalarının uzantısı şeklinde ortaya çıkmış fakat bu benzerlik dışında iki banka arasında kaynak, risk ve genel hizmetler bakımından farklılıklar bulunmaktır (Satoğlu, 2010: 12).

Yatırım bankalarının etkin işleyebilmesi için gerekli şartlar arasında sermaye piyasalarının kurulmuş ve gelişmiş olmasıdır. Bununla birlikte yatırım bankacılığının temel kriteri, sınai ve ticari kuruluşlar tarafından çıkarılan hisse senetlerinin ve tahvillerin halk tarafından satın alınmasına aracılık yapmasıdır. Bu anlamda yatırım bankaları birincil piyasalarda tahvil ve hisse senetlerinin ihracına da aracılık yapmış olması demektir. Genellikle sermaye piyasalarının gelişmiş olduğu ülkelerde faaliyet gösteren yatırım bankaları ticari bankalardan farklı olarak mevduat toplamazlar ve işletmelere kredi imkânı sunmazlar. Bu bankalar kalkınma bankalarından farklı olarak, işletmelere direk olarak kredi imkânı sunmamakta ancak işletmelerin hisse senedi veya tahvil ihracı yoluyla sermaye piyasalarından uzun vadeli kaynak satmalarını kolaylaştırmaktadırlar (Karaman, 2014: 35).

### 4.1. Yatırım Bankalarının Yapısı

"Yatırım bankası" terimi çok farklı iki geleneği kapsar. Avrupa ticaret bankaları temelde "evrensel" bankalardır: Her tür menkul kıymeti taahhüt ederler, kurumsal finansman konusunda tavsiyelerde bulunurlar ve portföy yönetimi hizmetleri sağlarlar. Aynı zamanda ticari bankacı olarak hareket ederler, mevduat alırlar (genellikle toptan) ve kredi verirler. Bazı yatırım bankaları finansal kiralama, sigorta ve risk sermayesi şirketlerine dönüşmüştür. Ancak kısa vadeli para piyasalarında büyük oyuncu olmamışlardır. Birleşik Krallıkta ayrı bir kurum sınıfının uzun süredir ön koşulu olan bir işlev olmuştur. Menkul kıymetleri dağıtmak için güçlü ağlara da sahip değillerdir. Bu faaliyet uzmanlaşmış aracı kurumlara bırakılmıştır. Buna karşılık, Kuzey Amerika yatırım bankaları (Kanada'da yatırım satıcıları olarak bilinir) yasal olarak ticari bankacılığın dışında tutulmuştur. Ancak menkul kıymetler borsası üyeleri olarak, ikincil piyasada ve para piyasalarında menkul kıymet dağıtımında ve piyasa yapımında (kendi hesaplarına alım satım) ticari bankalardan çok daha aktiftirler (Hakim, 1985: 2).

### 4.2. Yatırım Bankalarının Faaliyetleri

Yatırım bankalarının faaliyetleri temel olarak 3 ana başlık altında toplanabilmektedir. Bunlar; halka arza aracılık, birleşmeler ve devralmalar ve piyasa yapıcılık ve menkul kıymet alım-satımıdır. Halka arza aracılık faaliyetinde, yatırım bankaları firmalara halka arz için gerekli koşulların sağlanmasına ve bu bilgilerin toplanmasına, halka arz için doğru zamanın belirlenmesine, menkul kıymetin fiyatının belirlenmesi konularında yardımcı olmaktadır. Birleşmeler ve devralmalarda, firmaların çoğunluk hisselerinin satın alınması devredilmesi, firmaya bağlı şirketlerin elden çıkarılması konusunda gerekli aracılık faaliyetlerin yürütülmesinde yardımcı olmaktadır. Piyasa yapıcılık ve menkul kıymet alım satımında ise, menkul kıymetlerin piyasada pazarlanmasında etkili rol oynamak ve bu süreçte piyasada oluşacak fiyat dalgalanmaları ile menkul kıymetlerin aynı yatırımcılar tarafından ele geçirilmesi gibi risklerden korumayı amaçlamakta ve kısa vadeli ihtiyaçların karşılanması için menkul kıymet alım satımlarını gerçekleştirmektedirler (Şenel ve Şekeroğlu, 2019: 567).

Gelişmekte olan ülkelerin çoğunda, yatırım bankaları, gelişmekte olan bir finans sektörünün ihtiyaçlarına veya ticari bankalar tarafından sağlanan mevcut hizmetlerdeki boşluklara yanıt olarak gelişmiştir. Kanada, Hong Kong, Kore Cumhuriyeti ve Tayland gibi bazı ülkelerde büyümeleri merkez bankalarının ve hükümetlerin girişimleriyle desteklenmiştir. Yatırım bankaları tipik olarak yerel menkul kıymetler piyasasına menkul kıymetler yüklenimi dahil olmak üzere bir dizi hizmet sağlar. Bu hizmetler; menkul kıymetlerin ikincil piyasalarda pazarlaması, para piyasası faaliyetleri, kurumsal danışmanlık faaliyetleri, portföy yönetimi, risk sermayesi finansmanı ve leasing olarak sayılabilmektedir (Hakim, 1985: 11).

***Menkul kıymet yüklenimi (underwriting):*** Yüklenim (underwriting), hükümetler veya şirketler için uzun vadeli ve kısa vadeli sermayeyi sigortalamak olarak ifade edilebilmekte ve geleneksel yatırım bankacılığının merkezinde yer almaktadır (Hakim, 1985: 11).

***Menkul kıymetlerin ikincil piyasada pazarlaması:*** Güçlü bir ikincil piyasa, yatırımcılara menkul kıymetlerini hızlı ve ucuza satabileceklerine dair güven verir. Sonuç olarak, tasarruflarını uzun vadeli menkul kıymetlere yatırma olasılıkları daha yüksektir. Bu nedenle, birincil pazarın geliştirilmesinde güçlü bir ikincil pazar çok önemlidir. Yatırım bankaları, hem piyasa yapıcıları hem de aracılar olarak hareket ederek ikincil piyasayı teşvik etmeye yardımcı olabilmektedirler (Hakim, 1985: 11). Gelişmekte olan ülkelerde, ikincil menkul kıymetler piyasası, alıcı ve satıcıları eşleştirmenin zorluğu nedeniyle genellikle çok zayıftır. Yani tahvil ve hisse senedi fiyatları tek bir günde yüzde 10 ila 20 arasında dalgalanabilir. Dar pazarın bir nedeni, emeklilik fonları ve sigorta şirketleri gibi kurumsal yatırımcıların olmamasıdır. Bunun yerine, piyasaya, uzun vadeli yatırımdan çok spekülasyonla ilgilenen deneyimsiz özel yatırımcılar hakimdir. Diğer bir neden ise şirketlerin yeterli finansal açıklama yapmaması olabilmektedir. Bu, gerçek yatırımcıların belirli menkul kıymetlerin değerine ilişkin objektif bir görüş oluşturmasını zorlaştırır. Zayıf altyapı düzenlemeleri de diğer bir faktör olabilmektedir. Bazı ülkelerde, komisyoncuların veya yatırım bankacılarının piyasa yapıcı olarak hareket etmelerine izin verilmez veya piyasa yapıcılık faaliyetlerini desteklemek için borç para almaları için herhangi bir düzenleme bulunmamaktadır. Yatırım bankası gibi uzman bir finans şirketinin kurulması bu tür sorunların üstesinden gelmeye yardımcı olabilmektedir (Hakim, 1985: 12).

***Para piyasası faaliyetleri:*** Para piyasası faaliyetleri, kısa vadeli menkul kıymetlerle ilgili faaliyetleri içermektedir. Bu menkul kıymetlerden bazıları hazine bonoları, devlet tahvilleri, mevduat sertifikaları olarak sayılabilmektedir (Hakim, 1985: 12).

***Kurumsal danışmanlık faaliyetleri:*** Gelişmekte olan ülkelerde şirketler ve genel olarak ekonomik eğilimler hakkında bilgi edinmek zor olduğundan, kurumsal finansal hizmetlerin gerçekleştirilmesi hem zor hem de çok talep görmektedir. İşletmeler olgunlaştıkça ve profesyonel yöneticiler asıl sahip-girişimcilerden görevi devraldıkça bu talebin artması muhtemeldir. Müşterilerle yakın ilişkiler ve bir yatırım bankasının araştırma sağlarken geliştirdiği pazar hakkında ayrıntılı bilgi sahibi olması, başka iş türlerini elde etmesine yardımcı olur. İlişkiler, çoğu yatırım bankacılığı işinin anahtarıdır; güvenilir bir danışman haline gelen bir yatırım bankası, bir şirketin mali durumlarını yeniden yapılandırmasını veya bir devralma gerçekleştirmesini önerdiğinde dinlenecektir. Ayrıca, şirketin bazı yeni finansal planlar hazırlaması durumunda yeni işler için ilk sırada yer alacak (Hakim, 1985: 12). Proje finansmanı, önemli bir danışmanlık çalışması kaynağı olabilir. Yatırım bankası hem bir danışman (proje risklerini belirleme,

teknik ortakları çekme ve devlet kurumlarıyla ilgilenme) hem de finans düzenleyicisi (kredi verenleri belirleme ve finansal paketi yapılandırma) olarak hareket edebilir. (Hakim, 1985: 13).

***Portföy Yönetimi:*** Menkul kıymet piyasaları büyüdükçe, kurumsal yatırımcılar ve varlıklı bireyler profesyonel yatırım tavsiyesine ihtiyaç duyacaktır. Kurumsal tavsiyelerde olduğu gibi, bu hizmeti başarılı bir şekilde sağlamak, yüksek kaliteli ekonomik ve finansal araştırma yapmaya bağlıdır. Gelişmekte olan bir borsada profesyonel para yönetimi riskin yüksek olması sebebiyle tehlikeli bir iştir. Çoğu hisse senedi piyasasının geçtiği ilk (hareketsiz) aşamada, hisselerin temel değerleri normalde iyidir ancak piyasa çok likit değildir. Yatırım fonlarına ve diğer kurumsal para yönetimi türlerine olan ilgi genellikle takip eden spekülatif patlama sırasında (veya hatta sonuna yakın) ortaya çıkar. Ancak hisse senedi fiyatları o zamana kadar belirli seviyelere yükseldiğinden, yatırım yönetimi hizmetleri sunmaya başlamanın zamanı değil. Spekülatif patlamayı izleyen konsolidasyon aşaması daha uygun olabilir, ancak yatırımcıların piyasaya olan güveni, hisse senedi fiyatlarındaki ani düşüş nedeniyle muhtemelen zayıflamış olacaktır. Bununla birlikte, patlama ve düşüş döngüsü, şirketler tarafından daha fazla mali açıklama ihtiyacını ortaya çıkarabilmektedir. Kurumsal yatırım ihtiyacı da bu aşamada kabul edilmekte ve hükümetler bunun için teşvikler sunabilmektedir. Bu tür değişiklikler, yatırım bankaları tarafından sağlanan profesyonel yatırım tavsiyesi için zemin hazırlayabilmektedir (Hakim, 1985: 13).

***Sunulan Diğer Hizmetler:*** Yatırım bankaları genellikle risk sermayesi finansmanını üstlenmek için iyi bir konumdadır. Risk sermayesi, bir yatırım bankasının becerilerini kurumsal yeniden yapılandırmalarda, birleşmelerde ve satın almalarda kullanmasına izin verir. Başarılı yeni şirketler ayrıca yatırım bankalarına karlı gelecek müşterileri sağlar. Ancak yüksek riskler söz konusudur, bu nedenle bir yatırım bankasının sermayesinin yalnızca küçük bir bölümü risk sermayesine tahsis edilmeli ve yatırım bankaları, yatırımlarına bağlı kalmaya istekli olmalıdır. Deneyimler, kazanan olduğunu kanıtlayan risk sermayesi yatırımlarının bile olgunlaşmasının uzun zaman aldığını göstermektedir (Hakim, 1985: 13).

Gelişen yatırım bankaları ve başarılı kalkınma bankaları hem sağlıklı sermaye piyasalarını hem de daha verimli bir ekonomiyi teşvik etmek için önemlidir. Temelde farklı sorunları olan farklı türdeki kurumlardır ve sonunda ayrı kurumlar olarak geliştirilmeleri gerekir. Ancak birçok açıdan rolleri birbirini tamamlayıcı niteliktedir. Yatırım bankalarının faaliyet gösterecekleri sağlıklı bir menkul kıymetler piyasasına ihtiyaçları vardır; kalkınma bankaları bunu sağlamak için politikaların geliştirilmesine yardımcı olabilmektedir. Kalkınma bankaları, bir yatırım bankacılığı işini sıfırdan başlatmak için gerekli olan başlangıç sermayesini ve ekipmanı da sağlayabilir. Ayrıca, küçük ve büyüyen şirketlere erişimleri ile kalkınma bankaları, yatırım bankaları için gelecekteki müşteriler için önemli kaynaklar olabilmektedir. Kalkınma bankaları, özellikle en küçük ve en yoksul gelişmekte olan ülkelerde uzun vadeli kredi verme için temel bir mekanizma iken yatırım bankaları, daha gelişmiş ekonomilerde finansal piyasaları güçlendirir ve yeni yatırım, çıktı ve istihdam fırsatlarını genişletebilmektedir. Gelişen yatırım bankaları, borçlulara ve borç verenlere uluslararası sermaye piyasalarındaki artan fırsatlara ilişkin bir pencere de sağlayabilmektedir (Hakim, 1985: 19).

## 5. YATIRIM BANKALARININ ARACI OLDUĞU DOĞRUDAN FİNANSMAN YÖNTEMİNİN TOPLUM REFAHINA SAĞLADIĞI KATKI: FENERBAHÇE SPORTİF AŞ'NİN TAHVİL İHRACI ÖRNEĞİ

Fenerbahçe Sportif AŞ Şubat 2012'de doğrudan finansman yöntemi kullanarak 100 milyon TL'lik tahvil ihraç ederek borçlanma yolunu tercih etmiş ve talep toplamıştır. Bu döneme ait ilgili faiz oranları Tablo 1'de gösterilmiştir.

Tablo 1: Fenerbahçe Sportif AŞ'nin Tahvil İhraç Ettiği Döneme Ait Veriler

| Fenerbahçe Sportif AŞ'nin Tahvil Faiz Oranı* | Ticari Kredi Faiz Oranı** | Mevduat Faiz Oranı*** |
|---|---|---|
| **%13,1** | %14,5 | %11,4 |

Kaynaklar: *https://www.dunya.com/gundem/fener039in-tahviline-101-milyon-tl-talep-haberi-167493

** https://evds2.tcmb.gov.tr/index.php?/evds/dashboard/341

***http://www.tcmb.gov.tr/wps/wcm/connect/6121b7aa-7946-4353-b0f2-9cbab7e289b2/TurkLirasi.html?MOD=AJPERES,

Tablo 1'e göre göre Fenerbahçe Sportif AŞ'nin ihraç ettiği tahvilin faiz oranı %13,1 olurken bankalarda ticari kredi faiz oranı yaklaşık olarak %14,5, mevduat faiz oranı yaklaşık olarak %11,4 olarak gerçekleşmiştir. Ticari kredi faiz oranı, Fenerbahçe Sportif AŞ'nin dolaylı finansman yöntemi olan banka kredisini tercih etmesi durumunda karşılaştığı maliyeti gösterirken mevduat faiz oranı da tahvil satın alacak tasarruf sahiplerinin ihraç edilen tahvile göre riski daha düşük olan banka mevduat hesabını tercih etmeleri durumunda elde edecekleri faiz gelirini göstermektedir.

Fenerbahçe Sportif AŞ, doğrudan finansman yöntemi kullanarak tahvil ihraç etmesi sonucu dolaylı finansman yöntemi olan banka ticari kredisine göre yaklaşık 1,4 puanlık maliyet avantajı elde etmiş, bu da yaklaşık (100 milyon x %1,4) 1 milyon 400 bin TL'nin Fenerbahçe Sportif AŞ'nin kasasında kalmasını sağlamıştır. Böylece Fenerbahçe Sportif AŞ doğrudan finansman yöntemi ile başka harcamalarında kullanarak ekonomiye aktaracağı bir tutarı tasarruf etmiştir.

Tasarruf sahipleri riski banka mevduatına göre biraz daha yüksek olan tahvil satın alarak banka mevduat faiz oranı ile ihraç edilen tahvil faiz oranı farkı olan yaklaşık 1,7 puan daha fazla faiz geliri elde edeceklerdir. Bu da tasarruf sahiplerine kullanabilecekleri (100 milyon x %1,7) 1 milyon 700 bin TL'lik ilave faiz geliri sağlamıştır. Bu çerçevede doğrudan finansman yöntemiyle tahvil ihraç eden şirketin maliyet tasarrufu olan 1 milyon 400 bin TL ile tahvil satın alan tasarruf sahibinin elde etmiş olduğu ilave faiz geliri olan 1 milyon 700 bin TL toplamı olan 3 milyon 100 bin TL ekonomiye ilave kaynak/harcama olarak aktarılmış olacaktır. Ortaya çıkan bu 3 milyon 100 bin TL'lik ilave kaynağın doğrudan finansman yönteminin toplumun refahına sağladığı katkı olarak değerlendirilmesi mümkündür.

## 6. SONUÇ

Doğrudan finansman, fon arz eden tasarruf sahipleri ile fon talep eden yatırımcıların arada finansal aracı olmadan fon değişimini gerçekleştirdiği bir finansman yöntemidir. Bu yöntemde, fon arz eden tasarruf sahipleri ödünç verdikleri fonların geri dönmeme risklerini kendileri üstlenirken bu risk karşılığı dolaylı finansman yöntemine göre daha yüksek getiri elde etme imkanına sahiptirler. Aracısız finansman olarak da tanımlanan doğrudan finansman yönteminde finansal aracı fon değiş tokuşunda herhangi bir risk üstlenmemekte sadece fonun el değişimini sağlamaya aracılık etmektedir. Yatırım bankaları temelde halka arza aracılık, birleşmeler ve devralmalar ile piyasa yapıcılık ve menkul kıymet alım-satımı hizmetlerini sunarak doğrudan finansman yönteminde rol alan finansal aracılardır. Yatırım bankalarının gelişmesi ülke ekonomisinde yer alan yatırım yapacak şirketlere daha uygun maliyetli fon kaynağı, tasarruf sahiplerine de daha yüksek getiri sağlayabilecektir. Bu çalışmada yatırım bankalarının doğrudan finansmanda aracılık yaparak ülke ekonomisine sağlayabileceği katkı Fenerbahçe Sportif AŞ'nin Şubat 2012'de gerçekleştirmiş olduğu tahvil ihracı örneği ile incelenmiştir. Buna göre fon ihtiyacı olan şirket doğrudan finansman yöntemi kullanarak tahvil ihraç ettiğinde; dolaylı finansman yöntemi olan banka ticari kredisine göre yaklaşık 1,4 puanlık maliyet avantajı elde etmiş, bu da yaklaşık (100 milyon x %1,4) 1 milyon 400 bin TL'nin Fenerbahçe Sportif AŞ'nin kasasında kalmasını sağlamıştır. Böylece Fenerbahçe Sportif AŞ doğrudan finansman yöntemi ile başka harcamalarında kullanarak ekonomiye aktaracağı bir tutarı tasarruf etmiştir. Aynı örnekte tasarruf sahipleri riski banka mevduatına göre biraz daha yüksek olan şirketin ihraç etmiş olduğu tahvili satın alarak banka mevduat faiz oranı ile ihraç edilen tahvil faiz oranı farkı olan yaklaşık 1,7 puan daha fazla faiz geliri elde etmişlerdir. Bu da tasarruf sahiplerine kullanabilecekleri (100 milyon x %1,7) 1 milyon 700 bin TL'lik ilave faiz geliri sağlamıştır. Bu çerçevede doğrudan finansman yöntemiyle tahvil ihraç eden şirketin maliyet tasarrufu olan 1 milyon 400 bin TL ile tahvil satın alan tasarruf sahibinin elde etmiş olduğu ilave faiz geliri olan 1 milyon 700 bin TL toplamı olan 3 milyon 100 bin TL ekonomiye ilave kaynak/harcama olarak aktarılma imkanı sağlamış olacaktır. Ortaya çıkan bu 3 milyon 100 bin TL'lik ilave kaynağın doğrudan finansman yönteminin toplumun refahına sağladığı katkı olarak değerlendirilmesi mümkündür.

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# Dijital Platformlarda Program Seçimini Etkileyen Faktörlerin İncelenmesi: Netflix Örneği

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**Özet:** Bireylerin boş zamanlarını değerlendirme araçlarından biri olan televizyon izleme alışkanlığı, günümüzde yerini dijital mecralardaki yayınları izleme alışkanlığına bırakmıştır. Bu noktada dünyada ve Türkiye'de, dijital platformlar arasında en çok kullanılmakta olan Netflix, kullanıcılarına pek çok avantaj sağlamaktadır. Bu avantajlar, Netflix kullanıcılarının dizi veya içerik seçme davranışlarını etkilemektedir. Bu çalışmanın amacı, kullanıcıların demografik özelliklerine ve Netflix platformunu kullanma ilişkilerine göre dizi veya film seçimini etkileyen faktörlerin farklılık gösterip göstermediğini incelemektir. Bu amaç ile gerçekleştirilen araştırmada online anket yöntemi kullanılarak 266 katılımcı ile görüşülmüştür. Elde edilen veriler T-Testi ve varyans analizi kullanılarak analiz edilmiştir. Yapılan analizlerde, katılımcıların cinsiyetine, eğitim durumuna, Netflix izleme sıklığına ve Netflix'i başkası ile paylaşma durumuna göre farklılık gösterdiği belirlenmiştir.

**Anahtar Kelimeler:** Netflix, Netflix İçerik Seçme Davranışı, Demografik Özellikler

# Examining the Factors Affecting Program Selection in Digital Platforms: The Case of Netflix

**Abstract:** The habit of watching television, which is one of the tools of making use of individuals' spare time, has now been replaced by the habit of watching broadcasts in digital channels. At this point, Netflix, one of the most used digital platforms in the world and in Turkey, provides many advantages to its users and these advantages affect the behavior of Netfix users in choosing series or content. The purpose of this study is to examine whether the factors affecting these behaviors according to the demographic characteristics of the users and their relationship to using the Netflix platform, and the choice of TV series or movies differ. In the study conducted for this purpose, 266 participants were interviewed using the online survey method. The data obtained were analyzed using T-test and analysis of variance. According to the analysis, it has been determined that the participants differ according to their gender, education level, Netflix viewing frequency and sharing Netflix with someone else.

**Key Words:** Netflix, Netflix Content Selection Behavior, Demographic Features

## 1.GİRİŞ

Dijital platformlar; izleyiciye dilediği yerde, dilediği zaman, dilediği içeriğe ulaşabilme imkânı veren servis araçlarıdır. Aboneliğe dayalı video izleme servisleri (Netflix, Blu TV vb.), sözleşmeli içerik izleme servisleri (Itunes vb.) ve reklama dayalı video izleme servisleri (Youtube, Puhu TV vb.) olarak üç kategoriye ayrılır (Yüncüoğlu, 2019:35). Dijital platformlara akıllı televizyon, bilgisayar gibi elektronik aletler dışında çoğu bireyin yanında taşıdığı cep telefon, tablet gibi küçük elektronik aletlerden de erişim sağlamak mümkündür.

Zaman içerisinde değişen koşullar, teknolojinin dönüşümüyle birlikte gelişim göstermektedir. Bu gelişimlerin getirisi olarak ortaya çıkmış bir kavram olan ''Eğlence sektörü'' hızı ve dinamiği sayesinde, tüketicilerin ilgisini kısa sürede çekmiş, 21.yüzyılda doruğa ulaşmıştır (Sarı & Petek, 2020: 245). Akıllı cihazlar ve internet, şüphesiz en çok bu sektörde dönüşüm yaratmıştır. Günlük hayatta yapılan alışveriş, bankacılık, sosyalleşme vb. birçok işlemler artık internet ortamındaki alternatif uygulamalar ile yapılmaktadır. Bunlar dışında dijital platformların sağladığı kolaylıklar ve zengin içerikler, bireyleri geleneksel TV izleme alışkanlıklarından uzaklaştırmaya başlamıştır.

Dünyada ve ülkemizde akıllı cihazlar sayesinde internete istenilen yer ve zamanda erişebilmek oldukça kolay bir hale gelmiştir. Avuç içi kadar küçülen bilgisayarlar, boyutlarının aksine büyük işlevler

gerçekleştirmektedir (Kırık & Çelebioğlu, 2019: 522). Bu kolaylık, televizyon izleme alışkanlıklarımızın değişim göstermesinde belirleyici bir etkendir. Netflix Türkiye'den 37 bin 56 katılımcı ile yaptığı araştırmasında, Türk kullanıcıların %77'sinin sadece evlerinde değil, işe gidip gelirken, otobüs ya da uçak ile yolculuk yaparken de mobil cihazlardan film ve dizi seyrettikleri sonucuna varmıştır (Marketing Türkiye, 2018). Yani çevrimiçi izleyiciler, geleneksel izleyicilere göre daha aktif ve dinamiktir. Beklenti ve ihtiyaçlarıyla hareket etme eğilimindedirler. Geleneksel televizyon yerine dijital platformları tercih eden ''Yeni nesil izleyici" aynı zamanda hem tüketici hem üretici olabilmektedir (Aydın, 2019: 1169). Bu sebeple dijital ortamlardaki içerikler tüketici istekleri doğrultusunda şekillenir.

Bunun yanı sıra internet reklam pazarında ise tüm geleneksel normları yıkacak türden hızlı bir büyüme görülmektedir (Muradoğlu, 2017:88). Bu doğal süreç sonucunda internet dizilerinin başlı başına bir pazar olduğu fark edilmiştir ve firmalar yatırımlarını bu mecralara taşımaya başlamıştır. Türkiye'de çekilen birtakım diziler daha önce YouTube aracılığıyla yayınlanmış fakat kurguları çok beğenilmediği için bu yayınlar gerekli ilgiyi görememiştir. Daha sonra tekrar YouTube üzerinden profesyonel olmayan oyuncu kadrosu ile Adana Sıfır Bir- Bir zamanlar Adana'da dizisi yayınlanmış ve milyonlarca izlenme rakamına ulaşınca en azından platforma dikkat çekilmiş fakat beklenen ilgi uzun süreli olmamıştır.

Türkiye'deki dijital platformlar, YouTube'taki gelişmeler dışında, 2016 yılında Netflix'in Türkiye'ye erişiminin açılmasıyla kurulmaya ve şekillenmeye başlamıştır. Aynı yıl içerisinde önce ''Blu TV'' ile Doğan Medya Grubu, ''Puhu TV'' ile Doğuş Grubu, ardından Acun Ilıcalı ile ''Exxen'' ve GainMedya ''Gain'' faaliyete geçmiştir.

Bu çalışmanın amacı Netflix platformunu kullanan tüketicilerin hangi faktörleri dikkate alarak dizi veya film (program) seçtiğini tespit etmektir. Literatür çalışmalarında yapılan araştırmalar genellikle Netflix ve dijitalleşme ile ilgilidir. Netflix kullanıcılarının dizi, film veya belgesel izleme tercihlerini araştıran bir çalışma bulunmamaktadır. Ayrıca, bu çalışmada, kullanıcıların demografik özelliklerine ve Netflix platformunu kullanma ilişkilerine göre dizi, film veya belgesel izleme seçimini etkileyen faktörlerin farklılık gösterip göstermediği incelenmiştir.

## 2.LİTERATÜR TARAMASI

Dijital platformlar, teknoloji ile büyüyen Y ve Z kuşağının sıkça etkileşim halinde olduğu yeni medya ortamlarıdır. Bu platformlar sayesinde kullanıcılar, tek bir ortama taşınarak geleneksel televizyon alışkanlıklarını bırakmaya başlamıştır Sarı & Sancaklı, 2020: 245).

Netflix'in Türkiye pazarına girmesi, sektörde büyük değişiklik yaratmış, benzeri platformların faaliyete geçmesinde öncü olmuştur (Çağıl & Kara, 2019: 11). Blu TV istenilen içeriğin, istenilen yer ve zamandan izlenilebilmesi bakımından Türkiye'nin ilk yerel dijital platformudur. Netflix gibi aylık abonelik sistemi bulunmaktadır. Sektördeki alternatif platformlardan farklı olarak dizi, film vb. içeriklerin dışında, televizyon canlı yayın akışını izleme fırsatı sunmaktadır. Exxen, 1 Ocak 2021 tarihiyle yayına başlayan en yeni dijital platformdur. Türk yapımı dizilerle birlikte Türk yapımı filmler, yarışmalar ve Talk Show programlarını içermektedir. Aylık abonelik sistemi ile çalışmaktadır. Puhu TV ve Gain diğer dijital platformların aksine, kullanıcıların içeriklere ulaşabilmesi için abonelik sistemini kullanmamaktadır. Maddi gelir için reklamları kullanmaktadır. Videolar arası geçilemeyen reklamlar, içeriklerde ürün yerleştirme vb. yöntemleri vardır. Bütün dijital platformlardan farklı olarak Gain, sadece telefonlardan izlenebilmektedir ve canlı yayın açma özelliği vardır.

Netflix 1997 yılında Amerika Birleşik Devlet'inde kurulmuştur. Dünya genelinde 190'dan fazla ülkede erişimi vardır. Digitalage sayfasının yayınladığı açıklamaya göre 2021 yılı için aktif abone sayısı 203.6 milyondur (Digitalage, 2021). Netflix Türkiye Kamu Politikaları Direktörü Pelin Mavili'nin açıklamalarına göre Türkiye'deki abone sayısı 3,5 milyonu geçmiş durumdadır. Netflix içeriklerini tercih etme davranışı kişiden kişiye değişmektedir. Bu değişimde demografik özelliklerin etkisi olduğu gibi bireysel ihtiyaçlar, firmanın reklam uygulamaları vb. faktörler de etkili olmaktadır. Bir araştırma sonucunda, dizi, film vb. içerikler izlerken davranışları incelenen bireylerin rahatladıkları ve zihinlerinin aktif halde olmadığı rapor edilmiştir (Özel & Durmaz, 2021: 365). Birey bu şekilde kendini ödüllendirdiğini düşünmektedir. Bir diğer araştırma, bireylerin yalnızlık hislerini giderebilmek için sosyal medya üzerinden ilişkilerini geliştirebilir

veya içerik izleme süresini arttırarak bir kaçış yolu yaratabilmektedir (Çakır & Çakır, 2013: 142). Bireyler günlük hayatın stres ve sorumluluğundan kaçmak için de içerik izlemektedirler (Berfin & Çetin, 2016: 29).

Netflix dizi veya film seçme davranışını ölçmek için geliştirilen hipotezler, Netflix kullanıcıları ile yapılan öntestler ve daha önce yapılan araştırmalar incelenerek gerçekleştirilmiştir. Araştırma yöntemi olarak uygulanan nitel yöntem Netflix kullanıcıları ile görüşülerek oluşturulmuştur. Kullanıcılar ile görüşmeler sonucunda kategoriler ve alt kategoriler oluşturulmuştur. Bu kategoriler aralarındaki benzerlik ve farklılıklara göre araştırma sonucunda istenilen verilere ulaşabilmek amacıyla boyutlara ayrılmıştır (Gürmeriç, 2019: 92). Netflix kullanıcıları ile yapılan mülakatlar sonucunda dört boyut oluşturulmuştur. Bu boyutlar; ürün özellikleri, firma uygulamaları, ağızdan ağıza pazarlama ve tüketici ihtiyaçları faktörleridir. Ürün özellikleri boyutu, Netflix'teki dizi veya filmlerin konusu, süresi, oyuncu kadrosu gibi içerik özellikleridir. Firma uygulamaları boyutu, Netflix uygulamasının, kullanıcıya özel eşleştirme yapması, içerikleri kategoriye ayırmasıdır. Ağızdan ağıza pazarlama boyutu, Netflix kullanıcısı veya kullanıcı olmayan bireylerin, uygulama hakkında yaptıkları yorum ve deneyimlerini aktarmasıdır. Tüketici ihtiyaçları boyutu, tüketicilerin istekleri, beklentileri ve ihtiyaçlarıdır. Daha sonra her bir faktör için ankette kullanılacak sorular ve hipotezler geliştirilmiştir.

Yapılan araştırmada kullanılan hipotezler şu şekildedir;

**H1:** Netflix içerik seçiminde a) ürün özellikleri, b) Netflix müşterisi olmayan kişilerin yapmış olduğu ağızdan ağıza pazarlama, c) Netflix müşterisi olan kişilerin yapmış olduğu ağızdan ağıza pazarlama, d) Tüketici tercihleri, e) Firmanın yapmış olduğu reklam uygulamaları ve f) Firmanın Netflix programı üzerinden yaptığı uygulamalar katılımcıların cinsiyetine göre farklılık göstermektedir.

**H2:** Netflix içerik seçiminde a) ürün özellikleri, b) Netflix müşterisi olmayan kişilerin yapmış olduğu ağızdan ağıza pazarlama, c) Netflix müşterisi olan kişilerin yapmış olduğu ağızdan ağıza pazarlama, d) Tüketici tercihleri, e) Firmanın yapmış olduğu reklam uygulamaları ve f) Firmanın Netflix programı üzerinden yaptığı uygulamalar katılımcıların eğitime göre farklılık göstermektedir.

**H3:** Netflix içerik seçiminde a) ürün özellikleri, b) Netflix müşterisi olmayan kişilerin yapmış olduğu ağızdan ağıza pazarlama, c) Netflix müşterisi olan kişilerin yapmış olduğu ağızdan ağıza pazarlama, d) Tüketici tercihleri, e) Firmanın yapmış olduğu reklam uygulamaları ve f) Firmanın Netflix programı üzerinden yaptığı uygulamalar katılımcıların Netflix'i başka biriyle paylaşma durumuna göre farklılık göstermektedir.

**H4:** Netflix içerik seçiminde a) ürün özellikleri faktörü, b) Netflix müşterisi olmayan kişilerin yapmış olduğu ağızdan ağıza pazarlama, c) Netflix müşterisi olan kişilerin yapmış olduğu ağızdan ağıza pazarlama, d) Tüketici tercihleri faktörü, e) Firmanın yapmış olduğu reklam uygulamaları ve f) Firmanın Netflix programı üzerinden yaptığı uygulamalar katılımcıların Netflix izleme sürelerine göre farklılık göstermektedir.

## 3.ARAŞTIRMANIN YÖNTEMİ

Bu çalışma, kullanıcıların demografik özelliklerine ve Netflix platformunu kullanma ilişkilerine göre dizi, film veya belgesel izleme seçimini etkileyen faktörlerin farklılık gösterip göstermediğini araştırmak amacıyla yapılmıştır. Bu amaca ulaşmak için anket yöntemi uygulanmıştır. Anket 26 sorudan ve 5'li likert tarzda oluşturulmuştur. Sorular, online ortamlarda yalnızca Netflix kullanıcılarına, 19 Mayıs 2020- 26 Nisan 2020 tarihleri arasında uygulanmıştır.

Araştırmada kullanılan ölçek sorularının tamamı ayrı aşamalar ile oluşturulmuştur. Netflix firmasının ve Türkiye'de erişim sağlayan diğer benzeri platformların, kendi internet sitesi ve sosyal medya gibi dijital platformlar üzerinden yaptığı uygulamalar, reklamlar ve bunlar için yapılan araştırmalar incelenmiştir. Elde edilen veriler ile ölçeğin taslağı oluşturulmuştur. Daha sonra taslağı geliştirmek için Netflix kullanıcıları arasından seçilmiş 35 birey ile öntest yapılmıştır. Öntest uygulanırken mülakat yöntemi kullanılmıştır. Bu bireylere, ''Netflix içerikleri hakkındaki bilgilere hangi kanal aracılığıyla ulaşıyorsunuz?'' ''Netflix içeriğinin konusu, oyuncu kadrosu, süresi vb. özellikler, dizi veya film seçme davranışınızda etkili oluyor mu?'', ''Netflix uygulamasının öneri sistemi, dizi veya film seçme davranışınızda etkili oluyor mu?'', ''Bireysel ihtiyaçlarınız Netflix dizi veya film içeriklerini izleme davranışınızda etkili oluyor mu?''

soruları yöneltilmiştir. Nitel çalışma sonucu elde edilen veriler ışığında her bir boyut için anket modeli oluşturulmuştur. Daha sonra soruların yanlış anlaşılıp anlaşılmayacağı vb. etkilerin test edilmesi için Netflix kullanıcılarından oluşan 35 bireye ikinci bir öntest uygulanmıştır. İkinci öntest uygulanırken tekrar mülakat yöntemi kullanılmıştır. Verilen yanıtlar ile sorular düzenlenmiştir. Tüm bu aşamalardan sonra elde edilen sorular anket formuna taşınmıştır.

Analizler SPSS programı ile gerçekleştirilmiştir. Kullanılan ölçeğin güvenilirliği açıklayıcı faktör analizi ile hesaplanmıştır. Elde edilen veriler farklılık analizlerinde kullanılmıştır. Bu farklılık analizleri, varyans (ANOVA) ve T-testi'dir.

## 4.BULGULAR

### 4.1. Demografik Özellikler

Toplam 115 erkek ve 151 adet kadın katılımcı anketi doldurmuştur. Katılımcıların eğitim seviyeleri sırasıyla %80,8'i üniversite, %14,3'ü master veya doktora, %4,5'i lise öğrencisi ve geri kalan %1'lik kısım ilköğretim öğrencisidir. Katılımcıların yaş ortalamaları 25'tir.

Netflix kullanıcılarının ortalama abonelik süreleri 19 aydır. Kullanıcıların günlük dizi izleme yüzdeleri 25,6, film izleme yüzdeleri 3,8 ve belgesel izleme yüzdeleri 1,9'dur. Yani Netflix kullanıcıları genel olarak dizi izlemektedir. Kullanıcılar genellikle Netflix içeriklerini izlerken yalnız olmayı tercih etmektedir. Kullanıcıların yalnız izleme yüzdeleri 34,6, aile ile izleme yüzdeleri 3,4 ve arkadaş ile izleme yüzdeleri 1,5 şeklindedir. Kullanıcıların Netflix'i tercih etmelerindeki en önemli faktör ise; TV'de yayınlanmayan içeriklerin bu platformda olmasıdır. (37,6) Bu faktörden sonra sırasıyla, dizi veya film seçerken karar verme kolaylığı (30,8), içerikler arası reklam olmaması (15,0), içerikleri kolay indirme seçeneği (5,3), popülarite (3,4), Türkiye'ye özel içerik üretilmesi (2,3) ve son olarak fiyat uygunluğu (1,9) gelmektedir.

### 4.2. Geçerlilik ve Güvenilirlik

Araştırmada kullanılan ölçeklerin geçerlilik ve güvenirliliği için açıklayıcı faktör analizi yapılmış ve Cronbach's alfa katsayısı hesaplanmıştır.

Tablo 1: Geçerlilik ve Güvenilirlik

| | Faktörler ve Faktör Yükleri | | | | | | Özdeğer | Açıklanan Varyans | Alpha (Güvenilirlik Katsayısı) |
|---|---|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | | | |
| WOM5 | ,874 | | | | | | 4,407 | 18,363 | ,890 |
| WOM7 | ,859 | | | | | | | | |
| WOM8 | ,841 | | | | | | | | |
| WOM6 | ,823 | | | | | | | | |
| Tüketici3 | | ,861 | | | | | 3,557 | 14,819 | ,805 |
| Tüketici2 | | ,830 | | | | | | | |
| Tüketici4 | | ,764 | | | | | | | |
| Tüketici1 | | ,650 | | | | | | | |
| Ürün Özellikleri4 | | | ,731 | | | | 2,295 | 9,564 | ,704 |
| Ürün Özellikleri6 | | | ,688 | | | | | | |
| Ürün Özellikleri5 | | | ,621 | | | | | | |
| Ürün Özellikleri1 | | | ,614 | | | | | | |
| Ürün Özellikleri3 | | | ,537 | | | | | | |
| Ürün Özellikleri2 | | | ,481 | | | | | | |
| WOM2 | | | | ,838 | | | 1,614 | 6,727 | ,732 |
| WOM1 | | | | ,835 | | | | | |
| WOM3 | | | | ,639 | | | | | |
| WOM4 | | | | ,491 | | | | | |
| Firma Uygulamaları2 | | | | | ,872 | | 1,544 | 6,432 | ,727 |
| Firma Uygulamaları3 | | | | | ,828 | | | | |
| Firma Uygulamaları4 | | | | | ,505 | | | | |
| Firma Uygulamaları5 | | | | | | ,782 | 1,311 | 5,463 | ,598 |
| Firma Uygulamaları6 | | | | | | ,751 | | | |
| Firma Uygulamaları1 | | | | | | ,568 | | | |

Araştırma öncesi yapılan ön çalışma sonucunda dört boyut tahmin edilmiştir. Yapılan araştırma ile bu dört boyutun gerçekte olup olmadığı ölçülmek istenmiştir. Bu dört boyut; ürün özellikleri faktörü, firma uygulamaları faktörü, ağızdan ağıza pazarlama faktörü, tüketici ihtiyaçları faktörüdür. Faktör analizi sonucunda, faktörler kendi aralarında bölünerek altı boyut oluşturmuştur. Bu faktörler ağızdan ağıza pazarlama (WOM) ve firma uygulamaları faktörleridir. WOM, Netflix müşterisi olan kullanıcı önerileri ve Netflix müşterisi olmayan kullanıcı önerileri şeklinde iki farklı boyut oluşturmuştur. Firma uygulamaları, Netflix uygulaması üzerinden markanın yaptığı (Eşleştirme, öneri vb.) faaliyetler ve Netflix firmasının sosyal mecralarda yaptığı reklamlar olmak üzere iki farklı boyut oluşturmuştur. Faktör yükleri bütün boyutlarda istenilen düzeydedir.

Faktör analizin KMO ve Bartlett's değeri 768'dir.

Yapılan analizler sonucu açıklamak istenilen alanın toplam %61'inin açıklamaktadır.

### 4.3. Tanımlayıcı İstatistikler

Tablo 2: Tanımlayıcı İstatistikler

| | N | Ortalama | Standart Sapma |
|---|---|---|---|
| Tüketici Tercihleri | 265 | 4,3308 | ,58102 |
| Firmanın Reklam Uygulamaları | 266 | 3,4549 | ,77585 |
| Firma Uygulamaları | 266 | 3,8835 | ,58867 |
| WOM (Müşteri olanlar) | 266 | 3,5122 | ,73707 |
| WOM (Müşteri olmayanlar) | 265 | 2,9855 | 1,09199 |
| Ürün Özellikleri | 266 | 3,7914 | ,64770 |

Yapılan analiz sonucunda Netflix kullanıcılarının içerik tercih etme davranışlarını etkileyen en önemli faktör tüketici tercihleridir (4,3308). Daha sonra sırasıyla Netflix'in platform üzerinden yaptığı uygulamalar (3,8835), ürün özellikleri (3,7914), Netflix müşterilerinin yaptığı öneriler (3,5122), Netflix'in reklam uygulamaları (3,4549) ve Netflix müşterisi olmayan kişilerin yaptıkları öneriler (2,9855) etkili olmaktadır.

### 4.4. Farklılık Analizleri

Araştırmada Netflix kullanıcıların dizi veya film seçme davranışlarına etki eden faktörleri tespit etme amacıyla T-Testi ve varyans (ANOVA) analizleri kullanılmıştır.
Tablo 3: Cinsiyete Göre Farklılık

| | F | Anlamlılık | t | Df | Anlamlılık | Ortalamalar |
|---|---|---|---|---|---|---|
| Tüketici Tercihleri | ,697 | ,405 | ,862 | 263 | ,389 | Kadın:4,3578<br>Erkek:4,2957 |
| **Firma Reklam Uygulamaları** | **7,359** | **,007** | **3,755** | **264** | **,000** | **Kadın:3,6071<br>Erkek:3,2551** |
| **Firma Uygulamaları** | **1,181** | **,278** | **3,046** | **264** | **,003** | **Kadın:3,9779<br>Erkek:3,7594** |
| WOM Müşteri Olanlar | ,062 | ,803 | 1,697 | 264 | ,091 | Kadın:3,5789<br>Erkek:3,4246 |
| WOM Müşteri Olmayanlar | ,120 | ,729 | ,785 | 263 | ,433 | Kadın:3,0317<br>Erkek:2,9254 |
| **Ürün Özellikleri** | **2,5660** | **,110** | **3,856** | **264** | **,000** | **Kadın:3,9216<br>Erkek:3,6203** |

Cinsiyete göre Netflix içerik tercih etme davranışları incelendiğinde firma reklam uygulamaları, firma uygulamaları ve ürün özellikleri boyutları farklılık göstermektedir. Yapılan analiz sonucunda H1a, H1e ve H1f hipotezleri kabul edilirken, H1b, H1c ve H1d hipotezleri reddedilmiştir.

Tablo 4: Eğitime Göre Farklılık

| | F | Anlamlılık | Ortalamalar |
|---|---|---|---|
| Tüketici Tercihleri | 1,008 | ,366 | Lise: 4,5625<br>Üniversite: 4,3209<br>Master/Doktora: 4,3092 |
| Firma Reklam Uygulamaları | 1,552 | ,214 | Lise: 3,1111<br>Üniversite: 3,4868<br>Master/Doktora: 3,3772 |
| Firma Uygulamalar | 1,436 | ,240 | Lise: 4,1389<br>Üniversite: 3,8589<br>Master/Doktora: 3,9288 |
| **WOM Müşteri Olanlar** | **3,343** | **,037** | **Lise: 2,9792**<br>**Üniversite: 3,5310**<br>**Master/Doktora:3,5614** |
| **WOM Müşteri Olmayanlar** | **3,598** | **,029** | **Lise: 2,5000**<br>**Üniversite: 2,9424**<br>**Master/Doktora: 3,3553** |
| Ürün Özellikleri | ,015 | ,985 | Lise: 3,797<br>Üniversite: 3,80000<br>Master/Doktora: 3,7807 |

Eğitime göre Netflix içerik tercih etme davranışları incelendiğinde (WOM) Netflix müşterisi olan kullanıcı önerileri ve Netflix müşterisi olmayan kullanıcı önerileri boyutları farklılık göstermektedir. Eğitim düzeyleri arasındaki farklılık için post-hoc test sonuçlarını incelenmesi gerekmektedir.

Tablo 5: Eğitime Göre Değişkenlerin Scheffe Post-Hoc Testi

| | Eğitim (I) | Eğitim (J) | Anlamlılık |
|---|---|---|---|
| WOM Müşteri Olanlar | Lise | Üniversite | ,041 |
| | | Master/Doktora | ,057 |
| | Üniversite | Lise | ,041 |
| | | Master/Doktora | ,973 |
| | Master/Doktora | Lise | ,057 |
| | | Üniversite | ,973 |
| WOM Müşteri Olmayanlar | Lise | Üniversite | ,388 |
| | | Master/Doktora | ,060 |
| | Üniversite | Lise | ,388 |
| | | Master/Doktora | ,097 |
| | Master/Doktora | Lise | ,060 |
| | | Üniversite | ,097 |

Yapılan analiz sonucunda Netflix içerik seçiminde etkili olan faktörler, eğitime göre farklılık göstermektedir. H2b ve H2c hipotezleri kabul edilmiş, H2a, H2d H2e ve H2f hipotezleri reddedilmiştir.

Tablo 6: Netflix'i Biriyle Paylaşma Durumuna göre Farklılık

| | F | Anlamlılık | Ortalamalar |
|---|---|---|---|
| Tüketici Tercihleri | ,702 | ,496 | Hayır: 4,2426<br>Aile: 4,3674<br>Arkadaş: 4,3123 |

| | | | |
|---|---|---|---|
| Firma Reklam Uygulamaları | 1,885 | ,154 | Hayır: 3,4902<br>Aile: 3,5338<br>Arkadaş: 3,3367 |
| Firma Uygulamaları | ,234 | ,791 | Hayır: 3,8631<br>Aile: 3,9073<br>Arkadaş: 3,8653 |
| WOM Müşteri Olanlar | ,574 | ,564 | Hayır: 3,4338<br>Aile: 3,5589<br>Arkadaş: 3,4764 |
| WOM Müşteri Olmayanlar | ,191 | ,826 | Hayır: 3,0515<br>Aile: 2,9455<br>Arkadaş: 3,4764 |
| **Ürün Özellikleri** | **4,118** | **,017** | **Hayır: 3,8382**<br>**Aile: 3,8872**<br>**Arkadaş: 3,6465** |

Netflix'i biriyle paylaşma durumuna göre Netflix içerik tercih etme davranışları incelendiğinde ürün özellikleri boyutu farklılık göstermektedir. Netflix paylaşma durumu düzeyleri arasındaki farklılık için post-hoc test sonuçlarını incelenmesi gerekmektedir.

Tablo 7: Netflix'i Biriyle Paylaşma Durumuna Göre Değişkenlerin Scheffe Post-Hoc Testi

| | Netflix Paylaşma (I) | Netflix Paylaşma (J) | Ort. Fark (I-J) | Std.Error | Anlamlılık |
|---|---|---|---|---|---|
| Ürün Özellikleri | Hayır | Aile | -,04898 | ,12303 | ,924 |
| | | Arkadaş | ,19177 | ,12726 | ,323 |
| | Aile | Hayır | ,04898 | ,12303 | ,924 |
| | | Arkadaş | ,24075 | ,08498 | ,019 |
| | Arkadaş | Hayır | -,19177 | ,12726 | ,323 |
| | | Aile | -,24075 | ,08498 | ,019 |

Yapılan araştırma sonucunda H3a hipotezi kabul edilmiş, H3b, H3c, H3d, H3e ve H3f hipotezleri reddedilmiştir.

Tablo 8: İçerikleri İzleme Sıklığına göre Farklılık

| | F | Anlamlılık | Ortalamalar |
|---|---|---|---|
| **Tüketici Tercihleri** | **2,739** | **,044** | **Her gün: 4,3992**<br>**Haftada 1: 4,3603**<br>**Haftada 3-4: 4,2705**<br>**Ayda 1-2: 3,9643** |
| Firma Reklam Uygulamaları | 1,433 | ,233 | Her gün: 3,5135<br>Haftada 1: 3,2990<br>Haftada 3-4: 3,5297<br>Ayda 1-2: 3,3571 |
| Firma Uygulamaları | 1,285 | ,280 | Her gün: 3,9219<br>Haftada 1: 3,8873<br>Haftada 2-3: 3,8767<br>Ayda 1-: 3,5952 |
| WOM Müşteri Olan | 1,863 | ,136 | Her gün: 3,5563<br>Haftada 1: 3,6017<br>Haftada 3-4: 3,3425<br>Ayda 1-2: 3,6131 |
| WOM Müşteri Olmayan | ,845 | ,470 | Her gün: 2,8977<br>Haftada 1-2: 3,1127<br>Haftada 3-4: 2,9486 |

| | | | |
|---|---|---|---|
| | | | Ayda 1-2: 3,2500 |
| Ürün Özellikleri | 2,135 | ,096 | Her gün: 3,7267<br>Haftada 1-2: 3,7819<br>Hata 3-4: 3,9384<br>Ayda 1-2: 3,5833 |

Netflix içeriklerini izleme sıklığına göre Netflix içerik tercih etme davranışları incelendiğinde tüketici tercihleri boyutu farklılık göstermektedir. Tüketici tercihleri düzeyleri arasındaki farklılık için post-hoc test sonuçlarını incelenmesi gerekmektedir.

Tablo 9: İçerikleri İzleme Sıklığına Göre Değişkenlerin Scheffe Post-Hoc Testi

| | İzleme Sıklığı (I) | İzleme Sıklığı (J) | Anlamlılık |
|---|---|---|---|
| Tüketici Tercihleri | Her gün | Haftada 1-2 | ,979 |
| | | Haftada 3-4 | ,534 |
| | | Ayda 1-2 | ,071 |
| | Hafta 1-2 | Her gün | ,979 |
| | | Haftada 3-4 | ,736 |
| | | Ayda 1-2 | ,141 |
| | Hafta 3-4 | Her gün | ,534 |
| | | Haftada 1-2 | ,836 |
| | | Ayda 1-2 | ,346 |
| | Ayda 1-2 | Her gün | ,071 |
| | | Haftada 1-2 | ,141 |
| | | Haftada 3-4 | ,346 |

Yapılan analiz sonucunda, Netflix içerik seçiminde etkili olan faktörler, içerikleri izleme sıklığına göre farklılık göstermektedir. H4d hipotezi kabul edilmiş, H4a, H4b, H4c ve H4e ve H4F hipotezleri reddedilmiştir.

## 5.SONUÇ

Yapılan analizlerle birlikte Netflix kullanıcılarının, dizi veya film izleme davranışlarını etkileyen faktörlerin tespit edilmesi amaçlanmıştır. Araştırma öncesi yapılan çalışma ile dört boyut tahmin edilmiştir. Daha sonra yapılan faktör analizi sonucunda, faktörler kendi aralarında bölünerek altı boyut oluşturmuştur. Bu boyutlardan biri olan, firma uygulamaları; firmanın sosyal medya vb. üzerinden yaptığı reklamlar ve firmanın platform üzerinden kullanıcıya özel oluşturduğu özellikler olarak iki farklı boyuta dönüşmüştür. Diğer boyut olan ağızdan ağıza pazarlama ise Netflix kullanıcısı olan kişiler ve Netflix kullanıcısı olmayan kişiler tarafından yapılan öneriler olarak iki farklı boyuta dönüşmüştür.

Bu çalışmanın temel amacı, Netflix uygulamasından bir içerik izlerken tüketicilerin hangi faktörlerden etkilendiğini analiz etmektir. Yapılan araştırma sonucunda Netflix müşterilerinin dizi veya film seçme davranışını etkileyen en önemli boyut tüketici tercihleri faktörüdür. Kısaca, müşteriler dizi veya film seçerken kendi istek ve ihtiyaçlarına göre, o an ki ruh halleriyle tercih yaptıkları söylenebilir (4,33). Daha sonra müşterileri etkileyen en önemli faktör firmanın platform üzerinden yaptığı uygulamalardır. Tüketiciler Netflix'in kullanıcıya özel önerilerini, eşleştirmelerini ve oluşturduğu kategorileri dikkate almakta ve seçim yaparken bu faktörden etkilenmektedir. (3,88) Bir sonraki faktör ise ürün özellikleridir. Netflix kullanıcıların film veya dizi seçme davranışında, içeriğin oyuncu kadrosu, konusu, süresi vb. özellikleri tercih yapmasında etkili olmaktadır (3,79). Bir sonraki faktör, Netflix müşterisi olan diğer bireylerin yaptıkları dizi veya film önerileridir (3,51). Firmanın sosyal ağlar vb. üzerinden yaptıkları reklamlar (3,45) ve Netflix müşterisi olmayan diğer bireylerin yaptıkları öneriler (2,96), Netflix kullanıcılarının dizi veya film seçme davranışında en az etkili olan iki faktördür.

Cinsiyete göre farklılık incelendiğinde, kadın ve erkek cinsiyetleri arasında anlamlı farklılıklar bulunmuştur. Bu farklılıklar; ürün özellikleri, firma uygulamaları ve firmanın yaptığı reklam faaliyetleri arasındadır. Ürün özelliklerine bakarak tercih yapma alışkanlığı (Kadın: 3,92, Erkek: 3,62), firma uygulamalarına bakarak tercih yapma alışkanlığı (Kadın: 3,97, Erkek: 3,75) ve firmanın reklamlarına bakarak tercih yapma alışkanlığı (Kadın: 3,60, Erkek: 3,25) kadınlarda, erkeklere göre daha yüksektir. Netflix, kadınlara yönelik yapacağı tutundurma çalışmaları için bu üç faktörü ön plana çıkarırsa daha verimli sonuçlar elde edebilecektir.

Eğitim durumuna göre farklılıklar incelendiğinde, eğitim durumunun, dizi veya film seçme tercihi üzerinde etkisi olduğu sonucuna varılmıştır. Master/doktora (3,56) öğrencileri, lise (2,97) ve üniversite (3,53) öğrencilerine göre Neflix müşterisi olan bireylerin önerilerini daha fazla dikkate almaktadır. Aynı zamanda master/doktora öğrencileri (3,35), Netflix kullanıcısı olmayan bireylerin önerilerini yine lise (2,50) ve üniversite öğrencilerine göre daha fazla dikkate almaktadır. Eğitim seviyesi arttıkça ağızdan ağıza pazarlama faktörünün daha etkili olduğunu söyleyebilmekteyiz. Netflix, özellikle sosyal ağlar üzerinden yapacağı tutundurma çalışmaları için hedef kitlesini master/doktora ve üniversite öğrencileri olarak seçerse daha verimli sonuçlar elde edebilecektir.

Netflix uygulamasının kullanılma sıklığına göre farklılık olup olmadığı incelendiğinde, Netflix kullanılma durumunun, içerik seçme tercihlerinde etkisi olduğu saptanmıştır. Her gün içerik izlemeyi tercih eden kullanıcılar (4,39), ayda 1-2 kez içerik izlemeyi tercih eden kullanıcılara göre (3,96) Netflix'te dizi veya film seçerken, tüketici tercihleri faktörünü daha çok dikkate almaktadır. Her gün içerik izleyen bir kullanıcı, kendi istek ve beklentilerine göre tercihini yaparken, ayda 1-2 kez izleyen bir kullanıcı için diğer faktörler daha etkili olmaktadır. Bu etkiler arasında, Netflix uygulamasının sosyal medya üzerinden yaptığı reklamlar veya Netflix'e yeni yüklenen bir içeriğin merak edilmesi gösterilebilir.

Yapılan araştırma sonucunda, Netflix'i ailesi ile paylaşan kullanıcılar (3,88), arkadaşları ile paylaşan kullanıcılara (3,64) göre ürün özelliklerine daha çok dikkat etmektedir. Ailesi ile izlemeyi tercih eden kullanıcılar, içeriğin konusu, oyuncu kadrosu vb. faktörleri dikkate alarak tercih yapmaktadır. Arkadaşları ile paylaşan kullanıcıların ise diğer faktörlerden de etkilenecek kadar esneklik payları vardır.

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# Ar-Ge Faaliyetleri ve Vergi Gelirleri Arasındaki İlişkinin İncelenmesi: OECD Ülkelerinden Bir Örnek*

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**Özet:** Uluslararası sınırların ortadan kalktığı küresel rekabet ortamında var olmanın ana unsuru yenilikler ortaya koyabilmektir. Bu bağlamda devletler ve firmalar fark yaratabilmek ve rekabet avantajı sağlamak amacıyla teknolojik gelişmeleri yakından takip etmekte ve bu teknolojik gelişmeler doğrultusunda yeni mal ve hizmet üretebilmek için Ar-Ge faaliyetleri üzerinde yoğunlaşmaktadır. Ayrıca ekonomik büyüme üzerinde ciddi bir etkiye sahip olan teknolojik gelişmeler Ar-Ge harcamaları neticesinde ortaya çıkmaktadır. Bu çalışmanın amacı Ar-Ge faaliyetlerinin vergi gelirleri üzerindeki etkisini ortaya koymaktır. Ar-Ge faaliyetleri kısa vade de vergi gelirlerinde azalışa sebep olmaktadır. Ancak Ar-Ge faaliyetleri neticesinde ortaya çıkan yeni faaliyet alanları yeni vergiler ortaya çıkaracağından bu faaliyetler orta ve uzun vade de vergi gelirlerinde artış sağlamaktadır.

**Anahtar Kelimeler:** Ar-Ge Faaliyeti, Ar-Ge Harcaması, Vergi Gelirleri

## 1.GİRİŞ

Günümüzde Ar-Ge, devletlerin ve şirketlerin üzerine yoğunlaştığı bir kavramıdır. Literatürde Ar-Ge ile ilgili birçok farklı tanım bulunmaktadır. Ar-Ge, global dünyada şirketlerin ve devletlerin fark yaratmak amacıyla yeni ürün ve üretim süreçleri meydana getirmek için sistemli bir şekilde yapılan çalışmalar olarak açıklanmaktadır (Kantarcı, 2017:1). Ar-Ge faaliyetinin en önemli hedefi firmaların teknolojik ilerlemelerden faydalanarak karlılıklarını yükselmek ve firma değerini artırmaktır (Akgün ve Akgün, 2016:2). Ar-Ge faaliyetleri firmalara sağladığı faydaların yanında önemli maliyetleri de içerisinde barındırmaktadır. Sektörlere göre farklılık göstermekle birlikte Ar-Ge faaliyetlerinden uzun sürede sonuç alınması ve başarılı bir sonuç alınmasının da garantisinin olmaması, firmaları bu tür faaliyetlerde bulunmaktan caydıran unsurlardan en önemlileridir (Özkan, 2007: 1).

Ar-Ge faaliyetleri ekonomik büyümeyi etkileyen faktörlerden birisidir. Ar-Ge faaliyetleri iktisadi büyümenin devamlı hale getirilmesi, yeni iş alanlarının açılmasına yardımcı olması, rekabeti kolaylaştırması, ürün çıktısını yükseltmesi aynı zamanda sosyo-ekonomik gelişmeler üzerinde etkili olmaktadır (Güneş, 2019: 161). Ülkelerin gelişmişlik seviyesi ne olursa olsun Ar-Ge faaliyetlerine yönelik olarak yapılan harcamaların GSYİH içindeki payını dönemler itibariyle artırmaya çalıştıkları gözlemlenmektedir. Gelişmekte olan ülkelerle gelişmiş ülkeler kıyaslandığında gelişmiş ülkelerde Ar-Ge faaliyetleri için yapılan harcamaların GSYİH içindeki payı daha fazladır. Doğal olarak bu durum ekonomik büyümeyi artırmaktadır.

Vergi, ülkelerin toplumsal hizmetleri karşılayabilmesi için en fazla gereksinim duyduğu gelirlerden birisidir. Sosyal devlet anlayışının ülkelerde gelişmesi ile beraber iktisadi ve sosyal hayata müdahalenin artış göstermesi ve buna bağlı olarakta fon ihtiyacının artması vergi gelirlerinin önemini artırmaktadır (Karabulut ve Şeker, 2018: 1050). Genel bütçe gelirleri arasında ciddi bir paya sahip olan vergi gelirleri gelişmekte olan ülkelerde siyasal önceliklere göre bazı dönemde hızlı bir şekilde artış göstermesinin yanı sıra bazı dönemlerde beklentileri karşılamakta yetersiz kalmaktadır. Gelişmiş ülkelerde vergi gelirleri iktisadi konjoktürel dalgalanmalardan etkilenmekte ve bu durumun vergi gelirleri üzerindeki etkisi yüzeysel ve kısa vadelidir. Vergi gelirleri ekonominin genişleme döneminde yükselmekte iken daralma döneminde ise düşüş göstermektedir (Ekici, 2009: 201).Bu çalışma üç bölümden oluşmaktadır. İlk bölümünde Ar-Ge faaliyetlerine, Ar-Ge harcamalarına ve ikinci bölümünde ise vergi gelirlerine genel olarak yer verilmiştir. Üçüncü bölümünde ise Ar-Ge faaliyetlerinin vergi gelirlerine etkisi üzerinde durulmuştur.

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## 2. ARAŞTIRMA VE GELİŞTİRME (AR-GE) FAALİYETLERİNE GENEL BAKIŞ

### 2.1. Ar-Ge'nin Tarihsel Gelişimi, Tanımı ve Türleri

Araştırma-Geliştirme (Ar-Ge) faaliyetlerinin kökeni İngiliz Sanayi Devrimine kadar dayanmaktadır. Bu değişimle birlikte ilk defa profesyonel olarak Almanya Kimya sanayii araştırma-geliştirme (Ar-Ge) faaliyetinde bulunmuştur (Göker, 2008: 3-4). Almanya Kimya sanayiinde 1870 yılında Ar-Ge firma içi birimi olarak kurumsal bir yenilik şeklinde ortaya çıkmıştır. 1870 yılından önceki dönemlerde de birçok icat yapılmış fakat Ar-Ge temelli bilimin gücünden tüm dünyanın etkilenmesi Manhattan Projesi ile kendini Hiroşima ve Nagasaki'de göstermiştir. Bu açıdan bakıldığında yenilikler Ar-Ge ile daha bilimsel ve güçlü temellere dayanmaktadır (Saraç, 2011: 41).Araştırmayı "Bilim", Geliştirmeyi 'de "Teknoloji" tarihi üzerinden okuma sonucunda Ar-Ge kavramının ifade etmek istediği faaliyetlerin, yaşının sistematik olma derecesi çok farklılık gösterse de insanlık tarihi ile benzer olduğu görülmektedir (Koçak, 2018: 9).

Ar-Ge kavramının tanımı makro açıdan ve mikro açıdan olmak üzere iki şekilde tasnif edilir. Makro açıdan Ar-ge, özünde sistematik bir çalışmaya dayanan teknik bilgi ve bilimsel bilgi birikimini yükseltmeye yönelik gayret ve yeni faaliyet alanlarında bu bilgi birikiminin kullanılması şeklinde ifade edilmektedir. Mikro Açıdan Ar-Ge ise kreatif, sistematik bir şekilde işletmelerin yeni ürün ve yeni üretim aşamalarına yönelik yaptıkları çalışmalardır (Ünal ve Seçilmiş,2014: 203). Diğer bir ifadeyle şirketler açısından Ar-Ge'nin daha detaylı bir tanım yapılması gerekirse, şirketin çalışma alanı kapsamında teknoloji ve bilgiyi geliştirerek hem yeni bilgiler yaratmak hem de mevcut bilgilerle yeni sistemler, yeni malzemeler, yeni mamuller oluşturmak adına kullanılan bir terimdir(Aydoğan, 2015: 4).

Ar-Ge kavramı; temel araştırma, uygulamalı araştırma ve deneysel geliştirme olmak üzere üç farklı şekilde sınıflandırılmıştır. Temel araştırma; teori, hipotez ya da kuralları formülle ve test etmek maksadıyla nitelikleri, yapıları ve ilişkileri analiz eder. Temel araştırmanın güdümlü araştırma ve salt araştırma olmak üzere iki türü bulunmaktadır. Salt araştırma, sadece bilginin ilerlemesi amacıyla gerçekleştirilirken; güdümlü araştırma ise geniş bir bilgi tabanı oluşturulacağı beklentisiyle gerçekleştirilir(OECD, 2002: 78). Uygulamalı araştırma, temel araştırmadan elde edinilen sonuçlar kullanılarak, kar elde etme saikiyle mamul ve üretim aşamalarında kendine has ve yeni bilimsel bilgi ve teknik ortaya çıkarma hedefine yönelik araştırmalardır(Atabey, 2019: 4). Temel araştırma ile uygulamalı araştırma arasındaki en önemli fark, her iki araştırma çeşidinin hedeflerindeki farklılıktan kaynaklanmaktadır. Temel araştırmanın esas amacı bilimsel bilginin limitlerini genişletmek iken uygulamalı araştırmanın amacı ise çoğu zaman bilinen sorunlara kolay bir çözüm yolu bulma ve bir kazanç sağlamadır(Yılmaz, 2004: 114). Deneysel geliştirme olarakta adlandırılan geliştirme, temel araştırma veya uygulamalı araştırma faaliyetleri neticesinde ortaya çıkan bilgileri daha kazançlı ve daha kârlı olabilecek şekilde emtia, vasıta, hizmet veya üretime dönüştürmeye yönelik çalışmalar şeklinde ifade edilebilir (Görür, 2006: 4-5). Geliştirme; basit geliştirme, teknolojik geliştirme, bilimsel geliştirme olmak üzere kendi arasında üç ayrı kategoride incelenir. Basit Geliştirme; mesleki bilgi ve tecrübelerde daha fazla faydalanarak faydalı neticeler elde edilmesine yönelik küçük ölçekli faaliyetlerdir(Yavuz, 2004: 9). Teknolojik Geliştirme; bilimsel olarak meydana getirilen bir geliştirme türüdür(Akdemir, 1990: 219). Bilimsel Geliştirme; yaratıcılığın ve hayal gücünün olması gerektiği geliştirme türüdür(Ünal ve Seçilmiş, 2013: 13).

Ar-Ge'nin üç türü olan temel araştırma, uygulamalı araştırma ve geliştirmenin nitelikleri bakımından karşılaştırılması aşağıda Tablo 1'de gösterilmiştir.

Tablo 1: Temel Araştırma, Uygulamalı Araştırma ve Geliştirmenin Nitelikleri İtibariyle Karşılaştırılması

| **AR-GE Türleri** | **Nitelikleri** | | | |
|---|---|---|---|---|
| | **Temel Amaç** | **Odak** | **Kaynak** | **Felsefe** |
| **Temel Araştırma** | Yeni bilgi ve bilimsel gerçeklikler üretmek | Yönlendirilmemiş (düşük odak**)** | Devlet ve üniversite laboratuvarları | Bilginin sınırını genişletmek, |
| **Uygulamalı Araştırma** | İşletmelerde kullanılabilecek buluşlar yapmak | Sorunları Çözmeye yönelik (ılımlı odak**)** | Teknolojik öncüler | Teknolojik ilerlemenin önderi olmak |
| **Geliştirme** | İşletmelerin buluş ve yeniliklerde değişikliğe gitmesi | Özel sorunları çözmeye yönelik (yüksek odak**)** | Teknolojik takipçiler | Teknolojileri kullanmak ve geliştirmek |

Kaynak: Akgün ve Akgün, 2016: 4.

## 1.2. Ar-Ge'nin Önemi, Amacı ve Ar-Ge İle İlgili Kavramlar

Ar-ge faaliyetlerine günümüzde ülkeler tarafından önem verilmesi bu faaliyetlerin kalkınma ve gelişmenin temeli olarak kabul edilen bilim ve teknoloji kabiliyetlerini artırmak amacıyla bu faaliyetler teşvik edilmektedir(Çelebi ve Kahriman, 2011: 34). Ar-Ge faaliyetlerinin önemli olmasının sebepleri şöyle sıralanmıştır; Teknoloji gelişim hızının yükselmesi ve mamul hayat devirlerinin azalması, firmaların gelişmesi ve faaliyetlerinin giderek daha kompleks bir hal alması, küresel çapta artan rekabettir (Yılmaz, 2004: 105).

Devletlerin ve firmaların Ar-Ge faaliyetlerini devam ettirmelerinin temel amacı; ilk olarak rekabet gücünü korumak sonrada rekabet üstünlüğü sağlayabilmek için maliyetlerini azaltmalarının yanında üretim kalitesinin yükselmesiyle beraber iktisadi ve sosyal yarar elde etmektir. Bu doğrultuda yeni mamuller ve üretim aşamaları geliştirmek, iyileştirmek ve yeni uygulama bölgeleri ortaya çıkarmak Ar-Ge'nin en temel amaçlarındandır. Ar-Ge'nin ulusal amacı ise ülkelerin kaynaklarını verimli bir biçimde kullanmasını sağlamak, bilgi birikimini yükseltmek, dışa bağımlılığı düşürmek ve yerli teknolojileri icat etmektir (Canbay, 2016: 17).

Ar-Ge kavramının anlaşılması için bazı kavramların açıklanmasının iki açıdan yararı vardır. İlk olarak Ar-Ge kavramının hangi ekosistemde olduğunu belirlemek, diğer yararı ise bazı kavramların sınırından hareketle Ar-Ge kavramının çerçevesini belirlemektir (Özdinç, 2013: 11). Ar-Ge ile ilgili olarak inovasyon (yenilik), teknoloji, patent, Ar-Ge projesi, Ar-Ge merkezi, Ar-Ge personeli gibi bazı kavramların açıklanmasında yarar vardır. AB ve OECD literatüründe inovasyon (yenilik) süreç olarak," bir fikri pazarlanabilir bir ürün veya hizmette, yeni veya geliştirilmiş bir imalat ya da dağıtım yöntemine ya da yeni bir toplumsal hizmet yöntemine dönüştürmeyi" ifade etmektedir (Arıkan vd., 2003: 23). Teknoloji, bilgi ve becerinin pratiğe dönüştürülmesinde kullanılan vasıtaların tümünü ifade etmektedir. Diğer bir ifadeyle teknoloji her türlü bilimsel bilginin pratiğe çevrilmesidir (Kurt, 2019: 16-17). Patent, icadı bulan kişinin izni olmadan başka kimselerin bu icadı üretmesini, kullanmasını veya satmasını belirli bir müddet boyunca engelleme hakkını elinde tutmaya ve bir icat için icat sahibine verilen, sınai ve mülkiyet haklarından biridir(Oğuzkan, 2006: 6). Ar-Ge projeleri; ticari pazar payı, firmanın büyüklüğü, proje organizasyonu gibi birçok faktörlerden etkilenecek şekilde belirli mal ya da hizmeti ortaya çıkarmak ve böylece meydana çıkan ürünün teknolojisini ilerletmek maksadıyla tespit edilmiş tasarımdır. Ar-Ge projeleri daha evvelden olmayan bir üretimi yapmak için değil, mevcut olan bir üretimin geliştirilmesine amacıyla da tasarlanabilir (Görür, 2006: 8). Thomas Edison 1890'da Amerika Birleşik Devletleri'nde kurduğu General Electric Company ile kurumsal Ar-Ge faaliyetini ilk kez ortaya çıkmıştır. Buna göre Ar-Ge faaliyetlerini bir merkezde toplayan ilk insan olarak bilinmektedir. Amerika'da Ar-Ge harcamalarının bir merkezde birleşmesi ve bu birleşmenin yüksek başarı sağlaması sayesinde diğer ülkelerde bu uygulamaya geçilmiştir(Salman, 2019: 16-17). Ar-Ge merkezi, Türk Ar-Ge literatürüne ilk olarak 5746 sayılı kanun ile girmiştir (Tekin, 2015: 228). Ar-Ge faaliyetinin açıklanması hususundaki diğer bir kavramda bu alanda istihdam edilen personel sayısıdır. Zira personel sayısının artmasıyla Ar-Ge faaliyetleri artmakta ve faaliyet neticesinde daha fazla mamul ve icat meydana çıkarılmaktadır. Bu durum ise doğrudan ekonomide olumlu etki meydana getirmekte, piyasaya sürülen her yeni mamul üretimi yükseltmekte, yeni katma değerler ortaya çıkarmakta, istihdamın yükselişine katkıda bulunmakta, ihracat miktarında yükselişe sebep olmakta ve ülke ekonomisine geliştirici yönde olumlu etkide bulunmaktadır (Özenç, 1998: 64-65).

## 1.3. Ar-Ge Harcamaları

Kültürel, toplumsal ve insanlar açısından Ar-Ge harcamaları bilginin yükseltilmesi veya daha önce hiç girilmemiş alanlarda bilgiyi yükselmek amacıyla düzenli bir şekilde yaratıcı olarak yürütülen faaliyetlerle ilgili olarak gerek devlet tarafından yapılan gerekse de özel kesimin yaptığı harcamalar şeklinde açıklanmaktadır(Kantarcı, 2017: 30).

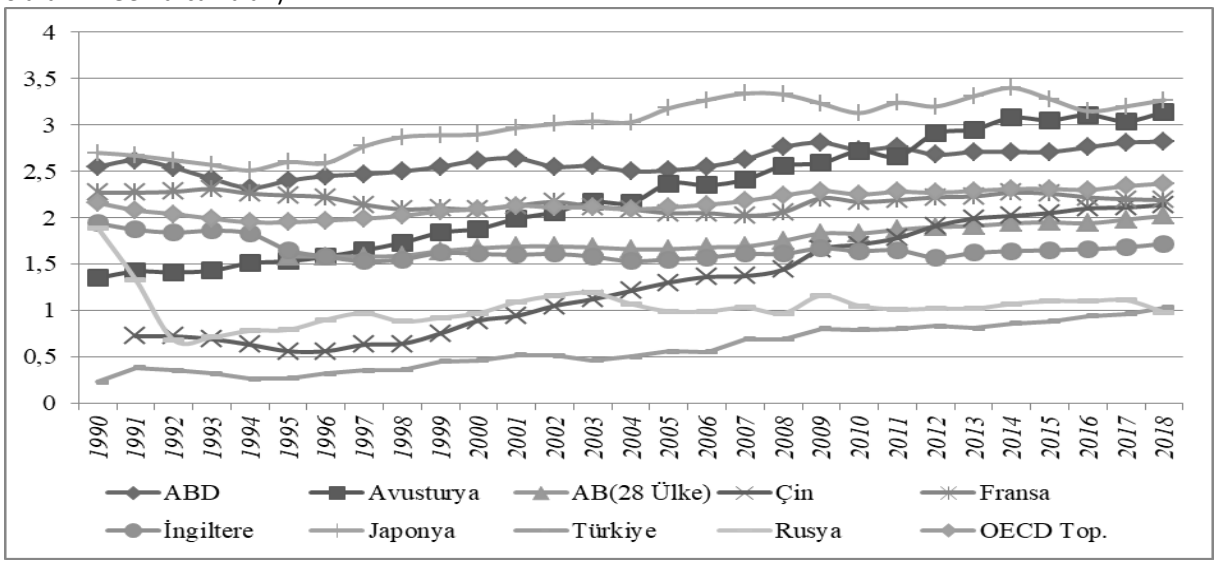
Yapılan harcamaların hangilerinin Ar-Ge harcaması olduğu 5746 sayılı kanunun Araştırma, Geliştirme ve Tasarım Faaliyetlerinin Desteklenmesine İlişkin Uygulama ve Denetim Yönetmeliği'nin yedinci maddesinde ayrıntılı bir şekilde açıklanmıştır. Ar-Ge faaliyeti çerçevesinde değerlendirilen harcamalar

kısaca şunlardır; ilk madde ve malzeme giderleri, amortismanlar, personel giderleri, genel giderler, dışarıdan sağlanan fayda ve hizmetler ve vergi, resim ve harçlardır(Önder ve Yıldız, 2017: 150-151).

Ekonomik büyümeyle Ar-Ge harcamaları arasındaki ilişki üzerine yapılan çalışmalarda Ar-Ge harcamalarının ekonomik büyüme üzerinde pozitif yönde etkisinin olduğu ortaya konulmaktadır(Kaya, 2017: 49-50). Akarsu, vd.(2020: 159) çalışmasında 1996-2017 dönemi arasında 14 seçili ülkenin (Avusturya, Belçika, Bulgaristan, Çekya, Almanya, İspanya, Finlandiya, Fransa, Birleşik Krallık, Macaristan İrlanda, Polonya, Romanya ve Türkiye) Ar-Ge harcamaları ve patent başvuruları ile ekonomik büyüme arasındaki ilişkileri panel veri yöntemiyle analiz edilmiştir. Çalışma neticesinde Ar-Ge harcamalarında %1'lik bir yükseliş seçilen ülkeler üzerinde GSYH'de % 0.87 olarak bir artış göstermektedir. Patent başvuru sayıları ile GSYH arasında az da olsa bir etki olmakla beraber aralarında negatif bir ilişki olduğu tespit edilmiştir. Gülmez ve Yardımcıoğlu, (2012: 335) çalışmasında ekonomik büyüme ile Ar-Ge harcamaları arasındaki uzun vadeli ilişkiyi 1990-2010 yılları arasında 21 OECD ülkesinin verilerinden faydalanarak panel nedensellik ve eşbütünleşme metotları ile analiz etmişlerdir. Çalışma neticesinde Ar-Ge harcamalarıyla ekonomik büyüme arasında uzun vade de karşılıklı bir şekilde anlamlı bir ilişkinin olduğunu belirtmekle birlikte 21 OECD ülkesinde Ar-Ge harcamalarındaki %1'lik bir yükselişin ekonomik büyümeyi % 0.77 oranında yükselttiğini tespit etmişlerdir.

1990-2019 yılları arasında Ar-Ge harcamalarının GSYH içindeki payının bazı OECD ülkeleri üzerindeki yüzdesel dağılımı şekil 1'de gösterilmektedir

Şekil 1:Bazı OECD Ülkelerinin 1990-2019 Yıllarında Ar-Ge Harcamalarının GSYH İçindeki Payı (GSYH %'si olarak Ar-Ge Harcamaları)




Kaynak: OECD (2020), https://data.oecd.org/rd/gross-domestic-spending-on-r-d.htm.

Türkiye'de ve OECD ülkelerinde Ar-Ge harcamalarının GSYH içerisindeki payı şekil 1'e bakıldığında son yirmi yılda sürekli bir yükseliş içerisinde olduğu fakat gelir seviyesi yüksek ülkelerin GSYH'den Ar-Ge harcamalarına ayırdığı pay ile Türkiye'nin GSYH'den Ar-Ge harcamalarına ayırdığı pay arasında büyük fark olduğu görülmektedir. Şekil 1'e detaylı bir şekilde bakıldığında Avrupa Birliği ülkeleri, Çin, Fransa, İngiltere, Rusya ve Türkiye'nin Ar-Ge harcamalarının GSYH içerisindeki payları OECD ortalamasının altında kaldığı ancak Amerika Birleşik Devletleri, Japonya ve 2003 yıllından sonra Avusturya gibi ülkelerin OECD ortalamasının üstünde kaldığı görülmektedir.

## 2.VERGİ GELİRLERİNE GENEL BAKIŞ

Tarihsel dönemlere bakıldığında verginin yer almadığı tek bir uygarlık bulunmamaktadır. Verginin tarihsel geçmişi yazının buluşuna ve ilkel toplumlarla ilgili arkeolojik çalışmalarda vergi izlerine rastlamak mümkündür. Yazının icadı aynı zamanda kayıt işlemlerini de başlatmış bu da vergi kavramı ve tarihinin daha kolay anlaşılmasını sağlamaktadır. Gerek yerleşik hayatın olmadığı ilkel kabilelerde gerek yerleşik

hayata geçmiş ilkel toplumlarda gerekse örgütlü çağdaş toplumlarda vergiye yer verildiği görülmektedir (Özmen, 2016: 7).

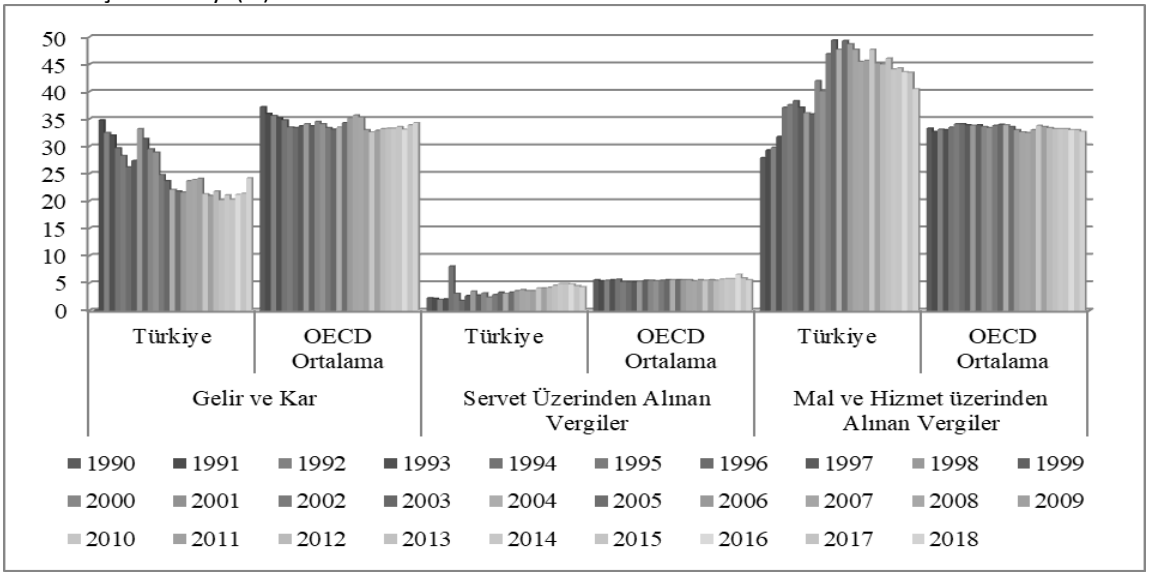
Vergi, devletin kamu harcamalarını karşılamak maksadıyla hukuki cebir altında kişilerden ve kurumlardan karşılıksız bir şekilde temin ettiği ayni ve parasal (nakdi) ödemeler olarak tanımlanmaktadır (Sandalcı ve Köstekçi, 2019: 308).

Geçmiş dönemlerde vergilerin toplanma nedeni mali temellere dayalı değil iken daha çok dini, ahlaki ve siyasi fikirlere dayanır. Modern devletlerin oluşmaya başlaması ile vergilerin toplanma nedenlerinde de değişiklik baş göstermiştir. Vergiyi haklı kılmak için farklı görüşler ileri sürülmüştür. Bu görüşler fayda teorisi ve iktidar teorisi olmak üzere iki şekilde tasnif edilmiştir (Öz, 2019: 62). Fayda teorisine göre vergi, bireylere devlet tarafından sunulan kamu hizmetlerine karşılık olarak bireylerin de geliri ya da bedeninden yapmış oldukları zorunlu ödemelerdir (Şentürk, 2017: 3). Fayda teorisi; vergiyi hizmet bedeli olarak açıklayan görüş, vergiyi sigorta primi olarak açıklayan görüş ve son olarak vergiyi genel giderlere katılma payı olarak açıklayan görüş olmak üzere üç şekilde tasnif edilmektedir. Vergiyi hizmet bedeli olarak açıklayan görüşe göre; kamu tarafından sunulan hizmetler dolayısıyla kişilerden bu hizmetten sağladıkları yarar ölçüsünde vergi alınmasıdır (Sağdıç, 2015: 11). Vergiyi sigorta primi olarak açıklayan görüşe göre; vergi, kamu tarafından temin edilen can ve mal güvenliği hizmetinin karşılığı olarak ödenen sigorta primi olarak açıklanmaktadır (Şentürk, 2017: 4). Vergiyi genel giderlere katılma payı olarak açıklayan görüşe göre ise toplum bir çeşit üreticiler birliğine benzetilmekte olup vergi ise devletçe sunulan kamu hizmetlerinin toplumsal üretime katılmasının karşılığı olarak alınan toplanan bir gelir olarak ifade edilmektedir(Öz, 2019: 63). Vergiyi açıklamada ödeme gücünü temel alan iktidar teorisine göre devletin egemenlik hakkına dayalı olarak yurttaşlarına vergi koyduğu ve bu doğrultuda yurttaşlarında devlete karşı vergi ödevinin bulunduğu vurgulanmaktadır(Kayan,2000: 81).Başka bir ifadeyle vergi bireylerin ödeme gücü ile olmalıdır(Sağdıç, 2015: 13).

Verginin tanımı içerisinde yer alan “kamu giderlerini karşılamak” ifadesi ile verginin hizmet ettiği yegâne amaç açık bir şekilde belirtilmiştir. Verginin amaçları, verginin mali amaçları ya da mali olmayan amaçları şeklinde literatürde ikili bir tasnife tabi tutulmuştur. Mali amaç, vergilerin yalnızca kamu giderlerini finanse etmek maksadıyla başvurulan bir araç olup bununla birlikte kamu maliyesinin geleneksel fonksiyonu olarak kullanılmaktadır. Mali olamayan amaç ise verginin sosyal, ekonomik, dini, ahlaki gibi diğer saiklerle alınması şeklinde ifade edilmektedir (Karaca, 2015: 7). Vergilemeye ekonomik açıdan bakıldığında; vergi teşvikleri uygulamaları, vergi oranlarında indirim yapılması, yatırım ve tasarrufları yönlendirebilmek amacıyla vergiler bir iktisadi politikası aracı olarak kullanılabilmektedir(Yenigün, 2012: 21-22). Sosyal amaç olarak bakıldığında; Wagner, piyasa ekonomisiyle meydana gelen gelir ve servet dağılımındaki adaletsizliklerin vergi aracılığıyla giderilebileceğini ifade etmiştir(Ata, 2001: 18). Dini faktörler devletlerin uyguladıkları vergi politikalarını etkilemektedir. Orta çağda Avrupa ülkelerinde Musevilerden ek vergiler toplanması ayrıca İslam ülkelerinde Müslümanlar farklı vergiye tabi tutulurken ve Müslüman olmayanlardan farklı vergiye tabi tutulmaktaydı (Çatalok, 2019: 30). Verginin ahlaki amacı incelendiğinde, özel tüketim vergileri ile halkın ahlakının korunması ve toplumun sağlıklı bir yaşam sürmesi hedeflenmektedir (Çetin, 2018: 6).

Vergiler birçok farklı maksatla alınmaktadır. Bu maksatlar dönemler itibariyle değişiklik göstermekle birlikte vergilerin sınıflandırılmasını çeşitlendirmektedir. Günümüz çağdaş vergileme sistemlerinde en yaygın biçimde kullanılan tasnif şekli gelir, servet ve harcamalar üzerinden alınan vergilerin sınıflandırılmasından meydana gelmektedir(Gürbüz, 2015: 11).Devletler, kamu giderlerini karşılamak ve planlanan hedeflerini yerine getirebilmek amacıyla vergi gelirlerine gereksinim duymaktadırlar. Vergi gelirleri ise gelir üzerinden alınan vergiler, servet üzerinden alınan vergiler, mal ve hizmetler üzerinden alınan vergilerden oluşmaktadır (Tülümce ve Yavuz, 2019: 550). Gelir ve kurumlar vergisi gelir üzerinden alınan vergiler, emlak vergisi, veraset ve intikal vergisi, motorlu taşıtlar vergisi servet üzerinden alınan vergiler ise katma değer vergisi, özel tüketim vergisi, özel iletişim vergisi, banka ve sigorta muameleleri vergisi, şans oyunları vergisi, damga ve gümrük vergisi ise harcamalar üzerinden alınan vergilerdir. Bu doğrultuda Türkiye ve OECD ülkelerinde gelir üzerinden alınan vergiler, servet üzerinden alınan vergiler ve harcamalar üzerinden alınan vergilerin sınıflandırılmasına göre bu vergilerin toplam vergi gelirleri içerisindeki yüzdesel dağılımı şekil 2’de gösterilmiştir

Şekil 2: Türkiye'de ve OECD Ülkelerinde 1990-2018 Yıllarında Konuları İtibariyle Vergilerin Toplam Vergi Gelirleri İçindeki Payı (%)

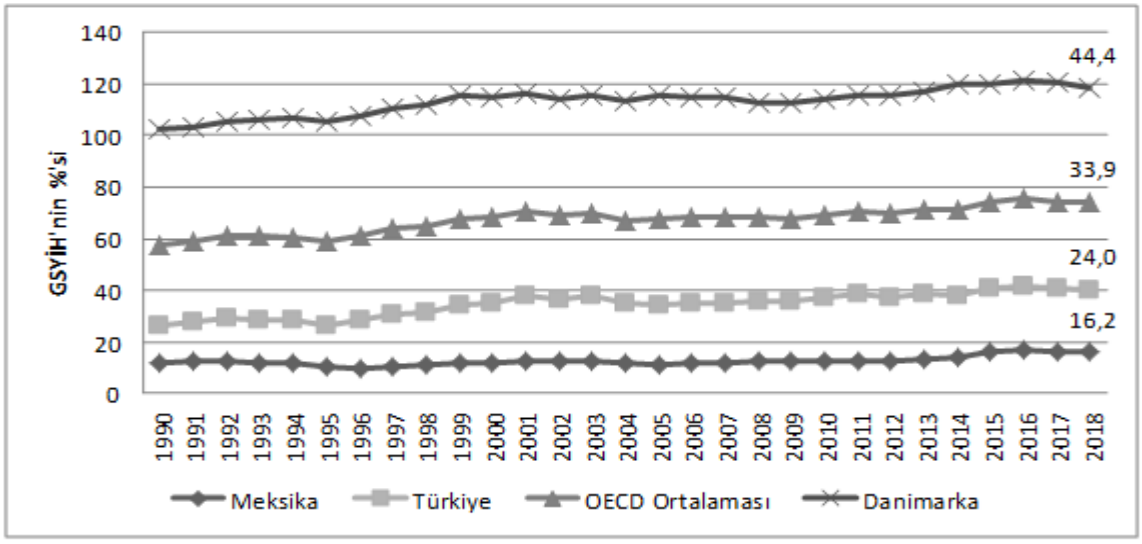



Kaynak: OECD (2020), https://stats.oecd.org/Index.as#px?DataSetCode=RS_GBL

Şekil 2 incelendiğinde Türkiye'de 1990 yılında %33,5 olan gelir üzerinden alınan vergilerin toplam vergi gelirleri içerisindeki payı 2018 yılına gelindiğinde %24,2'ye gerilemiş olduğu görülmekte olup OECD ülkelerinde ise 1990 yılında %37,2 olan gelir üzerinden alınan vergilerin toplam vergi gelirleri içerisindeki payı 2018 yılı itibariyle %34,3'e gerilemiştir. Servet üzerinden alınan vergilere bakıldığında Türkiye, OECD ortalamasının altında kalmıştır. 1990 yılında %2,3 olan servet üzerinden alınan vergilerin toplam gelir vergisi içerisindeki payı 2018 yılı itibariyle %4,3 yükselmiştir. Mal ve hizmet üzerinden alınan vergiler açısından bakıldığından ise Türkiye 1994 yılından sonra OECD ortalamasının üzerine çıkmıştır. 1990 yılında mal ve hizmet üzerinden alınan vergilerin toplam vergi gelir gelirleri içerisindeki payı Türkiye'de %27,9 iken 2018 yılı itibariyle %40,5 olup OECD ortalamasının çok üzerinde olduğu görülmektedir.

Şekil 3'de 1990 ve 2019 dönemi arasında toplam vergi gelirlerinin GSYİH içindeki payının yüzdesel dağılımı Türkiye ile OECD ortalaması karşılaştırılarak gösterilmiştir. Aynı zamanda Şekil 3'de toplam vergi gelirlerinin GSYİH içindeki payının en düşük olduğu ülke olan Meksika ile en yüksek olduğu ülke olan Danimarka gösterilmiştir.

Şekil 3: Türkiye ve OECD Ülkelerinde 1990-2019 Döneminde Toplam Vergi Gelirlerinin GSYİH İçindeki Payının Yüzdesel (%) Dağılımı




Kaynak: OECD (2020), https://stats.oecd.org/

Şekil 3 incelendiğinde Türkiye'deki toplam vergi gelirlerinin gayri safi yurt içi hasıla (GSYİH) içindeki payı 1990 yılından 2001 yılına kadar sürekli artış göstermiş olup 2002 yılında azalış yaşanmış fakat daha sonra 2003 yılında yükselmiş ve yatay seyretmiştir. OECD ortalamasında ise benzer şekilde 1990 yılından 2001 yılına kadar sürekli artış göstermekle birlikte 2002 yılında azalmış daha sonra 2003 yılında yükselmiş ve yatay seyretmiştir. Türkiye'nin ve Meksika'nın toplam vergi gelirlerinin GSYİH içindeki payının oransal dağılımı OECD ortalaması ile karşılaştırıldığında daima OECD ortalamasının altında kaldığı görülmekte iken Danimarka'nı toplam vergi gelirlerinin GSYİH içindeki payının yüzdesel dağılımı OECD ortalamasıyla karşılaştırıldığında daima OECD ortalamasının üzerinde seyretmiştir.

## 3. AR-GE FAALİYETLERİNİN VERGİ GELİRLERİNE ETKİSİ

Ar-Ge faaliyetleri için yapılan harcamalar genellikle ülkelerin vergi gelirleri üzerinde kısa dönemde negatif bir etkiye sahip iken uzun dönemde ise Ar-Ge faaliyetleri neticesinde ortaya çıkan katma değeri yüksek mal ve hizmetlerin vergi gelirlerine yönelik bu negatif etkisini yok etmektedir(Erdoğan, 2020: 48). Ar-Ge faaliyetleri, üretime ve istihdama dönüştürüldüğü sürece meydana gelen çarpan ve hızlandıran etkisiyle yeni faaliyet ve ürünler üzerindeki vergileri de yükseltmesinden dolayı devlet maliyesi yönünden tamamen gider olarak değerlendirilmemelidir. Ar-Ge faaliyetleri neticesinde ortaya çıkan bu yeni faaliyetler, yeni doğrudan ve dolaylı olarak vergiler meydana getireceğinden kısa vade de olmasa bile orta ve uzun vade de devlet maliyesi karlı dahi çıkabilmektedir (Efe, 2017: 234).

Ar-Ge faaliyetleri ilk olarak vergi gelirinde kayba neden olan bir vasıta olarak görülmektedir. Ar-Ge faaliyetleri üretim ve verimlilikte yükseliş sağlıyorsa, iş ve çalışma faaliyetlerinin genişlemesine neden oluyorsa bu durumda Ar-Ge faaliyetleri vergi gelirlerindeki azalışı karşıladığı gibi uzun dönemde ise vergi gelirlerinde ciddi oranlarda yükseliş sağlayabilmektedir (Candan ve Yurdadoğ, 2017: 166-167).

## 4.SONUÇ

Günümüz globalleşen dünyada rekabet önemli ölçüde arttığı için devletler ve firmalar varlıklarını devam ettirebilmek ve rekabet üstünlüğü sağlayıp ekonomik güçlerini artırabilmek amacıyla Ar-Ge faaliyetlerine önem vermektedir. Yapılan birçok akademik çalışma neticesinde Ar-Ge faaliyetlerine yönelik olarak yapılan harcamalar ile GSYH'nin ilişkili olduğu tespit edilmiştir. Bununla birlikte akademik olarak yapılan ampirik çalışmaların, Ar- Ge faaliyetleri için yapılan harcamaların iktisadi büyümeyi pozitif yönde etkilediği görülmektedir.

Vergi gelirleri açısından Ar-Ge faaliyetleri incelendiğinde ise Ar-Ge faaliyetleri kısa vade de devletlerin vergi gelirinde kayba neden olmaktadır. Yani Ar-Ge faaliyetleri başlangıçta devlet bütçesini olumsuz yönde etkilemektedir. Ancak Ar-Ge faaliyetleri orta ve uzun vade de devletlerin vergi gelirlerinde bir azalışa neden olmayıp kamu maliyesini olumlu yönde etkilemektedir.

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# Bankacılık Ürünlerinin Bölgelere Göre Kullanımı: Türkiye Örneği

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**Özet:** Finansal sistemi oluşturan kuruluşlar arasında önemli bir yere sahip olan bankalar, çeşitli ürünler aracılığı ile faaliyetlerini sürdürerek bir ülkenin ekonomik büyümesinde önemli rol oynarlar. Bankacılık ürünlerinin verimliliği ve kullanım yaygınlığı, ekonominin genel olarak istikrarlı olup olmadığının göstergesi olabilir. Bu nedenle bu çalışmada toplam kredi, POS ve ATM enstrümanları için bölgesel karşılaştırılma yapılmakta ve bu karşılaştırma sonucunda meydana gelen farklılığın hangi bölgelerden kaynaklandığı incelenmektedir. Çalışma verileri, Türkiye Bankalar Birliği (TBB) tarafından sunulan verilerden elde edilmiştir. TBB, bankacılık ürünlerinin kullanımını Türkiye'yi 12 bölgeye ayırarak sınıflandırmıştır. Bölgelere göre toplam kredi miktarını karşılaştırmak için 2002-2019 yılları arası için sunulan veriler alınmıştır. Bölgelere göre kullanılan ATM ve POS sayıları ise 2010 yılı öncesine ait veri olmadığından 2010-2019 yılları arasındaki verilere göre değerlendirilmiştir. Söz konusu bankacılık ürünlerinin bölgelere göre karşılaştırılması için ANOVA/Varyans analizi ve hangi bölgeler arasında fark olduğunun tespiti için Tukey testi uygulanmıştır. Çalışma bulgularına göre İstanbul bölgesine ait ortalama toplam kredi miktarı, ATM ve POS kullanımı diğer bölgelere göre anlamlı bir şekilde yüksek orana sahiptir. Elde edilen sonuçları genel olarak değerlendirmek gerekirse bankacılık ürünlerinin kullanımı, bölgesel farklılık gösterdiği gibi bu farklılığın meydana gelmesinde bölgelere göre demografik etkenler, müşteri davranışları, müşterinin talebi, teknolojinin gelişmesi gibi faktörlerin etkili olduğu söylenebilir.

**Anahtar Kelimeler:** Finansal Sistem, Banka, Bankacılık, ATM, POS

**Abstract:** Banks which have an important place fororganizingthe financial system of a country play an important role in the economic growth of the country by continuing their activities through various instruments. The efficiency and widespread use of banking instruments may indicate whether the economy is generally stable. Therefore, in this study, it is aimed to determine the regional differences in the prevalence of the total loan, POS, and ATM usage. The study data were obtained from the Banks Association of Turkey. The Banks Association of Turkey classified the use of bank instruments by dividing Turkey into 12 regions. In order to compare the total loan amount use in the regions, the data are presented forthe years 2002-2019 in the Banks Association of Turkey records. The number of ATM and POS use in the regions was evaluated according to the data between 2010-2019, since the data related to the number of ATM and POS before 2010 were not included in the Banks Association records. ANOVA analysis was used to compare the abovementioned bank instruments. According to the findings of the study, the average total loan amount, ATM and POS usage in the Istanbul region has a significantly higher rate when compared to other regions. The results, in general, displayed that the use of bank instruments shows regional differences; the factors for such regional differences may stem from demographic factors, customer behaviours, customer demands, and the development of technology.

**Key Words:** Financial System, Bank, Banking, ATM, POS

## 1. GİRİŞ

Bankalar mevduat kabul eden ve topladıkları bu mevduatları fon ihtiyacı olan gerçek ve tüzel kişilere kredi olarak kullandıran finansal kuruluşlardır. Bu kuruluşlarda yapılan işlemler sadece bunlarla sınırlı kalmayıp kredi/banka kartı gibi ödeme kolaylıklarının kullanımı, menkul kıymet alış-satış işlemleri, çek-senet işlemleri, kıymetli varlıkların korunması için kiralık kasa sağlanması, iç ve dış ticaret işlemlerinde aracılık yapma gibi birçok görevi de yerine getirmektedirler. Finansal yapının temel yapı taşları içerisinde önemli bir paya sahip olan bankalar, ülke ekonomisinin hızlı büyüme ve gelişim göstermesinde de önemli bir araçtır (Yetiz, 2016: 107). Bankacılık ürünlerinin verimliliği ve kullanım yaygınlığı, ekonominin genel olarak istikrarlı olup olmadığının göstergesi olabilir. Bankacılık ürünleri denilince kredi, kredi kartı, ATM, POS vb. ürünler gündeme gelmektedir. Müşterilerin bankacılık ürünlerini kullanımına yönelik birçok çalışma yapılmıştır. Örneğin Kheng ve arkadaşları (2010) tarafından yapılan çalışmada, ATM ve internet bankacılığı hizmetlerinin tercih edilen bankacılık ürünleri olduğu bulgulanmıştır ve bu iki ürünün yaygın olarak tercih edilmesi veya kullanılması banka piyasasındaki rekabet gücünü önemli derecede etkilediği

üzerinde de durulmuştur. Ancak Korkmaz ve arkadaşları tarafından yapılan çalışmada (2015) İstanbul, Ankara, Van ve İzmir illeri örnekleminde banka müşterileri ile yüz yüze görüşülerek yapılan anket çalışmasından elde edilen bulgulara göre ATM kullanımlarında katılımcıların çoğunluğu bankanın sunduğu hizmetleri yetersiz bulmuşlardır ve bunun neticesinde maddi ve manevi zarara uğradıklarını beyan etmişlerdir. Ceylan ve Durkaya (2010) tarafından yapılan 10 yıllık zaman diliminde (1998-2008) yurtiçi kredi hacmi ve ekonomik büyüme ilişkisine yönelik araştırmada banka kredilerinin ekonomik büyümeye pozitif yönde etki yaptığı tespit edilmiştir. Bu çalışmada da toplam kredi, POS ve ATM enstrümanları için bölgesel karşılaştırılma yapılmakta ve bu karşılaştırma sonucunda meydana gelen farklılığın hangi bölgelerden kaynaklandığı incelenmektedir.

## Krediler

Günümüz koşullarında gerçek ve tüzel kişilerin belirli bir miktar para ile ihtiyaçlarını karşılaması oldukça zordur. Masrafların karşılanması için bir sisteme ihtiyaç vardır. Böyle bir sistemi banka ve diğer finansal kuruluşlar sağlamakta ve bu sistem kredi sistemi olarak adlandırılmaktadır. Kredi, Latincede inanma anlamına gelen credere kökünden gelmekte saygınlık ve güven anlamını karşılamaktadır. Kredi ve mevduat olmak üzere iki temel unsur üzerine kurulmuş olan bankacılık sisteminin içerisinde, bankalar, toplamış oldukları mevduatları en etkin biçimde kredi olarak kullandırabildikleri sürece kar edebilmektedirler. 21. yüzyılda gerçek ya da tüzel kişileri krediden ayrı düşünmek neredeyse imkansızdır. Hem bireylerin hayatı hem de ticari hayatın devamlılığı için vazgeçilemez bir koşul halini almıştır. Kredinin farklı tanımları söz konusudur. TBB'ye göre bir kimseye ödünç para vermek, karşılığını daha sonra almak kaydıyla bir mal veya hizmet vermek olarak tanımlanabilir. Bankacılıktaki tanımı, bankanın yapacağı araştırma sonucunda gerçek veya tüzel kişilere teminat karşılığı veya teminatsız olarak para, teminat veya kefalet vermek şeklinde tanınan limittir. Bunu yaparken yasaları, bankanın iç kurallarını ve kaynaklarını da göz önünde bulundurulması gerekmektedir (Söğütçü, 2011: 42-43).

## ATM (Automatic Teller Machine)

1980'lerin sonuna doğru bankalar tam anlamıyla elektronik bankacılığa geçiş sağlamıştır. Kişisel bankacılık hizmetlerinin hizmete sunulmaya başlaması, müşterilerin bankaya gitmeden bankacılık işlemlerini gerçekleştirmesine olanak tanıyan ATM ile başlamıştır (Erol vd., 2015: 4). ATM aracılığı ile banka müşterileri para çekmenin yanı sıra hesaplar hakkında bilgi sahibi olma, hesaba para yatırma, hesaplar arasında transfer yapma, kredi başvurusunda bulunma, düzenli ödemeler yapma, çek defteri isteme, seyahat çekleri çıkarma, fatura ödeme gibi işlemler yapılmaktadırlar. Bankalar, ATM'lerinin karlılığını arttırmak için ATM'leri talebin az olduğu yerlerden talebin yüksek olduğu bölgelere kaydırılması ve diğer bankalarla yapılan anlaşmalarla bankaların operasyon maliyetlerini ortak ATM'ler kurarak azaltma eğilimleri gibi stratejiler uygulamaktadır. Bölgelere göre yapılan kaydırma işleminin yanı sıra spor müsabakaları için bilet, promosyon kuponları vb. stratejiler uygulayarak da getirilerini en yüksek seviyeye çıkarmayı hedeflemektedirler. İşlem esnasında soru-cevap şeklinde konuşularak müşteriye hizmet vermeleri için daha çok şube açmak zorunda kalmadan maliyetlerini azaltma eğilimi göstermişlerdir (Işın, 2006: 111-112).

## POS (Point Of Sales Terminal)

POS sisteminde, alıcı ile satıcının hesapları arasında transferin sağlanması özel bir elektronik alet içine yerleştirilen plastik kartlar (kredi kartı, debit kart vb.) ile yapılmaktadır. Günümüzde bu sistemde yeni uygulamalar geliştirilmektedir. Burada fonların transferi banknot ve çek gibi fiziki şekilde değil, teknolojinin gelişip bilgisayarın ve modern haberleşme tekniklerinin hayata girmesiyle çok kısa bir süre zarfında ve kaydi şekilde elektronik yöntemlerle yapılmaktadır. (Kargın, 2006: 66-67). Yaygın bir şekilde kullanılan POS terminalleri vasıtasıyla işlem yapma, kredi kartlarının kullanım alanlarının yaygınlığı ile paralel olarak gelişme göstermiştir. Bu terminaller yardımıyla, mal ve hizmetlerin karşılıkları nakit kullanılmadan plastik kartlar aracılığıyla elektronik yollarla ödenebilmektedir. Bu işlemlerin gerçekleştirebilmesi için üye işyerinin telefon hatlarıyla iletişime açık elektronik terminale ve bu terminal

için müşteri şifresi girilmesine yarayan bir klavyeye ihtiyacı vardır. Müşterinin ise bir veri taşıyıcısı ile donatılmış bir plastik karta ihtiyacı vardır (Varıcı, 2015: 76-77).

## 2. VERİ TASARIMI ve YÖNTEM

İki veya daha fazla gruba ait ortalamaların karşılaştırmasında parametrik bir test olan varyans analizi/ANOVA kullanılmaktadır. Varyans analizi/ANOVA'nın varsayımları veri dağılımının normal olması ve varyans homojenliği olarak sıralanabilir. Varsayımların ihlal edildiği durumlarda ise veri dönüştürme yöntemleri kullanılmalı veya parametrik olmayan analizler tercih edilmelidir (Field, 2009).

Bu çalışmada veriler TBB'den (Türkiye Bankalar Biriliği) alınmıştır. Krediler 2002 yılından itibaren ihtisas kredileri (tarım, gayrimenkul, mesleki, denizcilik, turizm, diğer) ve ihtisas dışı kredileri kapsayacak şekilde toplam krediler olarak varyans analizi/ANOVA yöntemi ile analiz edilmiştir. POS ve ATM verileri ise 2010 yılı itibariyle incelenmiş ve yine varyans analizi/ANOVA uygulanmıştır.

TBB tarafından sunulan aşağıdaki zaman aralıklarına ait veriler kullanılmıştır.

Tablo 1: Kullanılan Veri Setlerinin Ait Olduğu Zaman Aralıkları

| Değişken | Aralık | Süre |
|---|---|---|
| Toplam Kredi | 2002 – 2019 | 18 Yıl |
| ATM Sayısı | 2010 - 2019 | 10 Yıl |
| POS Sayısı | 2010 - 2019 | 10 Yıl |

Çalışmada kullanılan veriler normal dağılım göstermediği için tüm değişkenler log dönüşüm yöntemiyle dönüştürülmüş, varyans analizi/ANOVA dönüştürülmüş veriyle gerçekleştirilmiştir. Dönüştürülen verinin normal dağılımın yanı sıra varyans homojenliğine de sahip olduğu görülmüştür ($p > 0,05$). Hangi gruplar arasında anlamlı fark olduğunun tespiti için Tukey Post Hoc testinden yararlanılmıştır.

## 3. BULGULAR

### 3.1. Bölgelerin Toplam Kredi Miktarı Bakımından Karşılaştırılması

2002 – 2019 yılları için TBB tarafından sunulmuş olan toplam kredi verileri incelendiğinde, 18 yıllık dönemde ortalama kredi miktarının 8289857,583 TL (SS =21824162,30) olduğu, minimum yıllık toplam kredi miktarının 5488,49 TL maksimum yıllık toplam kredi miktarının ise 194993982 TL olduğu görülmektedir.

Toplam kredi miktarı verisinin bölgelere göre dağılımı aşağıda sunulmuştur.

Tablo 2: Toplam Kredinin Bölgelere Göre Dağılımı

| Bölge | N | O | SS | Min | Maks |
|---|---|---|---|---|---|
| İstanbul | 18 | 43404440,664 | 59021244,598 | 251245,640 | 194993982 |
| Batı Anadolu | 18 | 13117835,680 | 17869208,864 | 75543,240 | 56720151 |
| Ege | 18 | 11187929,039 | 15692349,479 | 68322,360 | 49872394 |
| Akdeniz | 18 | 8907314,166 | 13003092,355 | 60620,490 | 43303891 |
| Doğu Marmara | 18 | 7564969,839 | 10133381,977 | 46245,100 | 33376533 |
| Batı Karadeniz | 18 | 3169485,493 | 4633144,192 | 20476,990 | 15008232 |
| Güneydoğu Anadolu | 18 | 2942575,515 | 4426445,063 | 23061,660 | 15344967 |
| Batı Marmara | 18 | 2780828,811 | 4078944,510 | 18434,060 | 12976898 |
| Orta Anadolu | 18 | 2534893,363 | 3653624,733 | 17298,080 | 12068028 |

| | | | | | |
|---|---|---|---|---|---|
| Doğu Karadeniz | 18 | 2017423,338 | 2492015,352 | 11105,630 | 7931609 |
| Ortadoğu Anadolu | 18 | 1062538,961 | 1565679,014 | 8048,360 | 5229942 |
| Kuzeydoğu Anadolu | 18 | 788056,126 | 1136070,129 | 5488,490 | 3699186 |
| Toplam | 216 | 8289857,583 | 21824162,303 | 5488,490 | 194993982 |

Tabloda görüldüğü gibi, 2002 – 2019 arasındaki 18 yıllık dönemde en yüksek toplam kredi ortalamasının İstanbul bölgesinde (O = 43404440,664, SS = 59021244,598), en düşük toplam kredi ortalamasının ise Kuzeydoğu Anadolu bölgesinde (O = 43404440,664, SS = 59021244,598) gözlenmiştir. İstanbul, Batı Anadolu, Ege ve Akdeniz bölgelerinin ortalama kredi miktarının üzerinde, diğer bölgelerin ise aynı değerin altında kaldığı görülmüştür.

Toplam kredi miktarı değişkeninin bölgelere göre karşılaştırıldığı varyans analizi/ANOVA sonuçları aşağıda sunulmuştur.

Tablo 3: Toplam Kredi Miktarının Bölgelere Göre Karşılaştırılması

| Değişken | Varyans Kaynağı | KT | SD | KO | F | P |
|---|---|---|---|---|---|---|
| Toplam Kredi (Lg10) | Gruplar arası | 49,763 | 11 | 4,524 | 3,798 | **0,000** |
| | Grup içi | 242,987 | 204 | 1,191 | | |
| | Toplam | 292,750 | 215 | | | |

Varyans analizi/ANOVA analizi sonuçları toplam kredi miktarı değişkeninin bölgelere göre farklılık gösterdiğini ortaya çıkarmıştır (F = 3,798, p < 0,001). Tukey Post Hoc testlerine göre aşağıdaki bölgeler arasındaki farkların anlamlı olduğu saptanmıştır.

Tablo 4: Tukey Testi Sonuçları

| Bölge 1 | Bölge 2 | Fark | p |
|---|---|---|---|
| İstanbul | Batı Marmara | 1,235 | **0,039** |
| | Orta Anadolu | 1,256 | **0,032** |
| | Doğu Karadeniz | 1,353 | **0,013** |
| | Kuzeydoğu Anadolu | 1,736 | **0,000** |
| | Ortadoğu Anadolu | 1,611 | **0,001** |
| Batı Anadolu | Kuzeydoğu Anadolu | 1,230 | **0,040** |

Tukey testi sonuçlarına göre İstanbul bölgesine ait ortalama toplam kredi miktarı Batı Marmara, Orta Anadolu, Doğu Karadeniz, Kuzeydoğu Anadolu ve Orta Anadolu bölgelerinden anlamlı bir şekilde daha yüksektir (p < 0,05). Ayrıca Batı Anadolu bölgesine ait toplam kredi miktarının Kuzeydoğu Anadolu bölgesinden anlamlı şekilde daha yüksek olduğu görülmüştür (p < 0,05). Toplam kredi miktarı için diğer bölgeler arasında anlamlı bir fark saptanmamıştır (p > 0,05).

### 3.2. Bölgelerin ATM Sayıları Bakımından Karşılaştırılması

2010 – 2019 yılları için TBB tarafından sağlanan ATM verileri, 10 yıllık dönemde bölgelere göre ortalama ATM sayısının3301,033 (SS = 2823,926),minimum ATM sayısının 416, maksimum ATM sayısının 11933 olduğunu göstermektedir. 10 yıllık dönemde ATM sayılarının bölgelere göre dağılımı aşağıda sunulmuştur.

**Tablo 5:** Ortalama ATM Sayılarının Bölgelere Göre Dağılımı

| Bölge | N | O | SS | Min | Maks |
|---|---|---|---|---|---|
| İstanbul | 10 | 10300,300 | 1668,049 | 7180 | 11933 |
| Ege | 10 | 6254,400 | 1130,388 | 4257 | 7358 |
| Batı Karadeniz | 10 | 4568,900 | 856,617 | 3030 | 5405 |
| Doğu Marmara | 10 | 4368,200 | 746,586 | 3037 | 5095 |
| Akdeniz | 10 | 4364,700 | 899,355 | 2734 | 5233 |
| Batı Anadolu | 10 | 2065,300 | 380,859 | 1375 | 2453 |
| Batı Marmara | 10 | 1896,300 | 367,152 | 1254 | 2262 |
| Kuzeydoğu Anadolu | 10 | 1685,100 | 395,414 | 1032 | 2063 |
| Güneydoğu Anadolu | 10 | 1484,200 | 307,759 | 965 | 1788 |
| Orta Anadolu | 10 | 1113,100 | 224,084 | 708 | 1351 |
| Ortadoğu Anadolu | 10 | 888,200 | 200,582 | 553 | 1101 |
| Doğu Karadeniz | 10 | 623,700 | 127,453 | 416 | 749 |
| Toplam | 120 | 3301,033 | 2823,926 | 416 | 11933 |

Tabloda görüldüğü gibi, 2010-2019 arasındaki 10 yıllık dönemde en yüksek ATM sayısı ortalaması İstanbul bölgesinde (O = 10300,300, SS = 1668,049), en düşük ATM sayısı ortalaması ise Doğu Karadeniz bölgesinde (O = 623,700, SS =90127,453) saptanmıştır. İstanbul, Ege, Batı Karadeniz, Doğru Marmara ve Akdeniz bölgelerinin ATM sayısı ülke ortalamasının üzerinde, diğer bölgelerin ise aynı değerin altında kaldığı görülmüştür. Varyans analizi sonuçları aşağıda sunulmuştur.

Tablo 6: ATM Sayılarının Bölgelere Göre Karşılaştırılması

| Değişken | Varyans Kaynağı | KT | SD | KO | F | P |
|---|---|---|---|---|---|---|
| ATM Sayısı (Lg10) | Gruplar arası | 15,189 | 11 | 1,381 | 157,609 | **0,000** |
| | Grup içi | 0,946 | 108 | 0,009 | | |
| | Toplam | 16,135 | 119 | | | |

Varyans analizi/ANOVA sonuçları ATM sayılarının bölgelere göre anlamlı bir şekilde farklılaştığını göstermiştir (F = 157,609, p < 0,001). Hangi bölgeler arasında fark olduğunun tespiti için yapılan Tukey testi sonuçları aşağıda gösterilmiştir.

Tablo 7: Tukey Testi Sonuçları

| Bölge 1 | Bölge 2 | Fark | p |
|---|---|---|---|
| İstanbul | Batı Marmara | 0,69961 | **0,000** |
| | Ege | 0,21804 | **0,000** |
| | Doğu Marmara | 0,37661 | **0,000** |
| | Batı Anadolu | 0,37314 | **0,000** |
| | Akdeniz | 0,35508 | **0,000** |
| | Orta Anadolu | 0,84507 | **0,000** |

| | | | |
|---|---|---|---|
| | Batı Karadeniz | 0,73742 | **0,000** |
| | Doğu Karadeniz | 0,96948 | **0,000** |
| | Kuzeydoğu Anadolu | 1,22118 | **0,000** |
| | Ortadoğu Anadolu | 1,06984 | **0,000** |
| | Güneydoğu Anadolu | 0,79279 | **0,000** |
| Batı Marmara | Ege | -0,48157 | **0,000** |
| | Doğu Marmara | -0,323 | **0,000** |
| | Batı Anadolu | -0,32647 | **0,000** |
| | Akdeniz | -0,34453 | **0,000** |
| | Orta Anadolu | 0,14546 | **0,034** |
| | Doğu Karadeniz | 0,26987 | **0,000** |
| | Kuzeydoğu Anadolu | 0,52157 | **0,000** |
| | Ortadoğu Anadolu | 0,37023 | **0,000** |
| Ege | Doğu Marmara | 0,15857 | **0,013** |
| | Batı Anadolu | 0,1551 | **0,017** |
| | Orta Anadolu | 0,62703 | **0,000** |
| | Batı Karadeniz | 0,51938 | **0,000** |
| | Doğu Karadeniz | 0,75144 | **0,000** |
| | Kuzeydoğu Anadolu | 1,00314 | **0,000** |
| | Ortadoğu Anadolu | 0,8518 | **0,000** |
| | Güneydoğu Anadolu | 0,57475 | **0,000** |
| Doğu Marmara | Orta Anadolu | 0,46846 | **0,000** |
| | Batı Karadeniz | 0,36081 | **0,000** |
| | Doğu Karadeniz | 0,59286 | **0,000** |
| | Kuzeydoğu Anadolu | 0,84457 | **0,000** |
| | Ortadoğu Anadolu | 0,69322 | **0,000** |
| | Güneydoğu Anadolu | 0,41618 | **0,000** |
| Batı Anadolu | Orta Anadolu | 0,47194 | **0,000** |
| | Batı Karadeniz | 0,36429 | **0,000** |
| | Doğu Karadeniz | 0,59634 | **0,000** |
| | Kuzeydoğu Anadolu | 0,84804 | **0,000** |
| | Ortadoğu Anadolu | 0,6967 | **0,000** |
| | Güneydoğu Anadolu | 0,41965 | **0,000** |
| Akdeniz | Orta Anadolu | 0,48999 | **0,000** |
| | Batı Karadeniz | 0,38234 | **0,000** |

| | | | |
|---|---|---|---|
| | Doğu Karadeniz | 0,6144 | **0,000** |
| | Kuzeydoğu Anadolu | 0,8661 | **0,000** |
| | Ortadoğu Anadolu | 0,71476 | **0,000** |
| | Güneydoğu Anadolu | 0,43771 | **0,000** |
| Orta Anadolu | Kuzeydoğu Anadolu | 0,37611 | **0,000** |
| | Ortadoğu Anadolu | 0,22476 | **0,000** |
| Batı Karadeniz | Doğu Karadeniz | 0,23205 | **0,000** |
| | Kuzeydoğu Anadolu | 0,48376 | **0,000** |
| | Ortadoğu Anadolu | 0,33241 | **0,000** |
| Doğu Karadeniz | Kuzeydoğu Anadolu | 0,2517 | **0,000** |
| | Güneydoğu Anadolu | -0,17669 | **0,003** |
| Kuzeydoğu Anadolu | Ortadoğu Anadolu | -0,15134 | **0,022** |
| | Güneydoğu Anadolu | -0,42839 | **0,000** |
| Ortadoğu Anadolu | Güneydoğu Anadolu | -0,27705 | **0,000** |

Tukey testi sonuçları incelendiğinde, İstanbul ve Kuzeydoğu Anadolu bölgelerindeki ATM sayılarının tüm bölgelerden anlamlı şekilde farklı olduğu görülmektedir ($p < 0,05$). Batı Marmara bölgesindeki ATM sayılarının İstanbul, Ege, Doğu Marmara, Batı Anadolu, Akdeniz, Orta Anadolu, Doğu Karadeniz, Kuzeydoğu Anadolu ve Ortadoğu Anadolu bölgelerinden farklı olduğu görülmüştür ($p < 0,05$). Bu bölgedeki ATM sayıları Batı Karadeniz ve Güneydoğu Anadolu bölgelerinden anlamlı bir şekilde ayrılmamaktadır ($p > 0,05$). Ege bölgesindeki ATM sayılarının Akdeniz bölgesi dışındaki ($p > 0,05$) tüm bölgelerden anlamlı şekilde farklı olduğu görülmüştür ($p < 0,05$). Doğu Marmara bölgesindeki ATM sayılarının İstanbul, Batı Marmara, Ege, Orta Anadolu, Batı Karadeniz, Doğu Karadeniz, Kuzeydoğu Anadolu, Ortadoğu Anadolu ve Güneydoğu Anadolu bölgelerinden anlamlı bir şekilde farklılaştığı($p<0,05$), Batı Anadolu ve Akdeniz bölgelerindeki ATM sayılarıyla ise farklı olmadığı saptanmıştır ($p > 0,05$). Batı Anadolu bölgesindeki ATM sayılarının İstanbul, Batı Marmara, Ege, Orta Anadolu, Batı Karadeniz, Doğu Karadeniz, Kuzeydoğu Anadolu, Ortadoğu Anadolu ve Güneydoğu Anadolu bölgelerinden anlamlı bir şekilde farklı olduğu belirlenmiştir ($p < 0,05$). Batı Anadolu, Doğu Marmara ve Akdeniz bölgelerindeki ATM sayıları arasında anlamlı bir fark olmadığı görülmüştür ($p > 0,05$). Akdeniz bölgesindeki ATM sayılarının Orta Anadolu, Batı Karadeniz, Doğu Karadeniz, Kuzeydoğu Anadolu, Ortadoğu Anadolu ve Güneydoğu Anadolu bölgelerinden anlamlı bir biçimde farklı olduğu saptanmıştır ($p < 0,05$). Diğer yandan, Ege, Doğu Marmara ve Batı Anadolu bölgelerindeki ATM sayıları ile Akdeniz bölgesindeki ATM sayıları arasında anlamlı bir fark bulunmamaktadır ($p >0,05$).

Orta Anadolu bölgesindeki ATM sayılarının İstanbul, Batı Marmara, Ege, Doğu Marmara, Batı Anadolu, Akdeniz, Kuzeydoğu Anadolu ve Ortadoğu Anadolu bölgelerinden farklı olduğu görülmüştür ($p < 0,05$). Orta Anadolu'daki ATM sayısı Batı Karadeniz, Doğu Karadeniz ve Güneydoğu Anadolu bölgelerindeki ATM sayıları ile anlamlı bir farklılık göstermemektedir ($p > 0,05$). Batı Karadeniz bölgesindeki ATM sayılarının İstanbul, Ege, Doğu Marmara, Batı Anadolu, Akdeniz, Doğu Karadeniz, Kuzeydoğu Anadolu ve Ortadoğu Anadolu bölgelerinden anlamlı şekilde farklı olduğu görülmüştür ($p < 0,05$). Batı Marmara, Orta Anadolu ve Güneydoğu Anadolu bölgeleriyle ise ATM sayıları bakımından farklılık bulunmamaktadır ($p > 0,05$). Doğu Karadeniz bölgesindeki ATM sayılarının Orta Anadolu ve Ortadoğu Anadolu bölgeleri ($p > 0,05$) dışındaki tüm bölgelerden anlamlı bir şekilde farklı olduğu görülmüştür ($p < 0,05$). Ortadoğu Anadolu bölgesindeki ATM sayılarının Doğu Karadeniz dışındaki ($p > 0,05$) tüm bölgelerden farklı olduğu saptanmıştır ($p < 0,05$).

Güneydoğu Anadolu bölgesindeki ATM sayılarının İstanbul, Ege, Doğu Marmara, Batı Anadolu, Akdeniz, Doğu Karadeniz, Kuzeydoğu Anadolu ve Ortadoğu Anadolu bölgelerinden farklı olduğu belirlenmiştir ($p <$

0,05).Bu bölgedeki ATM sayılarının Batı Marmara, Orta Anadolu ve Batı Karadeniz bölgelerinden anlamlı bir şekilde farklılaşmadığı görülmüştür (p > 0,05).

### 3.3. Bölgelerin POS Sayıları Bakımından Karşılaştırılması

2010 – 2019 yılları için TBB tarafından sunulan POS verileri incelendiğinde, 10 yıllık dönemde ortalama POS sayısının 204155,139 (SS = 185974,794), yıllara göre minimum POS sayısının 26978, maksimum POS sayısının 962117 olduğu gözlenmiştir.
Toplam POS sayısının bölgelere göre dağılımı aşağıda sunulmuştur.

Tablo 8: Ortalama POS Sayılarının Bölgelere Göre Dağılımı

| Bölge | N | O | SS | Min | Maks |
|---|---|---|---|---|---|
| İstanbul | 10 | 706084,482 | 117668,464 | 566110 | 962117 |
| Ege | 10 | 360422,158 | 34215,428 | 289282 | 404236 |
| Akdeniz | 10 | 301637,146 | 22090,258 | 263147 | 329671 |
| Batı Anadolu | 10 | 266470,768 | 25453,474 | 226788 | 307462 |
| Doğu Marmara | 10 | 220297,646 | 19912,589 | 185523 | 250787 |
| Batı Karadeniz | 10 | 125590,130 | 9602,856 | 111140 | 139703 |
| Güneydoğu Anadolu | 10 | 107190,056 | 14661,031 | 86245 | 130998 |
| Batı Marmara | 10 | 104484,596 | 11028,680 | 84744 | 119237 |
| Orta Anadolu | 10 | 96811,858 | 11742,443 | 73792 | 114314 |
| Doğu Karadeniz | 10 | 76075,206 | 13596,254 | 61046 | 108886 |
| Ortadoğu Anadolu | 10 | 51248,226 | 8907,681 | 39530 | 66069 |
| Kuzeydoğu Anadolu | 10 | 33549,398 | 4370,303 | 26978 | 40540 |
| Toplam | 120 | 204155,139 | 185974,794 | 26978 | 962117 |

Tablo incelendiğinde, 2010-2019 arasındaki en yüksek POS sayısı ortalamasının İstanbul bölgesinde (O = 706084,482, SS = 117668,464), en düşük POS sayısı ortalamasının ise Kuzeydoğu Anadolu bölgesinde (O = 33549,398, SS =4370,303) görülmüştür. İstanbul, Ege, Akdeniz, Batı Anadolu ve Doğu Marmara bölgelerinin POS sayısı ülke ortalamasının üzerinde, diğer bölgelerin ise ortalamanın altında olduğu görülmüştür. Varyans analizi/ANOVA sonuçları aşağıda sunulmuştur.

Tablo 9: POS Sayılarının Bölgelere Göre Karşılaştırılması

| Değişken | Varyans Kaynağı | KT | SD | KO | F | P |
|---|---|---|---|---|---|---|
| POS Sayısı (Lg10) | Gruplar arası | 15,961 | 11 | 1,451 | 503,906 | **0,000** |
| | Grup içi | 0,311 | 108 | 0,003 | | |
| | Toplam | 16,272 | 119 | | | |

Varyans analizi/ANOVA sonuçlarına göre bölgeler arasında POS sayılarına göre farklılık bulunmaktadır (F = 503,906, p < 0,001). Aralarında POS Sayılarına göre farklılık bulunan bölgeleri gösteren Tukey test sonuçları aşağıda sunulmuştur.

Tablo 10: Tukey Testi Sonuçları

| Bölge 1 | Bölge 2 | Fark | p |
|---|---|---|---|
| İstanbul | Batı Marmara | 0,827 | **0,000** |

| | | | |
|---|---|---|---|
| | Ege | 0,289 | **0,000** |
| | Doğu Marmara | 0,502 | **0,000** |
| | Batı Anadolu | 0,420 | **0,000** |
| | Akdeniz | 0,365 | **0,000** |
| | Orta Anadolu | 0,861 | **0,000** |
| | Batı Karadeniz | 0,746 | **0,000** |
| | Doğu Karadeniz | 0,968 | **0,000** |
| | Kuzeydoğu Anadolu | 1,321 | **0,000** |
| | Ortadoğu Anadolu | 1,140 | **0,000** |
| | Güneydoğu Anadolu | 0,817 | **0,000** |
| Batı Marmara | Ege | -0,538 | **0,000** |
| | Doğu Marmara | -0,325 | **0,000** |
| | Batı Anadolu | -0,407 | **0,000** |
| | Akdeniz | -0,462 | **0,000** |
| | Batı Karadeniz | -0,081 | **0,045** |
| | Doğu Karadeniz | 0,141 | **0,000** |
| | Kuzeydoğu Anadolu | 0,494 | **0,000** |
| | Ortadoğu Anadolu | 0,313 | **0,000** |
| Ege | Doğu Marmara | 0,214 | **0,000** |
| | Batı Anadolu | 0,131 | **0,000** |
| | Orta Anadolu | 0,572 | **0,000** |
| | Batı Karadeniz | 0,457 | **0,000** |
| | Doğu Karadeniz | 0,679 | **0,000** |
| | Kuzeydoğu Anadolu | 1,033 | **0,000** |
| | Ortadoğu Anadolu | 0,851 | **0,000** |
| | Güneydoğu Anadolu | 0,528 | **0,000** |
| Doğu Marmara | Batı Anadolu | -0,082 | **0,038** |
| | Akdeniz | -0,137 | **0,000** |
| | Orta Anadolu | 0,358 | **0,000** |
| | Batı Karadeniz | 0,244 | **0,000** |
| | Doğu Karadeniz | 0,466 | **0,000** |
| | Kuzeydoğu Anadolu | 0,819 | **0,000** |
| | Ortadoğu Anadolu | 0,637 | **0,000** |
| | Güneydoğu Anadolu | 0,315 | **0,000** |
| Batı Anadolu | Orta Anadolu | 0,441 | **0,000** |

| | | | |
|---|---|---|---|
| | Batı Karadeniz | 0,326 | **0,000** |
| | Doğu Karadeniz | 0,548 | **0,000** |
| | Kuzeydoğu Anadolu | 0,902 | **0,000** |
| | Ortadoğu Anadolu | 0,720 | **0,000** |
| | Güneydoğu Anadolu | 0,397 | **0,000** |
| Akdeniz | Orta Anadolu | 0,496 | **0,000** |
| | Batı Karadeniz | 0,381 | **0,000** |
| | Doğu Karadeniz | 0,603 | **0,000** |
| | Kuzeydoğu Anadolu | 0,956 | **0,000** |
| | Ortadoğu Anadolu | 0,774 | **0,000** |
| | Güneydoğu Anadolu | 0,452 | **0,000** |
| Orta Anadolu | Batı Karadeniz | -0,115 | **0,000** |
| | Doğu Karadeniz | 0,107 | **0,001** |
| | Kuzeydoğu Anadolu | 0,461 | **0,000** |
| | Ortadoğu Anadolu | 0,279 | **0,000** |
| Batı Karadeniz | Doğu Karadeniz | 0,222 | **0,000** |
| | Kuzeydoğu Anadolu | 0,575 | **0,000** |
| | Ortadoğu Anadolu | 0,394 | **0,000** |
| Doğu Karadeniz | Kuzeydoğu Anadolu | 0,353 | **0,000** |
| | Ortadoğu Anadolu | 0,172 | **0,000** |
| | Güneydoğu Anadolu | -0,151 | **0,000** |
| Kuzeydoğu Anadolu | Ortadoğu Anadolu | -0,182 | **0,000** |
| | Güneydoğu Anadolu | -0,504 | **0,000** |
| Ortadoğu Anadolu | Güneydoğu Anadolu | -0,323 | **0,000** |

Sonuçlar incelendiğinde, İstanbul, Doğu Marmara, Doğu Karadeniz, Kuzeydoğu Anadolu ve Ortadoğu Anadolu bölgelerindeki POS sayılarının karşılaştırıldıkları diğer tüm bölgelerden anlamlı bir şekilde farklı olduğu görülmektedir ($p < 0,05$). Batı Marmara bölgesindeki POS sayılarının Orta Anadolu ve Güneydoğu Anadolu ($p > 0,05$) hariç olmak üzere tüm bölgelerden anlamlı şekilde farklı olduğu saptanmıştır ($p < 0,05$). Ege ve Batı Anadolu bölgelerindeki POS sayılarının Akdeniz bölgesinden farklı olmadığı ($p > 0,05$) ancak karşılaştırıldıkları diğer tüm bölgelerden farklı oldukları görülmüştür ($p < 0,05$). Aynı şekilde Akdeniz bölgesi de POS sayıları bakımından Ege ve Batı Anadolu bölgeleri hariç ($p > 0,05$) olmak üzere tüm bölgelerle farklılık göstermektedir. Orta Anadolu bölgesindeki POS sayılarının Batı Marmara ve Güneydoğu Anadolu ile anlamlı bir farklılık göstermediği ($p > 0,05$), diğer tüm bölgelerden ise anlamlı biçimde farklı olduğu saptanmıştır ($p < 0,05$). Batı Karadeniz bölgesindeki POS sayılarının Güneydoğu Anadolu ($p > 0,05$) dışındaki tüm bölgelerden anlamlı biçimde farklılaştığı görülmüştür ($p < 0,05$). Güneydoğu Anadolu bölgesindeki POS sayılarının Batı Marmara, Orta Anadolu ve Batı Karadeniz bölgelerinden anlamlı bir şekilde ayrılmadığı ($p > 0,05$),diğer bölgelerden ise anlamlı bir şekilde farklı olduğu görülmüştür ($p < 0,05$).

## 4.SONUÇ

İstanbul bölgesine ait ortalama toplam kredi miktarı Batı Marmara, Orta Anadolu, Doğu Karadeniz, Kuzeydoğu Anadolu ve Orta Anadolu bölgelerinden anlamlı bir şekilde daha yüksektir. Ayrıca Batı Anadolu bölgesine ait toplam kredi miktarının Kuzeydoğu Anadolu bölgesinden anlamlı şekilde daha yüksek olduğu görülmüştür. ATM sayılarında Kuzeydoğu Anadolu ve İstanbul bölgeleri tüm bölgelerden anlamlı şekilde farklılık göstermektedir. POS sayıları sonuçları incelendiğinde ise İstanbul, Doğu Marmara, Doğu Karadeniz, Kuzeydoğu Anadolu ve Ortadoğu Anadolu bölgelerindeki POS sayılarının karşılaştırıldıkları diğer tüm bölgelerden anlamlı bir şekilde farklı olduğu görülmektedir.

Elde edilen sonuçları genel olarak değerlendirmek gerekirse İstanbul bölgesine ait ortalama toplam kredi miktarı, POS ve ATM sayıları diğer bölgelere göre anlamlı bir şekilde farklılık göstermektedir. Bu farklılık toplam kredi ortalama miktarının, ATM ve POS sayılarının bu bölgede daha yüksek olmasıyla ortaya çıkmıştır. Nüfus oranının fazla olması bireysel olarak ürünlerin kullanımını etkileyeceği gibi ticaretin ve sanayinin daha fazla gelişme göstermiş olması da bu artışı etkileyerek diğer bölgelerle anlamlı bir şekilde farkın ortaya çıkmasında rol oynayabilir. Bunun yanı sıra Doğu Karadeniz bölgesinde ise ATM sayısı ortalamasının az olduğu gözlemlenmiştir. Bu durum bölgenin coğrafi yapısı ile açıklanabilir.

Bankacılık ürünlerinin kullanımı, bölgesel farklılık gösterdiği gibi bu farklılığın meydana gelmesinde bölgelere göre demografik etkenler, müşteri davranışları, müşterinin talebi, teknolojinin gelişmesi, bölgenin coğrafi yapısı gibi faktörlerin etkili olduğu söylenebilir.

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# Küresel Çöp Sorunu

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**Özet:** İnsanlığın sağlığı gezegenimizin sağlığı ile yakından ilişkilidir. Covid 19 süreci bu ilişkinin ne kadar hassas olduğunu bir kere daha vurgulamıştır. İklimsel değişikliğe en fazla etki kentlerden gelmektedir. Kentsel yaşam biçimleri sera gazı emisyonlarının temel kaynağıdır. Yapılan tahminlere göre global CO2 emisyonlarının %75'i kentsel aktivitelerden kaynaklanmaktadır. Birleşmiş Milletler Küresel Sürdürülebilirlik Raporu Gündem 2030'da küresel çöp miktarı, kompozisyonu ve nasıl yönetildiği göz önünde bulundurularak 2016 yılında 1,6 milyar ton CO2 eşdeğerinde sera gazının çöp işlenmesi ve boşaltılmasından kaynaklandığı ortaya konulmuştur. Eğer dünya genelinde bir iyileştirme olmazsa katı atıklardan kaynaklı emisyonların 2050 yılında 2,38 milyar ton CO2 eşdeğerinde olacağı tahmin edilmektedir.

Artan çöp miktarlarının temelinde "planlı eskitme" stratejisi yer almaktadır. Kısa sürede bozulan, kırılan ürünler, hızla eskiyen kıyafetlerin üretildiği bu ekonomik strateji tüketimi artırırken dünya kaynakların tüketimini de artırmakta ve de sürekli daha fazla çöp üretilmesine neden olmaktadır. İyi yönetilemeyen çöp hem insan hem de çevrenin sağlığı için tehdit oluşturmaktadır. Ülkeler düşük gelir seviyesinden orta ve yüksek gelir seviyelerine doğru geliştikçe çöp yönetim biçimleri de evrilmektedir. Ancak bolluğun artmasıyla birlikte kentsel alanlara hareketin artması ülkelerde kişi başına çöp üretim seviyelerini arttırmaktadır. Hızlı büyüme gösteren ülkelerde çöpün yarısından fazlasının açık bir şekilde atılması; bu büyüme oranları ile çevre, sağlık ve bolluk üzerindeki olası etkileri acil müdahale gerektirmektedir.

Dünya genelinde sürdürülebilir tüketim ve üretim modellerine geçilmesi ile kaynak etkinliği arttırılarak, sürdürülebilir yaşam biçimleri teşvik edilerek ekonomik gelişmenin çevreyi bozması engellenebilir. Çöpün olmadığı bir kapalı sistem doğayı örnek alan bir sistemdir. Bu sistemin temel ilkeleri döngüsel ekonomi; materyallerin ve ürünlerin çöpe gitmek yerine yeni bir kullanım döngüsünün parçası olması; çeşitlilik içeren sistemlerin daha dayanıklı olması, yenilenebilir enerji kaynaklarının kullanılması ve de bütünsel bir sistemin kurulması ilkeleri olmalıdır.

**Anahtar Kelimeler:** Atık Yönetimi, Sürdürülebilir Ekonomi, Sıfır Atık, Döngüsel Ekonomi

**Abstract:** The health of humans is closed related with the health of the planet. The Covid 19 pandemic has shown/emphasized once more how delicate this relationship is. The greater effect to climate change is from cities. Urban lifestyles are the main source of greenhouse gas emissions. It is estimated that 75% of global CO2 emissions arise from urban activities. In the United Nations Global Sustainability Report Agenda 2030, considering the global waste amount, composition and how it is managed, it was revealed that 1.6 billion tons of CO2 equivalent greenhouse gas in 2016 was caused by the processing and discharging of waste. If there is no improvement around the world, t emissions from wastes are estimated to be 2,38 billion tons of CO2 equivalent in 2050.

The "planned obsolescence" strategy is the main reason for the increasing amounts of waste. This economic strategy, in which products are produced to deteriorate and break in a short time; clothes to worn out rapidly aiming to increase consumption, it also increases the consumption of world resources and causes continuous generation of more waste each year. Waste when it is not managed properly create a serious threat both for the health of human and the environment. Waste management patterns evolves as countries evolve from low income to middle- and high-income levels. Open disposal of more than half of the waste in fast-growing countries; with these growth rates and their potential impact on the environment, health and abundance requires immediate intervention.

With the adoption of sustainable consumption and production models worldwide, resource efficiency can be increased, and sustainable lifestyles can be encouraged therefore economic development from harming the environment will be prevented. A closed where there is no waste is a system which takes nature as example. The main principles of this system must be the principles of circular economy which include materials and products being part of a new usage cycle instead of going to waste, formation of more durable diverse systems, the use of renewable energy sources, and the establishment of a holistic system.

**Key Words:** Waste Management, Sustainable Economy, Zero Waste, Circular Economy.

## 1. GİRİŞ

Gezegenimizin sağlığının insanoğlunun sağlığıyla olan bağlantısı bilinmektedir. Bu bağın gücü Covid 19 süreci ile bir kere daha oldukça sert bir biçimde vurgulamıştır. Pandemi dünyanın kaynaklarının her yerden alarm verdiği bir noktada gelmiştir. İnsanlık olarak artık kentsel yaşam biçimlerimizin eylemlerinden doğan sonuçların sorumluluğunu almamız gerektiğini de açıkça göstermiştir.

İklimsel değişiklik değerlerine baktığımızda 2013-2017 yılları arasında global sıcaklığın tarihteki en yüksek değerlerine ulaştığını görüyoruz. Green (2018) Birleşmiş Milletler Sürdürülebilir Gelişme 2019 Raporu'nda 2018 yılının kayıtlara geçmiş en sıcak yıl olduğu ve karbondioksit seviyelerinin artmaya devam ettiği belirtilmiştir. Okyanuslarda asidite oranının sanayi öncesi dönemlere göre %26 daha yüksek olduğu ve de CO2 emisyonları bu şekilde devam ederse 2100 yılına kadar %100 den %150'ye kadar çıkabileceğinin tahmin edildiği de yine bu raporda belirtilmiştir (United Nations, 2020). İklimsel değişikliğe en fazla etki kentlerden gelmektedir ve kentsel yaşam biçimleri sera gazı emisyonlarının temel kaynağıdır. Yapılan tahminlere göre global CO2 emisyonlarının %75'I kentsel aktivelerden kaynaklanmaktadır (United Nations Environment Programme, n.d.).

Şekil 1: Çöp miktarları



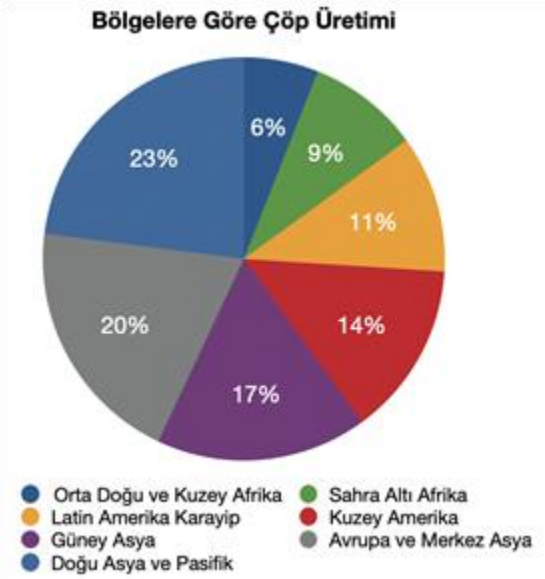
Kaynak: (The World Bank, n.d.)

Birleşmiş Milletler Global Sürdürülebilirlik Raporu Gündem 2030'da global çöp miktarı, kompozisyonu ve nasıl yönetildiği göz önünde bulundurularak 2016 yılında 1,6 milyar ton $CO_2$ eşdeğerinde sera gazının çöp işlenmesi ve boşaltılmasından kaynaklandığı ortaya konulmuştur (Şekil 1). Bu değer global emisyonların %5'ini oluşturmaktadır. Besin çöpü ise toplam emisyonların %50'sını oluşturmaktadır. Eğer dünya genelinde bir iyileştirme olmaz ise katı atıklardan kaynaklı emisyonların 2050 yılında 2,38 milyar ton $CO_2$ eşdeğerinde olacağı tahmin edilmektedir (The World Bank, n.d.).

## 2. KÜRESEL ÇÖP KAVRAMI: MEVCUT DURUM

Kentleşme süreciyle birlikte çöp konusu kentsel mekanlar için daha ön plana çıkmıştır. Kamu sağlığı açısından çöp; yerel yönetimlerin yasayla belirlenen görevleri arasında önemli bir konumdadır. Çöp miktarlarının giderek artması çevresel bir sorun olarak bilinmektedir. Buna ek olarak okyanusların kirlenmesi ve su kaynaklarının tıkanması sel vb. olayların oluşmasına; meydana gelen hastalıkların daha hızlı yayılmasına yol açmaktadır. Çöp miktarlarının iyi yönetilememesi durumu bilmeden çöpleri yiyen hayvanların zarar görmesi ve de ekonomik gelişmenin yavaşlaması gibi negatif etkiler yaratabilmektedir.

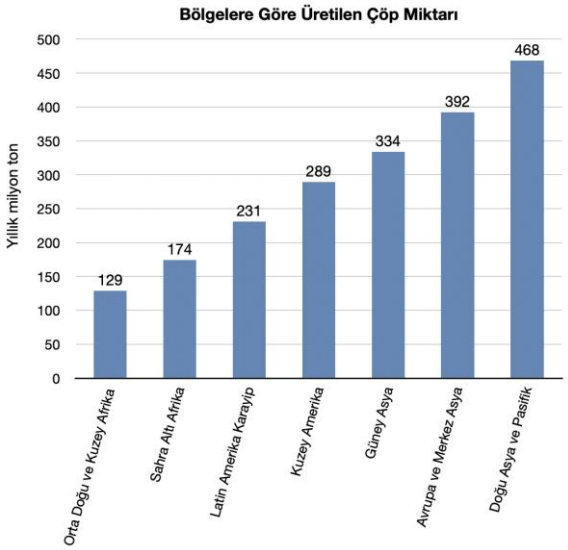
Şekil 2: Bölgelere Göre Çöp Üretim Oranları




Kaynak: Kaza ve diğerleri, 2018

Dünya geneline bakıldığında ülkeler düşük-gelir seviyesinden orta-gelir ve yüksek gelir seviyelerine doğru geliştikçe çöp yönetim biçimleri de evrilmektedir. Ancak bolluğun artması ile kentsel alanlara doğru hareketin de artması ülkelerde çöp üretim seviyelerini arttırmakta olduğu görülmüştür. (Şekil 2, Şekil 3) Yerel yönetimlerin bu konuda politika ve plan üretme sürecinde çöpün nasıl üretildiği, üretilen çöplerin çeşitlerinin detaylı analizler ile anlaşılması, en uygun çöp yönetim yöntemlerini ve planlarını belirlemeleri açısından önemlidir. Çöp üretimi düşük gelir gruplarında yüksek gelir gruplarına oranla daha hızlı artış göstermektedir. Düşük gelir grubu ülkelerindeki toplam çöp üretiminin 2050 yılına kadar 3 kat daha fazla artacağı öngörülmüştür. Doğu Asya ve Pasifik bölgesi dünya çöpünün %23'unu; Orta Doğu ve Kuzey Afrika bölgesi ise %6'sını üretmektedir (Kaza v.d.; 2018).

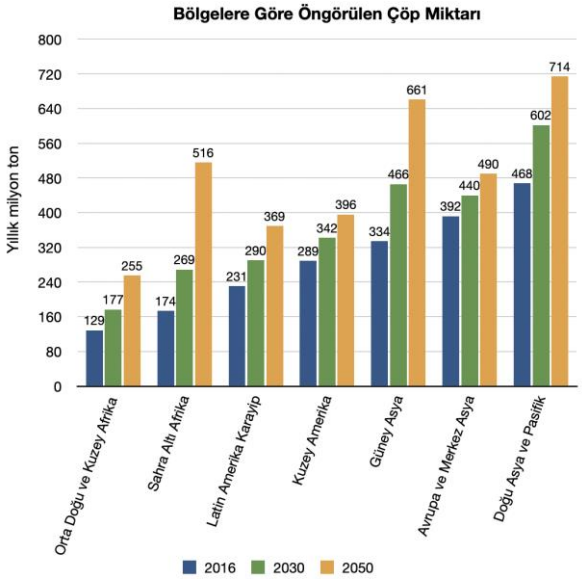
Şekil 3: Bölgelere Göre Çöp Miktarları




Kaynak: Kaza v.d., 2018

Hızlı büyüme gösteren bölgeler olan Sahra Altı Afrika, Güney Asya, Orta Doğu ve Kuzey Afrika'da 2050 yılına kadar çöp üretiminin üç kat artacağı beklenmektedir. (Şekil 4) Bu bölgelerde çöpün yarısından fazlası açık bir şekilde atılmaktadır ve özellikle bu durum bu büyüme oranları ile çevre, sağlık ve bolluk üzerindeki olası etkileri acil müdahale gerektirmektedir (Kaza v.d., 2018).

Şekil 4: Bölgelere Göre 2050 yılı için Öngörülen Çöp Miktarları.




Kaynak: Kaza ve diğerleri, 2018

## 3. KÜRESEL ÇÖP SORUNUNUN NEDENLERI / TEMELLERI

Birleşmiş Milletler Global Sürdürülebilirlik Raporu Gündem 2030'da global ekonominin itici gücü olan tüketim ve üretim modellerinin doğal çevreyi ve kaynakları kullanma biçiminin gezegenimiz üzerinde yıpratıcı ve yok edici etkileri olduğu ve geçmiş yüzyılda gerçeklesen ekonomik ve sosyal ilerlemenin beraberinde çevresel bozulmayı da getirdiği ifade edilmiştir (United Nations (n.d.), 2021)

Aynı raporda, her sene dünya genelinde üretilen besinin –yaklaşık olarak 1,3 milyar ton- tüketicilerin ve işletmelerin çöp kutularında çürümekte ya da taşınma ve ekin biçme uygulamaları sırasında bozulmakta olduğu vurgulanmıştır. Eğer dünya nüfusu 2050 yılına kadar 9,6 milyara ulaşırsa, mevcut yaşama biçimlerinin sürdürülmesi için gereken doğal kaynakların 3 gezegen gerektireceğine önemle dikkat çekilmiştir (United Nations (n.d.), 2021). Çöp artık küresel bir sorun olarak Kabul edilmekte; çöp/atık ekonomisi konusu farklı yönleriyle ele alınmaktadır. Belediye çöplerinin uluslararası ticareti, küresel ortamda çöplerin işlenmesi ve akışı "çevresel adalet" konusuna da dikkat çekmektedir (Moore, 2011;133).

Çöp/atık yönetimine ilişkin genel ilkeleri şöyle özetlemek mümkündür;

- Çöp/atık üretiminin ve tehlike özelliğine ilişkin: çöp/atık üretiminin azaltılmasına yönelik çalışmaların yapılması, tehlikeli içeriklerin mümkün olduğu kadar üretim aşamasında da azaltılmasını içerir. Temiz üretim teknolojilerinin kullanılması teşvik edilir.
- Farklı türdeki atıkların kaynağında ayrıştırılması ve toplanması: Bu ilkenin uygulanması hastalıkların yayılmasını önleme, çalışan sağlığı ve güvenliğini sağlama, yerel kaynakların daha etkin kullanılması, çevreyi koruma, bertaraf maliyetlerini düşürme gibi faydalar sağlar.
- Bertaraf ilkesi: Atıkların lisanslı geri kazanım ve bertaraf tesislerinde uygun yöntem ve teknolojiler kullanılarak bertaraf edilmesi ile kayıt altına alma, uygun koşullarda bertaraf etmeyi sağlar.

- Belediyeye ilişkin ilke; çöp/atık yönetimi en geniş bölgenin faydası gözetilerek gerçekleştirilir. Kanunlarda gösterilen kurum ve kuruluşların sorumlulukları vardır (Atık Yönetmeliği, 2015).

Çöp sürecini yönetme de farklı stratejiler mevcuttur. "Planlı eskitme" tüketim stratejisi, ürünün yaşam süresinin kısaltılması ve de tüketici davranışlarını etkileyerek tüketimin hızla ve artarak devam etmesini sağlamayı içerir. Bu stratejiyi temel alan ekonomik sistem/tüketim ekonomisi artan çöp miktarlarının temel nedenidir. Kısa sürede bozulan, kırılan ürünler, hızla eskiyen kıyafetlerin üretildiği bu ekonomik strateji tüketimi artırırken dünya kaynakların tüketimini de artırmakta ve de sürekli daha fazla çöp üretilmesine neden olmaktadır (Basel Convention, 2012).

## 4. SONUÇ: ÇÖZÜM ÖNERİLERİ

Çevresel değişimdeki tehdit ekonominin içinde insan ve doğa arasındaki ilişkinin; kentlerin ve kasabaların, beslenme sistemlerinin ve enerji sistemlerinin yeninden biçimlenmesini gerektirmektedir (Bieri v.d., 2020). Birleşmiş Milletler Çevre Programı (UNEP) sürdürülebilir ekonominin tüketim ve üretim biçimlerinin fakirliğin azalmasına; düşük karbonlu ve yeşil ekonomiye geçişe de büyük ölçüde katkıda da bulunacağını öngörmektedir. Dünya genelinde sürdürülebilir tüketim ve üretim modellerine geçmek küresel çöp miktarlarının sıfıra yaklaşacak değerlere gelmesini sağlayacaktır. Kaynak etkinliğini arttırmak ve sürdürülebilir yaşam biçimlerini teşvik etmek, ekonomik gelişmenin çevreyi bozmasını engelleyecektir (United Nations (n.d.) Birleşmiş Milletler Çevre Programı Sürdürülebilir Gelişme Hedeflerinden "Sorumlu Tüketim ve Üretim" başlıklı 12. Hedefinin Covid 19 ile ilişkili olarak eklenen kısmında mevcut krizin hem insanlar hem de gezegenin yararına işleyen daha sürdürülebilir bir ekonomiye geçiş için bir fırsat sunmakta olduğu ifade edilmektedir. United Nations (n.d.)

Sürdürülebilir ekonomiye geçerken "çöpü azaltmak" ve "çöpü önlemek" kavramlarının net anlaşılması gerekmektedir. Ve güncel durumda bu iki terim arasındaki ayrımın net yapılamadığı gözlenmektedir. Çöp yönetiminde genel yaklaşım ürünlerin kullanım ömrü sonlandıktan sonrasına ilişkindir. Çöp oluştuğunda kaynaklar (enerji, malzemeler) tüketilmiştir ve de insan ve çevre üzerinde de etkileri oluşmuştur. Bu aşamada artık anlamlı değişim için geç kalınmıştır. Ancak bu aşamada geri dönüşüm ve insinerasyon atık sahalarına gidecek olan çöpün azaltılması konusunda etkili yöntemlerdir. Bu yöntemler çöpün üretilmesini sınırlamamaktadır sadece ileriye yönelik etkilerin oluşmasını engellemektedir. Çöp üretiminin gerçekten engellenmesi sadece imalat biçimlerimizin değil aynı zamanda çöp üretme biçimlerimizin yani tüketim alışkanlıklarımızın da değişmesini gerektirir (Basel Convention, 2012).

Birleşmiş Milletler Çevre Programı Sürdürülebilir Gelişme Hedefleri raporunda Covid 19 virüsünün ortaya çıkmasının insan ve doğa arasındaki ilişkiyi kuvvetle vurguladığı; insanoğlunun sınırsız ihtiyaçlarının gezegenin karşılama kapasitesi sınırlarını aştığı; doğayı zorlamanın sınırlarının anlaşılması ve saygı gösterilmesi gerektiği vurgulanmıştır. Bu sınırların tüketim ve üretim modellerimize yansıması gereğinden hareketle Covid 19 sosyal değişim için bir katalizör olabilir. Üretim ve tüketim modellerimizi daha sürdürülebilir uygulamalara geçirecek daha iyi yapılar kurmamız gereklidir. Basel Convention (2012). Üretim süreçlerinin yeniden yaratılmasında "Beşikten Beşiğe" (Cradle to Cradle) yaklaşımının uyarlanması en rasyonel çözümlerden biridir (Sorkin, 2015).

Çöp yerel olarak ele alınmalıdır. Daha da önemli olan çöpü üreten sistemin doğası ve değeri sorgulanmalıdır. Çöpün olmadığı bir kapalı sistem doğayı örnek alan, –bir orman gibi- ekosistemin kendinin yeniden inşa etmesine olanak veren bir sistem olmalıdır. Doğayı örnek alan bu sistem içinde tasarladığımız her şey dayanıklı olacak şekilde (tüketim ekonomisinden özgür) ya da ömrünü tamamladıktan sonra başka bir kullanım için dönüştürülebilir olmalıdır. Bu geri dönüşüm ya da yeniden kullanımın da ötesine geçerek en baştan çöp üretmeyen bir sistemin tasarımını gerektirecektir (Sorkin, 2015)

Bu sistemin temel ilkeleri Döngüsel Ekonomi; materyallerin ve ürünlerin çöpe gitmek yerine yeni bir kullanım döngüsünün parçası olması; çeşitlilik içeren sistemlerin daha dayanıklı olması, yenilenebilir enerji kaynaklarının kullanılması ve de bütünsel bir sistemin kurulması ilkeleri olmalıdır (United Nations Environment Programme n.d.) Hem üreticinin hem de tüketicinin sorumluluğu önemlidir. Döngülerin kapatılması temel hedeftir. Ekonomik sistem içinde giren ve çıkanın eşit olması anlamına gelmektedir. Nüfusun artışı tüketimin ve de çöp üretiminin ya da kirliliğin ve kaynakların tüketilmesinin artmasına

olan direkt etkisini değiştirmek gerekmektedir (Basel Convention, 2012). Birleşmiş Milletler Çevre Programı'nın (UNEP) pandemi sürecinde artan çöp miktarlarına yönelik kısa vadeli stratejileri arasında ülkelerin ulusal çöp yönetimi kapasitelerinin değerlendirmesini yaparak Covid 19'a yönelik boşlukları doldurmak üzere çözüm üretmeleri; 3S Stratejisini (Sınıflandırma, Segregasyon, Saklama) özellikle de Covid 19 çöplerine yönelik sıkı bir şekilde uygulamaları yer almaktadır (United Nations, 2020)

Uzun vadeli önlemler arasında ise ileriye yönelik çöp yönetimi acil durumlarına daha etkin karşılık verebilmek için sağlam bir yasal ve kurumsal temel oluşturmak; pandeminin kişisel ve tıbbi donanımların üretim ve tüketimini arttıracak olması nedeni ile UNEP'in tıp sektöründe döngüsellik sağlamak ve tek kullanımlı ürünlerin daha iyi idare edebilmeleri için destek sağlaması; Covid 19 çöpleri ile diğer çöplerin ayrılması, toplanması ve idaresi için daha sağlam sistemlerin kurulması ve bireylere kullanılmış tıbbi donanımları güvenli bir şekilde nasıl atacaklarına dair rehberlik sağlanması gibi konular yer almaktadır (United Nations, 2020)

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# Tüketicilerin Yöresel Gıdalar İçin Gıda Güvenliği Algısı: Bir Literatür Araştırması

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**Özet:** Yöresel gıda, coğrafi açıdan bir bölge veya yöreye özgü olan, ün ve karakteristik özelliklerini bölgede oluşan bilgi ve geleneklerden alan ürünler olarak tanımlanabilir. Yöresel gıda ürünleri yaratmış oldukları katma değer, istihdam ve dış ticaretteki payları ile Türkiye ekonomisinde önemli bir yere sahiptir. Nitekim, Coğrafi İşaret (Cİ) koruması altında bulunan yöresel ürünlerden sadece beş tanesi olan Giresun fındığı, Malatya kayısısı, Ege sultani kuru üzümü, Ege inciri ve Antep fıstığı ihracat gelirlerinin toplamı, Türkiye tarım ürünleri ihracat gelirinin yaklaşık %60'ını oluşturmaktadır. Son yıllarda yöresel gıdaları satın almada tüketici talebi artış göstermekte ve yöresel gıdalar, gıda tüketiminde en dinamik sektörlerden biri olarak dikkat çekmektedir. Tüm gıda ürünlerinde olduğu gibi, yöresel gıda üretiminde ve tüketiminde de önemli kaygılardan biri gıda güvenliğidir. Bu çalışmanın amacı, yöresel gıda ürünleri için gıda güvenliği açısından tüketici algısının belirlenmesidir. Bu amaçla, 2000-2020 yılları arasında Dünya'da ve Türkiye'de yöresel gıda ürünlerinde gıda güvenliği konusunda yapılmış çalışmalar; Elsevier, Google Akademik ve Ulusal Tez Merkezi gibi önemli veri tabanlarında araştırılmıştır. Elde edilen literatür; yöntem, kapsam ve sonuçları itibariyle yıllar bazında bir çizelge halinde yorumlanmıştır. Araştırma sonuçları bir bütün olarak değerlendirildiğinde, yöresel gıda ürünlerine olan ilginin giderek arttığı, özellikle Cİ uygulamalarının, gıda güvenliği algısı açısından yöresel ürünlere değer kattığı belirlenmiştir. Özellikle Cİ amblemi olmayan ürünler için gıda güvenliği algısının daha negatif olduğu belirlenmiştir. Tarım ürünlerinin Cİ ile satılması tüketicilerin algısında kalite ve güveni temsil ettiği için daha yüksek fiyatla satılabilmektedir. Sonuçta, coğrafi işaretli ürünler ile tüketiciler kaliteli ve güvenilir ürün tüketirken, üreticiler de önemli bir gelir artışı sağlayabilmektedir. Bu nedenle, Türkiye'de coğrafi işaretli yöresel ürün potansiyelinin etkin bir şekilde harekete geçirilmesi önerilmektedir.

**Anahtar Kelimeler:** Yöresel Gıdalar, Gıda Güvenliği, Tüketici Algısı, Coğrafi İşaret

# Consumers' Perception of Food Safety for Local Foods: A Literature Research

**Abstract**: Local food can be defined as products that are geographically specific to a region, and take their reputation and characteristics from the knowledge and traditions formed in the region. Local food products as well as the added value they have created and has an important place in Turkey's economy with its share of employment and foreign trade. Indeed, total export revenue of five of the regional products protected geographical indication (GI) which they are Giresun's hazelnuts, Malatya apricots, Aegean sultana raisins, Aegean figs and pistachios constitutes about 60% of the agricultural product export revenues of Turkey. In recent years, consumer demands for purchasing local foods have increased and these foods attract attention as one of the most dynamic sectors in food consumption. As with all food products, one of the important concerns in the local food production and consumption is food safety. The aim of this study is to determine consumer perception in terms of food safety for local food products. For this purpose, literatures in the world and in Turkey have been investigated in the major databases such as Elsevier, Google Scholar and National Thesis Center for the period of the years 2000-2020 on food safety for local food products. The obtained literature has been interpreted in a table on the basis of years in terms of the methods, the scopes and the results. When the results of the research are evaluated as a whole, it has been determined that consumer interest in local food products has gradually increased and especially GI practices add value to local products in terms of food safety perception. It has been determined that the food safety perception is more negative especially for products without geographical indication. Since selling agricultural products with GI represents quality and trust in consumers' perception, they can be sold at higher prices. As a result, while consumers are consuming quality and reliable products with geographical indicated products, producers can also achieve a significant increase in income. Therefore, the potential of the rich local products in Turkey, it will be possible to evaluate more effectively with the application of geographical indications.

**Keywords:** Local Foods, Food Safety, Consumer Perception, Geographical Indication

## 1.GİRİŞ

### 1.1.Konunun Önemi

"Belli bir coğrafi bölgede yer alan, karakteristik özellikleriyle çevreden ayrılan bir yer, sınırlı bölüm" olarak tanımlanan (Türk Dil Kurumu, 2009) yöre kavramına bağlı olarak yöresel ürünler, değişik bölgelerde üretilen ve üretildiği yöreye has tat, aroma ve bileşim gibi özelliklere sahip olan ürünler olarak tanımlanmaktadır (Tan, 2009). Daha geniş bir tanımla yöresel, bölgesel ya da geleneksel ürünler; coğrafi açıdan bir bölge veya yöreye özgü, ün ve kalitelerini buranın doğal koşulları ya da bölgesel özelliklerinden oluşan bilgi, deneyim ve geleneklerinden alan, o bölgedeki hammadde ve üretim girdilerini kullanmak, bu alandaki ekonomik gelişim ile istihdamı teşvik etmek suretiyle üretilen ürünler olarak tanımlanmaktadır (Dorant and Leonhäuser 2004: 93-106; Demirbaş vd., 2006: 47-55).

"Yöresel gıda ürünleri" ülke ekonomisine hatırı sayılır gelir sağlayan, ülke tanıtımına katkısı olan katma değerli ürünlerdir. Dünyada yetiştirilen birçok yerel ürün, yetiştiği ve üretildiği yörenin adı ile tanınmaktadır. Ürünlerin tanınmasında ve kalitesinin bilinmesinde, yetiştikleri yerin doğal, beşerî ve çevre koşullarının etkisiyle birlikte yöre insanın bilgi, beceri, deneyim ve tecrübeleriyle geleneklerinin birleştirilmesi de önemlidir. Bu birleşenler bir araya gelerek bu tipik ürünlerin "yöresel ürün" olarak adlandırılmasını sağlamaktadır. Üretilen ve yetiştirilen bölgelerle özdeşleşmiş olan ürünler tüketiciler tarafından o yöreye duyulan güven nedeniyle tercih edilmekte, ürünün adıyla birlikte hangi yöreye ait olduğunun belirtilmesiyle tüketicide bir güven oluşturmaktadır (Cerrahoğlu, 2015: 213). Türkiye için yöresel gıda ürünleri; Malatya kayısısı, Aydın inciri, Ayvalık zeytinyağı, Antalya portakalı, Nevşehir üzümü ve Giresun fındığı en değerli özellikli ihraç ürünleri arasındadır (Ertan, 2010: 166). Yöresel gıda ürünleri yaratmış oldukları katma değer, istihdam ve dış ticaretteki payları ile Türkiye ekonomisinde önemli bir yere de sahiptir. Nitekim, coğrafi işaret (Cİ koruması altında bulunan yöresel ürünlerden sadece beşi (Giresun fındığı, Malatya kayısısı, Ege sultani kuru üzümü, Ege inciri ve Antep fıstığı) 2,5 milyar dolara ulaşan dış satım değeri ile Türkiye tarım ürünleri ihracat gelirinin yaklaşık %60'nı oluşturmaktadır (Tekelioğlu ve Demirer, 2008: 715-730).

Cİ belirgin bir niteliği, ünü veya diğer özellikleri itibariyle kökenin bulunduğu bir yöre, alan, bölge veya ülke ile bütünleşmiş bir ürünü gösteren ad veya işaretlerdir. Bu nedenle yöresel ürünler dendiğinde ilk akla gelen Cİ kavramı ve uygulamalarıdır. Bu açıdan değerlendirildiğinde, Cİ ile koruma altına alınmış yöresel gıda ürünleri, Türkiye ekonomisi için önemli bir potansiyel oluşturduğu belirtilebilir. Çünkü bu ürünlerin korunması ve üretimiyle yaratılan istihdam ve katma değer bölge nüfusunun ekonomik kalkınmasında önemli bir rol oynamaktadır. Yaratılan katma değer ise kır ve kent arasındaki gelir farkının kapanması ve bölgeler arasındaki gelir dağılımı üzerinde olumlu etkileri nedeniyle son derece önemlidir (Kantaroğlu ve Demirbaş, 2018: 514).

Son yıllarda tüm dünyada ve özellikle Avrupa'da gıda tüketiminde en dinamik sektörlerden birisi yöresel ürünler sektörüdür (Kantaroğlu ve Demirbaş, 2018: 515). Tüketicilerin yaşam biçimlerinin değişmesine bağlı olarak, yeni tatlar, yeni ürünler, güvenli gıda, daha az işlenmiş ve daha az katkı içeren gıda talep etmeleri de bu artışa neden olan unsurlar arasındadır (Taşdan vd, 2014: 363-386). Özellikle gelişmiş ülkelerde, yöresel yiyecekleri satın almada tüketici talepleri artış göstermekte ve gıda tüketiminde en dinamik sektörlerden biri olarak yöresel yiyecek sektörü dikkat çekmektedir. Tüketicilerin küresel gıda sistemindeki çevresel etkiler, sürdürebilirlik, sağlık ve gıda güvenliği gibi olumsuz gelişmeler nedeniyle de yöresel yiyeceklere olan ilgisinin arttığı ifade edilmektedir (Feagan, 2007: 23-42; Autio et al., 2013: 564-568; Birch et al., 2018: 221-228). Bilindiği gibi, toplumlarda iklim değişikliği üzerinde tüketicilerin etkisinin azaltılmasına yönelik büyük bir ilgi oluşmaya başlamış ve tüketiciler ürün ve beslenme alışkanlıklarının küresel ısınmaya etkisi üzerinde daha fazla bir farkındalık oluşmaya başlamıştır. Bu anlamda yöresel olarak yetiştirilen, üretilen ve halka sunulan gıda ürünlerinin taze olarak tüketilmesi muhtemel olduğundan, bu paketleme, işleme ve soğutmanın ihtiyaçlarını azaltma anlamına gelmektedir. Daha az nakliye ve ambalajlamaya neden olan daha az atık ve böylece karbon ayak izinin azaltılması ve doğal çevrenin korunması özellikleriyle yöresel gıdalar diğer gıdalara göre daha çok tercih edilmektedir (Türkmen ve Ayaz, 2019: 119-219).

Gıda güvenliği giderek önemi artan bir halk sağlığı konusudur. Tüm dünyada hükümetler gıda güvenliğini arttırmak için yoğun bir çaba göstermektedirler. Bu çabalar büyüyen gıda güvenliği sorunlarına ve artan

tüketici endişelerine karşılıktır (Dünya Sağlık Örgütü, 2007). Yöresel gıda üretiminde ve tüketiminde de önemli noktalardan biri tüketilen gıdanın güvenli olmasının gerektiğidir (Bordeleau et al., 2016: 529-538). İnsanlar; çevresel etkiler, sürdürülebilirlik, sağlık ve gıda güvenliği gibi konuların mevcut küresel gıda sistemleri için olumsuz sonuçlarından dolayı endişe duymaktadır. Tüm dünyada artan endüstriyel gıda üretimlerine duyulan güvensizlik, birçok tüketicinin daha fazla "yerel gıda" kaynağına yönelmesine neden olmaktadır (Sormaz vd, 2020: 538-551). Nitekim, Avrupalı tüketicilerin ortalama %30'unun yöresel gıda ürünlerini tercih ettiği ve bu oranın Fransa'da %85, İspanya'da ise %79 düzeyine çıktığı tespit edilmiştir (Graca and Albisu, 2001: 469-488). Yine, son yıllarda yapılan çalışmalar tüketicilerin yöresel ürünleri benzerlerine göre daha lezzetli, güvenli, sağlıklı ve kaliteli bulduklarını ve bu ürünlerin pazarlanmasının yerel üreticilere ve çevreye faydaları olduğunu göstermektedir (Loureiro and McCluskey, 2000: 309–320; Tregear et al., 2007: 12-22; Knight, 2013: 29-39; Albayram, vd., 2014: 237-251; Kadanalı ve ark., 2016: 9-16). Tüketimdeki hem miktar hem de çeşitlilik yönlü artış eğiliminin süreceği dikkate alındığında, tazelik, lezzet ve yerel özellikleriyle tüketiciler tarafından giderek daha fazla tercih edilen yöresel gıdalar için tüketicilerin gıda güvenliği algısının incelenmesi önemli görülmektedir.

## 1.2 Çalışmanın Önemi

Son yıllarda coğrafi açıdan bir bölge ya da bir yöreye özgü olan ve üretimi, pişirmesi, tüketimi, sunumu ve tadı farklı olan yöresel yiyeceklere talep artışı yaşanmaktadır (Carpio and Isengildina-Massa, 2008: 412-426; Darby et al., 2008: 476-486; Hardesty, 2008: 1289–1295; Ayaz, 2018: 22-38). Buna bağlı olarak Cİ alan ürün sayısı giderek artmakta, tüketicilerin bu ürünlere olan talebi de hızla büyümektedir (Feagan, 2007: 23-42; Darby et al., 2008: 476-486; Hardesty, 2008: 1289–1295; Carpio and Isengildina-Massa, 2008: 412-426; Şahin ve Meral, 2012: 88-92; Autio et al., 2013: 564-568; Birch et al., 2018: 221-228; Kantaroğlu ve Demirbaş, 2018: 514-520). Bununla birlikte, talebi artan bu ürünlerde önemli sorunlardan biri tüketicilerin gıda güvenliği açısından kaygı duymasıdır. (Pirog and Rasmussen, 2008: 294-1854; Cömert ve Özata, 2016: 538-551; Kadanalı ve Dağdemir, 2016: 9-16; Ayaz ve Türkmen, 2019: 119-219; Sancak, 2019: 7). Türkiye'de ve uluslararası literatürde yöresel gıda ürünleri için gıda güvenliği ekseninde hazırlanmış bir çalışmaya rastlanmamıştır. Bu nedenle, bu çalışma bu alandaki sorunlara tartışma olanağı sağlaması bakımından önemlidir.

## 1.3 Çalışmanın Amacı

Bu araştırmanın amacı, yöresel gıda ürünleri için gıda güvenliği açısından tüketici algısının belirlenmesidir. Tüketicilerin gıda güvenliğine yönelik algılarının geniş bir ulusal ve uluslararası literatür taraması sonucu ortaya çıkarılması amaçlanmaktadır.

## 1.4 Çalışmanın Kapsamı

Araştırmanın ürün kapsamı yöresel gıda ürünleridir. Araştırmada, ulusal ve uluslararası literatür kapsama alınmıştır. Çalışmada gıda güvenliği algısı tüketiciler için değerlendirilmiş ve 2000-2020 yılları arasındaki dönemde yapılan çalışmalar kapsama alınmıştır.
Literatür incelendiğinde "yöresel", "bölgesel", "yerel" ya da "geleneksel" gıda ürün kavramları için ayırt edici bir tanım olmadığı görülmektedir. Bu çalışmada ağırlıklı olarak "yerel" veya "yöresel" kavramları kullanılmıştır.

## 1.5 Materyal ve Yöntem

2000-2020 yılları arasında Dünya'da ve Türkiye'de yöresel gıda ürünlerinde gıda güvenliği konusunda yapılmış çalışmalar Elsevier, Google Akademik ve Ulusal Tez Merkezi gibi önemli veri tabanlarında araştırılmıştır.

Tarama terimleri; "yöresel gıda", "local food", "yerel gıda", "regional food", "gıda güvenliği", "food safety", "yöresel ürün", "tüketici algısı", "yerel yemek" ve "yerel yiyecek" olarak belirlenmiş ve bu terimler üzerinden veri tabanları üzerinden araştırma yapılmış ve elde edilen literatür, yöntem, kapsam ve sonuçları itibariyle yıllar bazında bir çizelge halinde gösterilmiştir.

## 2. GIDA GÜVENLİĞİ VE YÖRESEL GIDALAR İÇİN ÖNEMİ

Gıda Güvenliği, en basit tanımı ile amaçları doğrultusunda üretildiğinde veya tüketildiğinde gıdanın tüketiciye zarar vermeyeceği süreci ifade etmekte olup; Dünya Sağlık Örgütü (WHO), Gıda Tarım Örgütü (FAO) ve Codex Alimentarius Uzmanlar Komisyonu gıda güvenliğini, sağlıklı ve kusursuz gıda üretimini sağlamak amacıyla gıdaların üretim, işleme, muhafaza, taşıma ve dağıtım aşamalarında gerekli kurallara uyulması ve önlemlerin alınması' olarak nitelendirmişlerdir (FAO and WHO, 2015). Gıda güvenliği; üretimden başlamak üzere ürünlerin işleme, depolama, dağıtım, hazırlama, pişirme ve tüketme işlemine kadar olan bütün fiziksel, biyolojik ve kimyasal tehlikelerden korunmasıyla sağlanmaktadır (Eryılmaz, vd., 2018: 237-245).

Tüm dünyada olduğu gibi, Türkiye'de de sağlık ve doğal yaşam kaygıları ile yerelleşme eğilimindeki artış, yöresel gıda ürünlerinin tüketimini artırmaktadır. Bu süreçte, gıda güvenliği ise sadece yöresel gıdaların değil tüm gıda ürünlerinin tüketimini etkileyen en önemli etkenlerden birisi olmuştur. Gelecekte tüketimdeki hem miktar hem de çeşitlilik yönlü artışın süreceği dikkate alındığında, tüketicilerin yöresel gıdalarda da gıda güvenliği algıları oldukça önemli hale gelmektedir (Taşdan vd, 2014: 363-386).

## 3.YÖRESEL GIDA KAVRAMI

### 3.1.Yöresel Gıdaların Yerel Ekonomiye Katkısı

Yöresel gıda coğrafi açıdan bir bölge veya yöreye özgü olan, ün ve kalitelerini buranın doğal koşulları ve bölgesel özelliklerinden oluşan bilgi ve geleneklerinden alan ürünler olarak tanımlanmaktadır (Schneider ve Ceritoğlu, 2010). Türkiye, yöresel gıda ürünleri açısından değerlendirildiğinde oldukça zengin bir ülke durumundadır. Türkiye'nin çeşitli bölgelerinde coğrafik yapı, ekolojik ve iklim özellikleri, tarımsal faaliyetlerin çeşidine göre, farklı yöresel gıda ürünlerinin üretilmesine imkân vermektedir. Bu yöresel ürünler, üretildiği bölgeye göre birbirinden tamamen farklı olacağı gibi, aynı ürünün üretildiği bölgenin özelliğine, üretim tekniğine ve hammaddesine göre ayırt edici özellikte olması da mümkündür (Kuşat, 2012: 261-275).

Yöresel gıda ürünlerinin üretildikleri bölgelerdeki küçük işletmelerin ekonomik sürdürülebilirliğine yaptığı katkılar yerel ekonominin canlandırılmasını sağlamaktadır (Bilge vd, 2019). Bu ürünleri benzerlerinden ayıran nitelikleri, onların geleneksel ürün özelliği taşımalarına neden olmaktadır. Hem ulusal hem de uluslararası pazarlarda tüketicilerin, yeni tatlara yönelik arayışları ile ürün çeşitliliği, güvenilir gıda, daha az işlenmiş ve daha az katkı maddeleri içeren doğal gıda ürünleri talepleri (Demirbaş vd., 2006), yöresel gıda ürünleri sektörünün önemini iyice arttırmaktadır (Kuşat, 2012: 261-275).

Yöresel gıdalar pazarda farklılık yaratma ve ürün çeşitlendirmesi, kırsal kalkınmaya ekonomik, istihdam, turizm ve tanıtım gibi birçok açıdan katkıları nedeniyle önem taşımaktadır (Altuntaş, 2016: 167).

### 3.2. Yöresel Ürün Mevzuatında Gıda Güvenliğinin Yeri

Türkiye'nin sahip olduğu zengin yöresel ürün varlığının korunabilmesi için gerekli yasal düzenleme, 27.06.1995 tarihinde yürürlüğe giren 555 sayılı Coğrafi İşaretlerin 60 Korunması Hakkında Kanun Hükmünde Kararname ile gerçekleştirilmiştir. Yasa tescilleri vermek üzere Türk Patent Enstitüsü'nü görevlendirmiştir (Tekelioğlu ve Demirer 2008: 715-730). Bu Kanun Hükmünde Kararnamenin amaç ve kapsamı "Doğal ürünler, tarım, maden ve el sanatları ürünleri ile sanayi ürünlerinden bu Kanun Hükmünde Kararnamede yer alan tanımlara ve koşullara uygun her türlü ürünün coğrafi işaretlerle korunmasına ilişkin kuralları ve şartları kapsar" şeklinde belirlenmiştir. 555 sayılı KHK ile aynı dönemde çıkan 556 Sayılı Markaların Korunması Hakkında Kanun Hükmünde Kararname'de de coğrafi işaretlerin korunmasına yönelik hususlara yer verilmiş, coğrafi işaretlerin mülkiyet hakkının marka şeklinde tek bir kişiye verilemeyeceği ve markaların coğrafi kaynağı yanıltıcı şekilde olamayacağı gibi hususlar hükme bağlanmıştır (Altuntaş, 2016: 60).

Bu Kanun Hükmünde Kararname kapsamında coğrafi işaretler, menşe adı ve mahreç işareti olarak ikiye ayrılmıştır. Bir ürünün menşei olan yöre, alan veya bölge adı, aşağıdaki şartların birlikte karşılanması durumunda "menşe adını" belirtir: Bu kapsam,

a) Coğrafi sınırları belirlenmiş bir yöre, alan, bölge veya çok özel durumlarda ülkeden kaynaklanan bir ürün olması;

b) Tüm veya esas nitelik veya özellikleri bu yöre, alan veya bölgeye özgü doğa ve beşerî unsurlardan kaynaklanan bir ürün olması ve

c) Üretimi, işlenmesi ve diğer işlemlerinin tümüyle bu yöre, alan veya bölge sınırları içinde yapılan bir ürün olması (Mevzuat Bilgi Sistemi, 2021) ile belirtilmektedir.

Örneğin, "Afyon Kaymağı" ait olduğu coğrafi bölgenin dışında üretilemez. Çünkü ürün niteliklerini, ancak ait olduğu yöre içinde üretildiği takdirde kazanabilmektedir (Türk Patent ve Marka Kurumu, 2019).

Üçüncü fıkrada belirtilen koşulları karşılayan ve belirli bir yöre, alan veya bölgeden kaynaklanan bir ürünü belirtmek için geleneksel olarak kullanılan güncel dilde yerleşmiş coğrafi veya coğrafi olmayan adlar da menşe adları olarak kullanılabilir. Bir ürünün menşei olan yöre, alan veya bölge adı, aşağıdaki şartların karşılanması durumunda "mahreç işareti" göstergesini belirtir:

a) Coğrafi sınırları belirlenmiş bir yöre, alan veya bölgeden kaynaklanan bir ürün olması;

b) Belirgin bir niteliği, ünü veya diğer özellikleri itibariyle bu yöre, alan veya bölge ile özdeşleşmiş bir ürün olması;

c) Üretimi, işlenmesi ve diğer işlemlerinden en az birinin belirlenmiş yöre, alan veya bölge sınırları içinde yapılan bir ürün olması (Mevzuat Bilgi Sistemi, 2021).

Örnek "Antakya Künefesi": Coğrafi sınır olarak Antakya belirtilmiştir. Künefede kullanılan peynir Antakya yöresine özgü tuzsuz inek peyniri olması gerekmektedir (Türk Patent ve Marka Kurumu, 2019).

AB, tarımsal ürünler ve gıda maddelerine yönelik kalite politikalarına dair 2081/92 ve 2082/92 sayılı, yönetmeliklerini 14 Temmuz 1992'de çıkarmıştır. Bu yönetmelikler, AB'nin Ortak Tarım Politikası (OTP)'nda da miktar kaygısından ziyade kalite kaygısının, ayrıca üretim fazlasını bertaraf etmek üzere arz ve talebi dengelemeye yönelik uygulamaların öne çıktığının ilk belirtileridir. Söz konusu iki yönetmelik, aslında AB'nin OTP'de radikal değişimin başlangıcı ve aynı zamanda kalite yaklaşımının birer parçasıdır. Başlangıçta sadece birer yasal araç gibi gözüken bu yönetmeliklerin etkileri, 90'lı yılların başında çok net bir biçimde belirlenememiştir. Ancak, sonraki yıllarda yapılan araştırmalarda bu düzenlemelerin tüketiciler ve üreticiler açısından olumlu katkıları olduğu saptanmıştır. Bu uygulamalarda eksik olan husus, etiketlerin sadece ürünlerin üretildikleri yeri veya adlarını belirtmesiydi. Bunlara ek bir diğer husus ise, ürünlerin geleneksel birtakım özelliklere sahip olmalarıydı. Gelişmiş teknolojiden ötürü, ürünün ismi ve geldiği yer tescillenmesine rağmen, büyük firmalar bu ürünleri kolaylıkla sahiplenebilirdi. Ancak ürünün hangi şekilde üretildiği ve geleneksel bazı öğelere sahip olup olmadığı AB'nin yetkili kurumlarınca onaylanırsa hem yerel üreticiler korunur hem de kırsal kalkınmaya bir katkı sağlanabilirdi. Bu amaçla 2082/92 sayılı yönetmelikte bahsedilen TSG ibaresinin ürünlerin etiketlerine konması kararlaştırılmıştır. Bu ibarelerin tam olarak ne anlama geldiği aşağıda açıklanmıştır (Demirbaş vd, 2006: 47-55).
Protected Designation of Origin (PDO), gıda maddesinin üretim, işlenme ve hazırlanma aşamalarının otoritelerce kabul görmüş bir yöntemle ve belirtilen coğrafi bölgede gerçekleştirildiğini ifade etmektedir.

Protected Geographical Indication (PGI), coğrafik ilintinin üretim, işleme veya hazırlık aşamalarından herhangi birinde olmasını gerektiren bir ifadedir.

Traditional Speciality Guaranteed (TSG), ürünün orijinini değil, ancak geleneksel karakterini ya içerik ya da üretim yöntemi açısından vurgulamaktadır (Demirbaş vd, 2006: 47-55).

## 4. YÖRESEL GIDA ÜRÜNLERİNDE GIDA GÜVENLİĞİ ALGISINA İLİŞKİN LİTERATÜR ARAŞTIRMASI SONUÇLARI

2000-2020 yılları arasında Dünya'da ve Türkiye'de yöresel gıda ürünlerinde gıda güvenliği konusunda yapılmış çalışmalar Elsevier, Google Akademik ve Ulusal Tez Merkezi gibi önemli veri tabanlarında araştırılmıştır. Tarama terimleri; "yöresel gıda", "local food", "yerel gıda", "regional food", "gıda güvenliği", "food safety", "yöresel ürün", "tüketici algısı", "yerel yemek" ve "yerel yiyecek" olarak belirlenmiş ve bu terimler üzerinden veri tabanları üzerinden araştırma yapılmış ve elde edilen literatür, yöntem, kapsam ve sonuçları itibariyle yıllar bazında bir Çizelge kullanılarak gösterilmiştir (Çizelge 1).

Çizelge 1.Yöresel Gıda Ürünlerinde Gıda Güvenliği Algısı

| Yıl | Yazar(lar) | Anket Sayısı | Ülke/il/ ilçe | Yöntem | Bulgular | Algı |
|---|---|---|---|---|---|---|
| 2000 | Loureiro and McCluskey | 157 | ABD / Washington | Coğrafi İşaretli Yöresel Gıda | 1-Tüketiciler yöresel gıda ürünlerini benzerlerine göre daha lezzetli, güvenli, sağlıklı ve kaliteli bulmaktadır. 2-Tüketiciler, yöresel gıda ürünlerini genellikle seyahatlerinde doğrudan yöresinden satın almakyı tercih etmekte, yöresi dışında satılan ürünlere güvenmemektedir. | (+) |
| 2006 | Darby, Battle, Ernst and Roe | 530 | Kaliforniya / Long Beach | Ayrım yok | Katılımcıların yerel gıdaları satın alma nedenleri; tazelik, tat ve güvenlik bulmalarıdır. | (+) |
| 2007 | Henseleit, Kubitzki and Teuber | 3000 | Almanya | Coğrafi İşaretli Yöresel Gıda | Tüketiciler yöresel gıdaları daha güvenli ve kaliteli olduğu için tercih etmektedir. | (+) |
| 2008 | Pirog and Rasmussen | 755 | ABD / Iowa | Coğrafi İşaretli Yöresel Gıda | Ankete katılanların %74'ü yöresel/ bölgesel gıdaları, ulusal ve küresel gıda zincirlerinin ürünlerine göre daha güvenli bulmaktadır. | (+) |
| 2009 | Sajiki, Sawauchi, Masuda, Tokoro, Iwamoto, Nakatani and Yamamoto | 799 | Japonya / Hokkaido | Ayrım yok | Yöresel ürünler tazeliği, lezzeti, fiyatı, güvenilir ve sağlıklı oluşu ve çevreye daha duyarlı üretilmesi gibi özellikleri nedeniyle tüketilmektedir. | (+) |

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| 2010 | Schneider ve Ceritoğlu | 400 | Türkiye / İstanbul | Coğrafi İşaretli Yöresel Gıda | Ürünün fiziksel ve fonksiyonel özelliklerini ifade eden içsel kalite değişkenleri tarafından açıklanan "Ürün Özellikleri ve Kalite Boyutu"nda tüketicilerin yöresel gıda ürünlerini diğer ürünlere göre daha sağlıklı, doğal, taze, kaliteli ve lezzetli algıladıkları görülmüştür. | (+) |
| 2013 | Knight | 877 | Kanada / Halifax | Ayrım yok | Tüketiciler yerel yiyecekleri daha taze, daha lezzetli, daha sağlıklı, daha güvenli ve daha az mesafede ulaşabildikleri ve doğal çevrenin korunması özellikleri sebebiyle tüketmektedir. | (+) |
| 2014 | Arsil, Li and Bruwer | 65 | Endonezya | Coğrafi İşaretli Yöresel Gıda | Yöresel gıdaların, ürün kalitesi, tüketici sağlığı ve güvenliği, yerel halkın refah düzeyini arttırmak, sosyal eşitliğe teşvik etmek gibi özellikleri tüketicilerin yöresel ürünleri tercih etme isteğini olumlu yönde etkilemektedir. | (+) |
| 2014 | Albayram, Mattas and Tsakiridou | 271 | İzmir | Coğrafi İşaretli Yöresel Gıda | Tüketicilerin yöresel gıda ürünlerine olan güveni yöresel olmayanlara göre daha fazladır ve tüketiciler Cİ etiketi bulunan yöresel ürünleri daha güvenli bulmaktadırlar. | (+) |
| 2014 | Taşdan, Albayrak, Gürer, Özer, Albayrak and Güldal | 260 | Türkiye / Ankara | Ayrım yok | Tüketicilerin büyük bölümü geleneksel gıdaları yöresel gıdalar, doğal gıdalar, eski zamanlardan beri tüketilen gıdalar gibi ifadelerle tanımlamaktadır. Tüketicilerin geleneksel gıdaları sağlıklı, kaliteli ve güvenilir bulduğu, daha az katkı maddesi | (+) |

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| | | | | | ve koruyucu içerdiğini, daha az işlenmiş olduğunu düşündüğü vurgulanmıştır. | |
| 2016 | Aprile, Vincenzina, Caputo, Rodolfo and Nayga Jr | 200 | İtalya/ Napoli | Ayrım yok | Tüketicilerin yerel gıdalarla ilişkilendirmek için yaygın olarak kullandığı kalite özellikleri tazelik, tat, besleyici, güvenli ve sağlıklı olmasıdır. | (+) |
| 2016 | Cömert and Özata | 250 | Türkiye | Ayrım yok | Katılımcıların restoran seçimlerini etkileyen en önemli unsur 'yöresel gıdaların daha lezzetli oluşu' ve 'restoranda hammaddenin yöreden temin edilmesi' ifadeleri olmuştur. Bu ifadeleri 'yöresel gıdalar daha tazedir' ve 'yöresel gıdalar daha güvenilirdir' takip etmektedir. Katılımcıların %89,6'sı yöresel gıdaları diğer ürünlere göre daha taze ve güvenilir bulmuşlardır. | (+) |
| 2016 | Kadanalı ve Dağdemir | 288 | Türkiye/ Erzurum | Coğrafi İşaretli Yöresel ürün | Ankete katılan tüketicilerin %32,3'ü yöresel gıdaları güvenilir bulduklarını, tüketicilerin %67,7'si ise coğrafi işaretli yöresel gıdaları güvenli bulmadıklarını ifade etmiştir. | (-) |
| 2019 | Ayaz ve Türkmen | 457 | Türkiye/ Karabük | Ayrım yok | Tüketicilerin %23'ünün yöresel gıdaları satın alma nedeni, bu ürünleri daha güvenli bulmalarıdır. Tüketicilerin daha büyük bir oranı (%77) ise yöresel gıdaları güvenli bulmadıklarını ifade | (-) |

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| | | | | | etmişlerdir. | |
| 2019 | Jensen, Christensen, Denver, Ditlevsen Lassen and Teuber | 1515 | Denmark, Frederiksberg | Coğrafi İşaret | Tüketiciler yerel gıdaları hem daha lezzetli hem daha taze, yüksek gıda güvenliği ve ayrıca azaltılmış çevresel etkiler gibi ürün ve süreç kalitesi açısından faydaları nedeniyle genellikle olumlu bir şekilde algılamaktadır. | (+) |
| 2019 | Sancak | 147 | Türkiye / Ankara | Coğrafi İşaret | Ankete katılan tüketicilerin %18'i coğrafi işaretli yöresel gıdaların diğer ürünlere göre daha sağlıklı ve güvenilir olduğunu düşündüklerini belirtmişlerdir. %82'si ise coğrafi işaretli yöresel ürünleri sağlıklı ve güvenilir bulmamaktadır. | (-) |
| 2020 | Sormaz, Özata ve Madenci | 510 | Türkiye / Tekirdağ | Ayrım yok | Katılımcılar, yöresel gıdaları daha lezzetli, daha sağlıklı, daha taze ve daha güvenilir bulmuştur. | (+) |

**5. SONUÇ VE ÖNERİLER**

Araştırma için taranan literatürde Türkiye'de yapılan çalışmaların ikisinde (Schneider ve Ceritoğlu, 2010: 29-52; Albayram vd, 2014: 237-251), yöresel gıdaların coğrafi işaretlerle ilişkilendirildiğinde gıda güvenliği algısının pozitif olduğu, coğrafi işaretlerle ilişkilendirilmeyen geriye kalan üç çalışmada (Taşdan vd., 2014: 363-386; Cömert ve Özata, 2016: 538-551 ; Sormaz vd., 2020: 538-551) buna rağmen, yöresel ürünler için gıda güvenliği algının pozitif olduğu, ancak diğer iki çalışmada ise (Kadanalı ve Dağdemir, 2016: 9-16; Ayaz ve Türkmen, 2019: 119-219; Sancak, 2019: 65), yöresel ürünler için gıda güvenliği algısının negatif belirlenmiştir.

Uluslararası literatür incelendiğinde, coğrafi işaretle bağlantı kuran dört çalışmada, (Loureiro and McCluskey, 2000: 309–320; Henseleit et al, 2007: 54-67; Pirog and Rasmussen, 2008: 294-1854; Arsil et al, 2014: 107-124), yöresel ürünler için gıda güvenliği algının pozitif olduğu, ancak diğer beş çalışmada ise (Darby et al, 2006: 23-26 ; Sajiki et al, 2009:1-8 ; Knight, 2013: 29-39 ; Aprile et al, 2016:19-42 ; Jensen et al, 2019: 255-265) coğrafi işaret, iyi tarım uygulamaları, ekolojik tarımla herhangi bir ilgi kurulmadığı halde yöresel ürünler için gıda güvenliği algısının pozitif olduğu bulunmuştur.

Araştırma sonuçları bir bütün olarak değerlendirildiğinde, yöresel gıda ürünlerine olan ilginin giderek arttığı, özellikle Cİ uygulamalarının gıda güvenliği algısı açısından yöresel ürünlere değer kattığı ifade edilebilir. Türkiye'de ve dünyada hemen hemen her yörenin özgün bir ürünü bulunmakta ve bu ürünler

kaynak gösterilen coğrafi bölge ile aynı isimle anılmaktadır. Yöresel ürünlerin güvenilirliği Cİ tarafından korunmakta ve tüketicilerin gıda güvenliği algılarını pozitif olarak etkilemektedir (Orhan, 2010: 243-254). Tarım ve gıda ürünlerinin Cİ amblemi ile satılması tüketicilerin algısında kalite ve güveni temsil ettiği için yüksek fiyatla satın alınmakta, böylece tüketiciler kaliteli ve güvenilir ürün tüketirken, üreticiler de önemli gelir artışı sağlayabilmektedir (Şahin ve Meral, 2012: 88-92).

Coğrafi işaret amblemlerinin yöresel ürün ambalajlarının üzerinde kullanılması tüketicilerin güvensizliğini ortadan kaldırabilecek önemli bir araçtır. Bu işaretin anlamının bilinmemesi, yöresel ürünler pazarlamasının büyük oranda kendi yöreleri ile sınırlandırılacağı anlamına gelmektedir. Ancak, yöresel ürünlerin satışı kendi bölgeleri ile sınırlı kalırsa bölgesel kalkınmaya yeterince katkı sağlayamayacaktır. Coğrafi işaretlerin anlamının bilinmesi bu sınırlamayı ortadan kaldıracak ve tüketicilere almış oldukları ürünün gerçek yöresi ile bağlantılı olduğunun garantisini verecek olan bir uygulamadır. Dolayısıyla, öncelikle tüketicilerin coğrafi işaretlerin anlamını öğrenmeleri yöresel ürünlerin kendi yörelerinden çıkarak daha geniş bir pazarda güvenle satılmalarının en önemli koşullarından biri olarak görülmelidir. Bu bağlamda, kamu spotları ya da kamu bütçeli tanıtım ve bilgilendirme projeleri geliştirilmesi, ayrıca coğrafi işarete sahip ya da ürünlerinin coğrafi işaretlerinin alınması ile ilgilenen kurum ve kuruluşların tüketicileri bu konuda bilinçlendirmeye yönelik reklam ve tanıtım kampanyaları yürütmeleri faydalı olabilecektir (Dokuzlu vd, 2019: 97-108).

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# Organic Livestock Production and Marketing

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**Abstract:** Organic agricultural production has been gaining importance in Turkey in recent years and has been an alternative to traditional agricultural production. Organic agriculture in Turkey is affected by the same general issues that affect Turkish agriculture. The most important problems of the Turkish agriculture can be identified as lack of organization and marketing followed by lack of education for farmers. In organic livestock production the most important issue should be considered as marketing and marketing research. In this study, marketing problems of organic agriculture and organic livestock production in Turkey is examined and some suggestions are made as a solution to these problems.

**Key Words:** organic agriculture, animal products, marketing of organic products

## 1.Introduction

The production system, which is defined as organic or ecological agriculture, is named differently, but is generally used synonymously. Ecological agriculture which comprises human and environmentally friendly production systems, aimed at reestablishing the natural balance that has disappeared as a result of erroneous practices in the ecological system. Ecological agriculture is a form of production not only just aimed at increasing the quantity but also raising the quality of the product.This type of production system recommends the use of synthetic chemicals, hormones and mineral fertilizers, as well as organic and green fertilizing, alternation, conservation of soil, increasing the resistance of plants, benefiting from natural enemies, suggesting the establishment of all these facilities in a closed system (İlter vd. 1996). The main purpose of organic farming is to produce all kinds of food, nutrients as well as sheltering and clothing materials in a way that will not damage the human health "Gündüz ve Kaya (2007)".

Organic foods include vegetable and animal food. Furthermore, in order for a product to be organic, it is necessary to make the necessary checks and certifications by the control and/or certification body authorized by the Ministry of Agriculture and Rural Affairs. Products which are also referred to natural products, village products, such as the term are not organic products.

Organic agriculture is increasingly widespread in all countries. But we can not say that it is too fast. Because a significant part of the world's population is starving, the majority of them are low income and income distribution can not improve in any country. As can be understood from this situation, the increase is directly relevant to the income of the people. At the 16th World Fruit and Vegetables Show (Fruit Logistica) in Hamburg between 7 and 9 February 2008, showed no increase in demand for organic products "Vural (2008)". The main reason for the increase in demand for organic products is that in the United States and in the European Union countries, consumers increasingly pay more attention to healthy consumption of food and protection of the environment. The volume of organic trade tends to grow fast, especially in Europe, North America and Japan. In order to comply with these developments in the European Community, the Ministry of Agriculture and Rural Affairs has begun to work on the preparation of the Regulation in cooperation with various institutions and organizations and the "Regulation on the Production of Plant and Animal Products with Ecological Methods" published and entered into force in the Official Gazette No. 22145 dated 24.12.1994. An amendment was made with the regulation published in the Official Gazette dated 29.06.1995 and numbered 22328 in order to prevent the problems encountered in practice in some of the provisions of this Regulation and to enforce the sanctions to be applied against defects and faults to be made during organic farming activities. Then, the "Regulation on the Principles and Implementation of Organic Agriculture" published and entered into force in the Official Gazette dated July 11, 2002 numbered 24812. The draft law on the production, consumption and inspection of organic products has been included in the government's urgent action plan and "Organic Farming Law" numbered 5262 has been published in Official Gazette

No. 25659 dated 03.12.2004. "Regulation on the Principles and Implementation of Organic Agriculture" prepared in accordance with this Law published and entered into force in the Official Gazette No. 25841 and dated 10.06. 2005.

## 2. Material and Method

In this study statistical data of official institutions were used in the preparation of the table. There are not many surveys of marketing of organic agricultural products in our country. For this reason, economic analyzes of the costs and revenues in marketing are not presented. It is clear that there is a need for marketing research in this area in many regions. After marketing services and marketing methods were presented in this study, it was tried to suggest necessary solutions to be taken in accordance with marketing approaches.

## 3. Production of organic products in Turkey

Altough Turkey has very favorable conditions in terms of organic agriculture production, its share in the world organic product market is very low. Turkey is also confronted with many production and marketing problems. Global environmental disasters in recent years and the 2008 economic crisis have created a potential to increase problems in the mid-term. For this reason, some measures are required for organic product marketing. Organic farming activities in Turkey has started with the European companies to demand organic farming products and to introduce this production technique in the mid-1980s. For this reason, in the first years the aim of organic farming was to meet the intended export demands and enter new markets.

However, the increasing interest in healthy products in our country has resulted in an increasing demand in the country, and this demand has become on a steady upward trend. It is normal for this increase in demand to continue with the condition that the prices of organic products are not too high compared to the market prices of traditional products. In addition, by following trends in world markets organic agricultural production needs to be shaped.

As of 2008, organic farming of 247 varieties was carried out by 15 thousand producers in 166.9 thousand hectares of area, 57.4 thousand hectares of natural collection area and 530 thousand tons of crops were obtained “İGEME (2009)”. While the amount of exports this year was 8.6 thousand tons, this export revenue generated 27 million $. However, the fact that most of the companies marketing organic products are located in western regions, especially in the Aegean, limits the widespread use of organic production in the North and East regions.

Turkey has two important advantages in exporting organic agricultural products. Besides foreign companies, there are domestic companies which are both manufacturing and exporting. The Export Promotion Center and some exporters' associations are engaged in supporting activities such as preparing brochures, articles and providing information “Nicely (2001)”. Most of the organic products produced in Turkey go to foreign markets. The most important foreign markets are the EU countries with an 80% share and the United States with a 15% share. In the EU countries, Germany is in the first place with a market share of 60%. Apart from those countries, northern European countries, Canada and Japan are remarkable markets. The number of companies importing and exporting in the field of organic agriculture in Turkey continues to increase and reached 167 in 2006.

The production and marketing of organic products is based on the "contract manufacturing" model, which is signed between the manufacturer and the buyer or seller of the organic product. In Turkey, the majority of this production is aimed at export demand. But in other countries consumption is very high in the domestic market.

## 4.Marketing of organic livestock products

The basis of marketing is; "Market intelligence gathering", "market segmentation and target market selection", "product planning and development", "pricing", "distribution" and "promotion". A concise

description of marketing is; "Marketing is the planning and implementation process for the development, pricing, promotion and dissemination of goods, services and ideas in order to realize marketing, personal and organizational exchanges (changes)" (Akat, 2008). Although Turkey has various advantages in organic agriculture and food production, it is seen that production in quantity, and quality can not meet the needs and desires of targeted markets. The best proof of this is that only 2% of the organic agricultural products produced in 2007 were exported. There is also an imbalance between product variety and product quantities.

Major market constraints of organic products; the lack of government support, the support of semi-organic products, the lack of infrastructure to improve quality, high certification costs, lack of market knowledge, lack of producer unity and economic scale are insufficient for the market.

**The main marketing services of organic animal products are as follows:** Market and marketing research - animal selection and production (production and marketing planning) - **transport** - cutting - **processing** - classification - packaging - labeling - **storage** - promotion - statistical data compilation - control - marketing accounting and financing - **sales**. The basic marketing operations are marked in bold.

In accordance with the Regulation on Storage and Carriage, it is also necessary to comply with the provisions of the Law on the Adoption of the Law on the Production, Consumption and Inspection of Foodstuffs No 5179 on Amendment of Decree Law and the Turkish Food Codex Regulation published in the Official Gazette dated 16/11/1997 and numbered 23172. The inspection and control of the storage and transport vehicles in organic farming activities is carried out by the Organic Agriculture Units and the Authorized Organization.

No product that does not have a "Product Certificate" indicating that it is an organic raw material and / or an organic processed product that has not been produced under the provisions of the Regulation can not be marketed as an organic product. An entrepreneur who sells every organic product has to certify each party sale with a product certificate. These products are sold with an explicit indication that they are organic products. Organic products must bear one of the logos specified in the regulation in the domestic market.

It is important to prioritize buyers as they determine the marketing strategies of producers in the marketing of agricultural products. As production scale grows, marketing opportunities are increasing. First of all, contracted production seems to be the most guaranteed marketing method. In addition to this, sales can be done using supermarket chains and hypermarkets, producer markets, e-commerce, tourist attractions, merchants, organic product processing facilities, exporters, cooperatives and producer associations as well as retail outlets.

Businesses must first have market knowledge to form marketing strategies. Although some organic crops (such as cotton, wheat, lentil, olive) have a higher organic production than other crops, they are not included in the exported crops. As it can be understood from this situation, market research in this sector is not given importance. Whereas businesses compete to acquire market information to compete, the needs and desires of target consumers have to determine and produce according to the results they have. **Growth in the market depends on the size and maturity of the market. The key factor in organic product marketing is QUALITY.**

An important part of organic production in Turkey consists of main products. Product diversity and product segments (food product diversity) should be increased to grow the market. Products with higher added value (such as animal products) should be preferred. It will be useful to follow appropriate policies for niche marketing approach. A "**market development strategy**" should be followed for existing products entering the period of maturity or decline in product life cycle.

Generated exports are usually carried out according to demand from the outside market, and a specific market segment or sections are not selected as targets in advance. At the end of the external market surveys to be carried out, "**target market selection**" strategies appropriate to business resources should be adopted. This will ensure that business resources will be used more efficiently because there will be no focus on one or more market segments.

Research should be conducted on the following marketing strategies in competitive countries. For this reason, competition analyzes should be carried out with the support of private and state institutions and the enterprises should determine "price and distribution strategies" according to the results. A complete and reliable database on organic agriculture in Turkey should be established. With high quality and value added products, market segments of high income groups should be targeted. This will increase the likelihood of monitoring the **"high price strategy**".

There are very few publicity efforts in Turkey's organic agriculture market. Therefore, attention should be given to promotional activities. Particularly should be participated regularly and effectively in foreign fairs "Vural (2009)". Consumer education and awareness-raising activities should be performed primarily for the inadequacy of domestic demand. For this, businesses should actively participate in various social projects. Most importantly, they should become a trademark in national and international markets.

The most important problems of agriculture in our country are organizing and marketing. For this reason, firstly organizing farmers, organizing cooperatives or associations is an important first step for marketing. Lack of organizing is also the main cause of the retardation experienced in animal husbandry. Thus, buyers will have a bargaining advantage over them. It is essential to solve the above marketing problems and to implement the proposed solution proposals. A stand-alone business can not always be a brand, and it can not easily meet the huge cost of marketing costs that will make it easier to compete.

Exports in organic production and marketing are carried out in different ways:

1. The production project is carried out by a company located in the country and products are processed, packaged and exported by this company.
2. The production project is established by a foreign organization from abroad, the products obtained are handled by the contracted local company as a fason and the products are exported to the project owner company, the processing company and the export company.
3. The production project is established by a foreign organization from abroad and the products obtained are processed in facilities established by the foreign firm either in Turkey alone or jointly, or exported to the project company by the processing company or exporting company.

In a small number of applications, producers also certify their products by contacting the control and certification firm and sell them in the free market. An important problem encountered in Turkey's agricultural exports is that domestic companies enter into competition with each other. It is necessary for private companies that make organic production not to enter wrong competition with each other either in the domestic trade or in the foreign trade only in terms of breaking the price. This issue is especially important for farmers. No wrong competition should be created between producers. For this, joint production and marketing policies must be established nationwide by the union supra-institutions.

We can list some important operations that must be done in domestic and foreign marketing as; being a brand, having a website, participating in fairs, preparing a catalog, conducting a good manager, market and marketing research, developing good packaging, developing product segments, getting a standard document.

In organic production, the relationship between cost and sales price is important. The reason why the cost is relatively high compared to the conventional products; more need for human labor in organic production, lower efficiency, loss of product and revenue, cost of control and organization. For this reason, it is necessary to pay attention to the marketing of the products at the level that will bring profit to the producers.

Regulations in the production and marketing process in organic production are important. Binding to them is vital to the success of marketing. These regulations need to be audited by internationally recognized control and certification bodies. 13 internationally recognized control and certification firms operate in Turkey. These companies are obliged to control the activities in the field of organic agriculture“Koç ve Babadoğan (2007)”. When we look at the data of organic agricultural products processed in Turkey, it is seen that domestic consumption, which was 4 990 tons in 2002, increased to

66 250 tons in 2006. The main reasons for increased consumption in the domestic market are as follows"Ataseven ve Güneş (2008)".

- Consumers in the domestic market are increasingly willing to consume healthy, nutritious and delicious food,
- The increase of interest in the number of consumers in these products,
- Thanks to the developing technology and communication possibilities, the organic products are recognized by more and more consumers and therefore become widespread.

Unregistered economy is causing great damage to agriculture and food marketing. The end result is that the competitive economy is not functioning. The state must take necessary measures to ensure that the existence of the unregistered economy is not maintained in the organic product market. Because this situation causes loss of income in the enterprises and therefore loss of production. In addition, consumers can consume different types of products as organic products, which can lead to confounding confidence in the organic products and pose a great risk to the future of organic products.

Considering that today's low cost and high quality production is a competitive advantage in the framework of World Trade Organization rules, it is necessary to conduct market research in organic commodity trade, to identify product groups with development potential and to follow advanced marketing strategies. In the development of this production, education has great proposition

The increase in the number of trainees in this field is of great importance in terms of marketing and marketing strategies. It is necessary to create and develop a research infrastructure for the creation of the educational process and consciousness as well as the production of the consumer, the up-to-date information network maintenance, the creation of target markets, and the utilization of the advantages of these areas (Vural, 2014). It is important to monitor technological developments to succeed in international markets.

## 5. Conclusion

Production of organic agricultural products, which started with a contracted farming system in Turkey, has begun to be supported by production methods realized by independent projects after the endeavors of demand creation efforts like traditional products. However, in spite of the current diversity, production quantities are far from enough for domestic and foreign markets. For this reason, production needs to be increased. However, there are still unresolved marketing issues. Manufacturers need to develop their marketing policies and marketing strategies for domestic and international sales. Different marketing strategies may need to be implemented for domestic and foreign markets. There is a need for the state to take measures in terms of the proper operation of markets, as well as to provide training and financing support to producers to assist in the production, infrastructure and marketing.

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# Türkiye'de Tohumculuk Sektörünün Gelişimi

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**Özet:** Ülkemizde tohumculuk sektörünün geleceğe dönük ümit verici olan ulaştığı seviye ve gelişim dikkate alındığında yakalanan ivmenin korunması ve ileriye götürülmesi zorunluluğu, içinde bulunduğumuz bu süreçte tarım sektörünün sahip olduğu ve giderek artan stratejik önemi dikkate alındığında daha da önem kazanmıştır. Tohum fiyatlarındaki artışını, kullanılan ıslah yöntemlerine, firmaların tohum eldesi için harcadıkları çıktılara bağlı olarak değişmektedir. En önemli unsurlardan biri rekabettir. Bundan sonra izlenecek hedef ve stratejiler ise; ülkemizde AB ile uyumlu, çağdaş ve günümüzün gereklerine uygun olarak yapılanmış, uluslararası rekabete açık, köklü ve gelişmiş kurulların mevcut olduğu tohumculuk sektörünü geliştirmektir. Tohumculuk sektörü bu amaçla sektör olarak bir bütünlük içinde geliştirilmeli ve desteklenmelidir. 1982 ile 1985 yılları arasında bir dizi yasal düzenleme ile tohumculuk faaliyetleri serbest bırakıldıktan sonra ülkemiz tohumculuk endüstrisi hızla büyüyerek, tohumculuk sektörünün 2017 yılı ticaret hacmi 1,4 milyar USD'ye ulaşmıştır. (TUİK 2018) Hükümet politikalarına bağlı olarak, tohumculuk pazarımızda önümüzdeki yıllarda özellikle yem bitkileri ve serin iklim tahıllarında artışlar görülecektir. Türkiye tohumculuk pazarını oluşturan en önemli ürün bileşenleri tahıllar, endüstri ve yem bitkileri ile sebzelerdir.

## 1. Giriş

Tohumluk mübadelesi tarımın tarihi kadar eski olmasına rağmen ticari amaçlı tohumluk alışverişinin geçmişi hayli yenidir ve son birkaç yüzyıla dayanmaktadır. Yüzyıllardır mahsulden ayrılan tohumluklar kullanılıyorken, bu uygulama ABD ve bazı AB ülkelerinde 19 uncu yüzyıldan itibaren çoğu ürünlerde giderek azalmış ve tohumluk ticari nitelikli bir özellik kazanmaya başlamıştır. 20'nci yüzyılın ilk çeyreğinden sonra gelişmiş ülkelerde özel sektör girişimciliğine dayalı tohumculuk kuruluşları yaygınlaşmış ve de özellikle son çeyreğinde pek çok ülke ve ürün grubunda kamu, tohumluk üretim ve dağıtım sistemlerinden çekilerek yerini özel kuruluşlara bırakmıştır. Bunu izleyen benzer bir eğilim çeşit geliştirme alanında gözlemlenmiş ve 1970'lerden sonra özel tohumculuk kuruluşları Ar-ge konusunda önemli yatırımlar yapmaya başlamıştır. Günümüzde özellikle gelişmiş ülkelerde yeni bitki çeşitlerinin geliştirilmesi ve biyolojik yenilikler özel tohumculuk şirketleri tarafından sağlanmaktadır. Dünya tohumculuğunun gelişmesinde bilimsel ve teknolojik gelişmeler daima önemli ve belirleyici olmuştur. 19" uncu yüzyılda temelleri atılan genetik bilimi, sistematik bitki ıslahı ve çeşit geliştirme faaliyetlerine giden yolu açmıştır. 20" nci yüzyıl başında uygulamaya konulan hibrid (melez) teknolojisi ise özel sektör girişimciliği ve ticari tohumculuk arasındaki en etkili ve güçlü köprülerden birini kurmuştur. 20' nci yüzyıl sonunda ise modern biyoteknoloji ve rekombinant DNA teknolojileri ile tohumculuk yeni ve çok güçlü bir ivme kazanmıştır. Günümüzde tohumluk endüstrisi artan nüfusun gıda güvenliğinin sağlanması açısından tartışılmaz ve vazgeçilmez bir yenilik ve verimlilik kaynağı haline gelmiştir. ( Tigem 2011 Tohumculuk Sektör Raporu, Sayfa 6 ) Ülkemiz tarımında planlı ve sistemli ilk tohumculuk faaliyetleri Cumhuriyet ile birlikte başlamıştır. Ancak 1960"lı yıllara kadar bu konuda sağlanan gelişmeler daha ziyade bazı türlerde yürütülen çeşit geliştirme çabaları ve sınırlı miktarda tohumluk üretiminden 10 öteye gidememiştir. Bir ülkede tohumculuk endüstrisinin oluşum ve gelişiminde bu hususdaki yasal çerçeve ile hukuki ve idari düzenlemelerin rolü büyüktür. Tohumluk üretimi, özel teşebbüs, serbest ticaret, araştırma, teknoloji transferi ve ıslahçı hakları gibi konularda açık seçik, objektif kurallar getiren ve çağın ihtiyaçlarına cevap verebilen düzenlemeler tohumculuk endüstrisini olumlu yönde etkilemektedir. Tohumluk üretim ve ticareti ülkemizde uzun yıllar yasal bir çerçeveden yoksun olarak devam etmiştir. Bir ülkede tohumculuk endüstrisinin oluşum ve gelişiminde bu hususdaki yasal çerçeve ile hukuki ve idari düzenlemelerin rolü büyüktür. Türkiye, Cumhuriyet ile birlikte tarihindeki ilk planlı ve sistemli denilebilecek olan tohumculuk faaliyetlerine başlamıştır. 1923 ile 1960 yılları arasında daha plansız bir tedarik hüküm sürmüştür. Türkiye'de ilk bitki ıslah çalışmaları ve kaliteli tohumluk üretimleri 1926 yılında tohum ıslah istasyonlarının kuruluşu ile başlamış, ancak 1950"lere gelinceye kadar yalnızca serin iklim tahıllarına odaklanan çeşit geliştirme ve tohumluk üretim çalışmaları ile sınırlı kalmıştır. İzleyen yıllarda, kamu araştırma programlarına hem daha çok sayıda tür dahil edilmiş, hem de üretilen tohumlukların miktarı artmıştır. Bu yıllar arasındaki faaliyetlerin yalnızca tohum üretimi ile sınırlı kalması bir yenilenme

ihtiyacını doğurmuş ve 1963 yılında 308 sayılı Tohumların Kontrol ve Sertifikasyonu Hakkındaki Kanun yürürlüğe girmiştir. Türkiye aynı yıl ISTA" ya, 1966 yılında da OECD sertifikasyon sistemine üye olmuştur. (Tigem 2011 Tohumculuk Sektör Raporu, s. 6 ) 1984 yılında tohumculuk sektörünün libere edilmesi sektör için önemli bir viraj olmuştur. Özel sektör tohumculuk şirketlerinin özellikle endüstri bitkileri ve sebze tohumculuğundaki başarılı sonuçları üreticiler tarafından beğeni ile karşılanmıştır. Özellikle hastalıklara dayanım ve verim farkları biranda yeni çeşitlerin tüm ülkede aranmasına neden olmuştur. 1989 yılında bazı türlerde AB ile eşdeğerlik statüsü alındıktan sonra 2001 yılında Ankara'da kurulmuş olan TTSM, ISTA tarafından akredite laboratuvar olarak kabul edilmiştir. Bazı üçgüller hariç, Türkiye halen OECD tarla ve yem bitkileri tohumluk programlarının tümüne iştirak etmektedir. 2007 yılında ise Türkiye bazı sebze tohumluklarında OECD sistemine dahil olmuş ve AB eşdeğerliği 2012 yılına kadar uzatılmıştır. Ülkemiz aynı zamanda Uluslararası ISF, UPOV gibi tohumculukla ilgili kuruluşlara üyedir. ( TTSM, Ankara) Tohumculuk hizmetleri ülkemizde Gıda, Tarım ve Hayvancılık Bakanlığı'na bağlı kuruluşlar tarafından farklı yetki alanları çerçevesinde yürütülmekte ve kontrol edilmektedir. 11 Tohumculuk politikalarının oluşturulması, ülkesel üretim, tedarik ve dağıtım programlarının yapılması, tescil ve üretim izinleri, tohumculuk danışma ve ihtisas komisyonları gibi hususlar BÜGEM tarafından incelenirken; her türlü hastalık ve zararlı kontrolleri, analizleri KORGEM, çeşit geliştirme ve her türlü araştırma faaliyetleri TAPGM , hayvansal ve tarımsal üretimler de TİGEM tarafından yapılmaktadır (SARAÇOĞLU, 2013).

## 2. Tohumculuğun Mevcut Durumu

Ülkemizde araştırma ve geliştirme çalışmaları uzun yıllardır sürdürülmektedir. İlk zamanlarda sadece Bakanlığa bağlı enstitüler tarafından çeşit geliştirme faaliyetleri yapılmışken, bu çalışmaları özel tohumculuk şirketleri büyük bir başarı ile sürdürmüşlerdir. Bu çalışmalar sonucunda birçok bitki türünde yeni çeşitler geliştirilmiştir. Buğday ve arpa gibi kullanım miktarı bakımından ekonomik öneme sahip ürünlerde ıslah çalışmaları Cumhuriyet'in kuruluşundan sonra hız kazanmış, bu alanda çeşit geliştirme yanında yetiştirme teknikleri konusunda da önemli sonuçlar elde edilmiştir. Geliştirilen çeşitlerin birçoğu çiftçimiz tarafından hala kullanılmaktadır. Patates, hibrid sebzeler ve yem bitkilerinde ise çeşit geliştirme çalışmaları yetersiz kalmış, tedarik ihtiyacı ithalat ile çözülmeye çalışılmıştır; diğer endüstri bitkileri ürünlerde ise büyük başarı elde edilmiştir.

5553 Sayılı Tohumculuk Kanunu'nun Sektöre Getirdiği Yenilikler:

• Tohumluklara kalite güvencesi,

• Tohumlukların uluslararası normlarda kayıt, tescil ve sertifikasyonu,

• Tohumluk üretim ve ticareti ile ilgili düzenlemeleri yapmayı,

• Bakanlıkça gerekli görülen hallerde istisnai uygulama ve yetki devri,

• Tohumculuk sektörünün yapılandırılması ve geliştirilmesi.

Tohumculuk faaliyetlerinin yasal dayanağını teşkil eden diğer önemli kanunlar:

• 2004 yılında çıkartılan 5042 Sayılı Yeni Bitki Çeşitlerine Ait Islahçı Haklarının Korunmasına İlişkin Kanun,

• 2010 yılında çıkarılan 5977 Sayılı Biyogüvenlik Kanunu,

• 2010 yılında çıkartılan 5996 Sayılı Veteriner Hizmetleri, Bitki Sağlığı, Gıda ve Yem Kanunları ile ve bu kanunlara göre çıkarılan yönetmelikler ile sektörün mevzuat altyapısı oluşturulmuştur.

Türkiye, tohumluk üretimi konusunda özellikle son yıllarda çok önemli bir noktaya gelmiştir. Tarla bitkileri tohumluklarının (özellikle H.Ayçiçeği ve H.Mısır ) ve sebze bitkileri tohumluklarının ( özellikle H.Domates, H.Biber, H.Hıyar ) sahip olduğu hibridlik oranı, safiyet, vb ürünün kalitesi ile ilgili olumlu gelişmeler nedeniyle tüm Dünya'da özellikle aranan ülke pozisyonuna gelmiştir. Ülkemizin sahip olduğu klima ve iş gücünün mükemmel birleşimi sonucu bu başarı elde edilmiştir. İhracat üretimlerinin her geçen gün artması; buradan elde edilen döviz girdisini etkilemektedir. Bu sayede ithalat ve ihracat arasındaki fark her geçen gün kapanmaktadır. Ancak ithalat rakamının azaltılması hiçbir zaman kapıları 13 kapatmak anlamında olmamalıdır. Bu kısa vadede yapılacağı sanılan faydadan daha çok zarar verecektir. Buğday arpa gibi kendine döllenen bitkilerin sertifikalı tohumluklarının üretimi nispeten her

geçen yıl artmaktadır. Ancak fazla olmasına rağmen bu ürünlerin sertifikalı tohumluklarına çiftçiden gelen talep hala gerçek kullanım oranına göre çok düşüktür. Ülkemizde tohumlukların pazarlaması özellikler son yıllarda daha da işlevsel hale gelmiştir. Özel firmalar, kurum ve kuruluşlar üretmiş oldukları tohumluklarını kendi özel bayileri veya bölge distrübütörleri yanı sıra Pankobirlik, Tarım Kredi Kooperatifleri ve Tarım Satış Kooperatifleri kanallarıyla pazarlamaktadır. Araştırma ve geliştirme alanında karşılaşılan problemlerin başında tescil edilen yeni çeşitlerin çiftçiye intikalindeki güçlükler gelmektedir. Bunun yanında, uzun yıllar süren araştırma çalışmaları sonucunda elde edilen yetiştirme teknikleri ile ilgili bilgilerin de çiftçiye ulaştırılma oranı oldukça düşüktür. Geliştirilen yeni çeşitlerin tanıtımının yapılmasında ve pazara sunulmasında problemlerle karşılaşılmaktadır. çekinilmemektedir.

## 3. Dünya Tohumculuk Endüstrisinin Gelişimi

Tarımın keşfi insanlık tarihindeki en önemli dönemeçlerden biridir ve tohum mübadelesi de bu tarihe eşlik etmiştir. Ancak ticari amaçlı tohum alışverişi son birkaç yüzyıla dayanmaktadır. Yüzyıllardır mahsulden ayrılan ürün tohum olarak kullanılıyorken, 19 uncu yüzyıldan itibaren ABD ve bazı AB ülkelerinde nitelikli tohum üretimi ve kullanımına başlanılarak, tohum ticari bir değer kazanmıştır. 20 nci yüzyılın ilk çeyreğinden sonra gelişmiş ülkelerde tohumculuk kuruluşları yaygınlaşmış ve 1970'lerden sonra Ar-Ge konusunda önemli yatırımlar yapılmaya başlanılmıştır. Özellikle gelişmiş ülkelerde verim ve kalite yönüyle öne çıkan yeni bitki çeşitleri geliştirilmiştir. Dünya tohumculuğunun gelişmesinde bilimsel ve teknolojik gelişmeler daima önemli ve belirleyici olmuştur. 19 uncu yüzyılda temelleri atılan genetik bilimi, sistematik bitki ıslahı ve çeşit geliştirme faaliyetlerine giden yolu açmıştır.

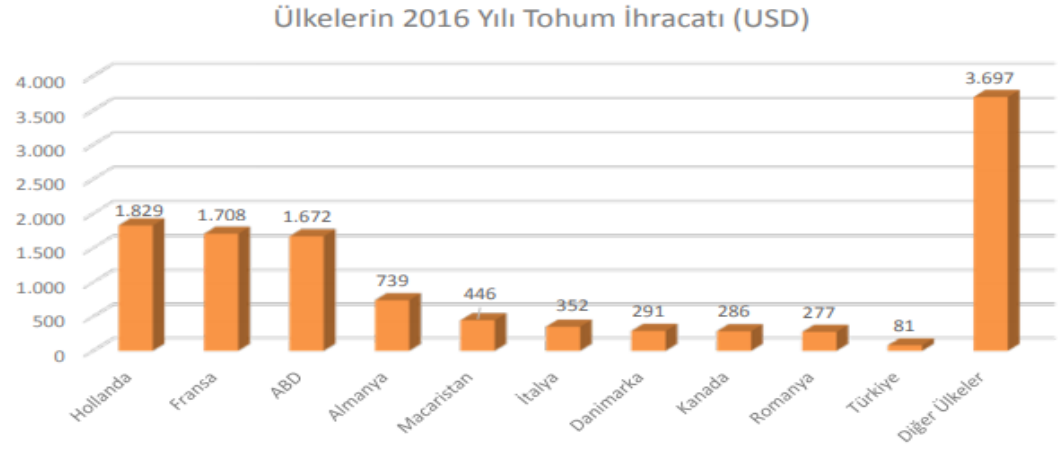
### 3.1.Dünya Tohum Pazarı

Tarımsal üretimin bir girdisi olarak tohum ticareti 1970'lere kadar dünya ticaretinde küçük bir pay almıştır. Bu dönemde bir yandan ülkelerin çoğunun tohum konusunu stratejik ve milli bir konu olarak değerlendirmesi, diğer yandan tohumculuk endüstrisinin o zamanki uluslararası organizasyon yapısının zayıflığı, karantina konularına farklı yaklaşımları, Ar-Ge imkanları, deniz aşırı üretim kapasitesi ile uluslararası dağıtım, pazarlama vasıtalarının yetersizliği ve ülkesel tohumculuk düzenlemelerinin farklılığı tohum dış ticaretini kısıtlayıcı unsurlar olarak öne çıkmıştır.

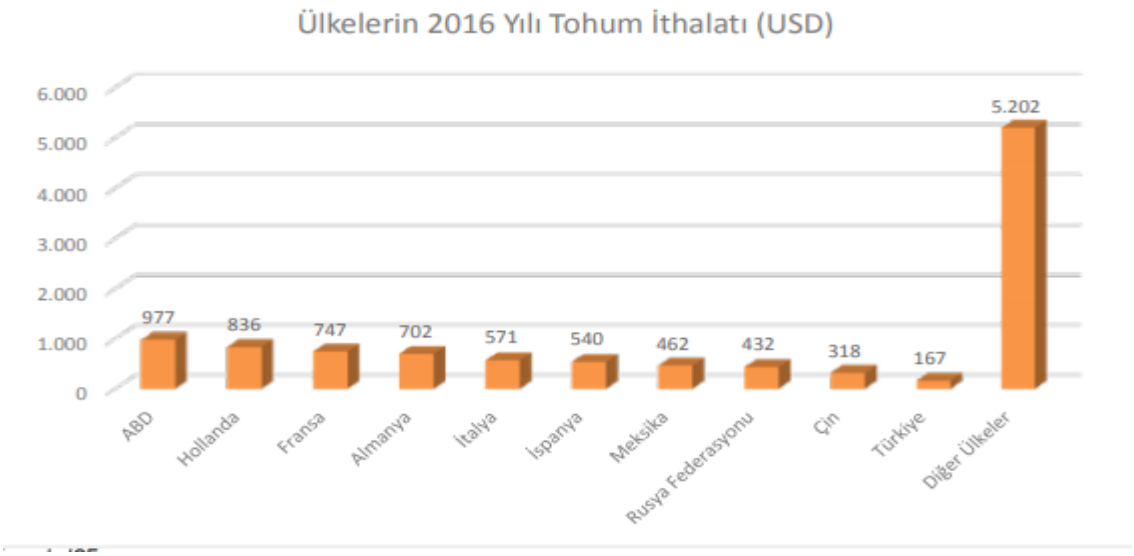
### 3.2.Uluslararası Tohum Ticareti

Uluslararası tohum ticareti, tohumculuk sektöründe sağlanan gelişmelere paralel olarak son çeyrek yüzyılda önemli artışlar göstermiştir. Bu artışta, farklı ekolojilere uygun yeni çeşitler, tohum üretiminde ihtisaslaşma ve tohumculuk teknolojisinde sağlanan gelişmeler gibi öğeler etkili olmuştur. 1970–2016 yılları arasında uluslararası tohum ticareti 12 kat artmıştır.

Çizelge 1:Ülkelerin tohum ihracatı ve ithalatı




Kaynak: ISF




Kaynak: ISF. https://www.worldseed.org/.

## 4.Türkiye'de Tohumculuk Sektörü

Türkiye, kıtaları birbirine bağlayan stratejik konumu, genç nüfusu, bereketli toprakları ve eşsiz iklimi ile önemli bir tarım potansiyeline sahiptir. Ülkemizde tarım sektörü, insanların beslenmesi, istihdamı, ekonomiye katkısı ve ihracat potansiyeli bakımından büyük önem taşımaktadır. Türkiye'de ilk bitki ıslah çalışmaları ve kaliteli tohum üretimleri 1926 yılında tohum ıslah istasyonlarının kuruluşu ile başlamış ancak, 1950'lere gelinceye kadar yalnızca serin iklim tahıllarına odaklanan çeşit geliştirme ve tohum üretim çalışmaları ile sınırlı kalmıştır. İzleyen yıllarda kamu araştırma programlarına hem daha çok sayıda tohum türü ve çeşidi dahil edilmiş hem de üretilen tohumların miktarı artırılmıştır. Türkiye'de, 1980'li yılların başlarında tohumculuk sektörü ile ilgili temel politikalarda önemli değişiklikler yapılarak, kamu esaslı bir tohum tedarik sisteminden özel girişimi esas alan bir tohum endüstrisi modeline geçilmiştir. Ekonominin serbestleştirilmesi ve tohumluğun dış ticaretteki kısıtlamalarının kaldırılması sonucunda özel sektör yatırımlarının önü açılmış, yerli veya yabancı pek çok tohumculuk firması ya doğrudan ya da ortaklıklar yoluyla sektöre girmiştir. Sonuçta özel tohumculuk firmalarının sayısı, kapasitesi ve faaliyetleri kısa sürede hızla artarak ulusal tohumculuk endüstrisi özel sektör ağırlıklı bir konuma gelmiştir. Türkiye tohum tedarik sistemi içerisinde kamu tohumculuk kuruluşları halihazırda buğday, arpa ve bazı yem bitkileri gibi kendine döllenen bitkilere odaklanan sınırlı bir üretim ve dağıtım faaliyeti içerisindedir. Son yıllar itibariyle, özel tohumculuk şirketleri bu türlerde de pazar paylarını önemli ölçüde arttırmaya başlamışlardır. Türkiye'de Gıda Tarım ve Hayvancılık Bakanlığı tarafından 2018 yılı itibariyle yetkilendirilmiş 695 tohumculuk kuruluşu bulunmaktadır. Büyük bir kısmını özel sektör firmalarının oluşturduğu bu kuruluşlar arasında sermaye yapısı, istihdam durumu, üretim ve işleme kapasitesi, çeşit geliştirme ve temini, ürün yelpazesi ve endüstriyel entegrasyon derecesi bakımından önemli farklılıklar bulunmaktadır. Türkiye çok uzun zamandan beri küresel ve bölgesel tohumculuk organizasyonları ile yakın temas ve etkileşim çerisindedir. Ülkemiz 1963 yılında ISTA (Uluslararası Tohum Test Birliği), 1968 yılında ise (tarla bitkileri ve yem bitkileri kategorilerinde olmak üzere) OECD (Kalkınma ve İşbirliği Teşkilatı) sertifikasyon sistemine dahil olmuştur. Cumhuriyetle birlikte başlayan tohumculuk çalışmaları son yıllarda yeni bir boyut kazanmıştır. Cumhuriyetin kuruluşundan 2004 yılına kadar yaşanan gelişmeler sonucunda tohumculukla ilgili mevzuat ihtiyaçlara cevap veremediği için ülkemizde 2004 yılında "5042 sayılı Yeni Bitki Çeşitlerine Ait Islahçı Haklarının Korunmasına İlişkin Kanun" ve 2006 yılında "5553 sayılı Tohumculuk Kanunu" kabul edilerek, sektörün işleyişine yönelik olarak hukuksal alt yapıda bir takım düzenlemeler yapılmasıyla bu kanunla ilgili olarak kurulan alt birlikler tarımsal anlamda güçlü kurumlar olarak çalışmalar yapmaktadır. Bu kanunlarla, bitkisel üretimde verimliliği ve kaliteyi artırmak, tohumlara kalite güvencesi sağlamak, tohum ticaretini ve sektörü yeniden düzenlemek hedeflenmiştir. Böylece, ilk kez sertifikalı tohum üreticilerine destek verilmeye başlanmış, tarla bitkileri, bağ-bahçe bitkileri, orman

bitki türleri ve diğer bitki türleri çoğaltım materyaline ait çeşitlerin ve genetik kaynakların kayıt altına alınması, tohumlarının üretimi, sertifikasyonu, ticareti, piyasa denetimi ve kurumsal yapılanmaları ile ilgili düzenlemelerin yapılması sağlanmıştır.

## 5.Türkiye Tohum Ticareti

Türkiye'de özel sektör tohumculuğu oldukça yenidir. 1980 yılından önce ülkede yalnızca iki özel şirket faaliyet göstermekte ve bunların toplam sertifikalı tohum ticareti içerisindeki payları %2 civarında iken her türlü tohum üretim ve dağıtımı kamu kuruluşları tarafından yapılmakta ve fiyatlar Devlet tarafından belirlenmekteydi. Üreticiler tarafından kullanılan çoğu türlerde mahsulden tohum kullanımı yaygındı ve hibrit tohum kullanımı bilinmiyordu. Kamu tarafından hemen hemen bedelsiz dağıtılan ticari tohumların genetik kaliteleri genelde çok düşüktü ve "tohum ticareti hacmi" yok denecek kadar azdı. 1982 ile 1985 yılları arasında bir dizi yasal düzenleme ile tohumculuk faaliyetleri serbest bırakıldıktan sonra ülkemiz tohumculuk endüstrisi hızla büyüyerek, tohumculuk sektörünün 2017 yılı ticaret hacmi 1,4 milyar USD'ye ulaşmıştır. (TUİK 2018) Hükümet politikalarına bağlı olarak, tohumculuk pazarımızda önümüzdeki yıllarda özellikle yem bitkileri ve serin iklim tahıllarında artışlar görülecektir. Türkiye tohumculuk pazarını oluşturan en önemli ürün bileşenleri tahıllar, endüstri ve yem bitkileri ile sebzelerdir.

## 6.Türkiye Tohum Dış Ticareti

Türkiye'de 1980 öncesinde hem ithalatta hem de ihracatta son derece sınırlı bir tohum dış ticareti söz konusu olmuştur. Toplam bir kaç milyon dolarlık bir hacme sahip olan tohum ithalatı büyük ölçüde kamu kuruluşları tarafından yapılmıştır. Gıda Tarım ve Hayvancılık Bakanlığı verilerine göre Türkiye'nin 2002 yılında tohum ithalatı 55,3 milyon USD iken 2017 yılında 185,2 milyon USD'ye ulaşmıştır. 2017 yılı tohum ithalat değerinin en önemli kalemini %59 ile sebze tohumu oluştururken, bunu %8 ile hibrit mısır, %7 ile yem bitkileri, %6 ile ayçiçeği, %6 ile çim ve çayırotu izlemekte ve kalan %14'ünü ise diğer çeşitler oluşturmaktadır. Mısır tohumunun ithalatı, ağırlıklı olarak hibrit tohum üretiminin yurt içerisinde yapılabilmesi için ihtiyaç duyulan elit ve anaç kademedeki tohumları kapsamaktadır. Türkiye'de 1980 öncesinde tohum ihracatı neredeyse yok denilecek kadar azdır. Ancak, zaman içerisinde tohum ihracat kapasitesi önemli bir gelişme göstermiştir. TİGEM işletmelerinde özel sektör firmaları ile yapılan ortak tohum üretimleri buna büyük katkı sağlamaktadır. 2002 yılında 17,3 milyon USD olan tohum ihracatı 2017 yılında 136,2 milyon USD'ye çıkarak yaklaşık 8 kat artış göstermiştir. 2017 yılı tohum ihracat değerinin en önemli kalemini %56 ile ayçiçeği tohumu oluştururken, bunu %17 ile hibrit mısır, %14 ile sebze bitkileri ve kalan %13'ünü ise diğer çeşitler oluşturmaktadır. Görüldüğü gibi toplam ihracatın yaklaşık % 86'sı tarla, % 14'ü ise sebze bitkisi türlerine aittir. Tarla bitkilerinde başlıca ihracat kalemleri ayçiçeği, mısır ve pamuk olup ihracatın yapıldığı başlıca ülkeler ise Almanya, İngiltere, BAE, Irak, , ABD, ve İtalya'dır. Son yıllarda ülkemizde üretilen patates, yem bitkileri, çayırotu, mısır, ayçiçeği ve pamuk sertifikalı tohumları yüksek kaliteye sahip olması nedeniyle dış pazarda her yıl artan oranda rağbet görmekte, bunun yanında domates, biber, salatalık, kavun, karpuz olarak sebze tohumluğu ihracatı da artmaktadır.

Tablo 1. Türkiye'nin İthal Ettiği Tohum Miktarı (ton) ve Değerleri (1.000 USD)

| ÜRÜNLER | İTHALAT | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | MİKTARI (TON) | | | | | PARASAL DEĞERİ (000 $) | | | | |
| | 2002 | 2012 | 2015 | 2016 | 2017 | 2002 | 2012 | 2015 | 2016 | 2017 |
| BUĞDAY | 129 | 612 | 756 | 1.193 | 589 | 46 | 726 | 809 | 981 | 619 |
| ARPA | 0 | 93 | 106 | 106 | 317 | 0 | 114 | 141 | 175 | 239 |
| MISIR | 784 | 2.667 | 1.938 | 3.535 | 3.004 | 2.442 | 18.165 | 12.363 | 17.787 | 14.001 |
| ÇELTİK | 0 | 1 | 1.276 | 47 | 205 | 0 | 1 | 537 | 69 | 233 |
| PAMUK | 166 | 60 | 31 | 8 | 38 | 241 | 190 | 126 | 40 | 145 |
| AYÇİÇEĞİ | 177 | 157 | 571 | 1.292 | 752 | 2.190 | 5.299 | 5.636 | 13.260 | 12.032 |
| KANOLA | 50 | 152 | 87 | 130 | 52 | 0 | 1.109 | 687 | 1.102 | 406 |
| SOYA | 6 | 0 | 0 | 0 | 0,2 | 4 | 2 | 2 | 4 | 2,1 |
| YERFISTIĞI | 0 | 0 | 0 | 0 | 0,02 | 0 | 0 | 0 | 0 | 10 |
| PATATES | 14.147 | 18.997 | 38.440 | 26.386 | 16.255 | 6.826 | 14.822 | 24.162 | 19.286 | 10.857 |
| ŞEKER PANCARI | 86 | 159 | 622 | 772 | 409 | 0 | 5.146 | 13.928 | 9.451 | 8.445 |
| **YEM BİTKİLERİ** | **403** | **2.763** | **4.134** | **6.387** | **9.028** | **426** | **9.880** | **8.577** | **11.111** | **13.474** |
| **ÇİM VE ÇAYIROTU** | **2.131** | **3.848** | **4.198** | **4.765** | **5.818** | **3.047** | **8.464** | **8.705** | **9.572** | **11.607** |
| **SEBZE BİTKİLERİ** | **1.148** | **1.223** | **857** | **1.057** | **972** | **40.070** | **128.217** | **115.162** | **111.380** | **108.730** |
| **DİĞERLERİ** | **0** | 2.429 | 3.570 | 3.813 | 1.854 | **0** | 5.513 | 11.346 | 7.911 | 4.452 |
| **GENEL TOPLAM** | **19.227** | **33.160** | **56.585** | **49.491** | **39.294** | **55.292** | **197.649** | **202.181** | **202.127** | **185.252** |

*Kaynak: GTHB*

Tablo 2. Türkiye'nin İhraç Ettiği Tohum Miktarı (ton) ve Değerleri (1.000 USD)

| ÜRÜNLER | İHRACAT | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | MİKTARI (TON) | | | | | PARASAL DEĞERİ (000 $) | | | | |
| | 2002 | 2012 | 2015 | 2016 | 2017 | 2002 | 2012 | 2015 | 2016 | 2017 |
| BUĞDAY | 20 | 9.768 | 964 | 19.800 | 4.513 | 0 | 6.773 | 776 | 7.764 | 1.872 |
| ARPA | 0 | 48 | 127 | 1.727 | 224 | 0 | 25 | 52 | 697 | 80 |
| MISIR | 4.694 | 9.628 | 12.250 | 15.698 | 8.945 | 10.856 | 29.184 | 30.730 | 39.058 | 23.657 |
| ÇELTİK | 0 | 11 | 6 | 6 | 0 | 0 | 15 | 9 | 8 | 0 |
| PAMUK | 1.854 | 4.113 | 958 | 1.413 | 2.833 | 3.531 | 8.024 | 2.245 | 3.778 | 7.453 |
| AYÇİÇEĞİ | 1.416 | 11.646 | 10.719 | 16.312 | 19.385 | 2.526 | 59.569 | 48.866 | 73.399 | 76.308 |
| KANOLA | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SOYA | 0 | 15 | 89 | 93 | 614 | 0 | 27 | 150 | 103 | 1.213 |
| YERFISTIĞI | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| PATATES | 0 | 149 | 0 | 833 | 4.751 | 0 | 67 | 0 | 393 | 1.395 |
| ŞEKER PANCARI | 0 | 6 | 161 | 237 | 124 | 0 | 334 | 1.717 | 1.847 | 876 |
| **YEM BİTKİLERİ** | **1** | **393** | **589** | **473** | **740** | **0** | **1.191** | **1.306** | 1.069 | 992 |
| **ÇİM VE ÇAYIROTU** | **27** | **250** | **101** | **72** | **100** | **90** | **1.160** | **505** | 270 | 372 |
| **SEBZE BİTKİLERİ** | **100** | **240** | **141** | **365** | **333** | **317** | **12.279** | **14.754** | 22.446 | 19.602 |
| **DİĞERLERİ*** | **0** | 1.170 | 604 | 1.195 | 1.197 | **0** | 2.148 | 1.607 | 2.630 | 2.441 |
| **GENEL TOPLAM** | **8.112** | **37.439** | **26.708** | **58.226** | **43.758** | **17.320** | **120.796** | **102.717** | **153.463** | **136.261** |

Kaynak: https://www.tarimorman.gov.tr/.

## 7.Dünya ve Türkiye Tohum Ticaretinin Karşılaştırılması

Türkiye'nin 2002 yılındaki tohum ithalatı değeri 55,3 milyon USD iken 2017 yılında %235 artarak 185,2 milyon USD' ye ulaşmıştır. İhracatı ise 2002 yılında 17,3 milyon USD iken 2017 yılında %687 artarak 136,2

milyon USD' ye yükselmiştir. Bu durum ihracatın ithalata göre daha fazla bir artış trendinde olduğunu göstermektedir. Ülkemizin tohum ihracatının ithalatı karşılama oranı 2002 yılında %31,3 iken bu oran 2017 yılında %74'e yükselmiştir.

Tablo 3. Türkiye'nin tohum ithalat ve ihracat değeri (1.000 USD)

| | 2002 | 2012 | 2015 | 2016 | 2017 |
|---|---|---|---|---|---|
| **İthalat** | 55.292 | 197.649 | 202.181 | 202.127 | 185.252 |
| **İhracat** | 17.320 | 120.796 | 102.717 | 153.463 | 136.261 |
| **Fark** | 37.972 | 76.853 | 99.464 | 48.665 | 48.991 |
| **İhracatın ithalatı karşılama oranı (%)** | 31 | 61 | 51 | 76 | 74 |

Kaynak: Gıda Tarım ve Hayvancılık Bakanlığı
Kaynak: GTHB

Tablo 4:Türkiye'nin Tohum Dağıtım Miktarları (ton)

| TÜRLER | 2002 | 2012 | 2015 | 2016 | 2017 |
|---|---|---|---|---|---|
| Buğday | 80.089 | 318.768 | 483.819 | 469.631 | 504.271 |
| Arpa | 4.127 | 43.207 | 124.932 | 98.007 | 119.567 |
| Mısır | 14.547 | 25.835 | 58.453 | 59.055 | 70.167 |
| Çeltik | 897 | 8.617 | 10.215 | 12.999 | 10.696 |
| Ayçiçeği | 3.072 | 3.243 | 13.814 | 13.718 | 12.103 |
| Soya | 796 | 2.233 | 2.354 | 3.571 | 3.487 |
| Yerfıstığı | 1 | 147 | 139 | 206 | 197 |
| Şekerpancarı | 3.177 | 1.319 | 2.500 | 2.490 | 2.248 |
| Patates | 26.000 | 204.333 | 209.795 | 257.146 | 269.684 |
| Pamuk | 10.776 | 19.021 | 8.411 | 13.225 | 17.881 |
| Nohut | 166 | 1.239 | 2.257 | 3.968 | 10.567 |
| Kurufasulye | 24 | 62 | 430 | 588 | 943 |
| Mercimek | 1 | 894 | 1.131 | 14.504 | 12.289 |
| Kanola (Kolza) | 30 | 164 | 171 | 171 | 64 |
| Sebze | 2.137 | 3.098 | 3.497 | 4.437 | 4.613 |
| Yonca | 416 | 2.274 | 1.583 | 2.356 | 2.968 |
| Korunga | 885 | 2 | 32 | 197 | 385 |
| Fiğ | 803 | 911 | 833 | 1.259 | 1.486 |
| Sorghum+S.Otu+Mlz | 147 | 261 | 1.885 | 3.680 | 5.070 |
| Yemlik Pancar | 44 | 63 | 69 | 66 | 63 |
| Yem Şalgamı | 0 | 12 | 18 | 56 | 12 |
| Çim Ve Çayırotu | 2.236 | 3.806 | 4.377 | 4.834 | 5.885 |
| Susam | 3 | 0 | | -2 | 0 |
| Aspir | 0 | 250 | 634 | 772 | 935 |
| Diğerleri | 0 | 2.876 | 6.292 | 12.559 | 12.163 |
| **TOPLAM** | **150.374** | **642.635** | **937.641** | **979.491** | **1.067.745** |

Kaynak: GTHB

Kaynak: https://www.tarimorman.gov.tr

## 8.Tohumculuk Sektörünün SWOT Analizi Yöntemiyle Değerlendirilmesi

Tohumculuk sektöründeki mevcut dinamik yapı SWOT analizi yöntemi aracılığıyla aşağıda ayrıntılı olarak değerlendirilmiştir:

| **Güçlü Yönler** : | **Zayıf Yönler:** |
|---|---|
| Kamuya ait izolasyon sorunu olmayan geniş tarım işletmelerin özel Şirketlere tohumluk üretimi için kiralanabilmesi, | 27 milyon adet parçalı araziye sahip küçük işletmelerin olması,<br>Girdi maliyetlerinin her geçen gün yükselişi, |

| | |
|---|---|
| Organik tarım ve iyi tarım uygulamaları sistemlerinin bitkisel üretimde giderek yaygınlaşması,<br>Bitkisel üretime sağlanan desteklemeler,<br>Tarımda AR-GEye yönelik çalışmaların varlığı,<br>Sanayinin tarımla iç içe girmiş olması.<br>Tarımsal sanayinin gelişmesine yönelik yatırımların varlığı,<br>Pek çok konuda devlet desteklerinin varlığı,<br>Yetişmiş teknik elemanın varlığı,<br>Türkiye'nin zengin tarım topraklarına, stratejik bölgesel konuma, işgücüne, deniz ve iç su kaynaklarına ve tohumluk üretimi için elverişli çok değişik ekolojilere sahip olması,<br>Geleneksel tarımsal üretimin azalmış olması, | Tarımsal üretimde ülkesel planlama eksikliği,<br>Üretici organizasyonlarının etkin ve güçlü olmaması,<br>AR-GE'ye yeterince kaynak ayrılmaması, ayrıca özel sektörün gerek kamu ve gerekse üniversiteler ile ortak Ar-Ge projeleri yapma ve sonuçlandırma geleneğinin olmaması,<br>Tarım ürünlerinde piyasa düzenleme ve müdahale kuruluşlarının yetersizliği,<br>Girdi kullanımında dışa bağımlılık,<br>Bitki ıslahında yetersizlik,<br>Teknoloji kullanımının tüm bölgelerde eşit olmayan dağılımı,<br>Özellikle depolama ve pazarlama alt yapısının yetersizliği,<br>Sertifikalı tohum ve fidan kullanımının bir türlü gerçek anlamda istenen seviyeye gelememesi, |
| Genç ve dinamik nüfusu, artan refah seviyesi yanında, büyük tüketici komşu ülkelerin varlığı nedeni ile sürekli artan tarımsal ürün dış satımı sonucunda tarım sektörü büyüme ve gelişme yolunda olup yurt içi tohumluk pazarı sürekli genişlemesi<br>Ekonominin diğer alanlarında olduğu gibi tohumculuk sektöründe de örgütlü, deneyimli, gelişmiş Dünya ile yakın ilişkili dinamik bir özel sektör ve nitelikli işgücü bulunması,<br>Sahip olduğu küçük ölçekli firmalar değişen şartlara hızla uyum sağlayabilmekte, gelişmiş ülke firmalarına göre çok daha dinamik davranabilmesi | Üretim tekniklerinin yanlış kullanılması ve üreticilerin teknik eğitim seviyesinin yetersizliği.<br>Sektördeki sermaye birikimi yetersiz, firmaların ölçeği ise küçüktür. Hazine, özel sektör araştırma çalışmalarına yeterli finansal ve teknik desteği verememektedir,<br>Üniversitelerimizin sayıca bol olmasına karşın yetiştirdikleri elemanların niteliklerinin düşük olması, ihtisas konusu tohum olan bölümlerin açılmamış olmasıdır.<br>Her geçen gün artan önem ve değerini tüketiciye anlatamaması. Zayıf ve yetersiz reklam . |
| **Fırsatlar:** | **Tehditler:** |
| En önemli fırsat; insan gücü: Çalışkan, kıvrak zekalı, takip eden genç bir nesil.<br>Teşvik, hibe, kredi ve diğer desteklerin sağladığı | Tarım politikalarında beklentinin bir türlü karşılanamamış olması,<br>Çevre faktörlerinin olumsuz etkilenmesi, |

| | |
|---|---|
| önem anlaşıldığı için devamının olması,<br>Yeni çıkarılacak olan miras kanunu ile arazi bölünmelerine engel olunması; toplulaştırma faaliyetlerinin hız kazanmış olması,<br>Her geçen gün artan gıda talebi nedeniyle bitkisel üretimin daha önemli hale gelmesi,<br>Tarımsal AR-GE çalışmalarının özel sektöre açılması<br>Havza bazlı üretim planlamasının hayata geçmiş olması,<br>Tarımın bir cazibe merkezi olarak farklı sektörlerden tarım sektörüne sermaye girişinin artması,<br>Sulu tarım yapılan arazilerin artması,<br>Ulusal ve Uluslararası örgütlerle işbirliği imkanlarının artması, Tüketici taleplerinin ve bilincinin artmasıyla değişen arz yapısı,<br>Tarım sektörünün enflasyon risk artışının, diğerlerine göre daha az agresif olması,<br>Üreticilerin eğitim seviyesinin eskiye nazaran yüksek olması,<br>Verim ve kalitenin beraber talep oranının artış göstermesi,<br>Bilinçli girdi kullanımı, | Vahşi sulama politikasının bir türlü terk ediliyor olmaması,<br>Ürün fiyat dalgalanmaları ve uluslararası spekülasyonlar,<br>Üretim maliyet artışları,<br>Tarım arazisinin tarım dışı kullanımı,<br>İşgücünün yetersiz olması ve her geçen gün işçi bulma zorluklar<br>Dünya'daki ekonomik ve siyasi krizler ve dış pazar zorlukları,<br>Özelleştirilmede yaşanan sıkıntılar, özelleştirme sonrası yaşanan işletme problemleri,<br>Tarım sektörünü ilgilendiren konularda yetki dağınıklığı,<br>Tarım alanlarının amaç dışı kullanımı,<br>Lojistik maliyetlerinin yüksekliği,<br>Kırsal alanda değişen demografik yapı ve genç nüfusun tarıma azalan ilgisi,<br>Medya kaynaklı bilgi kirliliği, bunun düzelmesinin zorlukları, |

Analiz sonucunda dikkat çekici zayıf yönler ve tehditler bulunmasına rağmen; özellikle Türkiye'nin zengin tarım topraklarına, stratejik bölgesel konuma, işgücüne, deniz ve iç su kaynaklarına ve tohumluk üretimi için elverişli çok değişik ekolojilere sahip olması, genç ve dinamik nüfusu, artan refah seviyesi yanında, büyük tüketici komşu ülkelerin varlığı nedeni ile sürekli artan tarımsal ürün dış satımı sonucunda tarım sektörü büyüme ve gelişme yolunda olup yurt içi tohumluk pazarı sürekli genişlemesi, ekonominin diğer alanlarında olduğu gibi tohumculuk sektöründe de örgütlü, deneyimli, gelişmiş Dünya ile yakın ilişkili dinamik bir özel sektör ve nitelikli işgücü bulunması, gibi faktörlerin oldukça etkin olması tohumculuk sektörünün gelecekte daha da güçlenerek gelişeceğini göstermektedir.

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# Agresif Kişilik Yapısının Yapılan İş'e Etkisi: Taksi Şoförleri Üzerinde Bir Araştırma

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**Özet:** Bu çalışmanın amacı, taksi şoförlerinin agresif kişilik yapılarının öfkeli araç kullanımı üzerindeki etkisinin ortaya konulmasıdır. Anket yöntemi ile toplanan veriler SPSS 25 nicel analiz programı ile analize tabi tutulmuştur. Analiz sonucunda taksi şoförlerinin agresif kişilik özelliği arttıkça öfkeli araç kullanımının arttığı saptanmıştır. Ayrıca, taksi şoförlerinin agresif kişiliğinin öfkeli araç kullanımı üzerinde anlamlı bir etkisi olduğu tespit edilmiştir.

**Anahtar Kelimeler:** Agresif kişilik yapısı, öfkeli araç kullanımı, taksi şoförleri

## 1-GİRİŞ

İnsanlar, ruhsal ve dış görünüşleri itibariyle çeşitlilik arz ederler. Bu görünümlerinin birbirlerine bağlandıkları nokta ise insanların davranışlarıdır. Çoğu insan bu davranışları sayesinde hemcinslerince tanınır ve kategorize edilirler. İnsan davranışlarının en belirgin kökenlerinden biri ise onların kişilik yapılarıdır. Bu kişilik yapılarının sınıflandırmasında kullanılan ölçütler, ancak insanların sosyal etkileşimlerinde gizlidir (Allport ve Allport, 1921:7). Çevresiyle sürekli etkileşim halinde bulunan insanoğlu her zaman aynı duygu durumunda bulunmamaktadır. Kimi zaman neşeli kimi zaman üzgün, kimi zaman sakin kimi zaman ise sinirli bir yapıdadır. Çocukluğundan itibaren yaşadığı olaylar neticesinde kişilik yapısı belirginleşmeye başlayan insanın yaşadığı bu olaylar, onun kişiliğinin yapıtaşlarını oluşturmaktadır. Bu nedenle insanlar kişilik yapılarının gerektirdiği davranışları sergilerler. Saldırgan kişilik yapısı da insanoğlunun belirlenen kişilik yapılarından biridir (Allport ve Allport, 1921:7; McCrae ve Costa, 1991,1995).

Saldırgan kişilik yapısı üzerine yapılan çalışmaların 20. yy.'ın başlarından günümüze değin devam ettiği bilinmektedir. Her ne kadar insan davranışları içerisinde popüler bir konu olarak görünse de konu hakkında sorulması gereken soruların başında "neden benzer konudaki çalışmaların büyük bir çoğunluğunun 1960 ve 1970'lerde yapıldığı" (Rule ve Nesdale, 1976:851) gelmektedir. Her ne kadar 1945 yılında sona eren II. Dünya savaşının toplumlarda yarattığı etkilerin neden olduğu görülebilse de insandaki agresif kişilik yapısına yönelik bilimsel çalışmaların 1960 ve 1970'lerde yapılmalarının ana nedenlerinin başında Amerika Birleşik Devletlerinin Vietnam'daki yenilgisi sonucu neredeyse tüm dünyada ortaya çıkan savaş karşıtı, özgürlükçü gençlik hareketleri gösterilebilir (Johnson ve Feinberg, 1980). Konunun Yönetim Organizasyon yazınına girmesinin ise "ekonomik" nedenlerin temelinde insanın bulunduğu görüşüyle başladığı söylenebilir. Bu değişimde insanı bir "robot" gibi gören klasik yönetim anlayışı (Taylor, 1913; Drury, 1915:188) terk edilerek insanı, insan ilişkilerini ve insan davranışlarını ön plana çıkaran neo-klasik yönetim anlayışı (Sığrı ve Gürbüz, 2017:13) kabul edilmiştir. Bu kapsamda örgütsel davranış üzerine yapılan çalışmalarda sosyoloji, sosyal psikoloji ve psikoloji bilimlerinden de yoğun olarak faydalanılmaktadır. Agresif kişilik yapısı ve davranışı da bu uygulamalara paralel olarak üzerinde çalışılan bir konu olarak karşımıza çıkmaktadır.

Bu çalışmada taksi şoförlerinin agresif kişilik özelliklerinin trafikte araçlarını kullanarak gösterdikleri davranışları üzerindeki etkileri konu edilmiştir. Çalışmanın ilk bakışta yönetim organizasyon yazınındaki "örgütsellik" yönüyle pek de bir ilişkisinin bulunmadığı düşünülebilir. Oysaki taksicilik bir meslektir ve çalışma alanı bir yerleşim yerinde mevcut olan cadde ve sokaklardır. Diğer taraftan bir taksicinin işyeri öncelikle kendi aracının içi olmakla birlikte bağlı bulunduğu taksi durağıdır. Dolayısıyla taksicilerin trafikteki davranışları "meslekleri" açısından bakıldığında "örgütsel" olarak değerlendirilebilir.

Çalışma iki bölümden oluşmaktadır. Birinci bölümde agresiflikle ilgili kavramsal ve tanımsal analizlerin yanı sıra asgresiflik biçimlerine yer verilecektir. Çalışmanın ikinci bölümünde ise Hakkâri Merkez ve en büyük ilçesi olan Yüksekova'da faal olarak çalışan taksi şoförleri üzerinde yapılan alan çalışmasından bahsedilerek ve elde edilen sonuçlar değerlendirilecektir.

## 1-Kavramsal İnceleme

### 1-1-Tematik Analiz

Diğer tüm bilimsel konularda olduğu gibi agresiflik hakkında yapılan çalışmalar da bir takım teoriler geliştirilerek sürekliliklerini günümüze kadar devam ettirmişlerdir. Buna göre agresif kişilik yapısı hakkında da geçmişte bir takım teorilerin ortaya atıldığını görmekteyiz. Bu teorilere göz gezdirildiğinde "Agresif davranış öğrenilir mi yoksa canlının kendi içinde var olan ve kuşaklararası geçiş yapan kalıtsal bir özellik midir ya da çevresel etkenler mi canlının agresif olmasına neden olmaktadır?" şeklindeki sorulara yanıt vermek amacıyla ortaya atıldıkları görülmektedir. Teorilerin ilki, diğer bir takım duyusal yapılarda olduğu gibi agresifliğin de bir "içgüdü (instinct)" olduğudur. Bu teoriyi ortaya atan bilim insanları genelde Sigmund Freud ve Konrad Lorenz gösterilse de, bunlardan çok önceleri insanların bir takım davranış kalıplarının onların sahip oldukları içgüdülerde gizli olduğuna dair açıklamaların varlığı bilinmektedir. Davranışın oluşum sürecini çalışmasında açıklayan William James, duyguların davranışları oluşturduğunu ve bu davranışların organizmanın tamamı tarafından gösterildiğini ifade etmektedir (1890:694). William James, agresifliği her ne kadar tam olarak açıklamaları içinde belirtmese de her içgüdünün bir dürtü olduğundan (1890:701) ve insanların hayvanlardan daha fazla dürtülerinin bulunduğundan (1890:704) bahsetmektedir. Her iki açıklamasını birleştiren James, içgüdüsel davranış olarak adlandırılan hareketlerin refleks'in yapısına uyumlu olduğunu belirtmektedir (1890:700). William James açıklamalarında insanın canavarların en insafsız gaddarı olduğunu belirterek, onun iyi ve kötü iki ruhundan bahsetmektedir. İnsanın kötü tarafını kavgacılık (pugnacity), asabiyet (anger), kızma (resentment) şeklindeki içgüdüler ile açıklamaya çalışan James, insanın bunlar olmadan yaşayamayacağını belirtmektedir (1890:717). William McDougall ise özellikle hayvanlar ve insanlar üzerinde yaptığı karşılaştırmalı çalışmasında, davranışları "eğilim"in bir sonucu olarak nitelendirmekle birlikte bu eğilimin aslında "içgüdü" olduğunu belirtmektedir (1923:26). Ona göre bu içgüdü içerisinde bir enerjiyi barındırmakta ve bu enerji kimi zaman vücut tarafından salıverilmektedir. Bu salıverilme ise "davranış" tır. Ona göre kontrol edilebilen agresifliğin de içinde bulunduğu duygular vücut davranışı olarak gösterilmese dahi zihinsel olarak kabul edilebilmektedir (1923:224).

Agresifliğin, James ve McDougall tarafından içgüdü temeliyle incelenmesi sonrasında Sigmund Freud ve Konrad Lorenz tarafından da benzer yol kullanılarak incelendiği görülmektedir. Freud içgüdü kavramını önceleri "cinsellik" ve "kendini savunma" olmak üzere iki kategoride açıklarken "eğer obje istenmeyen duyguların kaynağı ise bu durumun sonuç itibarıyla insanda agresif eğilime ve o objeyi yok etme isteğine neden olur" şeklinde ifade kullanmıştır (1915:137).Daha sonraları bu ikilemi bırakan Freud, "hayatın başlangıcı ve onunla aynı yönde olan biyolojik spekülasyonlardan başlamak üzere, yaşayan varlığı korumaya yönelik içgüdünün yanı sıra başka bir tane daha olmalıdır. Ters içgüdü o birimleri dağıtmak ve onları ilk hallerine, organik olmayan durumlarına dönmeleri için uğraş veren bir içgüdüdür. Kısaca, Eros gibi bir de ölüm içgüdüsü vardır." şeklindeki ifadesiyle "yaşam" ve "ölüm" içgüdüsü şeklinde bir sınıflandırma yapmıştır (Freud, 1962:65-66). Görüldüğü üzere Freud kısaca insanın kendisini veya başkalarını yok etme eğiliminde olduğunu belirtmektedir (akt. Fromm,1973:15). Ona göre ölüm içgüdüsü agresifliğe karşılık gelmektedir (Kermani,1977:201). "Civilization and Its Discontents" isimli eserinde agresiflik kavramına hayli yer verdiği görülen Freud'a göre agresiflik, varlıkların doğasında ve içselliğinde bulunan, bağımsız ve kendileri haricindekilere karşı kullandıkları bir içgüdü olmasının yanı sıra bu içgüdünün engellenmesi insanda kendisini yok etme (self-destruction) davranışına nede olmaktadır (1962:66). Konrad Lorenz ise agresifliği "On Aggression" isimli eserinde incelemiştir. Freud gibi o da agresifliği belirli bir uyarıcıya dönük reaksiyon olarak değil de insanın içinde önceden beridir var olan bir enerji musluğundan beslenen içgüdü olarak değerlendirmektedir. Ona göre agresifliği tehlikeli yapan içgüdünün kendiliğinden oluşmasıdır (2002:47). Hartmann ve arkadaşları tarafından yapılan diğer bir çalışmada da (1947) Freud ve Lorenz'inkine benzer ifadeler kullanıldığı görülmektedir. Canlıların içinde var olan enerji dürtüsünün "agresiflik" olarak tanımlandığı çalışmada (s.12), ego veya süper-ego içinde

yer alan nötr enerjinin libido veya agresiflikten kaynaklanabileceği veya bu ikisine dönüştürülebileceği ifade edilmiştir (s.15). Melanie Klein da Freud gibi ölüm içgüdüsünün agresiflikle aynı anlama geldiğine dair açıklamalarda bulunmakla birlikte (1975:62) iştah, kıskançlık ve hasetliği ölüm içgüdüsünün klinik dışavurumları olarak belirtmektedir (1975:176). Bu çalışmaya paralel olarak Sicher ve Mosak tarafından yapılan başka bir çalışmada ise agresiflik iştah (yeme isteği) tarafından pekiştirilen fiziksel ve psikolojik bir hayatta kalma nedenidir (1967: 235). Cinsellik ve agresifliğin canlı organizmalarda bulunan iki ana güç olarak belirtildiği Anna Freud tarafından yapılan çalışmada ise bu güçlerin sahip oldukları enerjinin dış dünyadaki nedenlere bağlı olarak bedenden çıkış yaptığına dair ifadeler yer almaktadır (1947:39-41).

Dollard ve arkadaşları tarafından yapılan bir çalışmada ise çevresel etmenleri içine alan bir teori ileri sürüldüğü görülmektedir (1939). Bu çalışmada kısaca canlıların yaşamlarının belirli bir amaç doğrultusunda olduğu (yemek, içmek vb. gibi) ve davranışlarının da bu amaçları gerçekleştirmeye dönük olduğundan hareketle, bu amaçlarına ulaşmalarına engel olunduğunda (frustration) canlıların bu durumun üstesinden gelebilmek için agresif davranış gösterdikleri ifade edilmiştir. Diğer bir ifade ile engellenme agresif davranışa neden olmaktadır (Dollard ve diğ., 1939:1). Bu açıklamaları ışığında Dollard ve arkadaşları agresifliği kısaca "engellenmeye cevap olarak bir organizmaya zarar verme amacındaki hareket" şeklinde tanımlamaktadırlar (1939:11). W.Ronald D. Fairbairn de Freud'un yaptığı ikilemi reddederek "ölüm içgüdüsü" olmadığını, agresifliğin engelleme ya da yoksun bırakılmaya karşı bir reaksiyon olduğunu belirtmektedir (1963:244). Dollard ve arkadaşları tarafından öne sürülen "engellenme-agresiflik (frustration-aggression)" teorisi belirli bir zaman sonra Leonard Berkowitz tarafından tekrar formüle edilmiştir. Berkowitz ileri sürdüğü yeni formülüzasyonunu şu şekilde açıklamaktadır: Engellenme sonucu oluşan zihinsel reaksiyon-ki bu "kızgınlık (anger)" olarak isimlendirilir- ancak agresif hareketlere hazırlık oluşturmaktadır. Diğer taraftan bu hazırlık olsa dahi, uygun işaretler ve şimdiki veya önceki kızgınlığa neden olan azmettiricilerle birlikteki uyarıcılar olmadıkça agresif karşılıklar oluşmayacaktır. Agresif yanıtın gücü, uyarıcının azmettirme fonksiyonu ile agresiflik hazırlığının derecesine bağlıdır (1965:308). Kısaca engellenmeyi itici olarak niteleyen Berkowitz, bunların agresif eğilimleri ancak negatif etki oluşturdukları ölçüde meydana getirdiklerini, buna paralel olarak engelleme ile birlikte başka etmenlerin de bulunması gerektiğini belirtmektedir. Bu etmenleri, aşağılamalar, endişeler, istenmeyen çevresel etmenler veya diğer itici olaylar ve şartlar olarak ifade etmektedir (Berkowitz, 1962:104).

Agresif davranış kalıbının temel dayanaklarından biri de onun öğrenilen/tecrübe edilen bir olgu olduğuna dair ileri sürülen teoridir. Miller ve Dollard'a insan davranışı öğrenilir (1941:1). Bu kapsamda agresiflik içinde yer alan ve engellemeye karşı düşünsel reaksion olarak adlandırılan "asabiyet (anger)" da öğrenilebilir bir dürtüdür (1941:61). Sosyal şartlar kişilik özelliği taşıyan biri için bu kişiliğin gelişmesine etki etmektedir. Agresif kişiler sosyal hayatta yükselmek için mücadele ettikleri süre boyunca kendilerinden üst konumda bulunan kişilerin davranışlarını ve alışkanlıklarını taklit ederek amaçlarına ulaşmaya çalışmaktadırlar (1941:6) . Agresif davranış kalıbının öğrenilebilir olduğuna yönelik kendinden en fazla söz ettiren bir diğer çalışma da Bandura ve Walters tarafından yapılan çalışmadır. Çocuklar üzerinde yapılan bu çalışma sonucunda Bandura ve Walters, agresif davranışın taklit yoluyla öğrenildiği sonucuna varmışlardır (1963:60).Daha sonraları Bandura tarafından yapılan açıklamalarda da agresif davranışın doğrudan ya da dolaylı çevresel tecrübeler yoluyla öğrenildiği veya devam ettirildiği, agresifliğin öğrenilmesinin pekiştirici tesadüfler ve cezalandırmalar tarafından diğer davranışların öğrenilmesinde olduğu gibi kontrol altına alındığı ifade edilmiştir (1973:57). Kural olarak pekiştirilen davranışın tekrarlandığını, pekiştirilmeyenlerin ise yok olduklarını ifade eden Leonard D. Eron tarafından yapılan çalışmalarda (1994:5) ise laboratuvarda öğrenildiği gibi doğal alanlarda da dolaylı öğrenmenin meydana geldiği, agresif davranışın da özellikle ebeveynler, öğretmenler ve yaşıtlar gibi çeşitli sosyalleşme elemanlarından alınan "eğitimler" yoluyla öğrenildiği ileri sürülmektedir (1961:296). Ashley Montagu da Darwin'in "doğal seleksiyon" teorisini eleştirerek, "davranışların canlılar tarafından öğrenildiği" tezine destek vermekte olup, canlıların çevrelerine, öğrenme veya deneyim yoluyla uyum sağladıklarını belirtmektedir (1962:xii-xiii). Buradan hareketle sosyal organizasyonlarda, insanların, davranışlarını daha önceden bilinen ya da o an için deneyimlenen durumlara uyumlu hale getirdiğini ifade etmektedir (1970:23).

Agresiflik ile ilgili yapılan açıklamaları belirli başlıklar halinde toplamak mümkündür. Bu kapsamda;

-Görüldüğü üzere agresiflik sadece zihinsel bir dürtü değildir. Fakat biyolojik kökeni de bulunan bir dürtüdür.

-Agresif davranış belirli süreci içermekte ve bu sürecin belirli bir takım unsurları bulunmaktadır. Bunlar kısaca, harekete geçiren bir uyarıcı, yanıtın amaçsal ve hedef odaklı karakteri ve arzular, istekler, anlamlar ve eğilimler ile olan içsel ilişkidir.

-Agresif davranışın yaygın olan bileşeni belirli bir zorluğun üstesinden gelinmesine yönelik amaçtır.

- Agresif davranış, kendisine etki eden korku, engellenme, endişe, şehvet, sevgi, kızgınlık veya hiddet gibi durumları barındırmaktadır (Rizzuto ve diğ.,1993:30-32).

Kısaca agresif davranış, belirli bir engelleme, agresif bir modele öykünme veya çevresel etmenler yoluyla ortaya çıkmaktadır (Cohen, 1971:71).

Yazın incelendiğinde genel olarak agresifliğin tanımı üzerinde kesin bir fikir birliği olmadığı bu nedenle yapılan tanımların ise genellik taşıdığı görülmektedir. Bunun temel nedenleri arasında agresifliğin neye göre ele alındığı gelmektedir. Günlük hayatta yaşanılan kimi olaylarla karşılaşıldığında gösterilen kimi davranışlar agresif olarak algılanırken kimi davranışlar için bu mümkün görünmemektedir. Diğer yandan bir davranış olarak agresifliğin taraflar açısından da belirsizliği tanımsal olarak karmaşaya neden olmaktadır. Agresif davranışı gösteren kişiye göre bu davranış "savunma" olarak görülürken, karşı taraf için "agresif" olarak kabul edilmektedir (Ichheiser, 1950:127). Bunun yanında agresif davranışın isteğe bağlı ya da herhangi bir emir üzerine (polis, asker vb. olduğu gibi) gösterilip gösterilmediği de tanımda zorluk oluşturmaktadır (Kaufmann,1965:353).Ayrıca agresifliğin birtakım farklı kelimeler ile aynı anlamda kullanılması da tanımsal analizi zorlaştırmaktadır. Örneğin, agresiflik kelimesinin yerine genel olarak düşmanlık (Buss ve Durkee, 1957:343; Weiss, 1959:4; Kelly, 1965:200; Buss & Perry, 1992), asabiyet, nefret, sinirlilik (Thompson, 1959:10), sadizm, kindarlık, öç alma, baskıcılık (Landman, 1959:13;) gibi kelimelerin kullanıldığı görülmektedir. Yazın içerisinde yapılan tanımların da genelde agresif davranışın hedefi olan tarafın bakış açısıyla yapıldıkları anlaşılmaktadır.

**1-2-Tanımsal Analiz**

Agresifliği temel bir içgüdüsel dürtü olarak belirten Adler, çalışmalarında, bu dürtüyü öncelikle güç arzusu olarak belirtmiş sonraları ise üstünlük ve mükemmeliyet çabası olarak ifade etmiştir (akt. Lundin, 1989:35-36, 97-99). Dollard ve arkadaşları tarafından yapılan tanıma göre ise agresiflik, "bir organizmaya zarar vermek için yapılan amaç tepkili harekettir" (1939:11). Buss ise agresifliği "zehirli uyarıcıyı başka bir organizmaya atan reaksiyon" olarak tanımlamaktadır (1961:3). Agresiflik Kaufmann tarafından, agresif davranışın tarifiyle ifade etmektedir. Ona göre agresif davranış, herhangi bir objeye yönlendirilen, saldırgan tarafından hedefine ulaşması yönünde sübjektif ihtimali bulunan, hedefe ulaşmasındaki engelleri ortadan kaldırıcı bir harekettir (1965:353). Kahn ve Kirk'e göre agresif dürtü, doğuştan biyolojik kökenleri olan, hareketi doğrudan odaklanmış, harekete geçirici dürtüdür (1968:567). Robert Baron agresifliği bir davranış kalıbı olarak değerlendirerek onu; sakınan bir başka canlı varlığa zarar veya hasar verme amacına yönelik davranış şekli olarak tanımlamaktadır (1977:7). Miller ise agresifliği, sinirle (anger) hareket etmek şeklinde ifade etmektedir (1979:99). Eron ve arkadaşlarınca yapılan tanımda ise agresiflik, diğer insana zarar veren veya onu kızdıran harekettir (Eron ve diğ., 1978:215). Moyer ise Buss'ın yaptığı tarife benzer bir tarif kullanarak agresifliği, zararlı bir dürtüye şiddetli bir karşılık verme veya yıkıcı davranmayı içeren başka bir organizmaya yönelik açık davranış olarak tanımlamaktadır (1977:332).

**1-3-Agresiflik Biçimleri**

Agresiflik hakkındaki çalışmalar incelendiğinde iki farklı tarzda sınıflandırıldığı görülmektedir. Bunlardan birinci sınıflandırmalar agresifliğin birebir kendi sınıflandırmasıdır. Diğer sınıflandırma tarzı ise ağresifliğin içinde var olan formlar yoluyla yapılan sınıflandırmadır. Bu çalışmalara kısaca değinmek konunun daha iyi açıklanmasında faydalı olacaktır.

Saul Rosenzweig engellemeye yönelik agresif karşılıkları iki başlık altında toplamaktadır. Bunlar uyumlu ve toplum yanlısı olan ihtiyaç- devamlılığıdır ki bu agresiflik engellenen kişinin ihtiyaçlarının akıbeti ile

ilgilidir. Diğeri ise yine engellenen kişinin kişiliğinin akıbeti ile ilgili olan ve uyumsuz/antisosyal özellik gösteren ego-savunmacılığıdır (1941:347).

Buss agresifliği farklı şekillerde sınıflandırmaktadır. Ona göre fiziksel ve sözlü agresifliğin yanı sıra, aktif ve pasif agresiflik ile doğrudan ve dolaylı agresiflik bulunmaktadır. Çoğu agresifliği aktif olarak değerlendiren Buss, çoğu pasif agresifliğin ise doğrudan olduğunu belirtmektedir (1961:8).

Agresifliği kendi arasında sınıflayanların başında Moyer (1971:225; 1977:332-333) gelmektedir. Moyer tarafından yapılan ayrımda agresiflik; erkekler arası agresiflik, korku sebebiyle agresiflik, asabi agresiflik, anneye ait agresiflik, cinsel içerikli agresiflik, yırtıcı agresifliği, araçsal agresiflik gibi başlıklar altında toplanmıştır. Moyer, cinsler arasında farklılık olmakla birlikte, aynı türden olup da saldırıyı gerçekleştirecek olan erkeğe göre yabancı olan başka bir erkeğin var olması durumunda erkekler arası agresifliğin oluştuğunu belirtmektedir. Korku sebebiyle agresiflik ise kaçışa yeltenilip bunun mümkün olmaması durumunda oluşmaktadır. Moyer asabi agresifliği aşırı (extreme) ve daha az aşırı (less extreme) olarak iki biçimde ifade etmektedir. Aşırı olan asabi agresiflik kaçmadan yapılan bir saldırıyı içerirken, daha az aşırı olan agresiflik ise "üzüntü" veya "gönülsüz saldırıyı" içermektedir. Aynı çalışmada anneye ait agresiflik iki farklı dürtünün çatışmasından ortaya çıktığı belirtilmektedir. Bunlardan birincisi yavrunun korunmasına yönelik anatomik içgüdü diğer ise yavruya dönük tehdittir. Cinsel içerikli agresiflik, cinsel karşılığı oluşturan aynı güdüleyici tarafından meydana getirilen yok edici karşılığı içermektedir. Yırtıcı saldırganlığı, hayvanların doğal av objesinin varlığı harekete geçirmektedir. Avın hareketi saldırı hareketinin ihtimalini yükseltmektedir. Araçsal agresiflik yukarıda belirtilen saldırgan karşılıkların çevrede meydana getirdiği değişikliği yine aynı şekilde özellikle hayvanlardaki saldırganlık davranışını artırma ihtimali üzerine oluşmaktadır. Kısaca araçsal agresiflik, öğrenilmiş bir karşılıktır.

Leo Rangell agresifliği hareket tarzına göre ayrıma tabi tutarak yapıcı (constructive) ve yıkıcı (destructive) şeklinde iki başlık altında toplamaktadır (1972:5). Yıkıcı agresifliğin içgüdüsel bir kökeni var iken, yapıcı agresiflik egonun hizmetinde ortaya çıkarılmaktadır.

Diğer bir sınıflandırmada agresiflik yine iki başlık altında incelenmiştir. Bunlar "fiziksel" ve "sözlü" agresifliktir (Bjorkqvist, Osterman & Lagerspetz, 1994). Fiziksel agresiflik doğrudan vücut ile gösterilirken, sözlü agresiflik ise genelde dedikodu yapmak, şikayet etmek, fısıldayarak konuşmak, yalan yanlış söylenti yaymak, alay etmek, iğneleme, takma isimler kullanmak yoluyla gösterilmektedir. Ramirez ve Andreu bu sınıflandırmaya, yüz hareketleri veya vücut pozisyonları ile gösterilen "jest veya postürel" agresifliği de eklemektedirler (2003:130).

Vitaro, Brendgen ve Barker ise bu çalışmanın daha öncesinde belirtilen engelleme-agresiflik teorisi ile davranışların öğrenildiğine yönelik teoriyi temel alarak yaptıkları sınıflandırmada, engellemenin öncesi ve sonrasını düşündükleri görülmektedir. Bu kapsamda bu bilim insanlarına göre agresiflik reaktif (reactive) ve proaktif (proactive) olarak ayrılmaktadır (2006:15). Reaktif agresiflik genelde sinirlilik (anger) ile birlikte engelleme ve provokasyon sonrası oluşurken, proaktif agresiflik ise pekiştirilmiş/öğrenilmiş çevresel etmenlerin yönlendirmesiyle oluşabilmektedir.

Belki de agresifliğin çeşitleri ile ilgili bu başlığın altında asabiyet (anger) ve düşmanlık (hostility) kavramlarına ayrı bir yer verilmelidir. Bunun en önemli nedenleri arasında agresifliğin çoğunlukla bu iki kavram ile beraber anılmasındandır.Dollard ve arkadaşlarının yaptığı çalışmayı (1939) başlangıç noktası olarak alan Berkowitz'e göre asabiyet engelleme ile agresiflik arasında bulunmaktadır. Engelleme, agresif davranışın ihtimalini artıran bir dürtüye hizmet eden asabiyete neden olmaktadır (1962:32). Asabiyet bir hoşnutsuzluk duygusudur (Miller, 1979:99).

Kaufmann asabiyeti beş maddede açıklamaktadır (1965:356). Ona göre;

- Asabiyet değişmeyen duygusal uyarılma durumudur. Belirsiz veya riskli davranışa neden olan dağınık uyumsuz öfkeli bir karşılıktır.

- Asabiyet klasik şartlanma sonucu oluşur. Öncelikle belirsiz duygusal uyarılmalar belirli dürtü durumlarına şartlandırılır.

-Asabiyet başlangıçta duygusal uyarılmadan bağımsız belirli hazırlayıcı karşılıklara şartlanmıştır.

-Hazırlayıcı agresif karşılıklara eşlik eden asabiyet başlangıçta ve kasten araçsal olabilir.

-Asabiyet kusuru gidermenin bir yolu olarak agresifliği takip eder, böylece, kusur azaltan bir karşılıktır.

Düşmanlık ise dostane olmayan davranış şeklidir (Miller, 1979:99). Zillmann'a göre düşmanca davranış, bir insanın, sakınan diğer insana yönelik vücutsal hasar ve fiziksel acı zarar vermeye dönük hareketi haricindeki herhangi ve her hareketidir (1979:33).Kelly ise düşmanlığı, kişisel yapı içinde bulunan teorik bir sistem, kendi hayatının yapısındaki yatırımlarını korumak için insan tarafından tasarlanan insafsız üstlenme olarak tanımlamaktadır(1965:200).

Burada şu farklılığı önemle vurgulamak gerekmektedir. Düşmanlık ve asabiyet her ne kadar agresiflik çatısı altında birleşmiş olsalar da aralarındaki en önemli fark bunların süreleridir. Buss'a göre, asabiyetten farklı olarak düşmanlığın belirli bir devamlılığı bulunmaktadır. Asabi reaksiyon süresi ne kadar uzun ise asabiyet ile düşmanlık birlikteliği o kadar fazladır (1961:15).

## 2-METODOLOJİ

### 2-1- Araştırmanın Amacı

Agresiflik bir kişilik yapısı olarak kabul edildiğinde çalışanlar ve onların mesleki davranışları üzerinde de etkileri olduğu kabul edilmelidir. Taksi şoförleri meslekleri gereği sürekli toplum içerisinde yer alan, meslek hayatlarının çoğunu araç içerisinde ve yoğun trafikte geçiren çalışanlardır. Her ne kadar yoğun çevresel etmenlerin etkisi altında bulunsalar da taşıdıkları veya araç dışında bulunan insanların hayatlarının devamı açısından araçlarını trafik kurallarına uygun şekilde kullanmaları beklenir. Bu açıklamalardan hareketle araştırmanın amacı taksi şoförlerinin agresif kişilik yapılarının öfkeli araç kullanımı üzerindeki etkisinin ortaya konulmasıdır.

### 2-2- Örneklem, Veri Toplama Yöntem ve Aracı

İşyerinde agresiflik kavramını Neuman ve Baron (1998:391) bireylerin hâlihazırda beraber çalıştıkları veya daha önceden beraberce çalıştıkları kişilere karşı zarar vermeye dönük gayretleri olarak tanımlamaktadırlar. Bu tanım çalışmamız ve bu çalışmadan sonra yapılacak araştırmalar açısından eksiktir. Bu tanımdaki "beraber çalışılan veya çalışılmış olan" ifadesinin yanı sıra çalışanların işlerini yaparken karşılaşmış olduğu kişileri de bu ifade de kullanmak gerekirdi. Bunu şu şekilde açıklamak mümkündür. Önceki açıklamalarda da ifade ettiğimiz üzere örneğin polis ve asker gibi agresif davranışı içsel olarak değil belirli emre göre yerine getirenler, bu davranışlarını mesleklerinin bir gereği olarak sadece toplumda karşılaştıkları ve toplumsal kurallara uymayan insanlara karşı yapmaktadırlar. Dolayısıyla bu insanlar onların meslekte beraber çalıştıkları insanlar olmayıp meslek dışında fakat emre göre olsa dahi agresif tavra maruz kalan insanlardır. Bu nedenle mevcut çalışmada Hakkâri Merkez ilçesi ve en büyük ilçesi olan Yüksekova'daki taksi şoförlerinin kendi meslekleri içerisinde beraber çalıştıkları insanlardan çok trafikte mecburen karşılaştıkları diğer araçları kullananlara karşı öfkeli davranışları ele alınmıştır.

Mevcut araştırma tanımsal niteliktedir. Araştırmada tesadüfi olmayan örnekleme yöntemlerinden kolayda örnekleme yöntemi tercih edilmiştir. Bu kapsamda, Mart-Nisan 2021 tarihleri arasında 184 taksiciden yüz yüze anket yöntemiyle veri toplanmıştır. Anket üç bölümden oluşmaktadır. İlk bölümde demografik değişkenlere ilişkin sorular yer almaktadır. İkinci bölümde Buss ve Durkee'nin (1957) "Agresiflik Ölçeği" soruları yer almaktadır. Anketin üçüncü bölümünde "Öfkeli Araç Kullanımı" değişkenine ait sorular yer almaktadır. Sullman vd. (2013) tarafından geliştiren ölçek soruları kullanılmıştır. Anket formunu oluşturan ölçek sorularının cevapları beşli Likert ölçeğine göre derecelenmiştir. Derecelendirmeler " 1- Hiç önemli değil, 2-önemli değil, 3-orta derecede önemli 4-önemli, 5- çok önemli" şeklindedir. Anket soruları 5'li Likert tipi ölçekle ölçülmeye çalışılmıştır. Toplanan veriler nicel analiz programı olan SPSS 25 ile analiz edilmiştir. Veri analizinde kullanılan istatistiksel yöntemler; frekans dağılımları, keşfedici faktör analizi, güvenilirlik analizi ve çoklu regresyon analizidir.

### 2-3- Araştırmanın Bulguları

Katılımcıların demografik özelliklerini ortaya koymak üzere frekans dağılımları incelenmiştir. Sonuçlar Tablo 1'deki gibi ortaya çıkmıştır.

Tablo 1: Anketi Cevaplayan Taksi Şoförlerinin Demografik Yapılarına İlişkin Frekans Dağılımları

| | | **Frekans** | **Yüzde** |
|---|---|---|---|
| Cinsiyet | Erkek | 184 | 100 |
| Yaş | 20-29 | 44 | 23,9 |
| | 30-39 | 74 | 40,2 |
| | 40 yaş ve üzeri | 66 | 35,9 |
| Eğitim Seviyesi | Ortaokul | 50 | 27,2 |
| | Lise | 81 | 44,0 |
| | Üniversite | 44 | 23,9 |
| | Yüksek Lisans | 7 | 3,8 |
| | Doktora | 2 | 1,1 |
| Tecrübe | 2 yılın altında | 24 | 13 |
| | 3-5 yıl | 37 | 20,1 |
| | 6-9 yıl | 43 | 23,4 |
| | 10 yıl ve üzeri | 80 | 43,5 |

Tablo 1'de görüldüğü üzere, anketi cevaplayanların %100'ü erkek; %23,9'u 20-29 yaş arasında, %40,2'si 30-39 yaş arasında, %35,9'u 40 yaş ve üzerindedir. Katılımcıların %23,9'u üniversite, %3,8'i yüksek lisans ve % 1,1'i doktora eğitim seviyesindedir. Son olarak, katılımcıların % 20,1'i 3-5 yıl arası, 23,4'ü 6-9 yıl arası, % 43,5'i 10 yıl üzeri tecrübeye sahiptir.

Agresif kişilik ölçeğinin faktör yapısını ve güvenilirliğini belirlemek üzere açımlayıcı faktör analizi uygulanmıştır. Sonuçlar Tablo 2'deki gibidir.

**Tablo 2:** Agresif Kişilik Yapısı Ölçeğine İlişkin Keşfedici Faktör ve Güvenilirlik Analizi Sonuçları

| | | |
|---|---|---|
| | Madde Sayısı | 11 |
| | Kaiser-Meyer-Olkin Örneklem Yeterliliği | ,857 |
| Bartlett Küresellik Testi | Ki-Kare | 1009,071 |
| | Bartlett Küresellik Testi | 55 |
| | p | ,000 |
| | Güvenilirlik Katsayısı (Alpha) | 0,872 |

Tablo 2'de görüldüğü üzere veri seti faktör analizine uygundur (KMO>0,70). Faktör analizi sonucunda agresif kişilik ölçeğini oluşturan maddelerin tek boyutta toplandığı görülmüştür. Kaiser-Meyer-Olkin örneklem yeterliliği katsayısı 0,857; güvenilirlik katsayısı (Cronbach's Alpha) 0,872 olarak tespit edilmiştir.

Öfkeli araç kullanımı ölçeğinin faktör yapısını ve güvenilirliğini belirlemek üzere açımlayıcı faktör analizi uygulanmıştır. Sonuçlar Tablo 3'deki gibidir.

Tablo 3: Öfkeli Araç Kullanımı Ölçeğine İlişkin Keşfedici Faktör ve Güvenilirlik Analizi Sonuçları

| | | |
|---|---|---|
| | Madde Sayısı | 11 |
| | Kaiser-Meyer-Olkin Örneklem Yeterliliği | 0,892 |
| Bartlett Küresellik Testi | Ki-Kare | 1539,548 |
| | Serbestlik Derecesi | 55 |
| | p | ,000 |
| | Güvenilirlik Katsayısı (Alpha) | 0,924 |

Veri seti faktör analizine uygundur (KMO>0,70). Faktör analizi sonucunda öfkeli araç kullanımı ölçeğini oluşturan maddelerin tek boyutta toplandığı görülmüştür. Kaiser-Meyer-Olkin örneklem yeterliliği katsayısı 0,892; güvenilirlik katsayısı (Cronbach's Alpha) 0,924 olarak tespit edilmiştir.

Agresif kişilik yapısının ve öfkeli araç kullanımının yaşa göre farklılık gösterip göstermediğini belirlemek üzere tek yönlü varyans analizi (ANOVA) yapılmıştır. Sonuçlar Tablo 4'deki gibidir.

Tablo 4: Agresif Kişilik Yapısının ve Öfkeli Araç Kullanımının Yaşa Göre Farklılığına İlişkin Tek Yönlü Varyans Analizi (ANOVA)

| | | Kareler Toplamı | Serbestlik Derecesi | Ortalama Kare | F | p |
|---|---|---|---|---|---|---|
| Agresif Kişilik Yapısı | Gruplar Arasında | 4,065 | 2 | 2,033 | 2,688 | ,071 |
| | Gruplar İçerisinde | 136,856 | 181 | ,756 | | |
| | Toplam | 140,921 | 183 | | | |
| Öfkeli Araç Kullanımı | Gruplar Arasında | 2,363 | 2 | 1,182 | 2,256 | ,108 |
| | Gruplar İçerisinde | 94,796 | 181 | ,524 | | |
| | Toplam | 97,159 | 183 | | | |

Fark yok (p>0,05)

Tablo 4'de görüldüğü gibi, analiz sonucunda agresif kişilik yapısında ve öfkeli araç kullanımında yaşa göre istatistiksel olarak anlamlı bir farklılık tespit edilmemiştir.

Agresif kişilik yapısının ve öfkeli araç kullanımının eğitim seviyesine göre farklılık gösterip göstermediğini belirlemek üzere Kruskal Wallis testi yapılmıştır. Sonuçlar Tablo 5'deki gibidir.

Tablo 5: Agresif Kişilik Yapısının ve Öfkeli Araç Kullanımının Eğitim Seviyesine Göre Farklılığına İlişkin Kruskal Wallis Testi

| | Agresif Kişilik Yapısı | Öfkeli Araç Kullanımı |
|---|---|---|
| Ki-Kare | 7,924 | 9,281 |
| Serbestlik Derecesi | 4 | 4 |
| p | ,094 | ,054 |

(p>0,05).

Tablo 5'de görüldüğü gibi, analiz sonucunda agresif kişilik yapısında ve öfkeli araç kullanımında eğitime göre istatistiksel olarak anlamlı bir farklılık tespit edilmemiştir.

Agresif kişilik yapısının ve öfkeli araç kullanımının tecrübeye göre farklılık gösterip göstermediğini belirlemek üzere Kruskal Wallis testi yapılmıştır. Sonuçlar Tablo 6'daki gibidir.

Tablo 6: Agresif Kişilik Yapısının ve Öfkeli Araç Kullanımının Tecrübeye Göre Farklılığına İlişkin Kruskal Wallis Testi

| | Agresif Kişilik Yapısı | Öfkeli Araç Kullanımı |
|---|---|---|
| Ki-Kare | 1,812 | 6,604 |
| Serbestlik Derecesi | 3 | 3 |
| p | ,612 | ,086 |

(p>0,05)

Tablo 5'de görüldüğü gibi, analiz sonucunda agresif kişilik yapısında ve öfkeli araç kullanımında tecrübeye göre istatistiksel olarak anlamlı bir farklılık tespit edilmemiştir.

Araştırmada kullanılan ölçeklerin birbirleriyle gösterdiği ilişkileri ortaya koyabilmek amacıyla Pearson Korelasyon analizi kullanılmıştır. Analiz sonucunda elde edilen korelasyon katsayılarına Tablo 7'de yer verilmiştir.

Tablo 7: Agresif Kişilik Yapısı ile Öfkeli Araç Kullanımı Arasındaki İlişkiye Yönelik Korelasyon Analizi

| | | **Agresif Kişilik Yapısı** | **Öfkeli Araç Kullanımı** |
|---|---|---|---|
| Agresif Kişilik Yapısı | Korelasyon Katsayısı (Pearson) | 1 | 0,562 |
| | p | | 0,000 |
| | N | 184 | 184 |
| Öfkeli Araç Kullanımı | Korelasyon Katsayısı (Pearson) | 0,562 | 1 |
| | P | 0,000 | |
| | N | 184 | 184 |

Tablo 7'de görüldüğü üzere, agresif kişilik ile öfkeli araç kullanımı arasında pozitif yönlü orta düzeyde (Pearson Korelasyon Katsayısı=0,562) anlamlı ($p<0,05$) bir ilişki olduğu tespit edilmiştir.

Agresif kişilik yapısının öfkeli araç kullanımı üzerinde istatistiksel olarak anlamlı bir etkisi olup olmadığını belirlemek üzere çoklu regresyon analizi uygulanmıştır. Analiz sonuçları Tablo 8'te özetlenmiştir.

Tablo 8: Agresif Kişilik Yapısının Öfkeli Araç Kullanımı Üzerindeki Etkisine İlişkin Çoklu Regresyon Analizi

| **R** | **$R^2$** | **F** | **p** | **Bağımsız Değişken** | **Beta** | **Standart Hata** | **t** | **P** |
|---|---|---|---|---|---|---|---|---|
| 0,562 | 0,315 | 83,834 | 0,000 | Agresif Kişilik | 0,562 | 0,051 | 9,156 | 0,000 |
| Sabit: 0,547 | | | | | | | | |
| Bağımlı Değişken: Öfkeli Araç Kullanımı | | | | | | | | |

Tablo 8'de görüldüğü üzere, agresif kişiliğin öfkeli araç kullanımı üzerinde %31,5 düzeyinde anlamlı ($p<0,05$) pozitif yönlü bir etkisi olduğu tespit edilmiştir.

## Sonuç

Yapılan çalışmada elde edilen sonuçlar hakkındaki nihai değerlendirmelere geçmeden önce şu konu üzerinde durulmalıdır. Bu çalışmanın yazındaki mevcut çalışmalardan farklı ve benzer yanları bulunmaktadır. Benzer yanı bireylerin kişilik ve davranışları arasındaki ilişkinin saptanmasına yönelik yapılmış olmasıdır. Farklı yanı ise kişilik ve davranış arasındaki ilişiklerin varlık ya da yokluklarının taksi şoförlerinin trafikte araç kullanırken onları nasıl etkilediğidir. Bu kapsamda yazında mevcut bulunan araştırmalara burada değinmekte fayda bulunmaktadır. Seymour Feshbach (1978:450), kişilik ve davranış arasında bir ilişkinin bulunmadığını, aksine kişilerin davranışlarının genel olarak sosyo-kültürel ve çevresel değişkenlerden etkilendiğini belirtmektedir. Yine kişilik ve davranış arasında bir ilişki tespit edemeyen Dan Olweus (1979:873) ise, davranışın, kişinin yaşadığı durumları bilişsel süzgecinden geçirerek meydana geldiğinden bahsederek, olumsuz davranış gösterilen yerde olumlu davranışların da gösterilebildiğini belirtmektedir. Bu nedenle davranışı kişilik yönünden değil yaşanılan olayların ve durumların özellikleri açısından açıklamaktadır. Diğer taraftan Neuman ve Baron (1998:405) da çevresel ve durumsal etmenlerin yanı sıra bireysel özelliklerin de agresif davranış kalıbı ile yakından ilişkili olduğunu belirtmektedirler. Bu çalışmalardan da açıkça anlaşılacağı üzere kişilik ve agresif davranış arasındaki ilişki ile alakalı kesin bir sonuç elde edilmiş görünmemektedir.

Araştırmanın amacı, taksi şoförlerinin agresif kişilik yapısının öfkeli araç kullanımı üzerindeki etkisinin ortaya konulmasıdır. Analizler sonucunda agresif kişilik yapısında ve öfkeli araç kullanımında yaş, eğitim seviyesi ve tecrübe gibi demografik özellikler açısından istatistiksel olarak anlamlı bir farklılık tespit edilmemiştir. Bu tespitin ana nedeni ise trafikte yapılan hataların sadece karşıdaki sürücüyü değil

sürücünün kendisini de olumsuz yönde etkileyecek olmasına dair bilinç olarak düşünülebilir. Diğer taraftan trafik kurallarının belirli kalıplardan oluşmasının da bu durumda etkili olduğu belirtilebilir. Örneğin trafik, "sürücü" kavramı içerisinde demografik özellikleri barındırmamaktadır. Aracı kullanan, demografik özelliklerinden çok kişinin bir "birey" olarak kendisidir, onun içsel ve bilişsel olarak yaşadıklarını ve gördüklerini nasıl yorumladığıdır. Bu nedenle taksi şoförlerinin agresif kişilik yapısı ve öfkeli araç kullanımı arasındaki ilişkisinin tespiti sonucunda agresif kişilik yapısı ile öfkeli araç kullanımı arasında pozitif yönlü orta düzeyde anlamlı bir ilişki olduğu; agresif kişilik özelliği arttıkça öfkeli araç kullanımının arttığı saptanmıştır.

Bu çalışma bu kişilik ve davranış arasındaki ilişkinin olup olmadığı yönündeki belirsizliğin giderilmesinde yardımcı olabilecek niteliktedir. Şöyle ki: trafikte meydana gelen ve agresif davranış gösterilmesine neden olan durumlar her zaman değil anlık gelişmektedir. Bu sebeple eğer agresif kişilik ile agresif davranış arasında bir ilişki var ise bu anlık durumlar beklenilmeden taksi şoförleri araçlarını agresif şekilde kullanabileceklerdir. Diğer taraftan agresif kişilik ile agresif davranış arasında bir ilişki yok şeklinde bir sonuç var ise taksi şoförleri o taktirde trafikteki bu anlık huzursuzlukları bir güdülenme aracı olarak algılayacaktır. Dolayısıyla meydana gelen "algılama" yine şoförlerin içsel ve bilişsel durumları ile ilgili olduğundan, bu durum bizi Freud'un açıklamalarına geri götürecektir. Bahsedilen bilgiler ışığında bu çalışma, gelecekteki benzer araştırmalara konunun detaylandırılması yönünde fayda sağlayarak toplu bir açıklama sunmaktadır.

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# Türk-Alman Şiirinde Göç Sonrası Yeni Kimlik Arayışı

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**Özet:** Altmışıncı yılını bu yıl tamamlayacak olan Almanya'ya göç serüveninin uzun yolculuğunda giderek kökleşen ve çeşitlenen Türk Alman yazını doğmuş ve gelişmiştir. Bir zamanların "gurbetçi yazını" olarak anılan Türk-Alman edebiyatı yazın da kendi içinde dört kuşak ve farklı yazın türlerini kendi içinde oluşturmuştur. Şiir tarzı da bu edebiyat içinde başından beri önemli bir yer edinmiştir. Gurbetçiliğin önemli bir ifade aracı olarak şiir, Türk Alman edebiyatı içinde üç kuşak boyunca kendine özgü ayrı bir yer edinmiştir. Birinci ve ikinci kuşak Türk Alman şiirlerinde vatan özlemi, hasret ve kimlik kaygıları konu edilmiştir. Üçüncü kuşak yani günümüz Türk Alman şiirinde ise yeniden bir kimlik sorunsalının konu edindiği görülmektedir. Bu yeni kimlik sorgulaması Avrupalı Türklerin kendi yerini sorgulamak anlamını da taşımaktadır. İki dillilik, iki vatanlılık ve tüm bunlara rağmen yabancılık duygusu iyiden iyiye kendini giderek hissettirmektedir. İki kültürlü ve hatta Almanya gibi çok kültürlü toplum yapısı içinde çokkültürlülük konusu biçimsel olarak dile de yansımış ve iki dilli şiirler de yazılmaya başlanmıştır. Altmış yılı doldurmasına rağmen Avrupalı Türkler kendilerini izole edilmiş, yalnızlaştırılmış ve ötekileştirilmiş hissetmektedirler. Tamer Düzyol ve Taudy Pathmanathan'ın derledikleri "Haymatlos" şiir kitabında farklı kültürlere ait ama Almanyalı pek çok şairin şiirleri yer almaktadır. Hemen hepsinin ortak noktası ise pek değişmemiş olan ötekileştirme süreci ve bunun yarattığı bunalımlardır. Eleştirel bir yaklaşımla dile getirilen yabancılık, düşmanlık ve vatansızlık duyguları, yeni dönem Türk Alman şiirinin başlıca karakteristiği durumuna gelmiştir. Bu çalışmada da vatansızlık izleği seçilen şiirler bağlamında ele alınmıştır.

**Anahtar Kelimeler:** Türk Alman Yazını, Göç Yazını, Almanya, Şiir, vatansızlık.

# The Search for a New Identity in Turkish-German Poetry after Migration

**Abstract:** On the long journey of immigration to Germany, which will complete its sixtieth year this year, the Turkish-German summer, which gradually takes root and diversifies, was born and developed. Turkish-German literature, once known as "migrant literature", has created four generations and different types of literature within itself. The style of poetry has also gained an important place in this literature from the very beginning. As an important means of expression of migratıon, poetry has gained a distinct place in Turkish-German literature for three generations. In the first and second generation Turkish German poems, homesickness, longing and identity concerns are the subjects. In the third generation, that is, today's Turkish-German poetry, it is seen that a problematic of identity has become the subject again. This new identity questioning also means questioning the place of European Turks. Bilingualism, bilingualism, and despite all this, the feeling of foreignness makes itself felt more and more. The issue of multiculturalism in a bicultural and even a multicultural society like Germany has been reflected in the language formally and bilingual poems have started to be written as well. Although it is sixty years old, European Turks feel isolated, isolated and marginalized. The poetry book "Haymatlos" compiled by Tamer Düzyol and Taudy Pathmanathan includes the poems of many German poets belonging to different cultures. The common point of almost all of them is the unchanged marginalization process and the crises it created. Feelings of strangeness, hostility and statelessness expressed with an e-critical approach have become the main characteristic of Turkish-German poetry in the new period. In this study, the theme of statelessness is discussed in the context of selected poems.

**Keywords**: Turkish German Literature, Immigration Literature, Germany, Poetry, statelessness.

## 1. GİRİŞ

Bu yıl altmışıncı yılının kutlandığı Almanya'ya ekonomik göçün edebiyatı bağlamında Türk-Alman şiiri altmış yıllık gelişim öyküsüyle beraber geçirdiği evreler de kısaca derlenmeye çalışılmıştır. 30 Ekim 1961 tarihinde Ankara antlaşmasıyla diğer ülkelerle birlikte Türkiye'den de ilk işçi kafileleri trenlerle Almanya'ya yola koyulmuştur. Kara tren yolculukları ilerleyen yıllarda gurbetçilerin kendi özel araçlarıyla uzun ve yorucu asfalt yolculuklarına dönüşmüş, acı tatlı pek çok yolculuk hikâyelerine kaynaklık etmiş ve halen de devam etmektedir. Altmışlı yılların Türkiye'sinde hızlı bir biçimde köyden kentlere göçlerin yaşandığı ortamda gurbetçilerin çoğu köylerinden henüz şehir yüzü görmeden Avrupa'ya Almanya'ya geçici bir süreliğine yola koyulurken gurbeti vatan edebileceklerini belki de hiç düşünmemişlerdi.

Almanlar da bu geçici işgücünün kalıcı olacağını düşünmemişti doğrusu. Onlar Max Frisch'in deyimiyle "yalnızca işgücü istemişlerdi ama insanlar gelmişti". Anadolu'dan kalkıp yollara dökülen yüzlerce gurbetçi bambaşka bir dünyaya yola koyulmuş, dilini bilmediği bambaşka bir kültürle karşılaşmışlardı. Almanlar için de durum aynıydı. Doğudan, bambaşka bir dünyadan hiç bilmedikleri, tanımadıkları ve dillerini bilmedikleri yabancılarla karşılaşmışlardı. Farklı kültürlerin karşılaşma noktasında elbette dilsizlik, iletişimsizlik ve yabancılaşma gibi çok büyük sorunlarla karşılaşmışlardı bu insanlar. Dertlerini vücut diliyle anlatmaktaydılar. Almanya'da birinci kuşak göçmen yazını neredeyse tamamen Türkçe yazılmaktaydı. Ancak günümüze gelene kadar ikinci kuşakta Türkçe ve Almanca eserler yarı yarıya bir orana sahip iken, üçüncü kuşakta artık eserlerin neredeyse tamamının Almanca yazıldığı görülmektedir. Almanca yazan üçüncü kuşak sayesinde Alman yazını içinde kendine bir yer ettiği ama diğer taraftan da Türk okurlara uzaklaştığı söylenebilir. Çevirileri olabildiğince az sayıdadır. Bunun da başlıca nedeni, eserlerin içeriklerinin doğrudan Türk okura hitap etmemesi sayılabilir. Bugün için üçüncü kuşak yazını Alman yazınının bir parçası sayılmakta Türk-Alman yazını gibi bir takım isimlerle anılmaktadır. Son dönemlerde de göç sonrası Türk-Alman yazını gibi belirtmeler de kullanılmaktadır (Bkz. Karakuş, Yeşilada vd.).

Kavram belirlenmesinde yine Almanyalı Türkler'in etkisinin olduğu düşünülmektedir. Birinci kuşak bağlamında ilk Almanya'ya gidenler gerçek anlamda konuk işçi olarak gitmişlerdi. Bir süre çalışıp, kazandıkları parayla memleketlerine dönmek başlıca amaçları idi. Bu yüzden o dönemin yazını da konuk işçi yazını olarak anılmış, bugün de aynı terim birinci kuşak için kullanılmaktadır. Seksenli yıllardan itibaren ise değişen şartlar, memleketten getirilen eş ve çocuklar derken konukluk süreci giderek uzamış, yerini zamanla yeni yurtlarında kalıcılığa bırakmıştır. Bu anlamda kesin dönüş pek çok Almanyalı Türk için mitleşmiştir, denebilir. Değişen bu yeni koşullarıyla konuk işçi yazını, Almanya'da kalıcı olmaya başlayan yabancıların yazınını belirtmek için yabancı yazını olarak anılmaya başlandı. Elbette bu yazın iki kutuplu olup bir tarafı Türk, diğer tarafı da içinde yaşadığı Alman toplumu olduğundan, toplumsal ve kültürel olarak bir arada yaşamanın yarattığı kültürlerarasılık kavramı gelişmiştir. Bu yüzden göçmen yazınının adı da kültürlerarası yazın olarak anılmaya başlanmıştır.

## 2. GÖÇMEN YAZININDA ŞİİR

Türk Alman yazını ya da Türk Göçmen yazını bağlamında her bir metin türüne örnekler bulunmaktadır. Bugün için şiir, roman, oyun, deneme, vb. yazın türlerinde pek çok çeşitlenme görülmektedir. Nitekim ikiyüze yakın Almanya'da yaşayan Türk kökenli sanatçı bulunmaktadır ve hemen her türde eserler verildiği görülmektedir. Ayrıca yazın türleri içinde konusal ayrımlarda da çeşitlilik mevcuttur; örneğin çocuk ve gençlik yazını, kadın göçmen yazını vd. gibi. Tüm bu anılan türler içinde şiirin geleneksel bir yanı ve de yeri olduğu değerlendirilmektedir. Brezina'nın (2003) belirttiği gibi göçmen yazını şiirle başlamıştır denebilir. Almanya'ya Türk göçünün başladığı altmışlı yıllarda en kısa, öz ve en çabuk yazılan şiir türünde eserlerin verilmiş olması rastlantı olmasa gerek. Göçe düzülen türküler, şarkılar da sayılırsa; iş, göç ve en önemlisi de ayrılıklarla başlayan göç süreci, yaban ellerde kendini memleket özlemine, eş ve çocuklara özleme bırakmıştır. Bu anlamda Türk Alman yazınında ilk şiirler, birinci kuşağın yazar ve şairlerinden gelmiştir, örneğin; Yüksel Pazarkaya, Aras Ören gibi. Bu ilk şiirlerde birinci kuşağın temel konuları olan vatan özlemi, yabancılık vb. gibi konular ele alınmış ve şiir türü bu duygulara tercümanlık işlevini üstlenerek ifade aracı olmuştur.

İkinci kuşak Türk Alman yazınında diğer yazın türleri arasında şiir de yerini korumaktadır ve ikinci kuşağın temel sorunu olan kimlik sorunsalını dile getirmekte ve sorgulamakta bir ifade aracıdır. Söz konusu kimlik sorunsalı, hiçbir yere ait olamama ile birlikte her iki kültüre de aitlik hissi gibi varoluşsal çelişki barındırmaktadır içinde. Bu ikilem neredeyse tüm ikinci kuşak şair ve yazarlarında belirgin olarak gözlemlenir. Özellikle de kimlik sorunu, iki kültür arasında kalmışlık gibi sorunlar Türk-Alman şiirinde de bolca dile getirilmiştir. Bu sorunsal ikinci kuşaktan günümüze kadar pek çok şairin dizelerinde dile getirilir olmuştur. Tüm bu dizelerde köklerini arayan bir söylemin var olduğu ifade edilebilir.

## 3. ŞİİR VE YENİ KİMLİK ARAYIŞI

Göçmen yazınında kimlik sorunsalı ikinci kuşak sanatçılarında yoğun bir şekilde ele alınmış ve konularının çoğu bu eksende oluşmuş idi. Bu kimlik sorunsalının temel konusu ise iki kültür arasında kalmışlığın yarattığı ikilem ve çatışmalar ile belli bir yere ait olamamak idi. Üçüncü kuşak, yani günümüz sanatçıların

eserlerine bakıldığında ise yeniden fakat bu sefer farklı bir kimlik sorunsalının oluştuğu görülmektedir. Üçüncü kuşakta kimlik belirgindir ve bu Almanyalılıktır. Avrupalı Türkler olarak kendilerini tanımlayan bu kuşağın çoğunluğu Almanya'da doğmuş, büyümüş ve orada yaşamaktadırlar. Memleketleri, doğdukları yer olan Almanya'dır. Fakat dışsal etkilerle, Almanya'nın gündelik siyaseti, giderek yükselen yabancı düşmanlığının etkisiyle dışlanmışlık duygusuna kapılan Almanyalı Türklerde farklı kimlik sorunları da böylelikle doğmuş görünmektedir. 2020 yılında ikinci baskısını yapan "Haymatlos" kitabında farklı kültürlerden ya da azınlıklardan pek çok şair bir araya gelerek eserlerini tek kitapta birleştirdiler ve bu yeni kimlik sorununu konu ettiler.

## 3. 1. YENİ KİMLİK ARAYIŞI SORUNU OLARAK VATANSIZLIK

"Haymatlos" kitabının başlığı vatansızlık anlamına gelmektedir. Kısaca Almanyalı Türklerin vatansızlık duygularını ifade ettiği söylenebilir. Tamer Düzyol ve Taudy Pathmanathan'ın hazırladıkları kitapta farklı kültürlerden toplam 49 sanatçının şiirleri yer almaktadır. Bazıları bir, birçoğu da birden fazla şiir ile kitaba katkıda bulunmuşlardır. Bu şairlerin neredeyse tamamı "Heimat" yani vatan kavramını ele almaktadır eserlerinde. Eserlerde gözlemlenen en önemli ve göze çarpan özelliklerin başında ise dekonstruktif bir yöntemle dille oynamalıdır. Bazı iki dilli karma yazım, bazı bilerek yanlış yazımlara yer verilen eserlerde biçimsel olarak da yabancılaşmanın ve ötekileştirmenin farklı bir ifadesi kullanılmıştır denebilir. Eser başlıklarına bakıldığında "Heimat"(vatan), "Heimatgedicht"(memleket şiiri), "Haymatlos"(vatansız), "Home"(ev / vatan), "Heimat(los)" (vatan(sız)), "Mayn Heimat ist (yanlış yazımla vatanım…) gibi vatan içerikli başlıkların oldukça yer ettiği görülür. Bunun yanında kimlik kavramına gönderme yapan eser başlıkları da bulunmaktadır; "Idendity", "Woher kommst Du" vd.

Gülay Gün'e ait "Heimat(los)" adlı şiire bakıldığında;

*"Heimat… Heimat ist schwierig*
*Heimat ist lose*
*Heima at*
*Atma*
*Bitte nicht*
*Haymat*
*Memleket*
*Memleket doğduğun yer değil, doyduğun yerdir*
*İch bin ja satt*
*Satt*
*Satt*
*Hab's satt*
*Hab den Rassismus satt. Die Tode satt. Die Hetze satt.*
*Satt!*
*Nicht mehr, kann nicht mehr essen, bin doch satt*
*Mein Haymat.*
*was?*
*Mein Haymat*
*Wo?*
*Da!*
*Zack!*
*Zwei Löcher im Pass*
*Çöpe at*
*Atma*
*bitte nicht.*
*Zack!*
*Ein Stempel im Pass.*
*(Heimatlos)*
*Kampa at / Atma / bitte nicht*

*(s. 142-143)*

Memleket kavramı ile başlayan şiir, "zordur memleket" içeriğiyle devam etmektedir. İlginç olarak iki dilli şiirlere de örnektir. Almanca çağrışımıyla birlikte Türkçe olarak iki sözcük bir yerde kullanılmış ve "Hayma at" ifadesiyle Almanyalı Türklerin konuşma dilinde yurda at anlamı yaratılmıştır. Yurt burada barınak ya da göçmenlerin bir arada toplu kaldıkları yerlerdir. Hemen ardından Türkçe olarak gelen ve Almanca

devam eden atma, lütfen gibi rica, yalvarma bildiren ifadeler var. Kısa bir memleket tanımına yer verirken aslında göçmenlerin neden orada olduklarına dair gönderme de yapılmış olabilir diye yorumlanabilir. Doymak için Almanya'ya geldiler anlam çıkarımı yapılabilir. "Satt" sözcüğü ile devam eden şiirin bölümünde sözcüğün anlamı aynı zamanda "artık yeter", "burama geldi" gibi anlamlar da içerdiğinden, "Satt" ifadesi sıklıkla tekrarlanarak vurgulanmıştır, aynın "yeter, yeter, yeter…." der gibi ifade çağrıştırılmıştır. Memleket dediğin simgesel olarak kâğıt üzerinde bir mühür… İmgesiyle tüm o bürokratik süreçlere, göçmenliğin yaşamak zorunda kaldığı bilgi, belge evrak çöplüğüne de gönderme yapmaktadır.

Tamer Düzyol ve Taudy Pathmanathan'ın da şiirlerinin bulunduğu kitapta yer alan önsözlerinde vatansızlık konusu ve kimlik çatışmalarına yer verilmiş tüm bu duygular "Kanakstan" kavramıyla Almanyalı Türkleri jargon gündelik diline gönderme yapılarak o dille dile getirildiği açıklanmıştır. Bu anlamda Kanakstan kavramı aynı zamanda vatansızların, kendilerini ötekileştirilmiş hissedenlerin vatanı olarak da yorumlanabilir. Simgesel olarak kitap, vatansızların memleketi ya da memleketsizliği olmuş durumdadır. Şairlerin önemle vurguladıkları bir konu da "Rassismus" kavramı yani ırkçılıktır. Önsözde de ırkçılığa karşı bir karşıt hareket, ifade karşı duruş olarak gösterilmektedir kitap; "Haymatlos politik ve karşıttır, güçlüdür, özgündür ve yeni bir duruş, yeni bir yerdir" olarak tanımlanır önsözde. Bu bakımdan gerek yazın, gerek siyasal anlamda da bir program iddiası taşır. Şiirler arasında geçen Semra Ertan'ın şiiri "Mein Name ist Ausländer" (benim adım yabancı) şiiri de baskın kültür olarak Alman toplumunun düşünce kalıplarında sınırlandırılan yabancı imgesine vurgu yapmaktadır;

*"Ich arbeite hier*
*İch weiss wie ich arbeite*
*Die Deutschen wissen es auch*

*Meine Arbeit ist schwer*
*Meine Arbeit ist schmutzig*
*Das gefällt mir nicht, sage ich*
*"wenn dir die Arbeit nicht gefällt,*
*Geh in deine Heimat", sagen sie (…) (s. 166-167)*

Burada çalışıyorum ve nasıl çalıştığımı ben biliyorum, Almanlar da biliyor. İşim ağır, işim pis diyorum, hoşuma gitmiyor. İşi beğenmiyorsan memleketine dön diyorlar (Almanlar) olarak çevrilebilecek şiirde yabancı bir işçinin durumu ve bu durumda Almanların bakışı yansıtılmaktadır. Sadece işgücü olarak görülen, orada uzun yıllardır yaşayan ve orayı yurt edinmiş olmasına rağmen "yabancı" olarak görülen bireyin haykırışıdır bu. İronik olarak da "benim adım yabancı" ifadesiyle baskın kültürün kalıplı düşüncesini, önyargısını dile getirmektedir.

Aynı eser içinde yer alan Yasmin Taheri adlı sanatçının şiiri "Auf der Suche nach Heimat"(s. 131) son dönem tartışılan varoluşsal memleket, vatan kavramlarına gönderme yapmaktadır:

Uzunca yazılmış şiirin kendi içinde bölümleri bulunmakta ve her bir bölümde varoluşsal sorular sorulmaktadır. Birinci bölümde ev sahibine seslenir bir retorik oluşturulmuş ve senin köklerin burada söylemiyle vatansızlık duygusu dile getirilmiştir. İkinci bölümde "was ist Heimat?" sorusuyla devam eden dizelerde ise kalmak değil, ayaklanıp, harekete geçip gitmek kavramı üzerinde durulmaktadır. İlerleyen dizelerde bu duygunun gerekçeleri sıralanmakta ve öne sürülen fikirler, yol ve yolculuk kavramına odaklanmaktadır:

*"(…)*

*Die Wahrheit ist,*

*İch bin ein Reisender,*

*Der sich zwischen der Welten auch mal verirrt,*

*Fehler macht und gerne umherschwirrt.*

*(…)*

*Die Wahrheit ist, ich bin ein Reisender und der Weg ist meine*

*Heimat" (age. s. 133)*

Dizeler boyunca yapılan sorgulamalar sonucu gelinen nokta gezginciliktir. Yollarda olmak memleketin diğer adı olmuştur. Yolları memleket eden bir anlayışın ifadesi dile getirilmektedir.

## 4. SONUÇ

Altmış yıllık bir yazın birikimi içinde farklı ad ve kavramlarla anılan ve ilk başlarda yazın dünyasındaki çevrelerce çok ciddiye alınmayan Türk-Alman yazını zamanla oldukça geniş çeşitliliği ve birikimiyle adından söz ettirir hale gelmiştir. Bu birikim içinde şiir de kendi yolunu çizmiş, altmış yıllık süreçte üç kuşak boyu evrilerek günümüze kadar gelmiştir. Günümüzde Türk Alman şiiri daha uluslararası ve çokkültürlü bir yapıya bürünmüştür denebilir. Bu yapının en önemli göstergesi de "Haymatlos" tarzında son yıllarda ortaya konan eserlerdir. Bu yazınsal ürünlerin çoğunda yalnızca Türk değil, diğer kültürlerden sanatçılar da eserleriyle varlık göstermektedir. Ev sahibi Almanların da bu yazın bağlamında yer aldıkları görülmektedir. Böylelikle "postmigration" ya da "kültürlerarası yazın" olarak tanımlanan göç sonrası yazın bağlamında yeni arayışlar, yeni varoluş biçimlerinin ortaya çıktığı görülmektedir. Yazın dünyasında yaşanan tüm bu yenilikler hem Alman yazını hem de Türk yazın dünyasına zenginlikler kattığı değerlendirilmektedir.

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# J. D. Salinger ile E. Serbes'in Eserlerinin Ergen Roman Bağlamında Karşılaştırmalı İncelemesi

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**Özet:** Ergen roman, ergenlerin bunalımlı geçiş dönemlerini ya doğrudan konu olarak ele alır ve öyküleştirir ya da ergenlik süreci bağlamında yaşadıkları bir takım ilk veya kilit ya da sınır deneyimlerini metinleştirmektedir. Her durumda ergen kişinin yetişkinliğe geçiş döneminde edinmeye çalıştığı yeni kimliğin varoluş sancıları asıl ve yan olaylarla metinleştirilerek öyküleştirilir. Bu araştırmanın konusu Amerikan yazınının önemli isimlerinden olan Jerome David Salinger'in "Çavdar Tarlasında Çocuklar" romanı ile Türk yazınından olan aynı zamanda "Behzat Ç." gibi tanınan bir dizinin senaristi olan Emrah Serbes'in "Erken Kaybedenler" romanı gençlik yazınbilimi açısından incelenmiştir. Her iki romanında konusu ergenlik çağında olan kişilerin yaşamlarından bunalımlı ergenlik dönemleri sürecinde yaşadıkları belli bir kriz dönemi konu edilmiştir. Kişiler diyebiliyoruz çünkü ne çocukturlar ne de gençtirler. Araştırmanın amacı çocuk ve gençlik yazınındaki bu eserleri karşılaştırarak söz konusu bunalımlı ergenlik dönemlerinin öykünüş ve kurgulama biçimlerinin ortaya konmasıdır. Araştırmanın evrenini çocuk ve gençlik yazını, örneklemini ise J. D. Salinger'in "Çavdar Tarlasında Çocuklar" ve Emrah Serbes'in "Erken Kaybedenler" romanı oluşturmaktadır. Çalışmanın sınırlılığı ergenlik, çocuk ve gençlik yazını, "Çavdar Tarlasında Çocuklar" adlı eser ile "Erken kaybedenler" romanı ile sınırlandırılmıştır. Araştırma konusu olan eserlerde dil, üslup ve karakterlerin isyankâr, asi ve eleştirel tavırlar birbirlerine benzerlik taşımaktadır. Her iki romandaki karakterler de ergenlik çağındadır. Emrah Serbes'in "Erken Kaybedenler" kitabı sekiz öyküden oluşmaktadır. Bu öykülerdeki bazı karakterler ve J. D. Salinger'in "Çavdar Tarlasında Çocuklar" kitabındaki karakter de yakınını kaybettikleri için intikam, öfke ve nefret gibi olumsuz duyguları hissederler. Eserlerdeki farklılıklar ise birisi Türk diğeri Amerikan yazını olduğu için dil farklılığı, kültürel, toplumsal, dini, coğrafya gibi farklılıklar göstermektedir.

**Anahtar Kelimeler:** Ergenlik, Çocuk ve Gençlik Edebiyatı, Gençlik, Edebiyat

# Comparative Analysis of J. D. Salinger and E. Serbes Works in the Context of Adolescent Novels

**Abstract**: On the long journey of immigration to Germany, which will complete its sixtieth year this year, the Turkish-German summer, which gradually takes root and diversifies, was born and developed. Turkish-German literature, once known as "migrant literature", has created four generations and different types of literature within itself. The style of poetry has also gained an important place in this literature from the very beginning. As an important means of expression of migratiıon, poetry has gained a distinct place in Turkish-German literature for three generations. In the first and second generation Turkish German poems, homesickness, longing and identity concerns are the subjects. In the third generation, that is, today's Turkish-German poetry, it is seen that a problematic of identity has become the subject again. This new identity questioning also means questioning the place of European Turks. Bilingualism, bilingualism, and despite all this, the feeling of foreignness makes itself felt more and more. The issue of multiculturalism in a bicultural and even a multicultural society like Germany has been reflected in the language formally and bilingual poems have started to be written as well. Although it is sixty years old, European Turks feel isolated, isolated and marginalized. The poetry book "Haymatlos" compiled by Tamer Düzyol and Taudy Pathmanathan includes the poems of many German poets belonging to different cultures. The common point of almost all of them is the unchanged marginalization process and the crises it created. Feelings of strangeness, hostility and statelessness expressed with an e-critical approach have become the main characteristic of Turkish-German poetry in the new period. In this study, the theme of statelessness is discussed in the context of selected poems.

**Keywords**: Turkish German Literature, Immigration Literature, Germany, Poetry, statelessness.Key Words: Key Word, Key Word, Key Word

## 1. GİRİŞ

Gençlik-yazınsal eserlerde birçok alan ve konuların yanı sıra asıl ağırlık konusu ergen kişinin kendi ergenlik dünyası, bunalımları ve bu süreçte yaşadığı çatışma, çelişki ve ikilemlerdir. Tüm bunlar roman

türleri içinde polisiye, macera, fantastik, sorun odaklı vb. içinde belli bir takım olay kurguları etrafında yer alır ama başkahraman olan ergen kişinin dünyası içinde metinleştirilir. Ergenlik konuları Avrupa ve Amerika'da olduğu gibi Türkiye'de de giderek önem kazanmış ve daha çok ergen romanlar yayımlanır olmuştur. Oluşan bu yazınsal birikim zamanla genel olarak yazınbilimin doğmasını sağlamış bu kavram altında ayrıca gençlik yazın bilimi gibi bir alt alanın doğmasını da sonuçlandırmıştır. Bu araştırmada 1951 yılında J. D. Salinger tarafından yazılan "The Catcher in the Rye", Türkçe başlık çevirisi ilk olarak Can yayınlarında "Gönülçelen" başlığı ile yayımlanmış (çev. Adnan Benk) daha sonra YKY tarafından yayımlanan eser Coşkun Yerli'nin çevirisi ile "Çavdar Tarlasında Çocuklar" başlığıyla yayımlanmıştır. Emrah Serbes tarafından yazılan "Erken Kaybedenler" romanı da 2009 yılında yayımlanmıştır. Bu çalışmadaki amaç Türk yazınında yazılmış Ergen Romanı ile Amerikan yazını eseri olan ergen romanını gençlik yazınbilimi açısından incelemektir. Her iki eserde kendi toplumuna ait kültürel motiflere yer verilmiştir, ergenler bir taraftan yetişkinlere, arkadaşlarına ve dünyaya olumsuz bir gözler bakarken diğer taraftan umutla bakmaktadır, bu durum da onların ergenlik bunalımı içerisinde yaşadığı olumlu ve olumsuz olayları romanlara yansıtmaktadır. Bu araştırmada ergenliğin bilimsel olarak tanımı yapılıp yazın alanındaki yeri incelenecektir. Daha sonra her iki eserden bahsedilip karşılaştırma yapılacaktır.

## 2. ERGENLİK KAVRAM VE AÇIKLAMASI

Araştırmanın bu bölümünde bütün insanların yaşamış olduğu fizyolojik bir dönem olan ergenlik döneminden bahsedilecektir. Türk dil kurumuna göre ergenlik "Cinsel organların fizyolojik gelişmesiyle başlayan, buluğa ermişlikle yetişkinlik arasındaki dönem, yeni yetmelik, ergenlik çağı" (Türk Dil Kurumu) anlamına gelmektedir. Birey doğduğu andan itibaren ölümüne kadar birçok fiziksel ve ruhsal değişiklikler gösterir, ergenlik durumu da bireyin çocukluğu ile yetişkinliğe geçişi sırasında kalan bir dönemdir. Yapılan araştırmalara bakıldığında ergenlik yaş ortalaması 12-18 hatta bu rakam 11-22 gibi farklılıklar göstermektedir. Her şey 12 yaşında değil bireyin doğumundan itibaren başlamaktadır. "O yüzden her şey ergenlik döneminde başlamıyor, ergenlik döneminde bitiyor. Çocukluk döneminden itibaren birtakım şeyler oluşmaya başlıyor, ama ergenlik dönemi bu oluşumları yaşadığımız son dönemdir" (Öztürk, 2011: 4). Ergenlik döneminde fiziksel, ruhsal, cinsel olarak bireyde farklılıklar meydana geliyor. Bireylerde bu farklılıklar içerisinde değişmeye başlıyor. "Bu değişkenlik içerisinde tabiî zaman zaman bir şok olma, şaşırma, bedeninden şikâyet etme, kendini beğenmeme, kendini sorgulama, büyümeye karşı itiraz ve red söz konusu olabileceği gibi, ergen, bir süre sonra bu yeni tabloya alışmaya ve barışık yaşamaya da başlayabiliyor" (Öztürk, 2011: 5). P. Blos'un yaptığı ayrımlara göre ergenlik dönemi beş bölüme ayrılmaktadır:

- *Ön ergenlik* *(Präadoleszenz)*
- *Erken ergenlik* *(Frühadoleszenz)*
- *Asıl ergenlik* *(eigentliche Adoleszenz)*
- *Geç ergenlik* *(Spätadoleszenz)*
- *Ergenlik sonrası dönem* *(Postadoleszenz)*

Bunların içerisinde ergenlik sonrası dönem (Postadoleszenz), yetişkinlik ile gençlik dönemleri arasında yer alan bir geçiş sürecidir. En önemli özelliği de, deneyim ve yaşantıdır. Bu dönemin uzaması veya kısalması, kişilerin yetişkinler dünyasına geçişteki uyum sürecine karşı gösterdikleri kabul ya da karşıt tutumlarına bağlıdır. Ancak burada toplumsal roller, toplumsal-kültürel etkenler de önemli rol oynar. Bu bakımdan kesin yaş sınırlamaları yapılmamakla beraber, günümüzde çocukluk çağının erken bitişi ve gençlik döneminin uzaması nedeniyle, ergenlik çağının yaş ortalaması 12 ile 30 yaş arası olarak gösterilmektedir (Sauerbaum 1999: 205). Bu yaş sınırlaması, toplumsal değişimlere bağlı olarak değişir. U. Abraham da (1998: 95) erinliği ruhsal-bedensel, ergenliği de ruhsal-toplumsal olgu olarak tanımlar. Ayrıca Abraham, ergenlik dönemini bir insan için gelişim dönemi değil, tersine ara dönem; ara konum olarak betimler (Abraham 1998: 95). Böylelikle ergenlik, Abraham'ın deyimiyle kimliğin, ya da benliğin ikinci doğuşudur. Özyer ise bu yaş sınırlamasını ülkemiz gençliği için 14–25 olarak göstermektedir (Özyer 1994: 62). Ancak günümüz değişen yaşam ve toplumsal koşullar bağlamında ergenlik dönemi için 12–30 yaş sınırlamasını yapılabilir.

Kısacası ergenlik kavramı, bireyin doğuşundan itibaren başlayan yaşantısı, ailesi, çevresi, olumlu ve olumsuz her türlü fiziksel ve ruhsal olayların ergenlik döneminde belirgin bir şekilde meydana gelmesi demektir . Yaşanılmış olumlu ve olumsuzlukların ergenlik dönemiyle ortaya çıkıp ergenlik dönemi sonunda artık bir birey yetişkin olarak topluma girer. Bu bağlamda ergenlik dönemi yalnızca fiziksel-biyolojik bir süreç değil, psikolojik-toplumsal bir dönemdir aynı zamanda.

## 3. YAZIN ALANINDA ERGENLİK

Araştırmanın bu bölümünde ergenlik kavramının yazın dünyası içindeki yeri incelenecektir. Ergenlik terimi İngilizcede "Adolescence", Almancada ise "Adoleszenz" olarak Literatüre geçmiştir. Türkçede de "Adölesan" olarak da kullanılır ergenlik terimi. Ancak Türkçe kavram olarak Ergen Roman, Ergen Yazın denmesi daha doğru olacaktır. Yazınsal eserlere bakıldığında farklı türlerden konular yazınsal eserlerde yer bulmuştur. Tarihi, felsefi, mitolojik, dini, sosyolojik, gençlik ve çocuk gibi birçok alan konusu yazında yer almıştır. Ergenlik konusu da yazınsal eserlerde kendine ergenlik romanı olarak yer bulmuştur. Ergenlik romanı konusunun tanımına bakılacak olursa "Ergenlik romanı genel olarak eser başkişisi olan ergen kahramanın kimlik sürecini ve ergenlik dönemini yaşadığı süreçte söz konusu olan ergenlik bunalımları ile kimlik bunalımları çerçevesinde gerçekleşen gençlik ya da ergenlik dünyasına özgü olayları konu edinen gençlik romanlarıdır, diye tanımlanabilir" (Asutay, 2013: 8). Ayrıca Ergenlik Roman türleri Eğitim Romanı, Gelişim Romanı ve Jeans Yazını olarak üç ayrı kısımdan oluşmaktadır (bk. Asutay, 2013: 9). J.D. Salinger'in bu romanı da gençlik edebiyatı tarihsel dönemler açısından yetmişli yıllardaki öğrenci hareketleri dönemine denk gelmektedir ve bu nedenle "Jeans Roman" olarak anılmaktadır (Bkz. Dodorer 1980).

### 3. 1. J. D. SALİNGER'İN "ÇAVDAR TARLASINDA ÇOCUKLAR" ADLI ESERİNİN İNCELENMESİ

Jerome David Salinger 1 Ocak 1919 yılında New York'ta dünyaya gelmiştir. Salinger' in babası Polonyalı bir Yahudi, annesi ise yarı İrlandalıydı. Ayrıca kendisinden 8 yaş büyük bir ablası vardı. İlkokulunu Mc Burney okulunda bitirdi ve okul yıllarındayken okul tiyatrolarında yer alıyordu, bu yüzden ailesi onun oyuncu olacağını düşünüyordu. Valley Forge Military Akademi'yi kazandığı zaman baskıcı annesinden uzaklaşabileceği için çok sevinmişti. McBurney' de okurken okul gazetesinde yazıyordu. Bu dönemlerde kısa hikâyelerine başlayan J.D. Salinger yatılı okulda okuduğu için hikâyelerini gizli gizli yatağın içinde örtünün altında yazıyordu. 1936 yılında New York Üniversitesi'ni kazandı. Daha sonra okuldan ayrılıp babasının işine döndü. Babası onu Viyana'ya gönderdi. Hitler'in Avusturya'ya girmeden 1 ay öncesinden orayı terk eden Salinger, ertesi yıl Collegeville Ursinus Üniversitesi'ne gitti. Burada da sadece 1 dönem okuyabilen Salinger 1939 yılında Colombia Üniversitesi'nde yazarlık okumaya başladı. Burada ilk yayınını "The Young Folk" hikâyesiyle yaptı. Salinger 1942'de ABD'nin II. Dünya savaşına girmesinden birkaç ay sonra orduya katıldı. Burada Ernest Hemingway ile tanıştı ve savaşın çirkin yüzünü gördüğünden dolayı ruhsal çöküntüye giren Salinger bir süre hastanede tedavi gördü. 1951 yılında başyapıtı olan "The catcher in the Rye" adlı kitabı basıldı. Bu kitap eleştirmenler tarafından sevilmese de okuyucuların ilgisini çekmişti. Bir süre sonra tanınmaya başlayan Salinger toplumun ilgisinden sıkıldığı için New York'tan New Hampshire' e taşındı. Agresif tavrı ve gözlerden uzak yaşamıyla tanınan Salinger, 1980 yılından sonra hiçbir gazeteye röportaj vermedi. 27 Ocak 2010 yılında Cornish, New Hampshire, ABD'de hayatını kaybetti.

*Kitapları:*

*1948 - Muz Balığı için Mükemmel Bir Gün*

*1948 – Sarsak Dayı Connecticut'ta*

*1948 – Eskimolarla Savaştan Hemen Önce*

*1949 – Gülen Adam*

*1949 – Teknede*

*1950 – Esme için – Sevgi ve Yoksunlukla*

*1951 – Çavdar Tarlasında Çocuklar / Gönülçelen*

*1951 – Yeşil Gözlüm, Al Dudaklım*

*1952 – De Daumier-Smith'in Mavi Dönemi*

*1953 – Dokuz Öykü*

*1955 – Franny*

*1955 - Yükseltin Tavan Kirişini, Ustalar*

*1957 – Zooey*

*1959 – Seymour: Bir Giriş*

*1961 – Franny ve Zooey*

*1963 – Yükseltin Tavan Kirişini, Ustalar ve Seymour: Bir Giriş (Biyografi.info).*

1951 yılında J. D. Salinger tarafından yazılan orijinal ismiyle "The Catcher in the Rye" kitabı Salingerin başyapıtı diyebileceğimiz bir eseridir. Bu kitap Çoşkun Yerli tarafından dilimize "Çavdar Tarlasında Çocuklar" olarak çevrilmiştir. Kitabın ana karakteri Holden Caulfield adında bir ergendir. Hikâye, Holden Caulfield tarafından ilk ağızdan anlatılıyor. Hikâye, Caulfield'in Pencey Prep adındaki okulundan kovulmasıyla başlar. Daha önceden iki okuldan kovulduğu için ailesinin yanında gidip yüzleşmekten korkar ve eve gitmez. İlk olarak eski tarih hocası olan Mr. Spencer'a gider ama orda hocası canını sıktığı için yurda geri döner ve yurtta arkadaşlarıyla arası kötü olur kavga ederler ve yurdu terk eder. Holden Caulfield ergenliğin de etkisinde olduğu için biraz agresif, her şeyi ve herkesi eleştiren bir tiptir. İnsanların samimiyetsiz olduklarını düşünür. Holden Caulfield nerede doğduğunu ve nasıl rezil bir çocukluk geçirdiğini ve anne ve babasının nasıl tanıştığını, tüm David Copperfield zırvalıklarını filan da bilmek istersiniz diyerek pek bu konuları anlatmak istemediğini ve bu "zımbırtılardan" sıkıldığını ve ailesinin ne kadar alıngan insanlar olduğunu anlatmaktadır.

> "If you really want to hear about it, the first thing you'll probably want to know is where I was born, an what my lousy childhood was like, and how my parents were occupied and all before they had me, and all that David Copperfield kind of crap, but I don't feel like going into it, if you want to know the truth. In the first place, that stuff bores me, and in the second place, my parents would have about two hemorrhages apiece if I told anything pretty personal about them. They're quite touchy about anything like that, especially my father. They're nice and all—I'm not saying that—but they're also touchy as hell" (Salinger, 1: 1951).

Holden yurdu da terk ettikten sonra New York'a gider. New York'a gider gitmez tanıdıklarıyla konuşur ve orada deyim yerindeyse gününü gün eder. Daha sonra ergenliğin vermiş olduğu hislerden dolayı cinsel duyguları artar ve kadın satıcılarıyla kız konusunda anlaşma yapmaya başlar. Ama Holden'ın hevesi kaçar ve başına gelmeyen kalmaz. Burada kadın satıcısının ona gönderdiği kızla yaşanılanlardan bahsedilmektedir. Yaşanılanlar kendisini üzer. Buradan anlaşılacağı gibi Holden ne kadar agresif, eleştiren ve asi birisi olursa olsun temiz düşüncelerini kaybetmediği anlamına gelmektedir;

> "Sure," I said right away. I was only too glad to get up and do something. I took her dress over to the closet and hung it up for her. It was funny. It made me feel sort of sad when I hung it up. I thought of her going in a store and buying it, and nobody in the store knowing she was a prostitute and all. The salesman probably just thought she was a regular girl when she bought it. It made me feel sad as hell—I don't know why exactly" (Salinger, 56: 1951).

Holden eski bir kız arkadaşı olan Sally Hayes ile çıkmaya başlar ve birlikte güzel zaman geçirirler. Birlikte tiyatroya ve buz pateni yapmaya giderler. Sally artık onun hem sevgili hem de dert ortağı olmuştur.

> "You ought to go to a boys' school sometime. Try it sometime," I said. "It's full of phonies, and all you do is study so that you can learn enough to be smart enough to be able to buy a goddam Cadillac some day, and you have to keep making believe you give a damn if the football team loses, and all you do is talk about girls and liquor and sex all day, and everybody sticks together in these dirty little goddam cliques. The guys that are on the basketball team stick together, the Catholics stick together, the goddam intellectuals stick together, the guys that play bridge stick together. Even the guys that belong to the goddam Book-of-the-Month Club stick together. If you try to have a little intelligent—" (s.76).

Sally ile konuşan Holden burada eleştiri yaparken insanların samimiyetsiz ve sahtekâr olduklarından bahsetmektedir. Ayrıca insanların ömrü boyunca çalışıp sadece Cadillac marka bir araba alabilecek paraya sahip olacağını, sabahtan akşama kadar içkiden ve seksten başka bir şey konuşmadıklarını,

basketbol takımı, katolikler, entelektüeller kulübü gibi herkesin birbirini farklı gruplara dayanarak tuttuğunu söyleyerek bir eleştiride bulunmaktadır. Holden Sally ile uzaklara gidip yeni bir hayata başlamak ister. Sally ise bu fikrin doğru olmadığı ve halen çocuk olarak sayıldıklarını düşünür ve parasız kalıp ölebileceklerini düşünür. Ergenliğin de vermiş olduğu asilikle ve kendine fazla güvenen Holden Sally'e de hakaret edip onun kalbini kırar.

Herkese ve her şeye bu kadar agresif davranıp eleştiren Holden'ın hayattaki tek değer verdiği kişi kız kardeşi olan Phoebe'dir. New York'tan, Sally'den ve okuldan bunalmış olan Holden gizlice eve girip Phoebe'yi görmeye karar verir. Phoebe ile görüşür ve New York'ta çok para harcadığından parası kalmayan Holden'a kız kardeşi biriktirdiği paraları verir. Phoebe ile de her şeyi konuşur. Phoebe ona neden okula gitmediğini sorar. Cevap olarak birçok nedeninin olduğunu söyleyen Holden, başlar okulunu ve arkadaşlarını kötülemeye. Bu kötülemelerinin altında yatan en büyük neden ise dışlanmışlık hissi ve kendisinin korkak olduğunu düşünmesidir.

> "For instance, if you were having a bull session in somebody's room, and somebody wanted to come in, nobody'd let them in if they were some dopey, pimply guy. Everybody was always locking their door when somebody wanted to come in. And they had this goddam secret fraternity that I was too yellow not to join. There was this one pimply, boring guy, Robert Ackley, that wanted to get in. He kept trying to join, and they wouldn't let him. Just because he was boring and pimply. I don't even feel like talking about it. It was a stinking school. Take my word" (s. 97-98).

Anne ve babası geldiği için Holden evden kaçmak zorunda kalır. Harcayacak çok parası olmadığından dolayı Holden başka bir öğretmeni olan Mr. Antolini'nin evine gider. Öğretmeni Holden'a karşı çok olumlu davranır ve geleceği için iyi öğütler verir. Çok yorgun olan Holden uyumaya başlar ve bir anda alnının okşandığını hisseder ve gözlerini açar. Alnın okşayan öğretmenidir ve okşaması nedeniyle öğretmeninin eşcinsel olduğunu düşünen Holden evden kaçar. Ergenliğin vermiş olduğu bunalımdan dolayı Holden'ın hayali otostop çekip uzaklara gitmek ve orada sağır ve dilsiz taklidi yaparak farklı bir hayat sürmektir. Bunu yapmadan önce kimseye borçlu kalmak istemeyen Holden kardeşinden aldığı parayı vermek için kardeşinin okuduğu okula gider. Beklenmeyen bir durum yaşanır kardeşi de onunla birlikte uzaklara gitmek ister ve hatta bavulunu bile hazırlamıştır ama Holden çok sevdiği kız kardeşi Phoebe'ye kötü örnek olmamak için bu hayalinden vazgeçer. Holden Caulfield son olarak psikolojik tedavi görüp yeni dönemde okula devam edecektir.

**4. EMRAH SERBES "ERKEN KAYBEDENLER"**

Ünlü Türk dizisi olan "Behzat Ç."nin yazarı Emrah Serbes 1981 yılında Yalova'da doğmuştur. Akdeniz Üniversitesi Turizm İşletmeciliği ve Otelcilik Yüksekokulu'nu yarım bırakan Serbes, Ankara Üniversitesi Dil-Tarih Coğrafya Fakültesi, Tiyatro Teoremi ve Tarihi Anabilim Dalı Bölümünden mezun olmuştur. Öğrencilik yıllarında BirGün gazetesi için söyleşiler kaleme alan Serbes, Radikal 2 için de tiyatro eleştirileri yazmıştır. Hayvan dergisinin Ankara muhabirliğini de yapmıştır. Ahmet İnam ve Cengiz Güleç ile birlikte gerçekleştirdikleri "Şen Profesörler: Metaforla Saadet Olmaz" (Say Yayınları, 2006) adıyla kitaplaştırılmıştır. "Her Temas İz Bırakır" adlı ilk romanı 2006 yılında yayınlandı. Serbes, güncel siyasi gelişmeleri de ele alan ve sert mesajlar veren Behzat Ç. Seni kalbime gömdüm adlı polisiye dizinin senaristliğini yapmıştır. İzmir'de 22 Eylül 2017 tarihinde otomobil sürücüsü ve kızının öldüğü trafik kazasını kendisinin yaptığını itiraf ederek teslim olmuş ve tutuklanmıştır.

*Kitapları:*

*2006 – Her Temas İz Bırakır*

*2006 – Şen Profesörler: Metaforla Saadet Olmaz*

*2008 – Son Hafriyat*

*2009 – Erken Kaybedenler*

*2012 – Hikâyem Paramparça*

*2014 – Deliduman*

*Filmler ve Dizileri:*

*Senaryo:*

*2010 – Şen Yuva (TV Dizisi)*

*2011 – Behzat Ç. : Seni Kalbime Gömdüm (Sinema Filmi)*

*Oyuncu:*

*2010 -2011 – Behzat Ç. Bir Ankara Polisiyesi 2. Sezon (Çilingir) (TV Dizisi)*

*Eser:*

*2010 – Behzat Ç. Bir Ankara Polisiyesi 1. Sezon (TV Dizisi)*

*2011 – Behzat Ç. Seni Kalbime Gömdüm (Sinema Filmi)*

*2013 – Behzat Ç. Ankara Yanıyor (Sinema Filmi)* (Biyografi.info)

Emrah Serbes'in "Erken Kaybedenler" adlı romanı 2009 yılında yayınlanmıştır. Bu romanda toplam 8 öykü vardır ve öykülerin tamamında başkarakterler 7 ile 17 yaş arasında genç ve çocukların gözünden öyküler anlatılmaktadır.

### 4. 1. "ANNEANNEMİN SON ÖLÜMÜ" ÖYKÜSÜ

Buradaki konu anne ve babasını trafik kazası sonucu kaybeden bir ergenin öyküsünü anlatmaktadır. Ergenin anneannesiyle arasında garip ama duygusal bir bağ vardır. Buradaki ergen de ergenliğin vermiş olduğu etkiyle asi ve agresif bir karakterdir. Herkesi ve her şeyi eleştirmekten kaçınmaz. Anneannesi de kendisi gibi eleştirilere açık olduğundan ve onun gibi biraz da asabi olduğundan ayrıca hayatta sadece anneannesi kaldığından ve onu çok sevdiğinden anneannesine çok bağlı bir karakterdir.

> "Cinin yarısını içtim, yere kustuktan sonra anneanneme haksızlık yaptığımı düşündüm. Kaç sefer kardan adam yapmıştık bahçede. Bayramın birinde Çeşme'ye tatile bile gitmiştik. Kuşadası'nda yer yoktu. Ben bütün rezervasyon işlerini internetten yapmıştım. Hatta oradayken yat turuna bile çıkmıştık, anneannem denize kusmuştu, yine ölüyordu az daha. Kimin için? Tabii ki de benim için. Ayrıca o, bütün dünyaya posta atmış bir insan. Pazarcının yüzüne ezik domatesleri fırlatmıştı bir kere. Bugün eli bıçaklı psikopat pazarcının yüzüne domates fırlatan insan, Roma devrinde yaşasa Spartaküs'ün orudusuna katılmaz mıydı?" (Serbes, 2009: 15).

### 4. 2. "ZANNETTİĞİN GİBİ DEĞİL" ÖYKÜSÜ

Bu öyküye okumaya ilk başlanıldığı zaman başkarakteri yetişkin birisiymiş gibi anlaşılabilir. Çünkü bara gitmiş, içkisini istemiş, hal ve hareketleriyle tıpkı bir yetişkin edasıyla olan karakter sadece 14 yaşındadır:

> "Barın kuytu köşesinde Nilüfer'i gördüm. Böyle kasvetli gecelerde tanıdık bir genç kızla karşılaşmak çok hoştur. Beni görünce ayağa kalktı, ince beline iki parmağımla dokunup yanaklarından öptüm, yanına oturdum. Bir an gözleri ışıldadı. O arada baş dönmesi gibi bir şeyler de hissetmiş olabilir. Zira yanaklarını öperken kokusunu içime çekince benim bile biraz başım dönmüştü. Zaten benim gibi görmüş geçirmiş adamlar için aşk, bir genç kızın baştan çıkmak üzere olduğu anlarda başlar" (s. 25).

Buradaki öyküde karakter kendisini büyük gibi hisseder ve babasını mafyaların öldürdüğünü düşünerek buna karşın abisinin de babalarının intikamını almadığı için abisini pek sevmez ve onu küçük düşürür, ayrıca abisinin kız arkadaşı olan Nilüfer'e ilgisi de vardır. Bu öykü bağlamında ergen romanın özelliklerinden olan yetişkinliğe geçiş sürecinde ergen bireyin yaşadığı ilklerin metinleştirilmesi görülmektedir.

### 4. 3. "KORHAN AĞBİ'NİN KARDEŞİ" ÖYKÜSÜ

Bu öyküde 90'lı yılların klasik mahalle arası hikâyesi anlatılmaktadır. Genç bir çocuğun mahallenin abisi diyebileceğimiz kişinin kız kardeşine ergenliğin de vermiş olduğu etkiyle ilgi duyması. Bu anlamda ergenlik döneminde yaşanılan ilklerden biri olan karşı cinsten birini sevmek, âşık olmak konuları, mahalle kültürü adı verilen gençlik alt kültür çevresinde ele alınmıştır denebilir. Bu bağlamda ergenlerin alt kültür çevrelerinin romanlarda yer ya da mekân olarak dile getirilmesi de ergen roman özelliklerindendir. Ergen romanın doğal özelliği olarak kurgular ergenin kendi alt çevrelerinde geçer. Bu alt çevreler ayrıca ergenlerin bir yere ya da bir gruba ait olma reflekslerinin hayata geçirildiği ortamlardır. Ergenlerin sosyalleşmelerini yaşadıkları, kendi aralarında oluşturdukları ortak pek çok özelliklerini bulabildikleri yerlerdir. Bu alt çevrelerin özellikleri, toplum bütünü içinde kendine özgü bir takım dil, ağız, moda, giyim, kuşam ya da fikir benzerlikleri ile oluşturdukları ergen alt kültür çevreleridir.

### 4. 4. "DENİZİN ÇAĞRISI" ÖYKÜSÜ

'Denizin Çağrısı' küçükken herkesin yaşadığı bir öykü olarak anlatılmaktadır. Küçük bir çocuğun ailesiyle birlikte havanın sıcak olmasından dolayı günübirlik bir tatil olarak denize gitmelerinden bahsedilmektedir. Buradaki öyküde denize gitmeden önce aile büyüklerinin denize gidileceğini söylemesinden itibaren heyecan yapılmaya başlıyor. Aslında dışarıdan bakıldığında basit bir aktivite olan denize gitmek küçük bir çocuğun gözünde çok büyük ve eğlenceli durum haline gelmektedir.

> *"Çok lüzum görmedikçe konuşmuyorduk. Babama dikkatle bakıp devamını getirmesini bekledik.*
>
> *"Tatile gidiyoruz."*
>
> *"Nereye?"*
>
> *"Adaya"*
>
> *"Yabadabadu!" diyerek bağırdım.*
>
> *Şakkadak bir canlılık geldi üstüme. Annem evvelsi hafta, "Herkes tatile gitti, biz denize ayağımızı bile sokamadık," diyerek ağlamıştı. Cümleyi kurarken vurguyu ayak kısmına yüklemişti" (s.65)*

Çocukluğa dair bir takım yaşantıların paylaşılması ise yine ergen romanlarında görülen çocukluktan kopamayış, yer yer ayrılma, yer yer geri dönüş özlemlerinin dile getirildiği dönemlerdir. Bu dönemde ergen birey hem yetişkin olmak ister bir an önce, hem de istemez. Çocukluktan bir an önce çıkmak ister, bazı zamanlar ise çocukluğuna sığınmak, geri dönmek ister. Bu çelişki ve tutarsızlık, ergenliğin temel özelliklerinden biridir ve ergen bireyde bunalımların doğmasına neden olur.

### 4. 5. "CAHİDE" ÖYKÜSÜ

Bu öyküde kapı komşusuna âşık olan bir çocuk saflığıyla ergenlik arzularının harmanlandığı bir tür yetişkinliğe geçiş öyküsüdür. Cahide'yi etkilemek için elinden geleni yapar tabii onun yaşıtı olan altı yedi arkadaşı da Cahide'ye karşı boş değildir. Buradaki öykü klasik mahalle öykülerinden birisidir:

> "Tamam, iki arkadaşın aynı kızı sevmesini anlarım, hüzünlü bir atmosfer olur o zaman ama kardeşim altı yedi kişi birden de olmaz ki ya! On- on bir yaşlarındaysan, aynı sokakta oturup aynı okula gidiyorsan özel hayat diye bir şey arama zaten. Birini sevmeye başladın mı hep beraber seviyorsun, nefret ettin mi hep beraber. Biri ağacın dibine işemeye başlasa herkes çıkarıyor malı meydana. Ne kadar iğrenç olursan o kadar itibar kazanıyorsun" (s. 81).

Romanda dile getirilen mahalle kavramı, yukarıda da değinilen ergenlerin alt kültür çevrelerinden biri ve belki de en geleneksel olanıdır. Bu alt kültür çevresinde yaşanılan pek çok ilk deneyimlerden biri olarak yine aşk, sevgi konusu dile getirilmiştir. Ergenler arasında rastlanılır tarzda aynı kızı seven pek çok ergen birey söz konusudur.

### 4. 6. "ÜST KATTAKİ TERÖRİST" ÖYKÜSÜ

'Üst Kattaki Terörist' öyküsü toplumsal bir öykü olarak düşünülebilir ve önyargıları da içinde barındıran bir öyküdür. Buradaki genç karakterin abisi yirmi yaşındayken bu vatan için şehit düşmüştür. Daha yedi yaşındayken abisinin ay yıldızlı tabutunu görüp teröristlerden nefret eder ve cenaze sırasında ailesine bağırmayın, ağlamayın diye kızan çocuk bir anda ülkenin gündemine oturmuştur. Abisini çok sevdiğini ve acısını içinde sakladığını anlatır. Öyküde geçen ailenin de üst komşusu üniversite öğrencisi bir gençtir. Bu genç sosyalist, saçı sakalı birbirine geçmiş olduğundan ve evine kızlar, Kürtçe konuşan insanlar girip çıktığından aile de bunların terörist olabileceğini düşünmüştür. Özellikle öykünün ana karakteri olan Nurettin, üniversiteli genci öldürme planı yapar.

> *"Geceleri İngiliz anahtarıyla üst kata giden kalorifer borularına vurup ürkütücü sesler çıkartıyordum. En sonunda dayanamadım., bizim dükkana gittim.*
>
> *"Öldürelim onu baba", dedim. "Ağbimin öcünü alalım."*
>
> *Babam, "Allah'ından bulsun," dedi.*
>
> *"Bulmaz. Sen öldürmeyeceksen ben öldüreyim. Türklük şuur ve gururu bunu gerektirir."*
>
> *"Otur oturduğun yerde."*
>
> *"Silahını ver, ben öldüreceğim. On iki yaşındayım, çok yatmam, çıkarım" (s. 90).*

Daha sonra kendisi mücadele etmeye çalışır üst kattaki komşusu olan Semihle. Onun evine gider onunla tanışır ve kendisini de takdim eder. Ona ve arkadaşlarına sürekli muhalefet olur, hep onların karşısında güçlü durur, kendini ezdirtmemeye çalışır, düşüncelerinde bile onları öldürmek ister ve onları abisinin katili olduğunu düşünmekten kendini alıkoyamaz. Zamanla üst kattaki komşusu olan Semih'e gidip gelmekten onlara alışmıştır, tabi onlar da Nurettin'e alışmıştır. Birlikte vakit geçirmeye başlarlar ve Nurettin'in önyargıları kırılır. Son olarak Semih okuldan uzaklaştırma aldığı için boşa kira ödememek için memleketine döner ve bu duruma Nurettin çok üzülerek vedalaşırlar.

### 4. 7. "ALÇAKGÖNÜLLÜ ARZULAR" ÖYKÜSÜ

'Zannettiğin gibi değil' öyküsü ile benzerlikler taşır. İngilizce dersi zayıf olan bir çocuğa ailesi İngilizcesi düzelsin diyerek üniversiteli kız öğrenciden çocukları için özel ders alırlar. Ergenliğinden vermiş olduğu duygularla çocuk üniversiteli gençten hoşlanır. Ders vermeye devam etsin düşüncesiyle ve üniversiteli öğrenci olan Gizem böbürlenmesin diyerek sınavdan bilerek düşük not alır. Tekrardan İngilizce özel ders aldırmak isteyen aile başka hoca ararlar ama çocuk Gizem'den ders almak ister.

### 4. 8. "KİMİ SEVSEM ÇIKMAZ" ÖYKÜSÜ

Babasıyla beraber dükkânlarında çalışan bir çocuğun öğretmeni ve öğretmeninin iki kızı arasında yaşananları okurken bir yandan da ailenin ve dükkânın hikâyesine misafir olunur. Diğerlerine göre gerçekçilik payı düşük olan bu öykü, yine de okuyucuyu şaşırtmayı ve duygulandırmayı başarmaktadır.

## 5. İKİ ESERİN KARŞILAŞTIRMALI İNCELENMESİ

Araştırmanın bu bölümünde J.D. Salinger'in "Çavdar Tarlasında Çocuklar" ile Emrah Serbes'in "Erken Kaybedenler" adlı romanları karşılaştırmalı olarak ele alınacaktır.

İncelenen her iki roman da gençlik edebiyatı roman türlerinden ergenlik romanlarıdır. Dil, üslup bakımından sade, anlaşılır ve argo kelimeler içermektedir. Bu da gençlik ya da ergen jargonunun metinleştirilmiş biçimidir denebilir. Her iki romanda da anlatıcı ilk ağızdan anlatır ve ana karakterler ergenlik çağındaki kişilerdir. Ergenliğin vermiş olduğu fiziksel ve ruhsal değişimler sonucu karakterler isyankâr ve eleştirel yapıdadır. Romanlar içerisinde benzerlik taşıyan örnekler verilecek olursa her iki romandaki başkarakterler barmenlerden hoşlanmazlar. Holden Caulfield karakteri barmenleri kasıntı, kendini önemli zanneden kişiler olarak görür ve onlardan hiç haz etmez.

> *"If you sat around there long enough and heard all the phonies applauding and all, you got to hate everybody in the world, I swear you did. The bartender was a louse, too. He was a big snob. He didn't talk to you at all hardly unless you were a big shot or a celebrity or something. If you were a big shot or a celebrity or something, then he was even more nauseating. He'd go up to you and say, with this big charming smile, like he was a helluva swell guy if you knew him, "Well! How's Connecticut?" or "How's Florida?" It was a terrible place, I'm not kidding. I cut out going there entirely, gradually" (Salinger, 1951: 82-83).*

Serbes'in "Erken Kaybedenler" kitabındaki "Zannettiğin Gibi Değil" Öyküsünde de başkarakter barmenleri sevmez.

> *"Barın önünde durmuş, herhangi birinin çıkmasını bekliyordum. El ele tutuşmuş iki sevgili çıkarken kapıyı tutup girdim, barmene bakmadan yürüdüm. Barmenleri sevmem, genellikle gıcık insanlardır. Dünyanın en önemli işinin kokteyl yapmak olduğunu zanneden, bu yanılgının büyüsüyle de kasım kadım kasılan tiplerdir; yüzlerini görmeye bile tahammül edemiyorum" (Serbes, 2009: 25).*

Yakınlarının ölümüne küçük yaşlarda şahit olanların öfke, intikam, özlem gibi duygular baskın gelmiştir. Mesela Holden'in kardeşini kaybetmesi, "Zannettiğin Gibi Değil" öyküsünde karakterin babasını kaybetmesi, "Anneannemin Son Ölümü"nde Anne, Babası ve sonra Anneannesini kaybetmesi, "Üst Kattaki Terörist"te ise karakterin abisini kaybetmesi. En büyük benzerliklerden birisi de her iki kitabın dilinde argo, küfür, sokak ağzı ve abartılar çok fazladır. Serbes'in romanındaki "Üst Kattaki Terörist" öyküsü toplumsal bir öykü olmasıyla ve bu öyküdeki konuda terör, milliyetçilik kavramları geçmesinden ve gelişme çağındaki çocuklarında bu kavramları öğrenmesinden dolayı "Çavdar Tarlasındaki Çocuklar" romanından farklılık göstermektedir. Coğrafya, kültür, toplumsal farklılıklar bu duruma örnek olabilir.

## 6. SONUÇ

Bu çalışmada ilk olarak çocuk ve gençlik yazını eserlerinden olan Amerikan yazınından J. D. Salinger'in "Çavdar Tarlasında Çocuklar" özgün başlığıyla "The Catcher in the Rye" kitabı ve Türk yazınından Emrah Serbes'in "Erken Kaybedenler" kitabı incelenmiştir. Ergenlik konusu her iki kitapta da ele alınmıştır, ergenlik çağındaki kişilerin iç dünyası, düşünceleri ve yaşadıkları olaylar anlatılmıştır. Kültürel, toplumsal ve coğrafi farklılıklar olsa da ergenlik dönemindekilerin iç dünyası, duyguları, düşünceleri, arzuları, dış dünyaya ve yetişkinlere bakışları neredeyse aynıdır. Dil ve üslup yönünden benzerlik gösteren kitaplarda argo kelimeler, sokak ağzı ve yaşadıkları sorunlar betimlenerek kaleme alınmıştır. Bu anlamda metinleştirilen dil, karakteristik olarak gençlik jargonu diyebileceğimiz ergenlerin yaşıtlarıyla tercih ettikleri bir tür alt-kültür ağzıdır. Literatür taramasında ergenlik kavramından bahsedilirken genellikle ergenlik çağı 12-18 yaş arası olarak bilinirken bunun farklı yaşlarda olduğunu da iddia edenler olmuştur. Her iki romandaki karakterlerde bu ergenlik çağı yaş ortalamasına uygundur. Yetişkin gibi davranırlar ve kendilerinin artık yetişkin bir birey olduklarını savunurlar ama yetişkin değildirler. Bu durumda onlarda eksiklikler meydana getirmektedir. Kendilerinin özgür olamadıklarını hissederler.

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# Sosyal Sermayenin Çalışanların İş Performansı Üzerine Etkisi

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**Özet:** Sosyal sermaye, beşeri sermayenin bağlamsal altyapısını oluşturmaktadır. Sosyal sermayeye sahip olan çalışanlar ağ kurma, iş birliği yapma, bilgi paylaşıma ve kaynaklara erişme açısından daha avantajlı olabilirler. Sosyal sermayenin geliştirilmesi ve doğru kullanımı çalışanların ve örgütlerin amaçlarına ulaşmasına katkı sağlamaktadır. Bu bağlamda araştırmanın amacı, sosyal sermayenin çalışanların iş performansı üzerindeki etkisinin tespit edilmesidir. Araştırmada nicel araştırma yöntemi kullanılmıştır. Araştırmanın evreni, bir kamu kurumunda görevli personel oluşmaktadır. Araştırmada kolayda örneklem yöntemi kullanılmış ve gönüllü olarak 169 katılımcı araştırmaya katılmıştır. Araştırma verileri anket formu aracılığıyla toplanmıştır. Anket formu; katılımcıları tanımlayıcı bilgiler, sosyal sermaye ölçeği (Subramaniam ve Youndt, 2005) ve çalışan iş performansı ölçeğinden (Na-Nan vd., 2018) oluşmaktadır. Araştırma verilerinin analizinde SPSS V.22.0 programı kullanılmıştır. Analizler sırasıyla; demografik özelliklerine ilişkin frekans analizi, ölçeklerin güvenilirliğini belirlemek için Cronbach's Alpha katsayısı, değişkenler arasındaki ilişki korelasyon analizi ve sosyal sermayenin iş performansı ve alt boyutları üzerine olan etkisini belirlemek için basit doğrusal regresyon analizi yapılmıştır. Araştırmada sosyal sermayenin çalışanların iş performansını kalite, miktar ve zaman açısından istatistiksel olarak anlamlı ve pozitif yönde bir etkisinin olduğu sonucuna ulaşılmıştır. Çalışanların sosyal sermayelerini geliştirilmesi aynı zamanda iş performanslarının kalite, miktar ve zaman olarak da geliştirilmesine katkı sağlayacaktır. Bu bağlamda hem örgütler ve yöneticiler hem de çalışanlar amaçlarına ulaşmak için sosyal sermayelerini geliştirmek için çaba göstermelidir.

**Anahtar Kelimeler:** Sosyal Sermaye, Çalışan Performansı, İş Performansı, Kamu Yönetimi

# The Effect of Social Capital on Employees' Job Performance

**Abstract:** Social capital constitutes the contextual infrastructure of human capital. Employees with social capital may be more advantageous in terms of networking, collaboration, sharing information, and accessing resources. The development and appropriate use of social capital contributes to the achievement of employees' and organizations' goals. In this context, the purpose of the research is to determine the effect of social capital on employees' job performance. The quantitative research method was used in the research. The universe of the research consists of personnel working in a public institution. The convenience sampling method was used in the study and 169 participants voluntarily participated in the study. Research data were collected through a questionnaire. Survey form; consists of the descriptive information of the participants, social capital scale (Subramaniam & Youndt, 2005), and employee work performance scale (Na-Nan et al., 2018). SPSS V.22.0 program was used in the analysis of the research data Analyzes, respectively; frequency analysis related to demographic features, Cronbach's Alpha coefficient to determine the reliability of the scales, correlation analysis of the relationship between variables, and simple linear regression analysis to determine the effect of social capital on job performance and sub-dimensions. In the study, it was concluded that social capital has a statistically significant and positive effect on the work performance of employees in terms of quality, amount, and time. Improving the social capital of the employees will also contribute to the improvement of work performance in terms of quality, quantity, and time. In this context, both organizations, managers, and employees should strive to improve their social capital in order to achieve their goals.

**Key Words:** Social Capital, Employee Performance, Job Performance, Public Administration

## 1. GİRİŞ

İnsanoğlunun geçirdiği her büyük teknolojik ilerleme sosyal, ekonomik, siyasal, kültürel vb. tüm alanlarda hâkim yapı ve paradigmaları dönüştürmüştür. Bu bağlamda insanoğlunun avcı-toplayıcı, tarım ve sanayi toplumu aşamalarından geçerek içinde bulunduğumuz bilgi toplumu aşamasına geldiği kabul edilmektedir. Bu toplumun temel ayırıcı özellikleri bilginin bir meta haline gelmesi ve klasik üretim faktörlerinin -emek, sermaye, doğal kaynaklar ve girişimci- yanında beşinci faktör olarak görülmesidir

(Arıkboğa, 2003: 70; Bassi ve Van Buren, 1999: 415). Tarihsel olarak, klasik sermaye teorileri sermayenin somut olduğunu varsaymıştır. Neo-sermaye olarak adlandırılan günümüz sermayesi ise kapsamını bilgi yönetimi ve bilgi teknolojisi, yapılar, ağlara gömülü sosyal ilişkiler ve kaynaklar, bilgi akışı ile çalışanların kendi yetenekleri, becerileri ve bilgileri olarak genişletmiştir (Storberg, 2002: 469).

Bilgi toplumunun ekonomisi ve örgüt yapısında temel kaynaklar sadece maddi ve finansal olanlar değildir. Aynı zamanda maddi olmayan varlıklar da örgütlerin temel kaynakları, sermayeleri olarak kabul edilmektedir. Örgütler varlıklarının devamı için kıymetli, zor elde edilen, kullanmakla tükenmeyen ve olmazsa olmaz maddi olmayan kaynaklara sahip olmak zorundadır. Bir çatı kavram olarak "entelektüel sermaye" ile ifade edilen bu varlıkların yapısal sermaye, beşerî sermaye, sosyal sermaye, müşteri sermayesi gibi farklı sermaye türlerinden oluştuğu kabul edilmektedir (Gupta vd., 2019: 78; Brooking, 1996: 12; Stewart, 1997: xıı).

Sosyal sermaye, çeşitli biçimleri ve bağlamlarıyla maddi olmayan sermaye türlerinin en göze çarpan biçimlerinden birisidir (Lin, 2004: 24). Sosyal ilişkilerin potansiyel üretkenliği ve kişisel kaynaklara yapabileceği katkı, sosyal ve ekonomik açıdan değerli kabul edilmektedir. Sosyal ağlara gömülü olan kaynakların ortaya çıkarılıp kullanılması hem bireylere hem de toplumlara fayda sağlamaktadır. Bu bağlamda sosyal sermaye "sosyal ağ üyelerinin potansiyel olarak sahip olduğu ve bu ağ üyeleriyle sosyal ilişkiler içerisinde karşılıklı yatırımların bir sonucu olarak, birey veya bireylerin kullanımına sunulabilecek olası her türlü kaynağı" ifade etmektedir (Van Der Gaag ve Webber, 2008: 29).

Sosyal sermayenin ana fikri, sosyal ağların değerli bir varlık olduğudur. Ağlar insanların karşılıklı avantaj sağlamak için birbirleriyle -sadece doğrudan tanıdıkları insanlarla değil- iş birliği yapmalarını sağlamaktadır (Field, 2008: 14). Sosyal ilişkiler yalnızca sosyal yapıların bileşenleri olarak görülmemekte, aynı zamanda bireyler için kaynak olarak da görülmektedir (Coleman, 1994: 300). Bu bağlamda sosyal sermaye bireyler için olduğu kadar örgütler için de üretken bir girdi olarak da kabul edilmekte ve diğer sermaye türleri üzerinde olumlu etkide bulunduğu düşünülmektedir (Schmid ve Robison, 1995: 64). Sosyal sermaye en fazla beşerî sermaye ile ilişkilendirilmektedir. Sosyal sermaye ve beşerî sermaye birbirlerinin tamamlayıcıları olarak görülmektedir (Coleman, 1994; Field, 2008; Flap, 2002). Çünkü bireylerin sosyal sermayesi diğer kaynakların getirisini de artırmaktadır. Sosyal sermayenin üretkenlik özelliği, ağ tarafından sağlanan diğer kaynaklardan, özellikle beşerî sermaye ve mali sermayeden kâr elde etme fırsatları yaratmaktadır (Flap, 2002:36).

Beşerî sermaye örgütlerde yeri zor dolan ve asıl katma değeri yaratan sermayedir. Bilgi ekonomisinde örgütlerin inovasyon, yenilik ve rekabet avantajının kaynağıdır. Örgüt çalışanının bilgi, beceri, yetenek, deneyim, kültür ve yaratıcılığı gibi ona ait bileşenlerden oluşmaktadır. Günümüz örgütleri için en başta gelen zorluklardan birisi beşerî sermayeyi elde etmek ve tutmaktır. Çünkü örgütlerin gücünün ve performansının beşerî sermayenin gücü ve performansı ile doğru orantılı olduğu kabul edilmektedir (Becker, 1993: 16; Oliver, 2001: 8; Stewart, 1997: 99). Bilgi çağında örgütlerin hızla değişen iç ve dış çevreye uyum sağlayabilmeleri, beşerî sermayelerinin performansına bağlı hale gelmiştir (Daryoush vd., 2013: 100-101). Bu bağlamda özellikle son dönemde çalışanların iş performansı örgütler için hayati bir konu halini almıştır. Örgütler ister özel sektörde isterse kamu sektöründe yer alsınlar, çalışanlarının performanslarını artırmak için yoğun çaba harcamaktadır. Bu araştırmada da sosyal sermayenin çalışanların iş performansı üzerindeki etkileri ortaya konulmaya çalışılmıştır.

## 2. KAVRAMSAL ÇERÇEVE

### 2.1. Sosyal Sermaye

Sermaye, piyasa kaynaklı bir kavramdır. Lin (2004: 24), sermayeyi "beklenen getirileri olan kaynak yatırımı" olarak tanımlamaktadır. Sermaye kaynakların bir süreç içerisinde iki kez işlenmesiyle ortaya çıkmaktadır. İlk aşama kaynakların bir yatırım olarak üretilmesi ya da değiştirilmesi, ikinci aşama ise üretilen ya da değiştirilen bu kaynakların kâr amacıyla pazara sürülmesidir. Sermayenin merkezinde yer alan kaynak kavramı somut (para, toprak makine) veya soyut (insan, yetenek, uzmanlık, ağlar) olabilmektedir. Sosyal sermaye de soyut kaynakların birikimi, kullanımı ve dağıtımına ilişkin ortaya konulan sermaye yaklaşımlarının başında gelmektedir (Storberg, 2002: 469).

Sosyal sermaye literatürde farklı bakış açıları ile ele alınıp tanımlanmıştır. Bourdieu (1977: 503), sosyal sermayeyi daha çok toplumsal sınıf ya da statü açısından ele almış ve "sosyal açıdan önemli konumlardaki müşterileri çekmek için vazgeçilmez olan ve örneğin para birimi gibi hizmet edebilen bir kaynak" olarak tarif etmiştir. İleriki dönemlerde bu tanımını geliştirmiş ve sosyal sermayeyi "az çok kurumsallaşmış karşılıklı tanıma ve onaylama ilişkilerinden oluşan, kalıcı bir ağa sahip olması nedeniyle bir bireye veya bir gruba tahakkuk eden fiili veya sanal kaynakların toplamı" olarak tanımlamıştır (Bourdieu ve Wacquant, 1992: 119). Benzer bir yaklaşım Loury (1987) tarafından da dile getirilmiştir. Loury (1987: 254), sosyal sermayeyi toplumsal eşitsizliklerin sebeplerinden biri olarak ele almış ve "bireylere ebeveynlerinden geçen ve onların toplumsal statülerinden kaynaklanan, bireylerin daha sonraki yaşam üretkenliklerine etki eden tüm avantajlar" olarak ifade etmiştir.

Sosyal sermayeye bir diğer farklı yaklaşım, onu bireysel ve toplumsal bir varlık olarak gören yaklaşımdır. Bu bağlamda ilk değinilmesi gereken kişi Coleman (1988)'dır. Coleman'a göre sosyal sermaye işlevi ile tanımlanmalıdır. Sosyal sermaye tek bir varlıktan değil, iki temel unsuru olan çeşitli ve farklı varlıklardan oluşmaktadır. Sosyal sermayenin temel unsurları üretken olması ve yokluğunda mümkün olmayan belirli amaçlara ulaşılmasını mümkün kılmasıdır. Bu bağlamda sosyal sermaye "sosyal yapının birtakım yönlerinden oluşan ve bu yapı içerisindeki bireysel ve kurumsal aktörlerin eylemlerini kolaylaştıran kaynaklardır (Coleman, 1988: 98)." Putnam, (1993: 35) sosyal sermayeyi "karşılıklı yarar için koordinasyonu ve iş birliğini kolaylaştıran ağlar, normlar ve güven gibi sosyal organizasyonun özellikleri" olarak ele almış ve daha toplumsal bir bakış açısı getirmiştir.

Lin (2004) ise sosyal sermayeye ilişkin yapısal-bilişsel bir yaklaşım geliştirmiştir. Lin (2004: 4) sosyal sermayeyi "faaliyetler için aktörler tarafından erişilen ve kullanılan sosyal ağlara gömülü kaynaklar" olarak tanımlamıştır. Bu tanımlamada iki temel nokta bulunmaktadır. İlki sosyal sermaye bireylerden ziyade sosyal ilişkilerde gömülü kaynakları temsil etmektedir. İkincisi ise bu tür kaynaklara erişim ve bu kaynakların kullanımı bireylerin becerisine bağlıdır (Lin, 2004). Bir başka ifadeyle birey sosyal ağlar içerisinde kendisine yararlı kaynakların bulunduğunun ve bu kaynakları kullanmanın kendisine fayda sağlayacağının farkında olmalıdır.

Gerek sosyal sermayeye ilişkin tanımlar gerekse geniş literatür dikkate alındığında bu sermaye türünün birtakım özelliklerini ortaya koymak mümkündür (Bourdieu, 1977; Coleman, 1988; Coleman, 1994; Field, 2008; Flap, 2002; Lin, 2004; Putnam, 1993; Storberg, 2002; Seibert vd., 2001; Sandefur ve Laumann, 1998; Schmid ve Robison, 1995; Van Der Gaag ve Webber, 2008):

- Sosyal sermaye bireyler ve örgütler için maddi olmayan varlıkların başında gelmektedir.
- Sosyal sermaye sosyal ağlar içerisindeki kaynaklardan oluşmaktadır.
- Sosyal sermaye sosyal yapının bir ürünüdür.
- Sosyal sermaye bir kamu malıdır. Ondan yararlananların mülkü değildir.
- Farklı hedeflere ulaşmak için farklı sosyal sermaye türlerinden yararlanılabilir.
- Sosyal sermaye sosyal ağlar içerisindeki insanların karşılıklı ilişkileri sonucu ortaya çıkmaktadır.
- Sosyal sermaye üretken bir varlıktır.
- Sosyal sermaye yenilenmediği takdirde zaman içerisinde değer kaybeden bir sermaye türüdür.
- Sosyal sermaye fiziki sermaye, beşerî sermaye gibi diğer sermaye türleri ile yakından ilişkilidir ve onların getirisini artırmaktadır.
- Sosyal sermayenin büyüklüğü, zenginliği ve kalitesi bireylerin dahil oldukları ağlar ve iletişim kurdukları diğer bireylerin nitelik ve niceliğiyle doğru orantılıdır.
- Sosyal sermaye birey için doğuştan kazanılan bir avantaj olabileceği gibi sonradan da elde edilebilen bir varlık türüdür.
- Sosyal ağlarda paylaşılan ortak değerler, hedefler ve amaçlar sosyal sermayenin merkezinde yer almaktadır.
- Sosyal sermayeden yararlanmak bilinçli bir tercih gerektirmektedir.
- Sosyal sermaye sadece bireyler için değil örgütler için de önemli bir sermaye türüdür.
- Sosyal sermaye, statü ve refah için üretim işlevinin bir parçasıdır.
- Sosyal sermaye gelecekteki faydalara yönelik bir yatırımdır.
- Sosyal sermayeye getirilen en büyük eleştiri onun eşitsiz dağılımıdır.

Flap (2002: 34)'a göre sosyal sermaye bireylere amaçlarına ulaşabilmek için daha iyi donanmalarını sağlayacak sosyal kaynakları sağlamaktadır ve bunun bir sonucu olarak bireyler amaçlarını gerçekleştirmede araçsal değerine göre sosyal sermayeye yatırım yapmaktadır. Çünkü çıkarların elde edilmesi bencillikten geçmemektedir. Bireylerin hedef ve amaçlara ulaşmada bağımsız hareket etmeleri mümkün değildir (Coleman, 1994: 301). İnsanlar birbirleriyle bağlantı kurarak ve bunu zaman içinde devam ettirerek, kendi başlarına başaramadıkları ya da ancak büyük güçlükle başarabilecekleri şeyleri elde etmek için birlikte çalışmaları gerekmektedir. Bu nedenle bireyler çeşitli ağlar üzerinden iletişime geçmekte ve ağlardaki diğer üyelerle ortak değerleri paylaşmaktadır. Bu ağlar bireyler için bir kaynak oluşturdukları ölçüde sosyal sermaye de ortaya çıkmaktadır (Field, 2008: 1).

Sosyal sermaye karşılıklı fayda için koordinasyonu ve iş birliğini kolaylaştıran ağlar, normlar ve güven gibi sosyal organizasyonun bileşenlerini içermektedir. Dolayısıyla fiziksel ve beşerî sermayeye yapılan yatırımların getirisini artırmaktadır (Putnam, 1993: 35). Bunun sonucu olarak sosyal sermayenin örgütsel performansa olumlu katkıda bulunduğu kabul edilmektedir. Özellikle son dönemde iş yeniliği ve bilgi alışverişini sağlamada ağ yapılarının önemi yadsınamaz bir gerçek olarak ortaya çıkmıştır (Field, 2008: 60). Sosyal sermaye, maddi ve manevi kaynaklara erişim sağladığı için örgüt üyeleri için önemlidir. Kuruluş, aktörlerinin sosyal sermayesinden yararlanır çünkü sosyal ağlar bilgi akışını sağlar, eylemleri koordine eder ve iş birliğini kolaylaştırır (Matiaske, 2013: ix).

Bilgi ve kaynaklara daha fazla erişim ise çalışanları güçlendirmekte daha yüksek motivasyon ve bireysel performansa, bir başka ifade ile iş performansına katkıda bulunmaktadır. Ayrıca bireyin organizasyonel itibarının artmasına ve organizasyonda daha güçlü veya etkili olarak algılanmasına yardımcı olmaktadır. Bu bağlamda bireyin sosyal ağlarının ve bu ağlardaki kaynakların gücü hem örgütün geleceği hem de bireyin kariyeri ile doğrudan ilişkilidir (Seibert vd., 2001: 224).

## 2.2. İş Performansı

Çağdaş örgütler bilgi temelli bir yapıya sahiptir. Dolayısıyla örgütler çalışanlarının bilgi ve becerilerini sürekli olarak güncellemek durumundadır. Sürekli ve hızlı değişen çevreye uyum sağlamak için çalışanlara yatırım yapmak kurumsal gelişimde önemli bir sorun haline gelmiştir. (Daryoush vd., 2013: 100-101). Bu noktada çalışanların iş performansı özellikle endüstriyel ve örgütsel psikolojinin temel konularından birisi halini almıştır. Bireysel iş performansı, ekip ve örgütsel performansın temelini oluşturmakta ve bu nedenle çoğu örgütsel müdahale, bireysel iş performansını etkilemeyi amaçlamaktadır (Harari ve Viswesvaran, 2018: 55). Örgütler personel seçerken daha iyi performans göstermesi muhtemel olanlara yönelmekte, birçok eğitim programı iş performansını geliştirmek için tasarlanmakta ve personelin değerlendirilmesi için performans yönetim sistemleri kurulmaktadır (Viswesvaran ve Ones, 2000: 216).

Performans, bireyin özel görevinin veya iş hedeflerinin doğrudan sonucudur (Locke, 1970: 484). Bu bağlamda iş performansı "çalışanların dahil olduğu veya ortaya çıkardığı, kurumsal hedeflerle bağlantılı olan ve bunlara katkıda bulunan ölçeklenebilir eylemleri, davranışları ve sonuçları" ifade etmektedir (Viswesvaran ve Ones, 2000: 216). Motowidlo ve Kell (2013: 82), ise iş performansını "bir bireyin standart bir süre boyunca yürüttüğü ayrı davranışsal bölümlerin, bireyin organizasyonu için toplam beklenen değeri" olarak tanımlamıştır. Onlara göre performans bir davranışın özelliğidir ve bu davranışın en önemli özelliği örgüt için beklenen bir değer olmasıdır.

Örgütsel bakış açısından performansın üç temel özelliğinin bulunduğu ileri sürülmektedir: İlki performans sonuçlardan ziyade eylem ya da davranışla ilgilidir. İkincisi bu davranış periyodiktir yani süreklilik arz etmektedir. Üçüncü ve son olarak da performans bağlama dayalıdır. Bir başka ifade ile görevlerin gerçekleştirildiği iş yeri ortamına uygun davranışlardan kaynaklanmaktadır (Campbell, 2012: 163; Daryoush vd., 2013:100).

Campbell (2012: 162) iş performansının örgüt ve birey açısından farklı anlamlara geldiğini belirtmiştir. Ona göre örgüt açısından iş performansı bireylerin gönüllü iş miktarı, ekip performansı, ekip canlılığı, kurumsal birim etkinliği ve bireylerin, ekiplerin ve örgüt birimlerinin verimliliğinden oluşmaktadır. Bireysel bakış açısından iş performansı ise kariyer (mesleki başarı), çalışmanın sonuçlarından memnuniyet, adil muamele ve genel sağlık ve refah unsurları anlamına gelmektedir. Campbell (2012),

ayrıca iş performansının altında yatan, yani iş performansını belirleyen sekiz faktör saymaktadır. Bunlar işe özgü teknik görev yeterliliği, işe özel olmayan teknik görev yeterliliği, yazılı ve sözlü iletişim görev yeterliliği, çaba göstermek, kişisel disiplinin sürdürülmesi (verimsiz çalışma davranışı), meslektaş ve ekip performansını kolaylaştırmak, denetim / liderlik ve yönetim / idaredir (Campbell, 2012: 167-169).

Örgütlerde çalışanların iş performansı farklı boyutlar/türler altında ele alınmaktadır. Ancak en temel boyutlar görev performansı ve bağlamsal performanstır. Görev performansı, bir kişinin örgüt performansına katkısını kapsamaktadır. Resmi ödül sisteminin parçası olan eylemleri ifade etmekte ve örgütteki iş tanımlarında belirtilen gereksinimleri vurgulamaktadır. Bununla birlikte örgüt ve çalışma hayatında sadece resmi iş gerekliliklerine uymak yeterli olmamakta çoğu zaman resmi olanın ötesine geçmek gerekmektedir. Bağlamsal performans resmi olmayan boyutu oluşturmaktadır. Bağlamsal performans, örgütsel performansa doğrudan katkı sağlamayan ancak örgütsel, sosyal ve psikolojik ortamı destekleyen davranışlardan oluşmaktadır. Görev performansı ve bağlamsal performans arasında üç temel fark bulunmaktadır: Öncelikle görev performansı işe özelken, bağlamsal performans davranışı örgütteki iş dışında her türden eylemde görülebilmektedir. İkincisi görev performansı esas olarak yetenek tarafından belirlenirken, bağlamsal performans temelde motivasyon ve kişilik tarafından belirlenmektedir. Üçüncüsü ise görev performansı rol içi bir davranıştır dolayısıyla resmi iş tanımının bir parçasıdır. Bağlamsal performans ise ekstra rol davranışıdır yani isteğe bağlıdır. Bu nedenle genellikle resmi ödül sistemleri tarafından ödüllendirilmemekte veya yönetim tarafından doğrudan veya dolaylı olarak değerlendirilmemektedir (Sonnentag vd., 2008: 428-429).

Bilgi ekonomisinin bir sonucu olarak örgütlerde yaratıcılık ve yenilik performansın kritik belirleyicileri haline gelmiştir. Özellikle yaratıcı ve yenilikçi beşerî sermayenin örgütlere katkısı son dönemde iş performansı içerisine bu iki boyutun eklenmesine neden olmuştur. Bu bağlamda çalışanların fikir üretme yeterliliği ve gücüne atıf yapan yaratıcı performans ve üretilen fikri uygulamaya aktarmadaki yeterliliği ifade eden yenilikçi performans olarak iki performans boyutundan daha söz edilmektedir (Harari ve Viswesvaran, 2018: 56).

Örgütlerde performanstaki bireysel farklılıklar iş performansı çalışmalarının önemli bir kısmını oluşturmaktadır. Campbell, (2012: 170-172) performanstaki farklılıkların doğrudan ve dolaylı belirleyicilerin bir fonksiyonu olduğunu vurgulamaktadır. Doğrudan belirleyiciler mevcut işle ilgili bilgi ve becerilerdir. Örneğin belirli bir iş ile ilgili olarak bilgi ve yeteneğe sahip olmak o işi yapmayı seçme ve buna yatırım yapma olasılığını artırabilmektedir. Dolaylı belirleyiciler, doğrudan belirleyicilerde bireysel farklılıklar üreten her şeydir. Bunun içerisinde IQ, kişilik, eğitim, hedef belirleme, ödül tercihleri, öz yeterlik gibi unsurlar yer almaktadır. Performansın ölçeğini yalnızca doğrudan belirleyicileri etkileyerek değiştirebilirler.

Performans, örgütün hedeflerini gerçekleştirilmesinde fark yaratabilecek davranışları ifade etmektedir. Performans alanı, örgütsel hedef başarısı üzerinde olumlu ya da olumsuz etkileri olabilecek davranışları kapsamaktadır. Bu nedenle, herhangi bir çalışan için performans alanındaki davranışlar örgütsel hedefin başarılmasına yardımcı olabilecek davranışlar ya da bu hedefi engelleyebilecek davranışlar arasında geniş bir yelpazeyi kapsamaktadır (Motowidlo ve Kell, 2013: 84). Dolayısıyla bireylerin iş performansına etki eden her türlü unsur örgütler için hayati önem arz etmektedir. Sosyal sermaye de bu bağlamda üzerinde durulması gereken başta gelen unsurlardan birisidir.

## 3. YÖNTEM

Bu araştırmanın amacı, sosyal sermayenin çalışanların iş performansı üzerindeki etkisinin tespit edilmesidir. Araştırmada nicel araştırma yöntemi kullanılmıştır. Araştırma verileri anket formu aracılığıyla toplanmıştır. Anket formu katılımcıları tanımlayıcı bilgiler, sosyal sermaye ölçeği ve çalışan iş performansı ölçeklerinde oluşmaktadır. Katılımcıların demografik özelliklerine yönelik cinsiyet, yaş, medeni durum ve eğitim durumu açık uçlu olarak sorulmuştur. Çalışan iş performansı ölçeği, Na-Nan ve diğerleri (2018) tarafından geliştirilmiştir. Ölçekte yer alan ilk beş ifade iş kalitesi boyutunu, sonraki 4 ifade iş miktarı boyutunu ve en son 4 ifade ise iş zamanı boyutunu ölçmektedir. Ölçek, üç faktör altında toplam 13 ifadeden oluşmaktadır. Sosyal sermaye ölçeği, Subramaniam ve Youndt (2005) tarafından geliştirilen entelektüel sermaye ölçeğindeki sosyal sermaye ile ilgili 5 ifade kullanılmıştır. Ölçek Özdemir

ve Taşçı (2007) tarafından Türk kültürüne uyarlanmıştır. Araştırmada kullanılan ölçekler 5'li Likert (1= kesinlikle katılmıyorum ile 5= kesinlikle katılıyorum) tipindedir.

Araştırmanın evrenini bir kamu kurumunda görevli personel oluşmaktadır. Araştırmada kolayda örneklem yöntemi kullanılmış ve gönüllü olarak 174 katılımcı araştırmaya katılmıştır. Anket formları üzerinde yapılan incelemede 5 anket formu analiz dışı bırakılmış olup 169 katılımcıdan elde edilen veriler analiz edilmiştir. Araştırma verilerinin analizinde SPSS V.22.0 programı kullanılmıştır. Analizler sırasıyla; demografik özelliklerine ilişkin frekans analizi, ölçeklerin güvenilirliğini belirlemek için Cronbach alpha (Cα) katsayısı, değişkenler arasındaki ilişki korelasyon analizi ve sosyal sermayenin iş performansı ve alt boyutları üzerine olan etkisini belirlemek için basit doğrusal regresyon analizi yapılmıştır. Araştırmada kullanılan ölçeklerin güvenilirliği için Cα>0.70 kabul edilmiştir (Nunnally & Bernstein, 1994). Verilerin normallik varsayımında Skewness ve Kurtosis değerleri (+1,500 ve -1,500) dikkate alınmıştır (Tabachnick ve Fidell, 2013). Bulguların değerlendirilmesinde <0,05 anlamlılık düzeyi ve % 95 güven aralığı kabul edilmiştir.

## 4. BULGULAR

### 4.1. Katılımcıların Demografik Özellikleri

Araştırmanın katılımcılarına iliştin tanımlayıcı istatistikler Tablo 1' de özet halinde verilmiştir. Araştırma katılımcılarının %95,9'u kadın, %74,6'sı evlidir. Araştırmaya katılanların yaşı 21 ile 59 arasında değişmekle birlikte ortalama yaşı 37,71 ± 6,44 yıldır. Katılımcıların yarıdan fazlası (%52,7) 30-39 yaş aralığındadır. Katılımcıların %59,2'si lisans mezunudur.

Tablo 1: Katılımcıların Tanımlayıcı İstatistikleri

| **Değişken** | **Frekans** | **%** | **Değişken** | **Frekans** | **%** |
|---|---|---|---|---|---|
| **Cinsiyet** | | | **Medeni Durum** | | |
| Kadın | 162 | 95,9 | Evli | 126 | 74,6 |
| Erkek | 7 | 4,1 | Bekâr | 43 | 25,4 |
| **Yaş** *(min=21; max=59; ort=37,71 ± 6,44)* | | | **Eğitim Durumu** | | |
| 20-29 | 19 | 11,2 | Lise | 34 | 20,1 |
| 30-39 | 89 | 52,7 | Ön lisans | 25 | 14,8 |
| 40-49 | 49 | 29,0 | Lisans | 100 | 59,2 |
| 50 ve üzeri | 12 | 7,1 | Lisansüstü | 10 | 5,9 |
| **Toplam** | **169** | **100** | **Toplam** | **169** | **100** |

### 4.2. Ölçeklere İlişkin Tanımlayıcı İstatistikler ve Güvenilirlik Analizleri

Ölçeklerin güvenilirlikleri Cα Katsayısı, normal dağılım ise skewness ve kurtosis değerleri kullanılarak incelenmiştir. Araştırmanın değişkenleri ile ilgili min-max, ortalama, standart sapma, skewness, kurtosis ve Cα değerleri Tablo 2'de sunulmuştur.

Tablo 2. Ölçeklere İlişkin Tanımlayıcı İstatistikler (n=169)

| **Ölçekler/Boyutlar** | **İfade Sayısı** | **Min-max** | **Mean** | **SD** | **Skewness** | **Kurtosis** | **Cα** |
|---|---|---|---|---|---|---|---|
| **Sosyal Sermaye** | 5 | 1-5 | 3,63 | ,93 | -,827 | ,239 | ,924 |
| **İş Performansı** | 13 | 1,38-5 | 3,57 | ,84 | -,499 | -,228 | ,941 |
| *İş Kalitesi* | 5 | 1,20-5 | 3,63 | ,84 | -,480 | -,109 | ,844 |
| *İş Miktarı* | 4 | 1-5 | 3,43 | ,93 | -,362 | -,174 | ,866 |
| *İş Zamanı* | 4 | 1-5 | 3,64 | ,97 | -,595 | -,430 | ,890 |

Katılımcıların araştırma değişkenlerine verdikleri puanların ortalaması; sosyal sermaye 3,63 ± 0,93, iş performansı genel ortalaması 3,57 ± 0,84 ve iş performansı alt boyutlarından iş kalitesi 3,63 ± 0,84, iş miktarı 3,43 ± 0,93, iş zamanı 3,64 ± 0,97'dir. Ortalamaların değerlendirilmesinde beşli Likert tipli ölçeklere yönelik kesim noktaları (4/5=0,80) kullanılmıştır. Buna göre ortalamalar 1,00-1,79 "çok düşük", 1,80-2,59 "düşük", 2,60-3,39 "orta", 3,40-4,19 "yüksek" ve 4,20-5,00 "çok yüksek" olmak üzere beş düzeyde değerlendirilmiştir. Buna göre katılımcıların sosyal sermaye ve iş performansı düzeylerinin "yüksek" olduğu söylenebilir. Araştırmanın değişkenlerinin Çarpıklık (Skewness) değerleri -0,877 ile -0,362 ve Basıklık (Kurtosis) değerleri -0,430 ile 0,239 aralığındadır. Bu değerler ile araştırma verilerinin normal dağılım gösterdiği kabul edilmiştir. Araştırma değişkenlerinin Cα katsayıları; sosyal sermaye 0,924, iş performansı 0,941 ve alt boyutlarından iş kalitesi 0,844, iş miktarı 0,866, iş zamanı 0,890'dır. Araştırmada kullanılan ölçekler yüksek güvenilirlik düzeyine sahiptir (Cα>0.70).

## 4.3. Korelasyon Analizi

Tablo 3: Sosyal Sermaye ile İş Performansı Değişkenlerine İlişkin Korelasyon Analizi

| | **Değişkenler** | 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|---|---|
| 1 | **Sosyal Sermaye** | 1 | | | | |
| 2 | **İş Performansı** | ,756** | 1 | | | |
| 3 | *İş Kalitesi* | ,745** | ,925** | 1 | | |
| 4 | *İş Miktarı* | ,643** | ,934** | ,805** | 1 | |
| 5 | *İş Zamanı* | ,705** | ,915** | ,748** | ,797** | 1 |

**p<0,01, *p<0,05

Sosyal sermaye ile iş performansı ve alt boyutları arasındaki ilişki korelasyon analizi ile incelenmiştir. Korelasyon analizinin sonucuna göre; sosyal sermaye ile iş performansı ve alt boyutları arasında pozitif yönde anlamlı ilişkiler bulunmuştur (Tablo 3).

## 4.4. Regresyon Analizi

Sosyal sermayenin iş performansı ve alt boyutları üzerine olan etkisini belirlemek için basit doğrusal regresyon analizi yapılmıştır. Analiz sonuçları Tablo 4'te verilmiştir.

Tablo 4: Regresyon Analizleri

| Bağımsız Değişken **Sosyal Sermaye** | Bağımlı Değişkenler | | | |
|---|---|---|---|---|
| | **İş Performansı** | **İş Kalitesi** | **İş Miktarı** | **İş Zamanı** |
| Constant | 1,091 | 1,191 | 1,096 | ,962 |
| β | ,684 | ,672 | ,644 | ,738 |
| P | ,000 | ,000 | ,000 | ,000 |
| Model F | 223,444 | 208,788 | 117,622 | 164,584 |
| $R^2$ | ,572 | ,556 | ,413 | ,496 |

Sosyal sermayenin iş performansı üzerine etkisine yönelik kurulan basit doğrusal regresyon modeli, istatistiksel olarak anlamlı bulunmuştur (F=223,444, p<0.01). Regresyon analizine göre, sosyal sermayenin iş performansı üzerinde pozitif yönde anlamlı bir etkisi bulunmaktadır (β=0,684, p<0.01). Sosyal sermayenin +1 birim artmasının iş performansını 0,684 birim artıracağı anlaşılmaktadır. Bağımlı değişken olan iş performansının açıklanmasında sosyal sermayenin önemli bir faktör olduğu tespit edilmiştir. Sosyal sermaye, iş performansındaki değişimin %57,2'sini ($R^2$= 0,572) açıklayabilmektedir.

Sosyal sermayenin iş kalitesi üzerine etkisine yönelik kurulan basit doğrusal regresyon modeli, istatistiksel olarak anlamlı bulunmuştur (F=208,788, p<0.01). Regresyon analizine göre, sosyal sermayenin iş kalitesi üzerinde pozitif yönde anlamlı bir etkisi bulunmaktadır (β=0,672, p<0.01). Sosyal sermayenin +1 birim artmasının iş kalitesini 0,672 birim artıracağı anlaşılmaktadır. Bağımlı değişken olan

iş kalitesinin açıklanmasında sosyal sermayenin önemli bir faktör olduğu tespit edilmiştir. Sosyal sermaye, iş kalitesindeki değişimin %55,6'sını ($R^2$= 0,556) açıklayabilmektedir.

Sosyal sermayenin iş miktarı üzerine etkisine yönelik kurulan basit doğrusal regresyon modeli, istatistiksel olarak anlamlı bulunmuştur (F=117,622, p<0.01). Regresyon analizine göre, sosyal sermayenin iş miktarı üzerinde pozitif yönde anlamlı bir etkisi bulunmaktadır (β=0,644, p<0.01). Sosyal sermayenin +1 birim artmasının iş miktarını 0,644 birim artıracağı anlaşılmaktadır. Bağımlı değişken olan iş miktarının açıklanmasında sosyal sermayenin önemli bir faktör olduğu tespit edilmiştir. Sosyal sermaye, iş miktarındaki değişimin %41,3'ünü ($R^2$= 0,413) açıklayabilmektedir.

Sosyal sermayenin iş zamanı üzerine etkisine yönelik kurulan basit doğrusal regresyon modeli, istatistiksel olarak anlamlı bulunmuştur (F=164,584, p<0.01). Regresyon analizine göre, sosyal sermayenin iş zamanı üzerinde pozitif yönde anlamlı bir etkisi bulunmaktadır (β=0,738, p<0.01). Sosyal sermayenin +1 birim artmasının iş zamanını 0,738 birim artıracağı anlaşılmaktadır. Bağımlı değişken olan iş zamanının açıklanmasında sosyal sermayenin önemli bir faktör olduğu tespit edilmiştir. Sosyal sermaye, iş zamanındaki değişimin %49,6'sını ($R^2$= 0496) açıklayabilmektedir.

## 5. TARTIŞMA, SONUÇ VE ÖNERİLER

Günümüzde sosyal sermayenin, bireylerin iş hayatlarında başarılı olabilmelerine önemli katkılar yaptığı ve bu nedenle sosyal ve ekonomik olarak değerli olduğu kabul edilmektedir. Sosyal sermaye aynı zamanda beşerî sermayenin bağlamsal altyapısını da oluşturmaktadır. Sosyal sermayeye sahip olan bireyler ağ kurma, iş birliği yapma ve kaynaklara erişme açısından daha avantajlı hale gelmektedirler. Sosyal sermayenin sağladığı bu avantajlar, çalışanların bireysel ve örgütsel amaçlara ulaşmasında katkıda bulunmaktadır.

Bu araştırmada sosyal sermayenin çalışanların iş performansı üzerindeki etkisinin tespit edilmesi amaçlanmıştır. Çalışanların iş performansı; kalite, miktar ve zaman olarak değerlendirilmiştir. Araştırmada sosyal sermayenin çalışanların iş performansında kalite, miktar ve zaman açısından istatistiksel olarak anlamlı ve pozitif yönde bir etkisinin olduğu sonucuna ulaşılmıştır. Araştırmanın bu bulgusu, literatürdeki farklı araştırma sonuçlarıyla benzerdir. Moran (2005) tarafından yapılan araştırmada yöneticilerin sosyal sermayelerinin ve güvene dayalı ilişkilerinin yönetsel görev performansını olumlu olarak etkilediği tespit edilmiştir. Leana ve Pil (2006) tarafından öğretmenler üzerinde yapılan araştırmada hem iç sosyal sermayenin (öğretmenler arasındaki ilişkiler) hem de dış sosyal sermayenin (müdür ve dış paydaşlar arasındaki ilişkiler) örgütsel performansı ve öğrenci başarısını etkilediği sonucuna ulaşılmıştır. Girişimcilerin sahip olduğu sosyal sermaye girişimin performansını, hayatta kalma, kâr ve yaratılan istihdam ölçütleri açısından olumlu bir şekilde etkilemektedir. Diğer bir deyişle girişimcilerin sosyal sermayesi işletmelerin hayatta kalma süresini, elde edilen kârı ve istihdam edilen personel sayısını artırmaktadır (Bosma vd., 2004). Farklı olarak Felício ve diğerleri (2014) tarafından yapılan araştırmada, sosyal sermayenin başarının elde edilmesi için gerekli koşulların oluşturulmasında önemli olduğunu ancak örgütsel performans üzerinde doğrudan bir etkisinin olmadığı tespit edilmiştir. Sosyal sermayeyi üç boyutta ele alan araştırmalarda ise sosyal sermayenin bilişsel ve ilişkisel boyutlarının performansla pozitif yönde ilişkili olduğunu, ancak sosyal sermayenin yapısal boyutunun performansla ilgisi olmadığını göstermektedir (Li vd., 2014; Andrews, 2010; Batjargal, 2003).

Araştırmada çalışanların sosyal sermayelerinin geliştirilmesinin aynı zamanda iş performanslarının kalite, miktar ve zaman olarak da geliştirilmesine katkı sağlayacağı sonucuna ulaşılmıştır. Sosyal sermayenin geliştirilmesi ve doğru kullanımı çalışanların ve örgütlerin amaçlarına ulaşmasına katkı sağlamaktadır. Örgütsel bağlamda, güvene dayalı ilişki, bilgi paylaşımı ve yardımlaşmayı destekleyen örgütsel kültür ve iklimin oluşturulması sosyal sermayenin gelişmesini ve katkısını artırabilir. Bu bağlamda hem örgütler ve yöneticiler hem de çalışanlar sosyal sermayelerini geliştirmek için çaba göstermelidir.

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# UFRS Kapsamında Bitcoin Muhasebesinin Değerlendirilmesi

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**Özet:** Blok zinciri teknolojisi iş modellerinde önemli değişimlere ve dönüşümlere neden olma potansiyeline sahip olmasından dolayı 21. yüzyılın en önemli teknolojik yeniliklerinden biri olarak kabul edilmektedir. Blok zinciri teknolojisi finans, sağlık, gıda ve enerji sektörlerinde geniş uygulama alanlarına sahip olmakla birlikte, yaygın olarak kripto paranın doğuşunu oluşturan bir sistem olarak bilinmektedir.

Günümüzde kripto paralar artan değeri ve işlem hacimleri nedeniyle ülkelerin gündem konularından biri olmuştur. Bu durum kripto paraların muhasebeleştirilmesi konusunu da tartışmaya açmıştır. Kripto paraların muhasebeleştirilmesi konusunda küresel kurum ve kuruluşlar tarafından herhangi bir düzenleme olmadığı için konu farklı açılardan ele alınmaktadır. Bu çalışmanın amacı kripto paraların en önemli temsilcilerinden biri olan bitcoinin muhasebeleştirme konusunu uluslararası finansal raporlama standartları (UFRS) kapsamında incelemek ve bu konuda değerlendirme yapmaktır. Bu amaç doğrultusunda UFRS kapsamında bitcoinin muhasebesi ile ilgili literatürdeki görüşler incelenmiştir. Çalışmada, bitcoin ve altcoinlerin yabancı para birimi, stok ve maddi olmayan duran varlık olarak kayıt altına alma görüşlerinin ön plana çıktığı belirlenmiştir.

**Anahtar Kelimeler**: Kripto Paralar, Bitcoin, Uluslararası Finansal Raporlama Standartları.

# An Assessment of Bitcoin Accounting under IFRS

**Abstract:** Blockchain technology is regarded as one of the most important technological innovations of the 21st century due to its potential to cause significant changes and transformations in business models. Blockchain technology has wide application areas in the finance, health, food and energy sectors, but it is widely known as the system that created cryptocurrency.

Today, cryptocurrencies have become one of the agenda topics of countries due to their increasing value and transaction volumes. This situation has also opened the issue of accounting for cryptocurrencies for discussion. The issue is handled from different aspects for there is no regulation by global institutions and organizations regarding the accounting of cryptocurrencies. The aim of the study is to examine the accounting of bitcoin, one of the most important representatives of cryptocurrencies, within the scope of international financial reporting standards (IFRS) and make an assessment on this issue. For this purpose, the opinions in the literature on the accounting of bitcoin under IFRS have been examined. As a result of the study, it was determined that the opinions of recording bitcoin and altcoins in accounts as foreign currency, inventory and intangible fixed asset came to the forefront.

**Keywords**: Cryptocurrencies, Bitcoin, International Financial Reporting Standards.

## 1. GİRİŞ

Bitcoin ve diğer kripto paralar yeni nesil finansal sistemin araçları olarak kabul edilmektedir. Dünyada 35 milyondan fazla bitcoin cüzdanı vardır ve bitcoin otel rezervasyonu, kitap, uçak bileti vb. gibi birçok alanda bir ödeme aracı olarak kullanılmaktadır. Bitcoin ticareti Ocak 2020'de 930 milyar doları aşmıştır (Brauneis vd. 2021:23). Türkiye'de de kripto paralara olan talep her geçen gün artmaktadır. Bilgi Teknolojileri ve İletişim Kurumu'nun Eylül 2020 raporuna göre Türkiye'de 2020 yılında 2.400.000'den fazla kişi kripto paraya yatırım yapmıştır. Rapora göre, Türkiye dünya genelinde kripto para kullanan ülkelerin yer aldığı listede 14'üncü sırada yer almaktadır.

Kripto paranın yatırım amacı dışında farklı kullanım alanlarının oluşması kripto paranın muhasebeleştirilmesi konusunda farklı görüşlerin oluşmasına neden olmuştur. Bu çalışmanın amacı, UFRS kapsamında kripto paraların en önemli temsilcilerinden biri olan bitcoinin muhasebeleştirme konusunu literatürdeki görüşler doğrultusunda incelemektir. Çalışmanın birinci kısımda; blok zinciri teknolojisi ve bitcoin açıklanmıştır. İkinci kısımda literatür özetlenmiştir. Üçüncü kısımda; bitcoinin muhasebeleştirilmesi literatürde ve IASB komitesi tarafından açıklanan yaklaşımlar doğrultusunda incelenmiştir. Dördüncü kısımda, Türkiye'de kripto para ile ilgili yasal düzenlemeler incelenmiştir Sonuç bölümde ise, çalışmanın genel değerlendirilmesi yapılmıştır.

## 2.BLOK ZİNCİRİ TEKNOLOJİSİ ve BİTCOİN

Bu bölümde blok zinciri teknolojisi ve bitcoinin özellikleri açıklanmıştır.

### 2.1. Blok Zinciri Teknolojisi

Blockchain teknolojisi, Türkçeye blok zinciri olarak geçmiştir. Blok zinciri tüm işlemlerin ve sayısal verilerin halka açık bir dijital blok ağında depolandığı, dağıtık bir veri tabanıdır. Sistem içerisinde veri barındıran her bir blok için dijital imza ve kriptografik özel algoritmalar kullanılmaktadır (Kimani vd, 2020:2). Veri barındıran bloklar bir araya gelerek bir zincir oluşturmaktadır. Bu zincire blok zinciri denilmektedir (Özdoğan ve Karğın, 2018:162).

Blok zinciri merkezi otorite olmadan çalışmakta ve bilgiler ağı oluşturan her bir blokta tutulmaktadır. Bir blok zincirindeki veriler her düğümde ayrı ayrı saklanmaktadır ve her bir işlem sonrası bu düğümlerdeki verilerin tutarlılığı sağlanmaktadır. Blok zincirine eklenen yeni bloğun ağdaki paydaşlar tarafından onaylanması verilerin silinmesini engellemektedir. Blok zincirindeki her blok, verilerin bütünlüğü için önceki bloğun hash'ını içermektedir. Hash, bloğun içeriğini tanımlayan benzersiz bir değerdir. Bloğun hash değeri, bloktaki herhangi bir veri değiştiğinde değişmektedir. Yeni hashi bir sonraki blokta önceden depolanmış hash'dan farklı olduğunda, herhangi bir veri değişikliği yapıldığı tespit edilmektedir (Sanka vd, 2021: 181).

Blok zinciri, 21. yüzyılın en önemli teknolojik yeniliklerinden biri olarak kabul edilmektedir. Çok geniş çalışma alanına sahip olan blok zincirinin gelecekte finans sektöründe (borsa, sigorta), işletmenin operasyonları ve yönetişim konularında ( muhasebe, denetim, tedarik zinciri), sağlık hizmetleri ve kamu yönetiminde (doğumlar, tapu tescili) daha yoğun bir şekilde kullanılacağı tahmin edilmektedir (Kimani vd, 2020:2). Deloitte'nin (2019) küresel blok zinciri raporu, blok zincirinin işletmelerin en önemli gündem konusu olduğunu kanıtlamaktadır. Raporda, 1386 tane yüksek gelirli şirketin % 86'sının blok zincirini temel konu olarak benimsediği, % 53'ünün blok zincirini en önemli beş stratejik önceliğinden biri olarak gördüğü belirtilmektedir.

Son yıllarda blok zinciri teknolojisinin muhasebe ve denetim alanına etkileri tartışılmaktadır. Yu vd. (2018) blok zinciri teknolojisinin işletmelerin muhasebe sürecini şeffaf hale getireceğini, raporlama kalitesini artıracağını ve işletmeler ile paydaşları arasındaki bilgi asimetrisini azaltacağını iddia etmişlerdir. Bonson ve Bednarova (2019) blok zinciri teknolojisinin muhasebe verilerini otomatik kontrolünü sağladığı için güvenilirlik konusunda çözümler sunacağını belirtmişlerdir. Ayrıca, akıllı sözleşmelerle işlemlerin otomatikleşmesi ile maliyetlerin düşeceği, hataların azalacağı, manipülasyonları önleneceği ve bilginin anında paylaşılmasını sağladığı için bilgi bütünlüğünü geliştirileceği ifade edilmiştir.

### 2.2. Bitcoin

Kripto paranın doğuşuna temel teşkil eden sistem blok zinciri teknolojisidir. İlk kripto para olan Bitcoin, 2008'de Satoshi Nakamoto takma adını kullanan ve gerçek kimliği bilinmeyen kişi veya grup tarafından yayımlanan makale ile ortaya çıkmıştır. Bitcoin, tamamen sanal ortamda üretilen ve işletilen bir sistem olarak teknik anlamdaki güven sorununu blok zinciri teknolojisi ile çözmektedir (Dulupçu vd., 2017:2245). Bitcoin'in çalışma sistemi kriptoloji yöntemine dayanmaktadır. Para transfer işlemi, merkezi bir sunucu olmadan bilgisayar sistemleri arasında dosya paylaşımına dayanmaktadır. Bu prensibin adı eşitler arası ( peer to peer) elektronik para transferidir (Temelli, 2019: 109). Bitcoin, herhangi bir ülkeye veya kişiye bağlı kalmadan internet ortamında değiştirilebilen, şifrelenmiş dijital cüzdanlarda saklanan, arz ve talebe göre kuru değişen ve alım satımı mümkün olan dijital bir olgudur (Durmuş ve Polat, 2018: 661).

Bitcoin'in reel paralardan üstünlüğü, herhangi bir ülkenin merkez bankasına bağlı olmadığı için hiçbir ülkenin ekonomik durumundan etkilenmemesidir. Ayrıca, bitcoin hesaplarının kime ait olduğu bilinmediği ve bir merkezi otorite tarafından izlenip denetlenmediği için hesapların dondurulması, el konulması gibi tehditlerle karşılaşmak mümkün değildir. Diğer taraftan, kimlik bilgilerinin gizliliği, bir otoritenin denetimi altında olmaması, bu sistemi her türlü yasa dışı finansal transfere açık hale getirmektedir (www.mahfiegilmez.com).

Blok zinciri ağında Bitcoin ile benzer sisteme sahip "alt –coin" (alternatif coin) adı verilen birçok kripto para bulunmaktadır. Bunlar içinde bitcoin piyasa değeri, fiyatı ve dolaşımdaki arzı en yüksek olan kripto

paradır. Bitcoin'den sonra sırasıyla Ethereum, Binance Coin, Dogecoin ve XRP en yüksek piyasa değerine sahip kripto paralar gelmektedir (Tablo 1).

Tablo 1: En Değerli 5 Kripto Para Birimi

| İSİM | PİYASA DEĞERİ (TL) | FİYAT (TL) | DOLAŞIMDAKİ ARZI |
|---|---|---|---|
| 1.Bitcoin | 9.005.251.421.187 | 481.728,57 | 18.701.300 BTC |
| 2.Ethereum | 3.350.796.284.836 | 28.930,48 | 115.760.969 ETH |
| 3.Binance Coin | 829.045.163.347 | 5.397,29 | 153.432.897 BNB |
| 4.Dogecoin DOGE | 642.104.573.750 | 5,00 | 129.475.242.412 DOGE |
| 5.XRP | 632.622.837.147 | 13,88 | 45.404.028.640 XRP |

Kaynak: https://coinmarketcap.com/coins/ ( 06.05.2021)

Kripto paraları ödeme aracı olarak kabul eden, değişimini yapan kişi ve organizasyonlar coinmap.org ve worldcoinindex.com gibi sitelerden takip edilebilmektedir (Yalçın, 2020: 105). Türkiye'de Türk Lirası ile kripto para alım ve satımı yapılan 12 adet Türk Bitcoin borsası mevcuttur. Bu borsalardan Paribu, Btcturk, Paritex işlem hacmi bakımından en yüksek değere sahip borsalardır (coin-turk.com, 06.05.2021).

Bitcoin alım-satımında en çok kullanılan para birimleri incelendiğinde, işlem hacmine göre sırasıyla ABD Doları, Kore Wonu, Euro, Japon Yeni, İngiliz Sterlini ve Türk Lirası olduğu görülmektedir (www.coinhills.com; 06.05.2021). Türk Lirası'nın bu sıralamada altıncı sırada yer alması Türkiye'de bitcoine olan talebin ne kadar yüksek olduğunu göstermektedir. Öte yandan, bitcoinin arkasında fiziksel bir güç (şirket/devlet veya değeri karşılığı altın/gümüş rezervi) bulunmamasına rağmen, yıllar içinde nasıl bu kadar yayıldığı ve değer kazandığı tartışma konularından biridir. Bu konu " sübjektif değer" teorisi ile açıklanmaktadır. Bu teori, bir mal veya hizmetin değerinin o mal veya hizmeti üretmek için harcanan emek ile doğru orantılı olmadığını savunmaktadır. Buna göre nesnelere anlam kazandıran veya değerli kılan şey, bizim onlara verdiğimiz önem ve değerdir. Bitcoin'in yayılım hızı ve kullanıcı sayısındaki artışı sosyal medyanın gücüne bağlanmaktadır (Çizmeci ve Göver, 2020: 321).

Bitcoine olan ilginin artması sistemin güçlü zayıf yönlerini de tartışmaya açmıştır. Ergüden (2020) göre bitcoinin güçlü ve zayıf yönleri şunlardır:

Güçlü yönleri:

- Bitcoin, birçok yönden dünyanın en iyi ödeme mekanizmasıdır,
- Merkezi olmadığı ve herhangi bir devlete ve merkez bankasına bağlı olmadığı için bağımsızdır,
- Manipülasyondan ve enflasyondan etkilenmez,
- Değerini enflasyona göre ayarlayan bir merkez bankası yoktur,
- Para doğrudan kişi veya kurumun hesabına gönderildiği için herhangi bir aracı kuruma ihtiyaç duyulmaz,
- Aracı kurumlar olmadığı için işlem maliyeti düşüktür,
- Hızlı ve direkt transfer sistemi zamandan tasarruf sağlar,
- Hesaplar gizlidir,
- Sistem özel bir şifreleme yöntemine dayandığından hırsızlık meydana gelse bile bu sistemin emsallerine göre daha güvenli olduğu kabul edilir,
- Toplam arz limiti 21 milyondur,
- Değerindeki hızlı artış, alım satım yapanlar dışında meraklı kitleler yaratabilir.

Zayıf yönleri:

- Fiziksel değildir, sadece yazılım ve koddur,
- Denetim mekanizmasının olmaması nedeniyle riskler vardır,

- Miktarının 21 milyonu geçememesinden dolayı paranın işlevlerini göstermesi mümkün değildir,
- Bitcoin arzını artıran madencilik sisteminin yarattığı riskler vardır,
- Dağıtık defter sistemi kripto para biriminin kullanımını zorlaştırabilir,
- Bitcoin fiyatındaki günlük değişim paranın gerçek değeri hakkında tam fikir vermez,
- Yatırımcılar için ciddi fiyat riski taşır,
- Dijital cüzdanlar bilgisayar korsanlarının saldırılarına açıktır.
- Anonim olma özelliği, özellikle vergi kaçakçılığı, silah satışı gibi yasa dışı sitelerde kontrolsüz ve sınırsız işlemleri kolaylaştırır.

**3.LİTERATÜRDE BİTCOİN MUHASEBESİ**

Literatürde kripto para konusunda farklı disiplinlerde yapılan çalışmalar mevcuttur. Bu araştırmada kripto paranın muhasebe ilkeleri, bitcoin özelinde incelenmesinden dolayı literatür bu konu çerçevesinde incelenmiştir.

Tan ve Low (2017) çalışmalarında bitcoinin muhasebeleştirmesinde elde tutma amacının esas alınması gerektiğini savunmuşlardır. Söz konusu çalışmada, bitcoini alıp satarak fiyat değişmelerinden gelir elde eden işletmelerin bitcoini döviz cinsinden para birimi olarak raporlayabileceği ifade edilmiştir. Diğer taraftan madenci ve yatırımcılardan aldığı bitcoini belirli bir komisyon karşılığında yatırımcılara satan işletmelerin bitcoini ticari mal olarak raporlayabileceği belirtilmiştir.

Şahin (2018) çalışmasında kripto paraların muhasebeleştirilmesi konusunu UFRS kapsamında değerlendirmiştir. Söz konusu çalışmada kripto paralar nakit ve nakit benzeri, finansal araçlar, satış amaçlı elde tutulan duran varlıklar, maddi olmayan duran varlık ve stok standartları kapsamında incelenmiş ve mevcut durumda kripto paraların maddi olmayan duran varlıklar olarak muhasebeleştirmenin en uygun yöntem olduğu belirtilmiştir.

Prochazka (2018) çalışmasında UFRS kapsamında kripto paraların muhasebeleştirme modellerinin değerlendirmesini yapmıştır. Çalışmada, yatırım amaçlı elde tutulan kripto paraların yüksek volatilitesi nedeniyle gerçeğe uygun değere göre değerlemenin en uygun ölçüm olduğu, merkezi otoriteler kripto paraları para olarak kabul etmese de kripto paraların yabancı para birimi olarak raporlama yapılabileceği belirtilmiştir.

Serçemeli (2018) çalışmasında kripto paraların muhasebeleştirilmesi ve vergilendirilmesi konularını değerlendirmiştir. Söz konusu çalışmada, kripto paraların kullanım alanı ve şeklinin muhasebeleştirmede dikkate alınması gerektiği vurgulanmıştır. Özün önceliği kavramına göre bitcoinin ticari mal, hazır değer veya menkul kıymet olarak değerlendirilmesi ve buna göre muhasebeleştirilmesi önerilmiştir.

Yumuşaker (2019) çalışmasında kripto paraların ödeme aracı olarak kullanıldığında yabancı para olarak değerlendirilebileceği ve bu durumda kripto paraların "108 Diğer Hazır Değerler" hesabında muhasebeleştirilebileceğini, emtia olarak elinde tutulması durumunda ise "157 Diğer Stoklar" hesabında muhasebeleştirilebileceğini belirmiştir.
Pelucio-Grecco vd. (2020) çalışmalarında Ram (2016) tarafından belirlenen bitcoinin özelliklerine bağlı olarak, UFRS kapsamında bitcoinin nasıl sınıflandırılacağını araştırmışlardır. Ram bitcoinin özelliklerini şu şekilde açıklamıştır: tüm işlemler dijitaldir, merkezi otorite yoktur, sadece dijital ortamda vardır, kolay devredilebilir, farklı borsalarda farklı fiyatları vardır, mal ve hizmet alımında ödeme aracı olarak kullanılabilir, spekülatif amaçlar için kullanılabilir, yatırım aracı olarak kullanılabilir, üretilebilir (madencilik), volatilitesi yüksektir, arzı sınırlıdır, gerçek değerini tespit etmek zordur, makroekonomik değişkenlerden etkilenmez, takas edilebilir, para birimi olarak satılabilir veya sözleşmeye dayalı hak olarak görülebilir, mal ve hizmetlerin üretiminde veya tedarikinde kullanılan bir varlık olarak değerlendirilebilir (Ram, 2016 aktaran Pelucio-Gerecco vd., 2020). Söz konusu çalışmada bu özellikler çerçevesinde bitcoin yabancı para, finansal varlıklar ve maddi olmayan duran varlık başlıklarında değerlendirilmiştir. Çalışmada, bitcoinin yabancı paranın özelliğini taşımasından dolayı yabancı para olarak sınıflandırılabileceği önerilmiştir.

Shehada ve Shehada (2020) çalışmalarında mevcut UFRS kapsamında kripto paraların muhasebeleştirilmesinde karşılaşılan zorlukları tartışmışlardır. Söz konusu çalışmada, literatürde kripto paraların muhasebeleştirilmesi konusunda ortak bir görüşün olmadığı, mevcut UFRS'nin kripto paraların muhasebeleştirilmesi konusunda eksikliklerinin olduğu, işletmelerin iş modellerine bağlı olarak kripto paraların farklı kullanımlarının olduğu ve bu durumun kripto paraların muhasebeleştirilme yönteminde farklılık yarattığı belirtilmiştir.

Aslan (2020) çalışmasında kripto paraların muhasebeleştirilmesi konusunu küresel meslek örgütlerinin, düzenleyici kuruluşların, denetim firmalarının görüşleri doğrultusunda incelemiş ve bu görüşlerin değerlendirmesini yapmıştır. Söz konusu çalışmada küresel muhasebe kurum ve kuruluşlarının kripto paraların maddi olmayan duran varlık olarak sınıflandırılması konusunda hem fikir oldukları ifade edilmiştir. Çalışmada kripto paraların iş modeline bağlı olarak, TMS 2 Stoklar kapsamına girmeyen diğer stoklarda kayıt altına almanın uygun olacağı görüşünün hakim olduğu belirtilmiştir. Ayrıca, kripto paraların nakit ve nakit benzerleri ve finansal araç özelliği taşımadığı konusunda ortak bir görüşün olduğu belirtilmiştir.

Yüksel (2020) çalışmasında Uluslararası Finansal Raporlama Standartları Yorumlama Komitesi'nin kripto paraların satılmak amacıyla elde tutulması durumunda stoklar standardı kapsamında, diğer durumlarda ise maddi olmayan duran varlık standardı kapsamında değerlendirileceğine dair geçici kararını belirtmiş ve konuyu örnek olaylarla açıklamıştır.

Eren vd. (2020) çalışmalarında kripto paraların muhasebeleştirilmesi konusunu UFRS kapsamında değerlendirmişlerdir. Çalışmada, kripto paralar nakit ve nakit benzeri, nakit olmayan finansal varlık, yatırım amaçlı gayrimenkul, maddi olmayan duran varlık ve stok standartları kapsamında incelenmiştir.

Güdelci (2020) çalışmasında kripto paraların muhasebeleştirilmesi konusunu UFRS kapsamında incelemiştir. Söz konusu çalışmada kripto paraların "maddi olmayan duran varlık" olarak sınıflandırmanın muhasebe açısından en doğru seçenek olduğu belirtilmiştir.

Gül (2020) çalışmasında literatürdeki yaklaşımlar doğrultusunda kripto paraların muhasebeleştirme konusunu değerlendirmiştir. Söz konusu çalışmada kripto paraların para olarak sınıflandırmanın en uygun yaklaşım olduğu belirtilmiştir.

Yalçın (2020) çalışmasında kripto paraların madenciliğini yapan, kripto paraları değişim aracı olarak kullanan ve ticaretini yapan işletmelerin bu işlemlerinin muhasebeleştirilmesi ve raporlanması konularını Muhasebe Sistemi Uygulaması Genel Tebliğleri ve Uluslararası Muhasebe Standartları hükümlerine göre değerlendirmiştir.

Ergüden (2020) çalışmasında kripto paraların muhasebeleştirilmesi konusunu UFRS kapsamında incelemiştir. Söz konusu çalışmada kripto paranın maddi olmayan duran varlık olarak sınıflandırmanın mevcut durumda en uygun yöntem olduğu belirtilmiştir.

## 4.ULUSLARARASI FİNANSAL RAPORLAMA STANDARTLARI KAPSAMINDA BİTCOİN'İN MUHASEBELEŞTİRİLMESİ

Uluslararası Muhasebe Standartlar Kurulu (IASB), kripto paraların nasıl muhasebeleştirileceğine dair standartlarda bir düzenleme yapmamıştır. Ancak, IASB bünyesindeki komite, Haziran 2019 tarihli ajandasında kripto paraların muhasebeleştirilmesine ilişkin açıklamalarda bulunmuştur. Komite öncelikle kripto paraların özelliklerini açıklamış, daha sonra kripto paraların muhasebeleştirilmesinde mevcut standartlardan hangilerinin kullanılabileceğini belirtmiştir. Komite tarafından kripto paraların özellikleri şu şekilde açıklanmıştır:

- Kripto para, dağıtık defterlere kaydedilen ve güvenliği için kriptoloji kullanılan dijital ve sanal bir para birimidir,
- Kripto para, herhangi bir yasal otorite tarafından düzenlenmez,
- Kripto para, sahibi ile karşı taraf arasında bir sözleşme gerektirmez.

Komite, ticari amaçla elde tutulan kripto paraların stok olarak değerlendirileceğini, aksi takdirde maddi olmayan duran varlıklar olarak değerlendirileceğini belirtmiştir ( www.ifrs.org).

Denetim şirketi Ernst & Young (2019) kripto paraların iş modeline bağlı olarak Nakit ve Nakit Benzerleri, Finansal Araçlar, Stoklar, Maddi Olmayan Varlıklar, Muhasebe Politikaları, Muhasebe Tahminlerinde Değişikler ve Hatalar standardı kapsamında sınıflandırılabileceğini önermiştir.

Bu bölümde, bitcoinin muhasebeleştirilmesi literatürde ve IASB komitesi tarafından açıklanan yaklaşımlar doğrultusunda incelenmiştir. Bitcoinin muhasebeleştirilmesi UFRS kapsamında aşağıdaki başlıklarda açıklanmıştır:

- Nakit ve nakit benzerleri
- Finansal Araçlar
- Emtia
- Maddi Olmayan Duran Varlıklar

**4.1. Nakit ve Nakit Benzeri**

TMS 7'de Nakit Akış Tabloları standardında nakit, "işletmelerdeki nakitlerle vadesiz mevduat olarak ifade edilirken, nakit benzerleri kısa vadeli yükümlülüklerin yerine getirilmesi amacıyla elde tutulan ve kolayca nakde çevrilebilen, değerindeki değişim riski önemsiz olan yatırımlar" olarak ifade edilmektedir.

IASB Komitesi, TMS 32 Finansal Araçlar Standardında yer alan finansal varlık tanımına atıfta bulunarak, kripto paraların şu anda nakit özelliği bulunmadığından nakit olarak tanımlanamayacağını açıklamıştır. Komite, bazı kripto paraların mal veya hizmet karşılığında kullanılabileceğini, ancak tüm işlemlerin ölçülmesi ve finansal tablolara yansıtılmasında esas alınamayacağını ve bir değişim aracı olarak tanımlanamayacağını belirtmiştir.

Şahin (2018) ve Ergüden (2020) göre kripto paralar aşırı dalgalanması nedeniyle, TMS 7'de yer alan nakit benzerleri kavramında yer alan "değerindeki değişim riski önemsiz yatırım" ifadesini karşılamamaktadır. Ayrıca, kripto paraların çoğunlukla yatırım amacıyla elde tutulması nedeniyle nakit benzeri özelliği taşımamaktadır. Günay ve Kargı (2018), paranın değişim, yatırım ve tasarruf aracı ve değer ölçüsü olma gibi işlevlerinin olduğunu, ancak kripto paraların değişim aracı ve değer ölçüsü olma işlevlerini sınırlı düzeyde yerine getirmesinden dolayı mevcut durumda para olarak tanımlanamayacağını belirtmişlerdir.

Eren vd. (2020), kripto paraların TMS 7'de yer alan tanımına uygun olmadığı için kripto paraların nakit ve nakit benzerleri olarak muhasebeleştirilemeyeceğini belirtmiştir. Güldenci (2020) de kripto paraların değerinin herhangi bir merkezi bir otoriteye bağlı olmadığını, arz ve talep doğrultusunda belirlendiğini ve bu nedenle TMS 7'de yer alan nakit ve nakit benzerleri tanımlarını karşılamadığını belirtmiştir. Ayrıca, bazı durumlarda kripto paraların nakde dönüştürülmesi ile ilgili kısıtlamaların olmasından dolayı kripto paraların nakit veya nakit benzerleri olarak muhasebeleştirilemeyeceğini ifade etmiştir.

Yalçın (2020), yukarıdaki görüşlerden farklı görüş bildirmiştir. Söz konusu çalışmada, sattığı mal ve hizmet karşılığında alınan kripto paraların nakit benzeri olarak raporlanabileceğini belirtmiştir. Mal ve hizmet satışı karşılığında alınan kripto paraların likiditesinin düşük ve değişim riskinin yüksek olmasının nakit benzeri olarak raporlamaya engel olmayacağı belirtilmiştir.

**4.2. Finansal Araçlar**

TMS 32 Finansal Araçlar standardında finansal araç;" bir işletmenin finansal varlığı ile diğer bir işletmenin finansal borcunda ya da özkaynağa dayalı finansal aracında artışa neden olan herhangi bir sözleşme" şeklinde tanımlanmıştır.

IASB Komitesi, kripto parayı elinde tutana sözleşmeye bağlı bir hak veya yükümlülük getirmeyeceğinden ve başka bir işletmenin özkaynağa dayalı aracı olmadığından finansal araç olarak tanımlanamayacağını ifade etmiştir.

Güdelci (2020) ve Ergüden (2020) kripto parayı elinde tutanlar ile sistemdeki diğer yatırımcılar arasında sözleşmeye dayalı bir ilişki olmadığından kripto paraların finansal araç olarak değerlendirilmeyeceğini belirtmişlerdir. Diğer taraftan Eren vd. (2020) kripto paraların alınıp satılması amacıyla sözleşmelerin yapılması durumunda kripto paraların finansal araç olarak tanımlanabileceğini ifade etmişlerdir.

### 4.3. Emtia

TMS 2 Stoklar Standardı'nda stoklar; "normal iş akışı içinde satılmak üzere elde tutulan, satılmak üzere üretilmekte olan, üretim sürecinde veya hizmet sunumunda kullanılacak hammadde ve malzeme şeklinde" tanımlanmıştır. IASB Komitesi, kripto paraların iş akışı içinde satılmak üzere elde tutulması durumunda (ticari amaçla) TMS 2 Stoklar Standardının uygulanacağını belirtmiştir. Ayrıca kripto para ticaretinde aracılık yapan işletmelerin kripto para birimini satış maliyetleri düşülmüş gerçeğe uygun değer üzerinden ölçüm yapacağını ifade etmiştir.

Şahin (2018), kripto paraların TMS 2 standardı kapsamında satılmak amacıyla elde bulunduran stoklar kapsamında değerlendirilebileceğini, ancak kripto para kullanan işletmelerin birçoğunun faaliyet konusunun kripto para ticareti olmadığından kripto paraların stok kapsamında değerlendirmenin doğru olmayacağını belirtmiştir. Kripto paraların stok olarak muhasebeleştirilmesi durumunda değerleme işlemlerinin zor olacağı da ifade edilmiştir. Ergüden (2020) günümüzde kripto para kullanan birçok işletmenin kripto para ticareti yapmadığı için kripto paranın stok olarak tanımlanamayacağını belirtmiştir. Güdelci (2020) ise, başkalarının kripto para almalarına aracılık eden broker ve trader olarak ifade edilen işletmelerin kripto paraları stok olarak muhasebeleştirmelerinin ve bunları satış maliyeti düşürülmüş gerçeğe uygun değer yöntemine göre değerleme yapmalarının doğru olacağını belirtmiştir.

Yalçın (2020) mülkiyetinde olmayan kripto paraların alım ve satımını yapan işletmelerin bu paraları konsinye mal olarak kaydedilebileceğini belirtmiştir. Kripto paraların ticaretini yapan, mülkiyetinde olan kripto paraların TMS 2 stoklar standardına göre sınıflandırılacağını ve raporlanacağını belirtmiştir. Ayrıca, kripto paraların satış gelirleri ve kur farklarının hasılat olarak kayıtlara alınacağı ifade edilmiştir.

### 4.4. Maddi Olmayan Duran Varlıklar

TMS 38 Maddi Olmayan Duran Varlıklar Standardı'nda maddi olmayan duran varlıklar; "fiziksel özelliği olmayan, tanımlanabilir parasal olmayan varlıklar" şeklinde tanımlanmıştır. Bu standarda göre, maddi olmayan duran varlığın aktife alınabilmesi için, varlığın diğer varlıklardan ayrı olarak belirlenebilir olması, kontrol edilebilir olması, gelecekte ekonomik yarar sağlaması ve maliyetinin güvenilir bir şekilde ölçülmesi gerekmektedir.

IASB Komitesi, kripto para, sahibine sabit veya belirlenebilir miktarda para birimi alma hakkı vermeme koşulu ile sahibinden ayrılabildiği veya devredilebildiği gerekçesiyle UMS 38 Maddi Olmayan Duran Varlıklar Standının uygulanmasını önermiştir. Komite, ticari amaçla elde tutulan kripto paraların stok olarak değerlendirileceğini, aksi takdirde maddi olmayan duran varlıklar olarak değerlendirileceğini belirtmiştir (www.ifrs.org, 2021). Bu açıklamada komitenin kripto paraları maddi olmayan duran varlık olarak tanımlamasında maddi olmayan duran varlıkların belirlenebilir özelliğini dikkate aldığını ifade edebiliriz. TMS 38 standardında bir varlığın belirlenebilir olması iki kritere göre değerlendirilmektedir. Birinci kritere göre, varlığın işletmeden ayrılabilmesi, bireysel veya işletmenin bu yönde niyetinin varlığına bakılmaksızın ilgili sözleşme, tanımlanabilir varlık veya borçla birlikte satılabilir, devredilebilir, lisans altına alınabilir, kiralanabilir veya takas edilebilir olmasıdır. İkinci kritere göre, söz konusu hakların işletmeden veya diğer haklar ve yükümlülüklerden ayrılabilmesi veya devredilmesine bakılmaksızın, sözleşmede yer alan haklardan veya diğer yasal haklardan kaynaklanması gerekmektedir (TMS 38, md 11-12).

Şahin (2018), Eren vd. (2020) ve Ergüden (2020) kripto paraların TMS 38 standardı kapsamında maddi olmayan duran varlık özelliğini taşıdığını belirtmektedirler. Eren vd. (2020) çalışmalarında, kripto paralar satın alındığında standart kapsamında maliyet esasına göre muhasebeleştirileceğini, sonraki dönemlerde maliyet veya yeniden değerleme yöntemlerine göre değerleme yapılacağını belirtmişlerdir. Şahin (2018) çalışmasında, dönem sonunda kripto paraların piyasa verileri çerçevesinde yeniden değerleme yapılabileceğini ve yeniden değerleme sonucunda ortaya çıkabilecek artış veya azalışların kapsamlı gelir tablosunda muhasebeleştirilebileceğini belirtmiştir. Bu görüşleri destekleyen Ergüden (2020), kripto paraların belirli bir ekonomik ömrü olmadığı için amortismana tabi tutulmayacağını belirtmiştir.

## 5. TÜRKİYE'DE YASAL DÜZENLEMELER

Ülkemizde ödeme ve elektronik para hizmetlerinin yasal altyapısı 6493 sayılı "Ödeme ve Menkul Kıymet Mutabakat Sistemleri, Ödeme Hizmetleri ve Elektronik Para Kuruluşları Hakkında Kanun" ile

oluşturulmuştur. Kanunun amacı "ödeme ve menkul kıymet mutabakat sistemlerine, ödeme hizmetlerine, ödeme kuruluşlarına ve elektronik para kuruluşlarına ilişkin usul ve esasları düzenlemek" olarak belirtilmiştir. Kanun'da elektronik paranın tanımı yapılmıştır. Buna göre elektronik para " elektronik para ihraç eden kuruluş tarafından kabul edilen fon karşılığı ihraç edilen, elektronik olarak saklanan, bu Kanunda tanımlanan ödeme işlemlerini gerçekleştirmek için kullanılan ve elektronik para ihraç eden kuruluş dışındaki gerçek ve tüzel kişiler tarafından da ödeme aracı olarak kabul edilen parasal değeri" şeklinde tanımlanmıştır. Kanunun yürürlüğe girmesi ardından Bankacılık Düzenleme Denetleme Kurumu (BDDK) tarafından bitcoin ile ilgili açıklama yapmıştır. BDDK, bitcoinin mevcut yapısı ve işleyişi nedeniyle bu Kanun kapsamında elektronik para olarak değerlendirilemeyeceğini ve bu nedenle söz konusu Kanun kapsamında gözetim ve denetimin mümkün olmadığını açıklamıştır (BDDK, 2013/32 sayılı basın açıklaması)

Sermaye Piyasası Kurumu (SPK), 2018 yılında yayımladığı bülteninde, "kripto para satışı" veya "token satışı" olarak ifade edilen, blok-zinciri teknolojisi kullanarak para toplama uygulamalarının Kurumun düzenleme ve gözetim alanı dışında kaldığını açıklamıştır. Söz konusu bültende SPK ICO (kripto para birimlerini kullanan fon türüdür) 'ların çok yüksek riskli ve spekülatif yatırımlar olmasından dolayı dijital varlık almayı düşünen yatırımcıların bu riskleri dikkate almaları gerektiği vurgulanmıştır (SPK, 2018/42 sayılı bülten).

Yatırımcıların kripto paralara olan ilgisinin artması bu konunun ülkemizin gündeminde kalmasına neden olmuştur. Bu konudaki hedefler On birinci Kalkınma Planında (2019-2023) belirtilmiştir. Kalkınma planında "blok zincir tabanlı dijital merkez bankası parası uygulamaya konulacağı, blok zincir uygulamalarının yaygınlaştırılmasını teminen ulaştırma ve gümrük hizmetlerinde gerekli hukuki ve fiziki altyapı çalışmalarının tamamlanacağı" belirtilmiştir (www.sbb.gov.tr). Bu gelişmelere bağlı olarak Türkiye Cumhuriyeti Merkez Bankası yönetimi tarafından dijital para projesinin kavramsal çerçevesinin tamamlandığı, 2021 yılının ikinci yarısında bu konuda pilot testlere başlanacağı açıklanmıştır (www.cnnturk.com). Öte yandan 16 Nisan 2021 tarihli Resmi Gazete 'de yayımlanan " Ödemelerde Kripto Varlıkların Kullanılmamasına Dair Yönetmelik" ile kripto paraların ödeme aracı olarak kullanılması yasaklanmıştır. Bu yönetmelikte kripto varlık tanımına yer verilmiş, kripto varlık "dağıtık defter teknolojisi veya benzer bir teknoloji kullanılarak sanal olarak oluşturulup dijital ağlar üzerinden dağıtımı yapılan, ancak itibari para, kaydi para, elektronik para, ödeme aracı, menkul kıymet veya diğer sermaye piyasası aracı olarak nitelendirilmeyen gayri maddi varlıklar" şeklinde tanımlanmıştır. Bu yönetmeliğin kripto varlıkların kullanacağı iş modellerini engelleyeceği ve bu alanda yapılacak teknolojik yatırımların askıya alınmasında etkili olacağı düşünülmektedir (www.cnnturk.com).

## 6.SONUÇ

Çalışmada, bitcoinin UFRS kapsamında nasıl muhasebeleştirileceği konusu literatürde yer alan görüşler doğrultusunda incelenmiştir. Bu bağlamda bitcoin muhasebesi nakit ve nakit benzerleri, finansal araçlar, emtia ve maddi olmayan duran varlık başlıklarında değerlendirilmiştir. Kripto paraların finansal araç özelliği taşımadığına dair genel bir görüş vardır. Öte yandan, kripto paraların yabancı para birimi, stok ve maddi olmayan duran varlık olarak kayıt altına alma görüşlerinin ön plana çıktığı belirlenmiştir. Bu görüşleri savunanlar, sattıkları mal ve hizmet karşılığında alınan kripto paraların nakit benzeri olarak raporlanabileceğini, kripto para ticareti yapan işletmelerin kripto paralarını emtia olarak raporlayabileceğini, bunların dışındaki amaçlar için elinde tutulan kripto paraların maddi olmayan duran varlık olarak raporlanabileceğini belirtmişlerdir. IASB Komitesi de ticari amaçla elde tutulan kripto paraların stok olarak değerlendirileceğini, aksi takdirde maddi olmayan duran varlıklar olarak değerlendirileceğini belirtmiştir. Denetim şirketi Ernst & Young (2019), Tan & Low (2017) ve Serçemeli (2018) kripto paraların iş modeline bağlı olarak muhasebeleştirilmesi gerektiğini önermişlerdir.

Sonuç olarak, IASB'nin kripto paraların nasıl muhasebeleştirileceği konusunda standartlarda bir düzenleme yapmayarak, mevcut standartlardan hangilerinin kullanılabileceği konusunda sadece görüş bildirmesi, bu konudaki tartışmaların hem ulusal hem de uluslararası düzeyde devam edeceğini göstermektedir. Ayrıca, Türkiye'de kripto paraların ödeme aracı olarak kullanılmasının yasaklanması kripto varlıkların kullanılacağı iş modellerinin tekrar gözden geçirilmesine neden olacaktır.

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# Türkiye'de Savunma Sanayi Sorunları Üzerine Bir İnceleme

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**Özet:** Saldırılara karşı güç kullanma ve müdafaa gösterme olarak tanımlanan savunma, ulusal açıdan devletlerin egemenliğini sürdürebilmeleri için diğer devletlere karşı korunmak amacıyla uygulanan adımlardır. Savunma sanayindeki önemli firmalar çok kolay bir şekilde tanımlanabilirken, tüm savunma sanayini analiz etmeye çalışıldığında kavramsal ve pratik problemlerle karşılaşılacaktır. Çünkü savunma sanayi sektörü temel özellikleri ve birleşik ekonomik faaliyetleri ile toplandığında karmaşık bir yapıyı temsil etmektedir. Savunma sanayi ile ilgili çalışmalara bakıldığında Türk savunma sanayiinin gelişimi önünde engel teşkil eden nedenler tam olarak incelenmemektedir. Çalışmada savunma sanayi sektörünün gelişim süreci açıklanarak çalışma ile amaçlanan Türk savunma sanayinin gelişmesine engel olan unsurlar tespit edilerek değerlendirilmiştir. Savunma sanayide herkesçe öngörülen sebepler dışında göz ardı edilen veya henüz bahsedilmeyen sorunlarda ele alınmıştır. Türk savunma sanayiinin gelişimi ile ilgili sorunlar, ekonomik sorunlar /politik ve sosyal sorunlar başlıkları altında detaylı bir şekilde incelenmiştir. Birinci başlık altında özellikle istihdam, tedarik ve pazar sorunları incelenmiştir. İkinci başlık adı altında ise terör, kopya, gizlilik, ar-ge konularında yaşanan sorunlar ele alınmıştır.

**Anahtar Kelimeler:** Savunma Sanayi, Savunma Harcamaları, Ekonomi

## 1. GİRİŞ

Bir ülkenin bilimsel altyapısını anlamak için savunma sanayi sektöründe incelemeler yapmak yanlış bir adım olmayacaktır. Savunma sektörü için tüm sanayi kollarının lokomotifi benzetmesini yapmak mümkündür. Savunma sanayi sektörünün hiçbir zaman gündemden düşmeyeceği sürekli olarak açıklanmaktadır. Bu durum sektörün ülkeler için ne derece önemli olduğunu göstermektedir (Demirel, 2012: 10). Savunma sanayinde firmaların piyasa değerinde yaşanacak önemli değişiklikler savunma sanayinin önem düzeyini de etkilemektedir. Birçok çalışma, savunma sanayinin değişen doğasına büyük önem vermektedir. Soğuk Savaşın sona ermesinden bu yana, hemen hemen tüm savunma şirketleri serbest piyasa ekonomisinden etkilenmektedir. Ayrıca savunma sanayii sektöründe yaşanan yapısal değişikliklerinin ve yoğunlaşma süreçlerinin, sektörün oluşturduğu tutumunu kaybettiği iddia edilmektedir (Blancard, 2008: 15).

Saldırılara karşı güç kullanma ve müdafaa gösterme olarak tanımlanan savunma, ulusal açıdan devletlerin egemenliğini sürdürebilmeleri için diğer devletlere karşı korunmak amacıyla uygulanan adımlardır. Savunma hizmetleri devlet imkanları ile sağlanır ve toplumdaki herkes bu imkanlardan faydalanabilmektedir (Baran, 2018: 58). Sadece bir müşteriyi dikkate alan, en gelişmiş teknolojilerin kullanıldığı, bu durumda da sistemsel geliştiricilerin çok pahalı olduğu, aynı zamanda ulusal egemenliği içerisinde barındırdığı için ülkelerin teknolojiyi kullanma konusunda çok titiz davrandığı savunma sanayii alanındaki gelişmelerin incelenmesi farklılık gösterecektir. Ülkeler için öncelikli amaç içerde güçlü bir sanayi altyapısı oluşturmak ve bu sanayii altyapısını uluslararası rekabette tartışılmaz kılmaktır. Bunu yaparken de uluslararası alanda dengeli bir iş birliği yapacak kadar teknoloji düzeyine ulaşılması gerekmektedir (Ziylan, 2004: 6). Türkiye'de savunma sanayi sektörünün temelleri Osmanlı Devleti'nin Yükselme Dönemi itibariyle önemini arttırmıştır. Ancak, zamanla Osmanlı Devleti'nin teknoloji ve sanayi sektöründe batıdan daha geride kalması sebebi ile savunma sanayi sektörü olması gereken seviyenin gerisinde kalmıştır. Bu ekonomik ve teknolojik gerilemelere rağmen, savunma sanayinin gelişimi adına Cumhuriyet'in ilk dönemlerinde bazı adımlar atılmıştır (Temiz, 2012: 3).

Savunma sanayi sektörünün gelişimi adına yapılan NATO üyeliği ise Türkiye'nin milli savunma sistemlerinin geliştirilmesi yönünde atılacak adımlarını terk etmesine sebep olmuştur. Özellikle NATO'ya dâhil olunduktan sonra askeri yardımlar, hibeler ve dış alımlar daha çok yeni gelişim sürecinde olan ülke savunma sanayi sektörünün gelişiminin gerilemesine sebep olmuştur (Pınar, 2018: 2350). Türkiye'nin

kendi menfaatleri için atamadığı adımlar uluslararası bir gerilim yaramakta ve bu gerilim 1974 senesine gelindiğinde Kıbrıs Barış Harekâtı ile en üst seviyesine ulaşmıştır. Bunun sonucunda yaşanan ambargo ile Türkiye'nin yerli üretimde ısrarının ne derece önemli olduğu buradan fark edilmektedir (SSB, 2019). Savunma sanayii sektörü son yıllarda önemli üretim adımları atmış ve iş birliği yaptığı sektörlerle beraber güçlü bir yapılanma oluşturmaktadır. Bu çalışmada, savunma sanayiinin gelişimi literatür taramaları ile desteklenerek açıklanacak ve Türkiye'de faaliyette bulunan savunma sanayii şirketlerinin incelenmesi ile savunma sanayii sektörünün sorunları hakkında daha somut bulgular elde edilebilecektir. Savunma sanayi sorunları ekonomik, siyasal ve sosyal sorunlar başlıkları altında detaylı olarak incelenecektir.

## 2. SAVUNMA KAVRAMI

Saldırılara karşı güç kullanma ve müdafaa gösterme olarak tanımlanan savunma, ulusal açıdan devletlerin egemenliğini sürdürebilmeleri için diğer devletlere karşı korunmak amacıyla uygulanan adımlardır. Savunma hizmetleri devlet imkanları ile sağlanır ve toplumdaki herkes bu imkanlardan faydalanabilmektedir (Baran, 2018: 58). Savunma, geleneksel bir tam kamusal hizmetler içerisinde yer almaktadır. Savunma hizmetlerinden ülkede yaşayan herkes eşit olarak yararlanabilmektedir. Yani savunma hizmetleri ülke içerisinde bölünmez katkılar sağlamaktadır. Savunmanın saldırıdan vazgeçirme özelliğinin bulunması, ülkenin her yerine eşit olarak dağılacağını göstermektedir. Bunun sayesinde, bedel ödemeyen kimselerin savunma hizmetinden yararlanamayacak olması diye bir durum söz konusu değildir (Demir, 2011: 4). Savunma kavramı anlamsal açıdan güvenlik kavramı ile paralel olarak açıklanabilmektedir. Dünya üzerinde yaşayan tüm canlılar kendi konforları ve düzenleri için karşılaşabilecekleri her türlü tehdit anında önlem ve koruma içgüdüsüyle hareket edebilmektedir. Bu durum her canlının kendi güvenliği için yaptığı savunma kavramıyla açıklanabilmektedir (Doğdu, 2018: 6). Konu ile ilgili yapılmış diğer çalışmalarda incelendiğinde savunma kavramına dair net bir tanımın kurulamadığı anlaşılmaktadır. Bu durumun sebebi, savunma hizmetlerini gerçekleştirirken ülkelerin herhangi bir kısıtlanmayla karşı karşıya kalmamasıdır. Bu bakımdan savunma kavramının kapsamı, niteliği ve tanımı ülkeler arasında değişiklik göstermektedir. Örneğin bazı ülkeler savunma harcamaları içerisinde yer alacak kalemleri farklı harcama türleri içerisine dahil edebilmektedir (Çambel, 2017: 3).

### 2.1. Savunma Sanayinin Tanımı

Savunma sanayinin kavramı üzerinde herkes tarafından kabul görmüş kesin bir tanımı henüz bulunmamaktadır. Çünkü savunma sanayinde üretilen ürünler çok farklı alanları içermektedir ve firmaların ürettiği ürünlerin hangilerinin savunma sanayi sektörü içerisinde yer alacağı belirsizlik konusudur. Başka bir tanıma göre ise savunma sanayi, Millî Savunma Bakanlığı, hükümet ve özel sektörün askeri ihtiyaçları karşılamak için ar-ge, tasarım, üretim kabiliyeti olan ve askeri silah sistemleri, alt sistemleri, bileşenleri ve parçalarını idame ettirmek için dünyadaki bütün endüstriyel karmaşıklığı içinde barındıran sektördür. Savunma sanayi ülkelerinin bağımsızlıkları açısından önemli bir kavramdır. Diğer yandan ülkelerin kendi savunma sanayi hizmetlerini oluşturmaları için gereken projeler Cumhuriyetin ilk yıllarına denk gelmektedir. Ancak 1945 yılı ve sonrası dönemde ABD ülkelere savunma yardımı adı altında gösterdiği hizmetler ülkelerin savunma sanayilerinin gelişiminde engel olmaktadır ve oluşturulacak projelerinin son bulmasına neden olacaktır. 1974 Kıbrıs Barış Harekâtı sonrasında ülkeler tekrardan projelerini gündeme getirmek için çaba göstermeye başlasalar da herhangi bir sonuç elde edilememektedir. Günümüze gelindiğinde ise milli savunma araçları kullanılarak yeni adımlar atılmaya çalışılmaktadır (Çambel, 2017: 3).

Savunma sanayi sektörü genellikle gelişmiş ülkelerde bulunmaktadır. Belirli gruplar veya sektörler olarak gelişim gösteren bir alandır ve ülkelerin silah üretiminde belli bir oranda kendilerine yetecek kadar faaliyet göstermeyi amaçlamaktadır. Savunma sanayindeki önemli firmalar çok kolay bir şekilde tanımlanabilirken, tüm savunma sanayini analiz etmeye çalışıldığında kavramsal ve pratik problemlerle karşılaşılacaktır. Çünkü savunma sanayi sektörü temel özellikleri ve birleşik ekonomik faaliyetleri ile toplandığında karmaşık bir yapıyı temsil etmektedir. Bütün bunların dışında bu firmalar nerede kurulurlarsa kurulsunlar diğer piyasalardan farklı olarak hükümete hizmet etmektelerdir yani burada hükümet tek alıcı gücündedir (Sezgin, 2018: 8).

## 2.2. Türk Savunma Sanayi Sektörünün Tarihsel Gelişimi

Türkiye'de savunma sanayi sektörünün temelleri Osmanlı Devleti'nin Yükselme Dönemi itibariyle önemini arttırmıştır. Ancak, zamanla Osmanlı Devleti'nin teknoloji ve sanayi sektöründe batıdan daha geride kalması sebebi ile savunma sanayi sektörü olması gereken seviyenin gerisinde kalmıştır. Bu ekonomik ve teknolojik gerilemelere rağmen, savunma sanayinin gelişimi adına Cumhuriyet'in ilk dönemlerinde bazı adımlar atılmıştır. Bunların başında MKEK gelmektedir. Aynı zamanda silah, mühimmat ve havacılık gibi sektörlerde kayda değer yatırımlar yapılmıştır (Temiz, 2012: 3). Savunma sanayi sektörünün gelişimi adına yapılan NATO üyeliği Türkiye'nin milli savunma sistemlerinin geliştirilmesi yönünde atılacak adımlarını terk etmesine sebep olmuştur. Özellikle NATO'ya dâhil olunduktan sonra askeri yardımlar, hibeler ve dış alımlar daha çok yeni gelişim sürecinde olan ülke savunma sanayi sektörünün gelişiminin gerilemesine sebep olmuştur (Pınar, 2018: 2349). Türkiye'nin kendi menfaatleri için atamadığı adımlar uluslararası bir gerilim yaramakta ve bu gerilim 1974 senesine gelindiğinde Kıbrıs Barış Harekâtı ile en üst seviyesine ulaşmıştır. Bunun sonucunda yaşanan ambargo ile Türkiye'nin yerli üretimde ısrarının ne derece önemli olduğu buradan fark edilmektedir. Bu durumun sonucu olarak öncesinde Deniz ve Hava Kuvvetlerini Güçlendirme Vakfına ek olarak Kara Kuvvetlerine Güçlendirme Vakfı kurulmuştur. Kurulan bu vakıfların sayesinde Türkiye'nin ortak payda da buluşması amacıyla Aselsan, Havelsan, Aspilsan gibi kurumların faaliyetleri başlamıştır (SSB, 2019). 1972 yılına gelindiğinde "TÜBİTAK Savunma Sanayii Araştırma ve Geliştirme Enstitüsü" ismi ile faaliyete geçen kurumun ismi "Savunma Sanayii – Geliştirme" olarak değiştirilmiş ve dış ilişkilerde aktif olarak rol alacak Ar-Ge çalışmalarını sürdürmesi için çaba gösterilmiştir. Türkiye aynı zamanda sanayi sektörü altyapısında önemli gelişmeler kaydederken savunma sanayi sektörüne olan finansman kaynağında artışa gitmek gerektiği düşüncesi gündeme gelmektedir. Bu 1985 yılında, 3238 Sayılı Kanun ile Milli Savunma Bakanlığı'na bağlı "Savunma Sanayii Geliştirme ve Destekleme İdaresi Başkanlığı" kurulmuştur. Ayrıca 1989 hükmünde kararname ile SAGEB, yine MSB'ye bağlı Savunma Sanayii Müsteşarlığı (SSM) ismini alarak yeniden düzenlenmiştir. SSM'nin kuruluşunun ana amacına yönelik olarak 3238 Sayılı Savunma Sanayii Hakkında Kanun'un ifade ettiği; modern bir savunma sanayi sistemi ve TSK'nın modernizasyonudur (Ziylan, 2004: 6).

## 3. LİTERATÜR ARAŞTIRMASI

Ülkelerin sahip olacağı güçlü bir savunma sanayi sistemi o ülkenin güçlü bir ekonomiye sahip olacağını gösterir. Ancak ülkelerin gelişmişlik düzeyleri, ekonomik etkinin beklenildiği gibi olumlu sonuçlanmasına engel olabilecektir. Türkiye savunma sanayi teçhizatı üretimi yapan şirketleri ile dünya listesinde önemli derecelere gelmeye başlamıştır. Yapılan incelemeler ile savunma sanayi sektöründe oluşabilecek sorunlar hakkında daha doğru bilgiler elde edilmiş olacaktır. Türkiye'nin jeopolitik konumu büyük öneme sahiptir ve bu önemli konumu değerlendirebilmesi ise savunma sanayii ile doğru orantılıdır. Bu sebeple son dönemler de Türkiye'nin de içerisinde yer aldığı savunma sanayii konusu üzerine çalışmalar gitgide artış göstermektedir. Ekonomi üzerinde yapmış olduğu olumlu etkilere bakacak olursak savunma projelerinde gerekli teminlerin sağlanması, aynı zamanda bütçe sorununa yol açılmaması ve kaynak tahsisinde etkinliği kaybetmeden devletin sağlayacağı destek ve teşviklerle projelerin sürekliliği sağlanacaktır. Savunma sanayiine ilişkin çalışmalar incelendiğinde aşağıdaki gibi üç başlık altında toparlanabileceği ifade edilebilir.

### 3.1. Teorik Temelleri Ortaya Koyan Çalışmalar

Heberling (1994), Savunma sanayiye ayrılan bütçelerin ve düşman tehditlerinin azaltılmaya başlandığı dönemlerde güçlü bir savunma sanayi üssünün korunmasına ilişkin sorunlar ortaya çıkmıştır. Bu çalışma, savunma sanayi politikası hedeflerini açıklamakta ve bu hedeflerin aynı anda gerçekleştirilemeyeceğini savunmaktadır. Savunma sanayi politikası hedefleri arasında güçlü bir üretim üssü oluşturma, üretim kabiliyeti sağlama, savunma teknolojisinde öncü bir lider olma ve savunma firmaları arasında kabul edilebilir bir rekabet ortamının oluşması vardır. İşte burada asıl sorun bu dört hedefin toplu olarak elde edilemez olmasıdır. Gerekli olan ise bu dört hedefi sağlayacak bir savunma sanayi politikası gerçekleştirmektir. Brauer (1998), gelişmekte olan ülkelerin savunma sanayii sistemlerini konu aldığı çalışmasında, savunma sanayi de ekonomik ve ekonomik olmayan amaçlarının neler olduğunu, yerli halkın bundan ekonomik bir fayda sağlanıp sağlanamadığı incelenmiştir. Aynı zamanda savunma sanayii

sistemlerinin gelişiminin siyasi bağlantılara değil ekonomik güce bağlı olduğu görüşünü savunmaktadır. Blancard (2018), Savunma sanayinde firmaların piyasa değerinde yaşanacak önemli değişiklikler savunma sanayinin önem düzeyini de etkilemektedir. Birçok çalışma, savunma sanayinin değişen doğasına büyük önem vermektedir. Soğuk Savaşın sona ermesinden bu yana, hemen hemen tüm savunma şirketleri serbest piyasa ekonomisinden etkilenmiştir ayrıca savunma sanayii sektöründe yaşanan yapısal değişikliklerinin ve yoğunlaşma süreçlerinin, sektörün oluşturduğu tutumunu kaybettiği iddia edilir. Neuman (2006), Silah üreten ülkeler, savunma sanayi hiyerarşisindeki eski konumlarına bakılmaksızın, savunma sanayilerini modernize etmek için gereken ileri teknolojiler için ABD'ye giderek daha fazla bağımlı hale geldiler. Bu artan bağımlılık, Birleşik Devletlere kayda değer doğrudan ve dolaylı politik görevler edinmelerinin yolunu açmıştır. Savunma sanayinde kamusal olarak listelenmiş en büyük 58 şirketlerin 1995-2005 yılları arasındaki etkinlik düzeyleri çalışılmıştır. Savunma sektörünün hisse senetleri üzerindeki etkisinin incelendiği çalışmada son olarak 11 Eylül terör saldırılarının savunma şirketleri üzerindeki etkisi incelenmiştir.

### 3.2. Savunma Sanayinin Ekonomi Üzerindeki Etkisini İnceleyen Çalışmalar

Türk (2006) Savunma harcamaları öncelikle ekonomik gelişme için gerekli politik istikrarı sağlamaktadır. Diğer taraftan sivil sektöre de açık olabilecek yol, hastane, hava alanı, köprü gibi altyapılar; ülke halkının modern beceri ve davranışlar kazanmasına yol açan beşeri yatırımlar; savunma sektörünün olmaması durumunda sivil sektörün yaratması gereken giyim, yiyecek, haritalama, meteoroloji gibi mal ve hizmetler savunma harcamaları tarafından sağlanabilmektedir. Demir (2011), sivil ve askeri savunma harcamalarının ekonomik büyüme üzerinde nasıl bir etkisi olduğu şayet etkiliyorsa ne yönde olduğu incelenmiştir. Fakat doğru sonuçlara ulaşılması konusunda birkaç kısıt olduğu sonucuna varılmıştır. İlk kısıt çalışmanın 2004–2007 yılları arasındaki verilerle sınırlı olmasıdır ki çalışma il bazında yürütülmüştür. İkinci olarak savunma harcamalarının her ülkede farklı kurumlar aracılığıyla yapılmasından kaynaklı ortak bir tanımın oluşturulamamasıdır. Baran (2018), Türkiye'de 1980 öncesi dönemde dışa bağımlılık yaşanıyorken 1980 yılından itibaren dışa bağımlılıktan zamanla uzaklaşılmıştır. Çalışmada Türkiye'nin savunma sanayi sektörü kapsamlı bir şekilde incelenmiş, savunma sanayide meydana gelen değişiklikler, AR-GE faaliyetleri, savunma sanayi sektöründe oluşan harcama rakamları açıklanmıştır. Kakaşçı ve Orhan (2018) Türkiye, jeopolitik konumu itibari ile dünyanın en riskli bölgelerinden birinde bulunmaktadır. Bu konumun yaşattığı tehditler ülkemizi, askeri güç açısından caydırıcı bir pozisyon almasını sağlamıştır. 3238 sayılı kanun ile 1985 yılında Savunma Sanayii Müsteşarlığı'nın kurulması ile Türk Savunma Sanayii sektörü gelişim içerisinde olduğunu kanıtlamıştır. Aynı zamanda Türk Savunma sanayii ürün ve pazar çeşitliliği bakımından gayet büyük bir potansiyele sahiptir. Bu gücünün geliştirilmesi ve ihracat düzeyinin artırılması için yeni yöntemlere ihtiyaç vardır. Çalışmada, Savunma Sanayisinde önem arz eden ülkelerin savunma sanayi ve ihracat yöntemleri dikkate alınarak aktif olan savunma sanayisinin ihracat düzeylerinin geliştirilmesinin nasıl sağlanacağı açıklanmıştır.

### 3.3. Savunma Sanayi Sektöründe Türkiye'yi İnceleyen Çalışmalar

Ziylan (2001), Bir ülkenin savunma gücü; ulusal silahlı kuvvetleri ve bu kuvveti destekleyen güçlü bir savunma sanayiinin varlığına bağlıdır. Savunma sanayiinin gücü ise ülkelerin teknolojik düzeyi ile doğru orantılıdır. O halde amacımız ülkemizin teknolojik düzeyini yükseltmek olmalıdır. Özgün teknoloji üretimi Devletçe desteklenmeli ve Türk Savunma Sanayii Politikası ve Stratejisi Esaslarında belirtilen ilkeler aynen uygulanmalıdır. Sezgin (2018), Savunma sanayi sektöründe üretilecek olan mal ve hizmetler yapıları itibariyle tam rekabet koşullarının işlemediği piyasalardır. Genelde alıcının sadece devlet olduğu monopson koşulları geçerlidir. Alıcının ve satıcının tek olduğu monopol-monopson durumlarda yaygın olarak görülür. Bu piyasada etkinlik koşulları çoğu zaman sağlanamamaktadır. Pınar (2018), Türkiye'nin savunma sanayi sistemlerine daha önem vermesinin doğru olacağını vurgulayan çalışmada Türk Savunma Sanayi'nin gelişiminde Türk dış politikasının ne derece önem arz ettiği açıklanmaya çalışılmıştır ve Türk dış politikasının savunma sanayi üzerinde olumlu yönden herhangi bir etkisi olup olmadığı sorusuna cevap aranmaktadır. Sonuçta çok eski dönemlere gitmeden incelemeler yapıldığında Türkiye'nin savunma sanayi alanındaki gelişmelerin Türk dış politikasını olumlu yönde etkilediği sonucuna varılmıştır.

## 4. SAVUNMA SANAYİNİN EKONOMİK ETKİLERİ

Bir ülkenin güçlü bir savunma sanayiye sahip olması o ülkenin güçlü bir ekonomisi olduğunun önemli bir göstergesidir. Aynı zamanda bu güçlü savunma sanayiyi yine güçlü bir ekonomi ile desteklemek devamlılık açısından önemlidir (Canbay, 2010: 15). Savunma sanayi sektörü alanında yapılacak her türlü yatırım, Türkiye'nin ekonomik anlamda gelişmesi sağlayacağı projelerle birlikte ele alınmalıdır. Savunma sanayi sektöründe teknik açında gelişmişlik gösteremeyen ülkeler dış dünyadan sürekli bir yardıma ihtiyaç duymaktadır. Bu durumdaki ülkeleri dış borca sürüklemektedir ve savunma sanayi dış ticarette büyük bir öneme sahiptir. Bu nedenle savunma sanayi ülkelerin ekonomik gücü ile doğru orantılı bir şekilde güç kazanmaktadır. Savunma sanayinde gelişmiş bir ülke sektörünün ihtiyaçlarını karşılayacak gücü elinde bulunduruyor demektir (Şişman, 2017: 228). Savunma Sanayi sektörü performans verilerinde tüm alanlarda ciro, yurt dışı satış gelirleri, alınan siparişler, ithalat, ürün ve teknoloji geliştirme harcamaları ve istihdamda pozitif gelişmelerin olduğu ve sektörün gelişme gösterme sürecine girdiği söylenebilmektedir. İthalat düzeyinde yaşanan artışın sektörün cirosu ile karşılaştırıldığında paralel bir gelişme içerisinde olduğu gözlemlenmektedir.

Tablo 1: 2018 Yılı Performansına Genel Bakış

| | |
|---|---|
| Ciro | 8.761 Milyon $ |
| Yurtdışı Satış Gelirleri | 2.188 Milyon $ |
| Alınan Siparişler | 12.204 Milyon $ |
| İthalat | 2.449 Milyon $ |
| Ürün-Teknoloji Geliştirme | 1.448 Milyon $ |
| İstihdam | 67.239 Milyon $ |

Kaynak: 2018 yılı Sektör Performans Raporu, SASAD.

2017 yılında savunma sanayi alanında faaliyet gösteren kişi ve kurumların aldığı yeni sipariş tutarı 8.055 M$ idi. Bu tutarda 2018 yılında bir artış (51,51%) oluşmuş ve alınan siparişlerin toplamı 12.204 M$ civarında gerçekleşmiştir. 2017 yılı ihracat tutarı 1.739 M$, 2018 yılı ihracat tutarı ise 2.035M$ ile önceki yıla oranla %17'lik bir artış göstermiştir. 2018 yılında %34,4 lük bir artış oluşmuştur. Yurtdışı satış gelirlerindeki en büyük payın diğer ülkeler pazarlarında olması sektör oyuncularının Pazar oluşturma çabalarının pozitif ilerlediğinin göstergesi olarak değerlendirilmesi daha doğru olacaktır. 2013-2018 yılları arasında Bileşik Yıllık Ortalama Büyüme Hızı 5,6% olarak tespit edilmiştir. 2012-2017 yılları arası için %2,32'idi. 2018 yılındaki olumlu gelişme bu veride de önemli bir düzelme sağlamıştır.

Tablo 2. Son 6 Yıl Toplam Yurtdışı Satış Geliri Tablosu

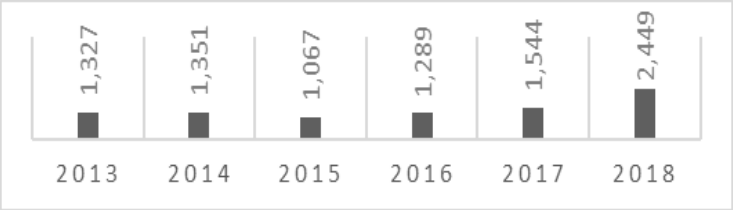
| Yıllar | Toplam | %Değişim (2013) | %Değişim (Yıllık) |
|---|---|---|---|
| 2013 | 1.570 $ | | |
| 2014 | 1.855 $ | %18,15 | %18,15 |
| 2015 | 1.929 $ | %22,87 | %3,99 |
| 2016 | 1.953 $ | %24,39 | %1,24 |
| 2017 | 1.824 $ | %16,18 | %-6,62 |
| 2018 | 2.188 $ | %39,36 | %20,2 |

Kaynak: 2018 yılı Sektör Performans Raporu, SASAD

İthalatta, 2017 verisine göre 59% artış yaşanmasının nedeni olarak artan toplam satış tutarı içerisindeki yurt dışı girdi miktarı düzeyinin seviyesi ile ilgili olduğu değerlendirilmektedir. Sektöre yönelik siparişlerin ağırlıklı olarak yurt içinden geldiği, yurt dışı bağlantıların henüz istenilen (beklenen) düzeye ulaşamadığı düşünülmektedir. Yurt dışı pazarlarda daha önemli gelişmeler sağlamak için sanayi sektörü ile devlet ikili

ilişkisi büyük önem taşımaktadır. Şekilden de görüldüğü üzere 2018 yılında ithalat rakamı 2,449 milyon $ seviyesine ulaşmıştır. İthalatın %50,6'sı Avrupa'dan, %41,8'i ABD'den, %7,6'sı ise diğer ülkelerden yapılmıştır (Savunma ve Havacılık Sanayi Performans Raporu, 2018). Şekilden de görüldüğü üzere 2018 yılında ithalat rakamı 2,449 milyon $ seviyesine ulaşmıştır. İthalatın %50,6'sı Avrupa'dan, %41,8'i ABD'den, %7,6'sı ise diğer ülkelerden yapılmıştır (Savunma ve Havacılık Sanayi Performans Raporu, 2018).

Şekil 5. İthalatın Gelişimi 2013-2018 (Milyon $)




Kaynak: 2018 yılı Sektör Performans Raporu, SASAD.

## 5. SAVUNMA SANAYİDE EKONOMİK SORUNLAR

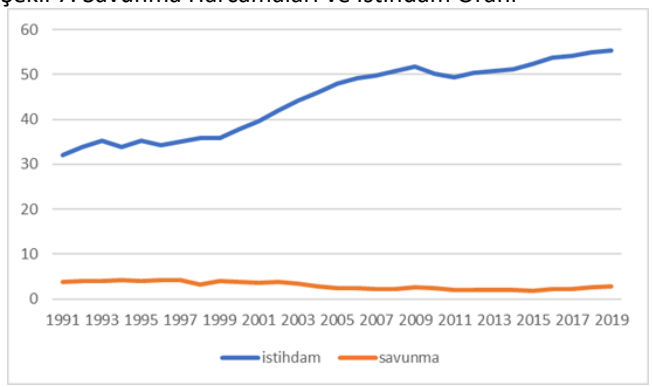
Savunma sanayi sektöründe gösterilen gelişmeler bir ülkenin politik olarak ilerlemesine katkı sağlayacaktır. Her ülkenin yaptığı savunma harcamaları ekonomi üzerinde etkisini devamlı olarak göstermektedir. Bu sebeple yapılan birçok araştırmada savunma sanayi sektörünün işsizlik, enflasyon, dış ticaret, ekonomik büyüme gibi göstergelerle arasında ki ilişkiler ele alınmaktadır. Aynı zamanda savunma harcaması yapacak olan devletlerin ülkenin içerisinde bulunduğu ekonomik ortamında alacağı kararlarda etkili olacağı düşünülmektedir (Çıkınlar, 2006: 121). Savunma harcamalarının önemini vurgulayan çalışmalarının yanında ekonomi olumsuz etkilediği görüşleri de mevcuttur. Bu gibi düşünceler makine-teçhizat ve savunma sektörüne yapılan diğer harcamaların ekonomi üzerinde olumsuz etkileri olduğu görüşündelerdir (Demir, 2001: 13).

Gelişmiş bir savunma sanayi sektörüne sahip olan ülkelerin savunma harcamalarını yaparken ekonomik göstergelerden etkilenmediği anlaşılmaktadır. Aynı zamanda gelişmekte olan bir ülkenin savunma sistemlerinin ne kadar gelişmiş olduğu ülkenin kişi başına düşen gelir seviyesi ile paraleldir. Bir ülkenin savunma sanayisi gelişme göstermiyorsa sektör ihtiyacını dışarıdan sağlıyor demektir. Ancak gelişmekte olan ülkelerde savunma sanayi sektörü ülkenin dış dünyaya karşı aldığı tehditleri önlemek için kullanılan bir sistem olma amacının dışına çıkamamaktadır (Gümüşdaş, 2010: 89).

### 5.1. İstihdam Sorunu

Savunma sanayi ve istihdam arasındaki ilişki ülkelerin ekonomilerini anlama konusunda önemli bir gösterge haline gelmektedir. Savunma sanayi sektörüne yapılacak olan her bir harcama talepte artış sağlayacak ekonomi ilerleyeceği için istihdam düzeyinde de artış görülecektir. Bu durumda paralel bir ilişki olduğu sonucu ortaya çıkacaktır.

Şekil 7. Savunma Harcamaları ve İstihdam Oranı




Kaynak: World Bank, https://data.worldbank.org, 1991-2019.

1991-2019 yılları arasındaki Türkiye'nin savunma harcaması düzeyleri ve istihdam oranları şekil üzerinde hazırlanmıştır. Şekle göre savunma harcamalarında gerçekleşen artışın istihdam oluşturma açısından negatif bir etki gösterdiği ortaya çıkmaktadır. Bu sebeple istihdam ve savunma harcamaları düzeyleri arasındaki ilişkininde negatif olduğunu söylemek mümkündür. Yıllar itibari ile istihdam düzeyinde sürekli bir artış yaşanırken savunma harcamaları azalma eğilimindedir. Şekilde 1993 yılı incelendiğinde iki faktör arasındaki ilişkinin aksi bir durumla karşılaştığı görülmektedir. Savunma harcamaları ve istihdam oranları arasındaki negatif yönlü ilişkinin sebebini savunma harcamalarının niteliğine bağlamak mümkündür. Çünkü sektöre dair harcamalar incelendiğinde savunma harcamalarının aslında büyük bir kısmının çalışan harcamalarını içerdiği görülmektedir. Savunma harcamalarına yatırım yapmak isteyen ülkeler sermayesi yüksek, ileri teknoloji ile oluşturulan silahlar ve makineler için bütçe ayırmak zorunda kalmaktadır ve buda istihdamı negatif yönde etkilemektedir. Aynı zamanda istihdamı olumsuz etkileyen bir diğer nokta ise sermaye yoğun bir üretim sağlanacağı için nitelikli işgücüne olan ihtiyaç artacaktır. Bu durum Türkiye gibi gelişmekte olan ülkeler için olumsuz sonuçlar doğurmaktadır (Budak, 2018: 34).

## 5.2. Tedarik Sorunu

Savunma sanayi üzerine yapılan bir araştırmada göz ardı edilemeyecek bir konuda tedarik süreci ve savunma sanayi sektörü arasında oluşan bağlantıdır. Ülkede savunma sanayinin geliştirilmesi ve bir sistem dahilinde faaliyet gösterebilmesi tedarik süreci ile bağlantılı bir şekilde işlemek zorundadır (Ziylan, 1998: 130). Tedarik faaliyetlerinin tek merkezden yapılmaması veya merkezileşmenin sağlanamaması, tedarik makamının gücünü azaltmaktadır. Buna karşın tek elden yönetime dair hala bir kuruluş varlığını sürdürmemektedir. Bu sebeple sanayileşme süreci bu durumdan negatif etkilenmek durumundadır (Demirel, 2012: 22). Körfez Savaşı bilinen ilk bilgi savaşlarından biri olma özelliği taşımaktadır. Savaşın dönüşüm içerisine girmesine sebep olduğu bir alanda tedarik sürecidir. Buda demek oluyor ki donanımdan ziyada artık yazılım tedariki önemli hale gelecektir. Tedarik sürecinin yazılım kısmında güvenirliliğin sağlanamaması sürecin doğru işlememesi adına yapılacak ilk yanlıştır. Tedarik politikalarının zamanla dönüşüm geçirip teknoloji ile birlikte kendi yenilemesi gerekir sürekli aynı politikaları kullanmak risk oluşturmaktadır. Savunma sistemlerini karşılaşacak negatif bir duruma karşı önlem alabileceği bir tedarik politikası içerisinde kurmak gereklidir (Ziylan, 2004: 83).

Sektörün ihtiyaçlarının belirlenmesi tedarik aşamasında büyük bir öneme sahiptir. Ancak sanayi ile bağlantılı bir şekilde tedarik süreci başlamadan direk satın alma başlamakta ve ihtiyaç dışında satın almalar gerçeklemektedir. Sistem doğrudan alma üzerine kurulu olması sebebi ile herhangi bir şekilde uygulamaya konacak AR-GE çalışmaları zaman alan bir süreç olması sebebi ile bu tarz çalışmaların önünde engel teşkil etmektedir. Oluşturulan tedarik programları her adımı içine alan bütünsel bir yaklaşım ile sürdürülememektedir. Dolayısıyla her aşamada yapılması gereken incelemeler detaylı bir şekilde ele alınamamaktadır. Buda bitmiş bir ürünün tedarikinin son safhada anlaşılmasına neden olmakta ve hem alıcı hem de satıcı mağduriyet yaşamaktadır (Ziylan, 1998: 70).

## 5.3. Pazar Sorunu

Savunma sanayi sektöründe müşteri konumunda bulunan kesim devlettir. Bu bir manada savunma sanayi sektörünü diğer sektörlerden farklı kılmaktadır. Devletin tek alıcı olması konusu firmaların teşvik, istihdam, teknoloji gibi alanlarda başvuracağı tek merkez olması demektir (Canbay, 2010: 11). Savunma sanayi sektörünün pazar içerisinde var olmasını destekleyen en önemli unsurlardan biriside milli kaynaklar aracılığıyla yürütülen bir sistemin oturtulmasıdır. Standardizasyon ihtiyacı, fiyatlardaki yükseliş, ekonomide yaşanan durgunluk, korumacılık, ülkeler arasındaki teknolojik ilerleme düzeylerinde yaşanan farklar Türkiye'yi ve diğer Avrupa ülkelerini kimi zaman standart bir silah pazarı oluşturma fikrine yöneltmiştir. Silah sistemleri (tabanca, tüfek, telsiz vs.) üretimi yüksek miktarlarda yapılırken havacılık, komuta kontrol, elektronik harp gibi alanlarda üretim sınırlı bir şekilde yapılmaktadır. Çünkü bu tarz sistemlerin üretimi için uzman bir kadro ve uzun bir zaman gerekmektedir (Gümüşdaş, 2010: 22).

Sektörün üretiminde yaşanan zaman sorunları üretimin uzun bir dönemde gerçekleşmesine neden olmaktadır. Yaşanacak herhangi bir aksaklıkta stok olarak yan ürün veya hammadde miktarı normalden fazla tutulmak zorundadır. Bu da üreticinin parasını yüksek miktarlarda işletmek zorunda kalması demektir. Hem mali olarak yük olması hem de zaman alması sebebi ile üretici firmalara bir finansman sorunu yaratması sektörün önemli bir sorunudur (Uzun, 2007: 16). Savunma sanayi pazarı önemli ölçüde

dış ilişkiler kuran bir pazar oluşturmaktadır. Türkiye'nin ikili anlaşma gerçekleştirdiği her ülke ile sağlam bir temel oturtması gerekmektedir. Herhangi bir sektörde yaşanan ihracat-ithalat ilişkisinden ziyade diplomatik bir ilişki yaşanmak zorundadır. Pazarlama gerçekleştirecek her üretici firma sektöre dair fuarlara katılma bilincinde olmalıdır. Savunma sanayi sektöründe gizlilik konusunun öneminden kaynaklı olarak bu tür etkinliklerde sakıncalı bir durum yaşanması da ihtimaller arasındadır (Zengin, 2010: 15).

### 5.4. Nitelikli Eleman Temini Konusunda Oluşabilecek Sorunlar

Ülke içerisinde modern bir silah sistemi oluşturmak için gerekli olan en önemli koşullardan birisi nitelikli elemanın varlığıdır. Savunma sanayi sektörü incelendiğinde üretim sürecinde kalifiye elemanın işgücünde etkin olarak faaliyet gösterdiği anlaşılmaktadır. Dış ilişkilerde teknoloji takibini yaparak bağlantılar kurmak bu aşamada konunun ne denli önemli olduğunu gösteren bir gerçektir. Bu sebeple çalışanları teşvik edici belirli eğitimler yardımı ile işgücünü canlı tutmak gereklidir. Nitelikli işgücü oluşturulmaya çalışırken bu işgücünün sivil ekonomide bir istihdam kaybı yaratacağını da söylemek mümkündür (Saraçöz, 2018: 28).

Savunma sanayinde ileri düzey teknoloji kullanma ihtiyacı, sektörde faaliyet gösteren kuruluşların üretim, kalite, kontrol ve daha birçok alanda nitelikli eleman çalıştırması gerektiği anlamına gelmektedir. İşgücünün beklentilerini karşılayamayan sektörde beyin göçü gibi durumlarla karşılaşmak çok rastlanılan bir durum haline gelmektedir. Ayrıca ürünün yapım aşamasının uzun zamanlar alması yine işgücünü başka sektörlere doğru kaymasına sebep olmaktadır (Keskin, 2007: 16). Türkiye'de iyi üniversitelerde eğitim alan ve mezun olanlar içerisinde birçok yetenekli insan gücü bulunmaktadır. Ancak bu sayı sektör için yeterli düzeyde değildir. Bu yetenekli insan gücünü beyin göçü ile kaybetmemek adına planlı bir sistem kurarak bu kişilerden en üst seviyede fayda sağlanması gerekmektedir. Savunma sanayi alanında faaliyet gösteren kuruluşların alt dallarının sayısında artışa gidilmeden aksine daha az alt dal ile nitelikli elemanların kuruluşlar içerisinde dağılmasını engellemek gereklidir (Uzun, 2007: 111).

## 6. SİYASAL VE SOSYAL SORUNLAR

Her ülkede olduğu gibi Türkiye'de siyasal rejim savunma sanayi sektörünü etkileyen önemli unsurlardandır. Savunma hizmetleri tam kamusal mal olarak değerlendirildiğinden sektörde arz veya talepte yaşanan değişiklikler siyasi otoriteler aracılığı ile dengelenmektedir. Bu durum siyasi otoritenin tamamen bütçe hakkında tek başına karar vermesi demektir. Örneğin; Soğuk Savaş döneminde yaşanan silahlanma ve harcama düzeylerindeki artış diğer ülkeleri de risk altına sokmuştur. Diğer ülkeler aynı şekilde silahlanmaya gitmek zorunda kalmıştır. Devamında Rusya'nın siyasal rejiminin değişmesi ile risk azalma eğilimine geçmiştir ve birçok ülke silahlanma ve harcama düzeylerini düşürmüştür (Budak, 2018: 12). Siyasal sorunlar olarak; sıcak ve soğuk savaş tehditleri, siyasal otoritelerin çıkarları adına adım atmaları, seçim dönemlerinde politik ekonomiler uygulanması, çıkar ve baskı gruplarının devletten fayda sağlama stratejileridir. Sosyal sorunlar ise; nüfusun artışı, gelir dağılımında yaşanan dengesizlikler, geri kalmış bölgeler sorunu, konut sorunu, terör, sosyal yardım ve hizmetlerin sağlanmasında yaşanan aksaklıklar, sosyal güvenlik hizmetleri, teknolojik değişmeler olarak sıralanabilir (Çıkınlar, 2006: 12).

### 6.1. Coğrafi Konum Sebebi ile Oluşabilecek Sorunlar

Jeopolitik kavramı, ülkelerin uyguladıkları politikaları ve coğrafi konumlarını belirleyen ilişkileri anlatan bir kavram olarak açıklanır. Türkiye'nin içerisinde bulunduğu coğrafi konumu ülkeyi devamlı olarak savunma yapma mecburiyetinde bırakmaktadır. Bu sebeple de ülkenin savunma yatırım düzeylerinde önemli yükselişler yaşanmasına engel olmaktadır. Soğuk Savaş döneminde savaşın sona ermesi itibari ile oraya çıkan jeopolitik boşlukla Orta Asya, Orta Doğu, Balkanlar ve Kafkaslar gibi bölgelere yeni roller yüklenmesine sebep olmuştur. Türkiye'de bulunduğu konum sebebi ile bu karmaşık durumdan kendisini soyutlayamamaktadır (Bayraktar, 2019: 17). Türkiye, Asya ile Avrupa kıtalarını birbirine bağlayan, birçok ülkenin ticaret yaptığı güzergâh üzerinde konumlanma özelliği taşıyan bir ülkedir. İstanbul ve Çanakkale boğazları Türkiye'nin Karadeniz'de ticaret yapabilmesinde önemli rol oynamaktadır. Aynı zamanda petrol rezervi olan ülkeler ile komşu konumundadır. Bu durum savunma harcamalarının yönlendirilmesinde etkili bir faktördür (Budak, 2018: 10).

Bazı ülkelerin Türkiye'ye karşı yaptıkları girişimler ve aynı zamanda ülke içerisinde yaşanan terör gibi bölücü faaliyetler ülkenin iktisadi olarak belli seviyelerin üzerine çıkması gerçeğini gözle önüne sermektedir. Bu sebeple Türkiye'ye komşu pozisyonda yer alan ülkeler ile olan politikalarda sıfır sorun seviyelerini görmek gerekmektedir. Son birkaç yılda İran, Irak ve Suriye gibi ülkelerle yaşanan sorunlar artık dış politikadan ayrı olacak şekilde bir yol izlenmesi gerektiğini göstermektedir (Doğdu, 2018: 53). Türkiye'nin jeopolitik, jeostratejik konumu ve ülkenin kendi benliğine yapılacak her türlü tehdit aslında savunma sektörünün ne denli geliştirilmesi gerektiğine farkındalık yaratan bir unsur haline gelmektedir. Her ülke gibi Türkiye'de bu tür tehditlere karşı kendisini korumak adına yapılan tehdit boyutunda savunma harcama düzeyini de buna paralel olarak arttırması gerekmektedir (Gümüşdağ, 2010: 82). Sonuçta Türkiye gibi jeostratejik konumda yer alan bir ülke aynı zamanda istikrar ve bütünleştirici rol oynamaktadır. Bunu sürdürebilir hale getirmek ülkenin uygulayacağı savunma politikaları sağlanacaktır

## 6.2. Yer Seçimi Konusunda Oluşabilecek Sorunlar

Kamu ve TSK bünyesindeki savunma sanayi kuruluşları, kâr amacı güden ticari kuruluşlar olmadıklarından, sanayi işletmeciliğinin gerektirdiği hızlı hareket kabiliyetine sahip değildirler. Karar alma süreçleri bir hayli uzundur. Yüksek teknolojik imkân ve kabiliyetlere sahip bulunmasına rağmen sivil amaçlı üretimleri düşük seviyededir. Araştırma ve geliştirmeleri yok denecek ölçüdedir. Dışa bağımlılığı azaltabilecek kalifiye personel ile güncel teçhizat yatırımlarından ve teşvikten yoksun fakat istihdam ve kapasite yönünden savunma sanayii alanındaki en büyük milli kuruluşlardır. Kamu Sermayeli Savunma Sanayii ve Vakıf Kuruluşları, büyük bir bölümü sınırlı parasal güce sahip, sektöre hevesli ancak, elinden tutabilecek teknolojik bilgi ve stratejilere sahip güç ve imkanlardan yoksun bulunmaktadır. Yabancı Ortaklı Özel Sektör Kuruluşlarının tamamı belirli bir proje için kurulmuş ve sadece projede öngörülen üretimi yapmak üzere faaliyet gösteren kuruluşlardır. Bu kuruluşlar, amaçlanan teknoloji üretimine yeterli ilgi gösterememekte, güç ve gayretini sözleşmelerdeki montaj ağırlıklı sayısal üretim misyonları ile sınırlı tutmaktadır (Canbay, 2010: 50-114).

Savunma sanayiindeki bir firmanın riski, silah geliştirme veya üretimi için yapılan sözleşmenin herhangi bir nedenle iptal edilme veya tekrarlanmama ihtimalindeki belirsizlikten oluşmaktadır. Savunma sanayii firmaları için, sahaların her birinde en son kararlar, genellikle devletin ilgili kadrolarına aittir. Yönetim kadrosu, üretilecek silah ve miktarı, ürünün fiyatı ve müşterinin seçimi hakkında bağımsız olarak karar veremez. Savunma sanayii firmalarının Gayri Safi Milli Hasıla (GSMH) üzerindeki etkisinin pek önemi yoktur. Çünkü gerek günlük hayat gerekse ilerideki üretim için faydalı olmayan mal ve hizmetleri kapsamaktadır. Bu nedenle askeri çıktılar bunun tipik örneğini oluştururlar. Savunma sanayii firmaları genel olarak sivil üretime tamamen dönüşüm esnekliğine sahip değildirler. Bu firmalar, karmaşık teknolojilere sahip mallar üreten modern tesislere ve yüksek nitelikli işgücüne sahiptir. Savunma sanayi üretimi için mevcut fabrikalarda özel üretim hatları kurulmakta, hatta bazı durumlarda yeni ve özel üretim tesisleri yapılmaktadır. Birçok kez, projeler için teklif verme çalışmaları bile birkaç milyon dolarlık bir harcamayı gerektirmekte ve bu kapsamda müşterinin önerilen sistemleri incelemesi, değerlendirmesi ile aday sistemlerin test edilmesi bazen yıllarca sürmektedir. Fiziki yetersizlikler ve arsa temini konusu sektörün faaliyet gösterdiği yerlerde örneğin; dağlık ve ormanlık bir yapıya sahip olunması sektörü olumsuz yönde etkileyen unsurlardandır. Bu sebeple üretim alanı sınırlı kalmaktadır. Kuruluş yerleri için üretime özel sanayi sitesi oluşturulması gerekmektedir (Keskin, 2007: 20).

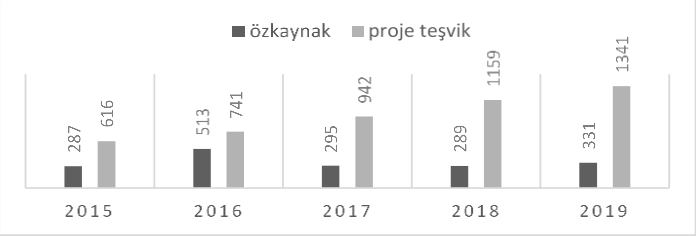
## 6.3. Ar-Ge ve İnovasyon Sorunu

Savunma sanayi sektöründe teknoloji ve katma değeri yüksek olan sektörlerdendir. Sektörde üretim yapmak firmalar için maliyetli olmakta ve Ar-Ge konusunda her firma merkezi yönetimler aracılığıyla desteklenmek durumunda kalmaktadır. Devler firmaları desteklerken yapılan Ar-Ge faaliyetlerini askeri alanda kullanmak amacı da gütmektedir. Ayrıca savunma sektöründe devlet aslında önemli müşteridir. Üretilecek silahların kalitesinin ve performansının önemi firmaların ileri teknoloji kullanması zorunluluğu yaşamalarına sebep olmaktadır. Talep odaklı bir sektör olması sebebi ile devlet firmaları hangi alana yönlendirirse o alanda üretim yapmak durumundalardır (Baran, 2018: 70). Savunma sanayi sektöründe eğitim, kalifiye eleman, öğrenme ve donanım gibi alanlarda yapılacak yeni girişimler aslında Ar-Ge için bir kaynak oluşturulmasının gerekliliği göstermektedir. Sektörde o gün en iyi silah sistemlerine sahip olan bir firma bir süre sonra o sistemin kullanım dışı olarak görülmesi sorunuyla karşı karşıyadır (Canbay, 2010: 150). Ar-Ge faaliyetleri gerçekleştiremeyen bir ülke aslında yabancı bir şirketin oluşturduğu silah

sistemleri ile ilerlemektedir. Sektöre dair bir diğer sorun tedarik faaliyetlerinin Ar-Ge merkezli olarak gerçekleştirilmemesidir. Ülkemizde maalesef ileri düzeyde bir Ar-Ge yapılanmasından söz edilememektedir (Özlü, 2006: 303).

Sektörde faaliyet gösteren firmalar Ar-Ge konusunda diğer sektörlerden daha önemli adımlar atmak durumundadır. Firmanın mevcut sistemleri ilerleyen teknoloji ile değerini kaybetmekle karşı karşıya kalacaktır ve bu durumda eldeki sistemleri kullanmak mümkün olmayacaktır. Bu doğrultuda firmaların sürekli bir gelişim halinde olup teknolojiyi takip etmesi ve Ar-Ge faaliyetlerine ağırlık vermesi gerekmektedir (Salman, 2019: 23). Savunma sanayi sektörünün Ürün ve Teknoloji Geliştirme harcamalarında önceki yıllara göre artmaya devam etmesi ileriye dönük beklentileri olumlu olarak yönde etkileyecektir. Ürün Geliştirme ile Teknoloji Geliştirme harcamaları incelendiğinde diğer yıllara benzer olarak Ürün Geliştirme ağırlıklı şekilde ilerletilmektedir. SSB'nin üzerinde çalıştığı Üretim Teknolojilerini Geliştirme Programı Teknoloji Geliştirme Çalışmalarına olumlu yönde etkili olacağı düşünülmektedir. Tablo 4'de Ürün ve Teknoloji Geliştirme harcamalarındaki toplamda pozitif ilerlemeyi, öz kaynaktan yapılan harcamalar ile birlikte görebilmek mümkündür. 2018 yılında 289 M$ olan özkaynak karşılıkları 2019 yılına gelindiğinde 331 M$ olduğu görülmektedir. 14.5% oranındaki artış öz kaynak harcaması olması nedeni ile önemlidir. Proje kaynaklarından ve teşviklerden desteklenen harcamalarda ise 23%'lük artış olduğu görülmektedir. ÜGTG çalışmalarına devlet desteğinin yoğun bir şekilde devam ettiğini söylemek mümkündür.

Tablo 4. Ürün ve Teknoloji Geliştirme Harcamaları (Milyon $)




Kaynak: SASAD Performans Raporu, 2019

## 6.4. Savunma Sanayinde Offset Uygulamaları Sorunu

Offset kelimesi, yüksek teknoloji ile ilerleyen savunma sanayi gibi bazı sektörlerin ödemeler dengesi üzerinde yaratacağı negatif etkileri gidermek için ihracat ve döviz düzeyinde artış yaşanmasını sağlayacak işlemler olarak açıklanabilir. Bu dönemde offset uygulamaları ülkelerin döviz kıtlığından çıkmaları, sanayi standartları ve düzeylerini attırarak ülke içinde katma değer yaratarak rekabet gücünü mal ve hizmet düzeyinde yükseltmeyi sağlamaktadır (Saraçöz, 2018: 40).

Türkiye'de offset uygulamalarını iki şekilde görmek mümkündür. Bunlar; doğrudan ve dolaylı olmak ayrılmaktadır. Doğrudan uygulamalarda ithal edilen ürün ve bu ürün ile benzer özellikler taşıyan başka bir ürünün offset yükümlülüğü olan firma aracılığıyla ihraç edilmesidir. Dolaylı off-set, ülkede var olan ihraç edilmesinde sorun yaşanılan ürünlerin ihale ile bir firmaya aktarılıp firmanın ürünü kendi piyasasında tutması veya ihracata konu etmesi olarak gerçekleşen bir piyasa sürecidir. Her devlet ithal ettiği ürünlerde yaşanacak herhangi olumsuzluğun önüne geçebilmek için offset uygulamalarını tercih ederler. Gelişmekte olan birçok ülke döviz kıtlığı sebebi ile birçok alımda bu uygulamalara yönlenmektedir. Ancak bu sadece gelişmekte olan ülkelerin bu uygulamaları yaptığı anlamına gelmemelidir. Yapılan uygulamalar ülke içerisinde yer alan teknolojik gelişmelerle doğru orantılı ilerlemektedir ifadesi yanlış bir görüş olmayacaktır. Bu bağlamda yapılan kontratın derecesi, rekabet düzeyleri fark etmeksizin ikili olarak bir anlaşma sağlamamış bir ülkenin tam manası ile uygulamalardan faydalanabilmesi mümkün olamayacaktır. Offset uygulamalarının gelişmekte olan bir ülkede neden yapıldığı sorusuna cevap olarak istihdam düzeyinde yeterli seviyeye ulaşma hedefi, teknoloji düzeylerinin arttırılması, ödemeler dengesinde olumlu etkiler yaratılması verilebilir **(**Özlü, 2006: 311).

Offset uygulamalarında aksayan durumları sıralamak gerekirse; SSB ile MSB arasında düzenli koordinasyon kurulamaması çünkü SSB faaliyetlerini bağımsız olarak yürütmektedir. SSB geniş çaplı olarak bir değerlendirme yapma konusunda yeterli ihtisas sahibi değildir. Ticaret Bakanlığı dolaylı offset uygulamalarına daha yakın bir pozisyon da görünse de offset uygulamalarına karşı aktif olmadan gözlem yaparak devam etmeyi tercih etmektedir. Ancak son durumda aktif bir rol almanın gerekliliği göz ardı edilemeyecektir. Uygulanacak offset adımları birlikte hareket etme ve yetki konusunda yetersizlik sebebi ile doğru bir şekilde ilerletilmesinde güçlük yaşanmakta ve bazı kayıplar yaşanmasının önüne geçmek mümkün olmamaktadır (TÜSİAD, 1999: 66).

### 6.5. Kopya Sorunu

Savunma sanayinde kopyalanan ürünlerin orijinali üretilen ülkenin ihracatında veya üretiminde aksaklık yaşamasına sebep olmamaktır. Çünkü kopyalanan ürün hiçbir zaman üretilen ülkedeki kadar verimli bir kullanım sağlamayacaktır. Ürünlerin kopyalanmış olduğu gerçeği kopyayı yapan ülkenin prestijini zedelemenin yanında asıl üretici firmalara prestij sağlamış olacaktır. Buda kopya yapan ülke için önemli bir sorun haline gelecektir. Savunma sanayi sektöründe geride kalan veya sektöre yeni girmiş firmalar tarafından kopyalama ürün kullanımının yüksek olduğunu söylemek mümkündür. Örneğin; NUROL Makine tarafından geliştirilen Ejder Yalçın isimli zırhlı araç Özbek bir firma tarafından kopyalanmaya çalışıldığı kamuoyuna yansımıştır. Buradaki önemli husus kopya ile karşılaşılan durumlarda sorun firma ile sınır kalmakta bu durum kopya gerçekleştirilen ülkenin kendisini bağlamamaktadır. Kopyayı yapan firmaların ana hedefleri bulundukları coğrafyada ve daha fazlasında pazar payına sahip olabilmektir. Yine aynı şekilde OTOKAR tarafından geliştirilen kendini kanıtlamış kobrada, geçmişte Çinli bir firma tarafından kopyalanmaya çalışılmış bir diğer Türk zırhlı aracıdır. Çinli bir firma tarafından kopyalanmaya çalışılan kobra zırhlı araca Çinli firma Wolf adını verdi. Savunma sanayinde kopya Türk savunma sanayinde karşılaşılan bir durum haline gelmektedir. Ancak ülkelerin kopyaladıkları ürünü kendi ihtiyaçlarını görmek dışında sağladığı fayda yoktur. Çünkü hiçbir kopya ürün aynı başarıyı yakalayamamaktadır. Çinli firmanın Wolf zırhlı aracında iç pazarda ihtiyaçları karşıladığı ancak ihracat yönünden herhangi bir ilerleme kaydedemediği gözlemlenmektedir (Savunma Hattı, 2021).

### 6.6. Terör Sorunu

Türkiye gibi birçok ülke güvenlik ihtiyacı karşılamak için yapacağı harcamaları savunma hizmetlerine giden bir kaynak olarak görmektedir. Bu durumda ülkede etkinlik sorunu ile karşı karşıya kalınmaktadır. Savunma sanayi sektörüne yapılan her bir harcama hem ülkenin içerisinde hem de dış dünyada söz hakkı almasında önemli rol oynamaktadır. Bu bağlamda harcamaların bir egemenlik unsuru ifade ettiğini söylemek mümkündür. Böylece savunma sanayiye yapılan harcamalar bazen ülkelerin milli gelirlerinden taviz vermesine bile sebep olabilmektedir. Bu alanda araştırma gerçekleştiren Özçelik vd. terörizmin savunma harcamalarına olan etkisini analiz etmektedir. 126 ülkeyi baz alarak yapılan çalışmada 10 milyon kişi başına düşen terör olayları sayısı ile bir inceleme gerçekleştirilmiştir. Bu incelemede sayı ne kadar fazla ise aslında terör riski algısının da o derece arttığını göstermektedir. Ülkeler bazında bakıldığında yüzölçümü büyük ülkelerin savunma harcamalarının daha miktarda olduğu görülmektedir. Aslında yüzölçümünün harcamaları arttırdığı düşüncesinin doğru olmadığı açıklanmaktadır (Özçelik ve Önder, 2016: 38).

Her bir terör olayı ülkenin güvenlik konusunda tedbirler alması gerektiğine dair bir işarettir. Türk Silahlı Kuvvetleri ve Emniyet Genel Müdürlüğü'nün ülke içerisinde ve dışarısında gerçekleştirdiği operasyonlarda kullandıkları ekipmanlar konusunda tedarik sorunu ile karşı karşıya kalmaktalardır. Buda her ülkenin ekipman temin etme de kendisinin rol oynaması gerektiğinin göstergesidir. Türkiye'nin Kıbrıs Barış Harekâtı sonrası ambargo süreci, PKK terörüyle mücadele ederken Irak ve Suriye merkezli yaşanan silah, politik ve ekonomik yaptırımlarda Türkiye'nin savunma sanayi alanında millileştirme politikalarını sürdürmesini gerektiren önemli sebeplerdir (Topal, 2020: 72).

### 6.7. Gizlilik Sorunu

Savunma sektörünün en önemli unsurlarından birisi stratejik bilgi konusunda gizli kalmaktır. Ülke içerisinde kullanılan savunma sistemleri sürekli olarak gizli tutulmaktadır. Aksi bir durumda ülkenin stratejik tüm bilgileri diğer ülkeler tarafından kullanılabilecektir bu durum kullanılan sistemlerin etkisini azaltmış olacaktır. Savunma sektöründe belirli bir düzeyi yakalayamayan ülkeler sistemlerini başka

ülkelerden sağlamakta ve sürecin tüm aksaklıklarıyla yine sistemi sağlayan ülke ilgilenmektedir. Gelişmiş ülkelere bakıldığında savunma sanayi firmalarında faaliyet gösteren üreticileri genellikle ülke içerisinden seçmeye tercih ettikleri görülür bu yine gizlilik konusunda sorun yaşanmaması adına atılmış adımlardır. Türkiye'nin bir dönem millileştirme politikaları yapmak amacıyla yabancı yatırımcılara ülke içerisinde yer vermemiştir. Ancak silah talebinde azalma konusu yatırımların düzeyini de negatif yönde etkilemiş bu durumda birçok firma kapanmıştır. Bu durumda gelişmiş ülkeler dışında diğer ülkelerin belirli sınırlar altında yabancı sermayeden yararlanması gerektiği sonucu çıkmaktadır. Gizlilik ilkesinin doğru ilerlemesi için ülkenin yeterli teknolojik düzeye sahip olması ve kaynak konusunda yeterli düzeyde olması gereklidir aksi takdirde doğru bir politika uygulanamayacaktır (Elemana, 2015: 12).

Savunma sanayiinde gizlilik kriteri son yıllarda üzerinde daha fazla durulan konu haline gelmektedir. Bu doğrultu da korunma amacıyla 29 Haziran 2004 tarihinde "savunma sanayi güvenliği kanunu" adı ile yeni bir kanun çıkartılmıştır. Ülkede var olan yabancı yatırımcıların firmalarda sahip oldukları hisseler aslında firmanın gizlilik konusunda bilgi sahibi olduğu anlamına gelmektedir. Bu durum ülkeyi yabancı yatırımcılara karşı bağımlı hale getirmektedir (Özlü, 2006: 300).

## 7. SONUÇ

Çeşitli sanayi kollarının bir araya gelmesiyle oluşturulan savunma sanayi sektörü her ülke için görmezden gelinmeyen bir sektör olarak bilinmektedir. Çünkü savunma sanayi sektörüne dair yapılan her bir yatırım ülke ekonomisine kalkınmasına da yapılıyor demektir. Türkiye, henüz savunma teçhizatını tamamen karşılayacak bir pozisyonda olmasa da gelecekte yapılacak doğru adımlarla gerekli altyapıyı sağlaması mümkündür. Sanayileşme konusunda en önemli adımlardan birisi bilim ve teknolojiyi kullanarak ürün geliştirmektir. Türkiye'nin bunu doğru olarak yapması bütçe konusunda da iyileştirmeler yapabilmesi ile sonuçlanacaktır. Ülke içerisinde yapılan her üretim Türkiye için daha az maliyet demektir. Çalışmanın amacı, Türk savunma sanayinin gelişmesine engel olan unsurlar tespit edilerek değerlendirilmesidir. Savunma sanayide herkesçe öngörülen sebepler dışında göz ardı edilen veya henüz bahsedilmeyen sorunlarda ele alınmıştır. Türk savunma sanayiinin gelişimi ile ilgili sorunlar, ekonomik sorunlar /politik ve sosyal sorunlar başlıkları altında detaylı bir şekilde incelenmiştir. Birinci başlık altında özellikle istihdam, tedarik ve pazar sorunları incelenmiştir. İkinci başlık adı altında ise terör, kopya, gizlilik, ar-ge konularında yaşanan sorunlar ele alınmıştır.

Bu çalışma Gümüşhane Üniversitesi, Bilimsel Araştırma Projeleri (BAP) Koordinatörlüğü'nce desteklenmiştir. Proje No: 20.F2911.02.01. "Türkiye'de Savunma Sanayi Sorunlarının Bütünleştirilmiş AHS-KFG Yöntemiyle Belirlenmesi ve Çözüm Önerilerinin Geliştirilmesi" başlıklı ve Doç. Dr. İskender Peker'in yürütücülüğünde sahadan yürütülmeye devam etmektedir. Savunma sanayi alanında faaliyet gösteren Girsan Makina ve Hafif Silah Sanayi Ticaret A.Ş (GİRSAN) ve Trabzon Silah Sanayi A.Ş (TİSAŞ) yetkilileri ile yüz-yüze görüşmeler gerçekleştirilmiştir. Bu görüşmeler neticesinde savunma sanayisinde öne çıkan bazı sorunlar tespit edilmiştir. Bunlar; savunma sanayi sektörünün yüksek enerjiye ihtiyaç duyması bunu Türkiye'de karşılayacak alt yapılara sahip olunmaması enerji konusunda ithalatı zorunlu kılacak sorunlar ortaya çıkarmaktadır ve buda devlet için artı bir yük haline gelmektedir. Teknik bilgi ve beceriyi geliştirecek okul, enstitü gibi eğitim kurumlarının yeterli sayı ve donanımda olmaması, bilgi ve donanım sahibi kişilerin beyin göçü durumlarına karşı engel koyulamamaktadır. Ülke içerisinde yaşanan terör gibi olayların ekonomiyi olumsuz yönde etkileyerek savunma sanayinin gelişmesinde engel teşkil etmesi, savunma sanayi sektöründe gizlilik ilkesinin var olması firmaların üretim sürecini zorlaştırmaktadır. Satın alınan mühimmat miktarının yüksek olmasına ve savunma sanayiye hizmet amaçlı alınmasına rağmen Makine Kimya Endüstrisinin fiyatlarını sivil kullanıcı ile eşdeğer tutmasından dolayı ürün test maliyetlerinin yüksekliği, tüfek üretimin de kullanılan bazı malzemelerin ülke içinde üretimi yapılmaması, kalifiye eleman sayısının az olması, tedarikçi sayısının azlığı dolayısı ile siparişlerde gecikme sorunu yaşanması olarak sıralanmaktadır.

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# Küreselleşme ve Geri Dönüşümü Olmayan Kredilerin İncelenmesi: Oecd Örneği[1]

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**Özet:** küreselleşme son yıllarda üzerinde durulan ve çokça tartışılan bir kavram haline gelmiştir. Özellikle 1980 yılından sonra yaşanan gelişmeler sonucu küreselleşme her durumun kaynağı haline gelmiş ve her alanı etkilemiştir. Dünyanın tek bir ekonomik yönden etkiler hale gelmiştir. Özellikle bankacılık sektörünün piyasalar üzerinde fon aktarma gibi derin bir göreve sahip olması yatırımcıların finansman kaynağı olması ve yaşanan geri dönüşü olmayan kredi problemleri hem bankacılık sektörünü hemde ülkelerin makro ekonomik göstergelerini olumsuz etkilemektedir. Bu çalışmanın amacı küreselleşme ile birlikte gelişen ve derin işlevlere sahip olan bankacılık sektöründe yaşanan geri dönüşü olmayan kredi sorununun nedenleri, çeşitleri ve kredilerin geri dönüşü olmayan kredilerin makro ekonomik göstergelerle etkileri hakkında bilgi vermektir.

**Anahtar Kelimeler:** Küreselleşme, küreselleşme süreci, küreselleşmenin etkileri, geri dönüşü olmayan krediler

## 1. GİRİŞ

Küreselleşme kavramı sosyal bilimler literatüründe karşımıza çokça çıkmaktadır. Küreselleşmenin ne olduğu ve ne zaman başladığı hususunda ortak bir tanım olmamakla birlikte genel olarak insanların hiçbir sınır gözetmeksizin birbirleriyle etkileşim halinde olma, sınırsızlaşma durumu olarak ifade edilmektedir. Sovyetler birliğinin yıkılması ile birlikte ivme kazanan küreselleşme sosyal, kültürel, teknolojik, siyasal ve ekonomi olmak üzere birçok alanda etkili olmuştur. Teknolojinin gelişmesi ile birlikte insanlar başka kültürlerden haberdar olmuş ve o kültürlerle etkileşim haline girmiştir. Zamanla birbirinden beslenen kültürler giderek birbirine benzer hale gelmiştir. Zaman içerisinde bir kültürün giyim, eğlence, yemek gibi sosyal yaşam standartları değişmiş ve dünya genelinde kabul gören standartlar doğrultusunda hareket edilir duruma gelinmiştir. literatürde sıkça örnek verilen fastfood yemek yeme alışkanlığı kültürel-sosyal küreselleşmeye bir örnek teşkil etmektedir. Küreselleşme sadece sosyo-kültürel alanı etkilememiş ülkelerin siyasi yapısını ve ekonomiyi de etkilemiştir. Küreselleşme en çok ekonomi alanında kendini göstermiştir. Ticaretin gelişmesi ve ulus aşırı düzeyde gerçekleşmesi, finansal piyasaların uluslararası düzeyde işlem görmesi küreselleşmenin ekonomi alanına getirdiği yeniliklerdir. Finansal piyasalar içerisinde en önemli paya sahip olan bankacılık sistemi reel ekonomi üzerinde etkili bir sistem olarak karşımıza çıkmaktadır. Piyasaya fon aktarma gibi önemli bir fonksiyonu olan bankalar bu fon aktarma işlemini kredi tahsis ederek yapmaktadırlar. Bankalar kredi talep eden kişi veya kuruluşlara kredi tahsis etmekte bu işlemi yaparken de risk altına girmektedirler. Kredi tahsis eden ve talep eden arasında gerçekleşen bir anlaşma ile yapılan kredi verme işleminde kredi alan kişinin anlaşma şartlarına uymaması geri dönüşü olmayan kredi problemini doğurmaktadır. Geri dönüşü olmayan krediler tanım olarak kredi alan kişinin anlaşma şartlarında belirtilen ödeme zamanına uymayarak anapara veya faizinin zamanında ödenmemesi veya eksik ödenmesi durumudur. Geri dönüşü olmayan kredilerin banka envanterlerinde yer alması bankacılık sistemini ve hatta reel ekonomiyi olumsuz etkilemektedir. Geri dönüşü olmayan krediler ile makro ekonomik göstergeler arasında ilişki olmasından dolayı böyle bir problemin göz ardı edilmesi reel ekonomide krizlere sebep olup, piyasada tahribatlar yaratacaktır.

Bu çalışmamızda ilk olarak küreselleşme kavramı, tarihçesi, küreselleşmenin etki ettiği kültürel, siyasi, teknolojik ekonomi alanlarından, küreselleşmenin avantaj- dezavantajından, küreselleşmenin nasıl ölçüldüğü ve dünyadaki boyutları incelenmiştir. İkinci olarak geri dönüşü olmayan kredilerin tanımı, nedeni bankacılık sektörüne ve reel ekonomiye olan etkileri üzerinde durulmuştur. Ve son olarak OECD ülkelerinde geri dönüşü olmayan kredilerin durumu grafiksel olarak incelenmiştir.

[1] Bu çalışma yazarın yüksek lisans tezinin bir ön çalışmasıdır.

## 2. KÜRESELLEŞME KAVRAMI

Küreselleşme son zamanlarda her alanda karşımıza çıkan ve çokça tartışılan bir olgu haline gelmiştir. Küreselleşme her alanda varlığını hissettirmesinden dolayı küreselleşme üzerine yapılmış birçok tanım mevcuttur. Bu tanımlardan bazıları şu şekildedir;

Küreselleşme üzerine bu kadar çok farklı tanımlamaların olmasının sebebi kavramın yeni ve dinamik olması ile birlikte kavram üstüne yapılan çalışmaların neticesinde ortak bir tanımlama yapılması söz konusu değildir. Örneğin; Amerika milli savunma enstitüsü yaptığı bir açıklamada; malların, hizmetlerin, paranın, teknolojinin, kültürün ulusal sınırlar dışına çıkartılması olarak tanımlanmış yine aynı enstitü yaptığı açıklamada küreselleşmenin devletlerarasında büyük bir bütünleşmeyi sağladığını ve tüm etkileşimlerin uluslararası hale geldiğini söylemiştir (Öymen, 2000: 27).

Dünyada yaşayan toplumlar ve devletlerarasındaki karşılıklı iletişim, etkileşim ve bağımlılığının sürekli artması durumu küreselleşme olarak ifade edilir (Bayar, 2008: 25).

Diğer bir tanıma göre küreselleşme, ülkeler arasındaki ilişkilerin iyileştirilmesi sosyal ve ekonomik değerlerin ülke sınırını aşarak ülke sınırını aşarak ülkeler arasına yayılmasına ve farklılıkların ortadan kalkmasına sebebiyet veren sosyal, siyasal ve kültürel değerler ile birlikte kaynakların bütünleşmesine ve bir olmasına denir (Akgönül, 2001: 135).

Küreselleşme nekadar çok alana konu olsa da teknolojik gelişmeler ekonomik ve siyasal etmenler küreselleşmeye asıl sebep olarak gösterilmektedir. Gelişen teknoloji ile birlikte bilgi alım satımı uluslar arası camiada hız kazanmış bu sayede küresel değerlerin oluşumu hız kazanmıştır (Yurdabakan, 2002: 63).

Başka bir tanıma göre, küreselleşme ile birlikte değişen, gelişen ve serbestleşen sermaye hareketlerini çok fazla devletin benimsemesi veya zorla benimsemiş olması uluslar arası ticarette sermaye hareketliliğinin denetimlerini yavaş yavaş azaltan bir yapıya dönüştürmüştür. Bunun neticesinde uluslar arası ticarete bütünleşme programları uygulanmaya başlanmış buda piyasanın serbestliğini arttırmış ve ulus ötesi şirketlerin etkinliğinin artmasına katkı sağlamıştır (Aydın, 2003: 84).

### 2.1. Küreselleşme Sürecinin Tarihi Gelişimi

Küreselleşme kavramının tanımı gibi başlangıcı hakkında da tek bir ifadenin olduğunu söylemek oldukça güçtür. Kavram olarak etkilediği alanların çok çeşitli olmasından dolayı tarihin başlangıcını da belirlemek her bilim dalı için farklılık göstermektedir.

Kavram ve süreç olarak küreselleşmenin ne zaman başladığı hangi aşamalardan geçtiği nasıl bir yol izlediği konusunda net değildir. Bununla birlikte göç hareketlerinin başlaması, kervanların kurtulması, hayvanların evcilleştirerek ulaşımda kullanılması baharat ve ipek yolu gibi ticaret yollarını kullanarak uluslararası ticaretin yapılmaya başlanması ve deniz yolunu kullanarak yeni bölgelerin keşfedilmesi gibi çok eskiye dayanan bir yapıya sahiptir (Aktel, 2001: 195).

Küreselleşme süreç olarak çok eskilere dayanmasına rağmen kavram olarak 1960'larda kullanılmaya başlanmış, 1980'lerden sonrada sıklıkla kullanılmaya başlanmıştır (İçli, 2001: 63).

Küreselleşme konusunda diğer bir yaklaşımda küreselleşmenin Avrupa da coğrafi keşiflerle beraber tarih sahnesine çıktığı görüşüdür (Kazgan, 2002: 27).

Sürecin hızlanmasını sağlayan olayların başında bölgeselleşme ve bütünleşme akımı gelmektedir. Çok yönlü üretim, finansal ve ticari bağımlılığın gelişmesi küreselleşmeyi hızlandırdığı gibi bir yandan da benzer nitelikler gösteren aynı coğrafi bölgedeki devletleri bölgesel ilişkiler içerisinde olmasına zorlamıştır (DPT, 2005: 5).

İfade edildiği gibi küreselleşme sürecinde zaman ve mekân kavramlarından münezzeh olduğundan her sebep iç içe geçmiş durumdadır. Bilişimin ve teknolojinin ilerlemesi ülkelerin bilimde ve ilimde fikir olarak da birbirine komşu olmuş ve birbirini etkiler hale gelmiştir (Durul, 2008: 57-59).

Küreselleşme sürecinde var olan farklı yaklaşımlardan biride küreselleşmenin modernleşme ve kapitalizm ile birlikte ortaya çıktığı sanayi ötesi toplum kapitalizmin getirdiği sistemin çözülmesi ile birlikte son yıllarda kendini gösteren biçimsel bir yaklaşımdır (Köse, 2003: 7).

Bu görüşe göre küreselleşme kapitalist görüş ile liberal görüşün dünya geneline yayılmasıdır. Küreselleşmenin tarihi için kapitalizmin tarihinin belirlenmesi gerekmektedir (Savaş, 2004: 5).

Sanayileşme sonucu ortaya çıkan yeni sektörlerin çekişmeli rekabeti sonucunda hızla değişen Pazar alanları ve yeni Pazar alanı arayışları ile gelişmiş ülkelerde yaşanan siyasi çöküşlerin diğer ülkeleri etkilemesi küreselleşmenin boyutunu giderek arttırmıştır (Bayar, 2008: 27).

## 2.2. Küreselleşmenin Etkilediği Alanlar

Küreselleşme tanımsal olarak ekonominin, kültürün, teknolojinin ve siyasetin entegrasyonu olarak ifade edildiğinden araştırmacılar genel olarak bu dört başlık üzerinden küreselleşmenin boyutlarının ne olduğunu incelemektedir (Yaman, 2019: 424).

Bu açıdan incelendiğinde küreselleşmeyi, kültürel küreselleşme, siyasal küreselleşme ve teknolojik küreselleşme adı altında incelenecektir.

### 2.2.1. Kültürel Küreselleşme

Kültür, millet kavramını oluşturan önemli bir olgudur. bilgiyi, sanatı, ahlakı, örf ve ananeleri insanın içinde bulunduğu toplumdan elde ettiği bütün alışkanlıklarını kapsayan atalarından miras kalan değerler bütünüdür (Kafesoğlu, 2005: 15).

Milletlerin yaşam biçimi olarak ifade edilen kültürel küreselleşme ile birbirini sürekli etkilemektedir. Küreselleşme getirdiği argümanlarla kültürü etkilemekte, kültür ise yaşadığı büyük dönüşümlerle küreselleşmeye katkıda bulunmaktadır. Özetle küreselleşme kavramının oluşmasında öncü olan milletlerin sahip oldukları bilgi birikimlerini, tecrübelerini aktarması ve bunların benimsenmesi küresel kültürü oluşturmaktadır (Talas ve Kaya, 2007: 152).

Kültürel küreselleşme ise sömürgecilik ile birlikte hız kazanmış misyonerlik faaliyetleriyle yüz yüze iletişim ve etkileşimle beraber 19.yy'da kısmen gelişmiş 20. yüzyılın son çeyreğinde ise olağan üstü bir boyutta artma fırsatı bulmuştur (Mahiroğulları, 2005: 1278).

Günümüzde pek çok insan değişen ve gelişen televizyon ve internet ağlarıyla beraber çok fazla kültürü tanımaktadır. Gelişen bu ağlar zaman geçtikçe algımızı değiştirmekte çeşitli haberler ve deneyimler ile birlikte bilgi yoğunluğu kalabalıklaşarak yoğunlaşacaktır. Bu yoğunlaşma sentezlerin karışımına ve kültürel hibritleşmeye yol açacaktır (İçli, 2001: 168).

Küreselleşme dünyayı tek tipleştirmekte yemekten giyinmeye eğlenceden tatile kadar her alanda birbirine benzeyen bir dünya oluşturmaktadır. Fakat milletlerin var olması için geçmişin ve geleceğin kavranılmasında kültürel değerlerin korunması ve yerel kültürün tamamen yok olmasını engellemek açısından önemlidir (Koçdemir, 2012: 289).

### 2.2.2. Siyasal Küreselleşme

İkinci dünya savaşından sonra hızla yayılmaya başlayan ulus ve ulus devlet anlayışı dünya genelinde kabul gören bir anlayış haline gelmiştir. Bu noktada önemli olan konunu standartlaşan bu anlayışın var olan egemenlik anlayışın derecede değiştirdiği veya dönüşüm içerisine soktuğunun bilinmesi önem arz etmektedir (Davutoğlu, 2008: 4-5).

Ulus kavramının bilinmesi her alanda varlığını hissettiren küreselleşmenin ulus-devlet yapısında ne gibi etkilere sebep olduğunun bilinmesi açısından önem arz etmektedir. Kavram olarak ulus, devlet yapısının özerkliğini ve mutlak egemenliğini içermektedir. Ulus- devletin küreselleşmenin siyasi alanda etkili

olduğu devletlerin birbirleri ile olan etkileşimin birbirinden bağımsız olmayacağı sorunu ortaya çıkarmıştır (Esgin, 2001: 186).

Bu süreci niteleyen demokrasi bilişim teknolojilerinin ilerlemesi ile birlikte ülke vatandaşlarının demokrasiye olan değerlerini geliştirmiştir. Fakat küreselleşme her alanda etkili olmakta özellikle ekonominin de küreselleşmesi ile birlikte ulu-devlet yapısında tahribatlar gözlemlenmeye başlamıştır. Devletler birbirleri ile bütünleşmiş hale gelmiş ve uluslararası ilişkilerde ulus-devletten bağımsız ve güçlü hale gelmiş ve uluslararası örgütler karşımıza çıkmakta bu durum ise var olan egemenlik anlayışını değiştirmektedir (Yıldırım, 2004: 46).

Başka bir açıdan bakıldığında küreselleşme ile birlikte ortaya çıkan demokrasi anlayışıdır. Küreselleşme var olan demokrasi ve sivil toplum gibi kavramların yapısını değiştirmektedir. Küreselleşmenin getirdiği demokrasi anlayışı çoğulcu demokrasi anlayışıdır. Bu anlayış devletin ulusal ve uluslararası rolünün ayrımlı olduğundan dolayı ortaya çıktığını bu yüzden çoğulcu bir yapıya dönüşmesi gerektiği bu dönüşümün uluslararası ilişkilerinde de sürdürmesi gerektiği olarak karşımıza çıkmaktadır (Eken, 2006: 253).

Bu bağlamda küreselleşme ile beraber ulus devlet yapısı mutlak egemenlik otoritesini yitirmiş ve yetkisini ulus üstü kuruluşlarla bölüşmeye başlamıştır. Otorite etkinliğinin azalması, ulus üstü kuruluşların karşılıklı etkileşimi sonucunda tek bir yapıya sahip olan devletin fonksiyonları değişime uğramakta ve yerini uluslararası üst kuruluşların yönetiminde öne çıkması süreci başlamıştır (Çelik, 2012: 69).

### 2.2.3. Teknolojik Küreselleşme

Teknoloji zaman içerisinde toplumsal, sosyal ve ekonomik yaşam üzerinde önemli rol oynayan unsurlardan biri haline gelmiştir. Öyleki 20. yüzyılın son çeyreğinde varlığını önemli derecede hissettiren gelişmelerin yaşanması ve hızla yayılması yeni bir devrin başladığını göstermektedir. Yeni bir dönem olarak adlandırılan bu dönem yaşamın her alanında kendini göstermektedir. Teknoloji küreselleşme ile beraber iletişim ve bilgi alanında ilerlemesi paralelinde yeni ekonomik alanlar ortaya çıkarmış olup dünya genelinde ülkelerin gerçekleştirmesi gereken bir araç haline gelmiştir (Çeviker ve Sarıdoğan, 2006: 479).

Var olan sistem üzerine etkili ve söz sahibi olan küreselleşme her alanda varlığını hissettirmektedir. Ticaretin ulus-aşırı olması iç pazarın gelişimi ve makro ekonomik gelişmelerin büyümeye sebep olması, ulus-devlet yapısındaki değişimler her boyutun içerisinde teknolojinin payı oldukça büyüktür. Bu nedenle bazı ekonomistler teknolojik gelişmeyi ‘‘küreselleşmenin motoru’’ olarak nitelemektedirler (Uysal, 1999: 10).

Gelişen ve ilerleyen teknoloji zamanla her üretim faktörüne etki etmiş ve yeniden dönüşüme uğramıştır. küreselleşme ile birlikte piyasada var olan rekabet küresel düzeye gelmiş ve işletmeler kendi ülkesi ile birlikte başka ülkeler ile de rekabet eder konuma gelmiştir (Zerenler vd., 2007: 656).

Günümüzde firmaların, şirketlerin piyasada etkin rol almasının ön koşulu teknolojiyle ilişkilendirilmektedir. Teknoloji ile bağları ne kadar kuvvetli ise piyasada da o denli kuvvetli ilerleme kaydetmiş olmaktadırlar. Ülkelerin teknoloji alanında takındıkları tavır teknoloji üretip üretmemesi bu alanda uyguladıkları değişim ve gelişim politikaları ülkeleri birbirinden ayıran önemli bir kıstas halini almıştır (DPT, 2000: 7).

### 2.2.4. Ekonomik Küreselleşme

Küreselleşme başlangıcından bu zamana kadar geçen süreçte ekonomi alanında yapılan önerilerin çoğu ekonomi ile bağdaştırılmıştır. Zaman ilerledikçe dünyanın tek bir Pazar haline gelmesi, iş gücünün ucuzlaması, sermayenin serbest dolaşımı ve katı kurallarının olmaması ekonomilerin küresel alanlara uyum sağlaması küreselleşmeyi ekonomi ile bütünleştirmiştir (Çelik, 2012: 68).

Küresel ekonomi ülke ekonomilerinin dünya ekonomileri ile bütünleşmesini ifade eder. Ekonomik serbestleşme sürecinin hızlanması ve yayılması sürecinde; mal, hizmetler ve uluslararası sermaye hareketleri ile ilgili sınır dışı işlemler giderek artmış ve teknoloji hızlı bir şekilde yayılmaya başlamıştır (Aydemir ve Kaya, 2007: 268).

Küreselleşme olgusunun içerisinde yer alan ekonomik gelişmeler yadsınamaz şekilde önem araz etmektedir. Ekonomik küreselleşme denildiğinde akla, ticari ve finansal serbestliğin ulus-aşırı olması gelmektedir. Ticari serbestleşme, devlet kontrolünde olan mal ve hizmet ticaretinin devlet kontrolünden çıkması ve ticaretin dünya genelinde serbestliğinin sağlanmasını amaçlayan bir yaklaşımdır. Finansal serbestleşme ise, ilk olarak yerel finansal öğelerin ve yurt içinde yer alan bankaların devlet kontrolü dışında yer alması ve yurt içi finansal piyasaların uluslararası piyasada işlem görmesini hedefleyen politikalardır (Dağdelen, 2004: 6).

Küreselleşme ile beraber ekonomik ilişkilerin gelişmesi ve dünya genelinde yayılması ile birlikte ticaretin serbest olması, yatırımları arttırmak için yapılan ve düzenlenen politikalar ülkelerin makro ekonomik hedeflerini gerçekleştirmede attığı önemli adımlardan biridir. Ülkelerin attığı bu adımlar yadsınamaz şekilde önemlidir. Bu gibi adımlar insanların yaşam standartları ile alakalı bir durumdur. Bu yüzden küreselleşmenin ekonomik boyutu küreselleşmeyi anlamsız açısından oldukça önemlidir (Ateş, 2006: 127).

Bretton Woods sisteminin yıkılması ile birlikte ekonomide meydana gelen küreselleşme kendini gösterir hale geldi sistemin yıkılması ile beraber, esnek kur sisteminin işler hale gelmesi ve kur değişimleri ihtimalleri doğrultusunda yeni bir pazara kazanma pazarı oluşturmuştur. Döviz işlemlerinin uluslararası düzeyde gelişim göstermesi bilgisayar teknolojisinin gelişmesiyle birlikte büyük bir döviz piyasası oluşturdu. bu gelişmelerin neticesinde sermaye piyasaları uluslararası düzeyde serbestleşmiş ve finansal piyasalar birbirleri ile bağımlı hale gelmiştir (Ganiev, 2014: 119).

Sovyetler birliğinin dağılması ile birlikte serbest piyasa ekonomisi uygulamaları benimsenmiş ve sermaye akımları milletlerarası düzeyde gerçekleşmeye başlamıştır. Gelişmiş ve gelişmekte olan bu politikaların zaman geçtikçe sistem olarak birbirine benzemekte aynılaşmaktadır (Bayraç, 2003: 47).

Sonuç olarak ekonomik küreselleşme, piyasa ekonomisinin gelişmesini, uluslararası ekonomik örgütlenmenin hız kazanmasını, serbest ticaretin geniş coğrafyalara yayılmasını, sermaye hareketliliğinin serbest piyasa ekonomisinden dolayı serbest duruma gelmesini ve çok uluslu şirketlerin çalışma alanlarının bu doğrultuda geliştirilmesini beraberinde getirmiştir (Aktel, 2001: 197).

### 2.2.5. Küreselleşmenin Avantaj Ve Dezavantajı

Küreselleşme dünyada kullanılan mali kaynakların, teknolojinin gelişmesi ile birlikte tüm dünyada dinamik bir şekilde kullanılmasında katkı sağlamış ve tüm mali piyasaların bütünleşmesine katkı sağlayarak maliyetleri de azalmıştır. Maliyeti azalan piyasaların verimlilikleri arttırmış ve yeni yatırım olanakları meydana getirmiştir. Piyasa da gelişen bu olumlu etkenler rekabeti arttırmış gelişmekte olan ülkelerin ekonomik yapısının sanayisini tamamlamış ülkelerin ekonomisi ile yarışır hale getirmiş ve gelişmekte olan ülkelerin sermaye akımlarından faydalanma imkânı oluşmuştur (Erçel, 2000: 3-4).

Kapitalizmin yaygınlaşmaya başlamasından itibaren dünya üzerinde var olan üretim yapısını değiştirmiştir. İş gücünü coğrafi olarak ayıran küreselleşmede hammadde, ulaşım, üretim gibi aşamalar tek bir merkeze bağlı farklı ülkelerde şubeler sistemiyle gerçekleşmesi hukuksal olarak çatışmalara sebebiyet vermekte ve bu gibi şirketlerin denetimini zorlaştırmaktadır. Sermayenin ülkelerarası rahatça dolaşması yeni bir dönem girdiğimizi göstermekte ve bu dönemde birçok kavrama yüklenen mananın değiştiğini özellikle ekonomide başlayan bu değişimin sosyo-kültürel alandan ulus-devlet anlayışına kadar her alanı değişime uğratarak zayıflattığı görülmektedir (Kürkçü, 2013: 10).

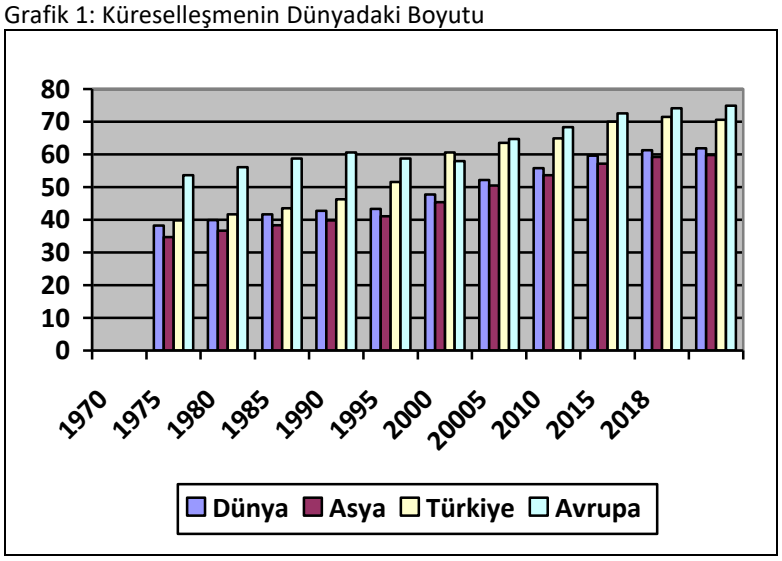
### 2.2.5. Küreselleşmenin Ölçülmesi Ve Dünyadaki Boyutları

Küreselleşme ile ilgili tanımlara bakıldığında genel olarak ortak söylemler mevcuttur. bu ortaklık, teknolojinin ilerlemesi ile birlikte ülke ekonomilerinin ulus aşırı olduğu sermaye akışının serbestleştiği

ticaretin önündeki engellerin kalkması gibi gelişmelere paralel olarak sosyo-kültürel ve siyasi olarak da ülkeler değişimin içerisine oluşlarındandır (Yay vd., 2016: 582).

Küreselleşme düzeylerini ölçen birçok kurum vardır fakat en doğru sonuçlar veren endeksler KOF küreselleşme endeksidir. KOF küreselleşme endeksi her sene ülkelerin genel küreselleşme düzeyini ölçer bu ölçüm sonucunda belirli ağırlık derecesine göre değer almaktadır bu değerler 0-100 arasında olan değerlerdir. Bu değer Aralığında 0; küreselleşmenin gerçekleşmediği, 100 ise küreselleşmenin tam olarak gerçekleştiğini ifade etmektedir (Eren ve Çütcü, 2018: 49).

Grafik 1: Küreselleşmenin Dünyadaki Boyutu




**Kaynakça:** KOF (https://kof.ethz.ch/en/forecasts-and-indicators.html) küreselleşme endeksinin verileri kullanılarak tarafımca hazırlanmıştır

KOF küreselleşme endeksinin verilerinden faydalanılarak oluşturulan dünyada küreselleşmenin boyutu Grafik 1'de gösterilmiştir. Grafik 1970 yılından başlayarak beşer yıllık arayla hesaplanmış verilerden oluşmaktadır. Grafikte yatay çizgide yıllar dikey çizgide ise küreselleşmenin değerleri (derecesi) verilmiştir. Dünya, Asya, Avrupa ve Türkiye'nin küreselleşme değerlerine yer verilmiştir. Avrupa küreselleşme sıralamasında birincidir. Hemen ikinci sırada Türkiye yer almaktadır. Türkiye dünya geneli küreselleşme seviyesinin üzerinde bir küreselleşme seviyesinin üzerinde bir küreselleşme seviyesinin üzerinde bir küreselleşme değeri gerçekleştirmekte bunda bulunduğu coğrafi konumdan ve izlediği politikalardan kaynaklandığı bilinmektedir.

## 3. GERİ DÖNÜŞÜ OLMAYAN KREDİLER

Küreselleşme süreci ile birlikte ekonomi alnında özelliklede finans alanında yaşanan ve değişen gelişmeler ülke ekonomilerini derinden etkileyen bir durum haline gelmiştir. Özellikle bankacılık sektörünün piyasaların üzerinde fon aktarma gibi bir işlevi olması yatırımcıların finansman bankaları finansman aracı olarak görmesine ve banka politikaları doğrultusunda hareket ettikleri gözlemlenmektedir. Bankacılık sektöründe meydana gelen olumlu ya da olumsuz etkilerin ülkelerin makro ekonomik göstergelerini de etkilemektedir.

Finansal sistem içerisinde yer alan bankacılık sektörünün ekonomi üzerinde yadsınamaz derecede olumlu etkileri vardır. Bankalar kişi ve kurumlardan aldıkları fonlarla yatırım yapan şirketlere veya kredi imkânlarının geri ödenmesine yönelik önemli risk altına girmektedirler. Kredi talebinde bulunanlar ile bankalar arasında başlatılan hukuki işlemin başlaması sonucu geri dönüşü olmayan kredileri ortaya çıkarmıştır (Lök, 2018: 196).

Bir kredinin geri dönüşü olmayan kredi olarak adlandırılması için ödenmesi gereken tarih üzerinden belirli zamanın geçmesi gerekmektedir. Geçen sürenin ise birkaç gün ya da ayın gecikmesi değil banka ile kredi alacak kişinin arasında imzalanan sözleşmede belirtilen ödeme şartlarının ciddi oranda ihlali durumunda krediler geri dönüşü olmayan krediler gruba dâhil olur (Erkan, 2015: 9)

### 3.2. Geri Dönüşü Olmayan Kredilerin Nedenleri

20. yüzyılın sonlarına doğru hızla gelişen finansal küreselleşme, genellikle gelişmekte olan ülkelerin dışa açılma hamlelerinin yaşandığı ve sermaye hareketlerinin uluslar arası sistemde serbestçe hareket etmesi şeklinde gelişmiştir. Finansal küreselleşme ile birlikte özellikle gelişmekte olan ülke ekonomilerinin bu gelişen sistem içerisindeki amacı, istihdamı ve tasarruf oranlarını arttırmak, büyümeyi gerçekleştirmek, milli gelir kalemlerinde olumlu gelişmeler yaratmak ve buna paralel olarak da ülke refahını arttırmayı amaçlamışlardır. Ne yazık ki istenilen amaçlar gerçekleşememiş ödemeler dengesindeki açıklar ve tasarruf oranlarındaki hızlı düşüş ülkeler de ekonomik krizlerin oluşmasına neden olmuştur. Bu krizlerin ülke ekonominde en çok etki eden ve milli gelir kalemlerini etkileyeni bankacılık krizleridir. Bankaların yaşadığı kriz sonrasında banka bilançolarında meydana gelen olumsuz durumlar neticesinde geri dönüşü olmayan kredilerin oranları hızla artmış ve bankaları dolaylı olarak ülke ekonomilerini olumsuz yönde etkilemiştir (Karamustafa, 2019: 58).
Geri dönüşü olmayan kredilerin nedenlerini dört faktörler altında gruplandırabiliriz bunlar;

- Bankaya Özgü Faktörler; yetersiz izleme ve istihbarata sahip olması, değersiz teminatlar, yetersiz mali analiz ve değerlendirme, erken yada geç reaksiyon bankaya özgü faktörler arasında yer almaktadır.
- Borçluya Özgü Faktörler; fiyatlandırma ve pazarlama politikası, yönetim becerisi, borç ödeme kapasitesi ve gelir değişikliği, grev ve diğer mahalli etmenler borçluya özgü faktörler arasındadır.
- Doğal Faktörler; deprem, sel, kuraklık gibi doğal afetlerden dolayı kredilerin geri dönüşü olmayan krediler grubuna dahil olabilmektir.
- Genel Siyasi Ve Ekonomik Faktörler; hükümet politika ve teşvikleri, ekonomik ve siyasi krizler, para, maliye ve gelir politikası bu faktörler arasında yer almaktadır.

Bankaya özgü faktörler içsel faktörler kapsamında değerlendirilmektedir. İçsel faktörler bankanın kontrol altına alabildiği yönetimini başarılı bir şekilde sağladığı kredi kaynağıdır. Kredi alan müşterilerin faaliyetlerinin analizinin yetersiz olması ve teminatlandırmada yaşanan problemleri içermektedir (Altıntaş, 2012: 19).

### 3.3. Geri Dönüşü Olmayan Kredilerin Bankaya Etkileri

Bankaların temel gayesi fon arz ve talep edenler arasındaki köprüyü kurmaktadır. Bundan dolayı bankalar sağlanacak fonların miktar, zaman, faiz gibi etmenler içerisinde düzenlemeler yapıp ifade edilen etmenlerin nitelikli kullanılmasını sağlayacaktır. Bankalar uzmanı oldukları fon değerlendirme sistemleri ile birlikte fon arz edenlerin nitelikli kullanılmasını sağlayacaktır. Bankalar uzmanı oldukları fon değerlendirme sistemleri ile birlikte fon arz edenlerin tek başına yapamayacakları işleri deneyimlerini kullanarak rahatlıkla yapabilmektedirler. Bu işlemleri yaparken kar amacı gütmelerinin yanı sıra bu konuda güven tesis eden bir birim olduklarından yaptıkları bu işlemleri düşük risk ile yapma amacı gütmektedirler. Bankalar kredi tahsis ederken yaşadığı asimetrik bilgi sorunu nedeniyle tahsisin ilk aşamasında gereken araştırmalarda ve işlemlerde yaşanabilecek bir hatanın dönem dönem bankaları zorlamaktadır. Banka yaşadığı bir hata yüzünden geri dönüşü olmayan kredi sorunu yaşamakta ve bu sorun banka varlıklarının değerini düşürerek banka karlılığını olumsuz etkilemektedir (Selimler, 2015: 132).
Banka aktiflerinde yer alan geri dönüşü olmayan kredilerin varlığı bankanın maliyetlerinin artmasına neden olacaktır. Bankanın likitide dengesini sağlamaması, banka büyümesinin gerçekleşmemesi, sorunlu kredilerin tahsili için yapılan hukuki harcamaların olması ve banka envanterlerinin olumsuz etkilenmesi bankaların maliyetlerinde artış meydana getirerek karlılık üzerinde negatif bir etki yaratacaktır (Seval, 1990: 275).

### 3.4. Geri Dönüşü Olmayan Kredilerin Ekonomiye Etkileri

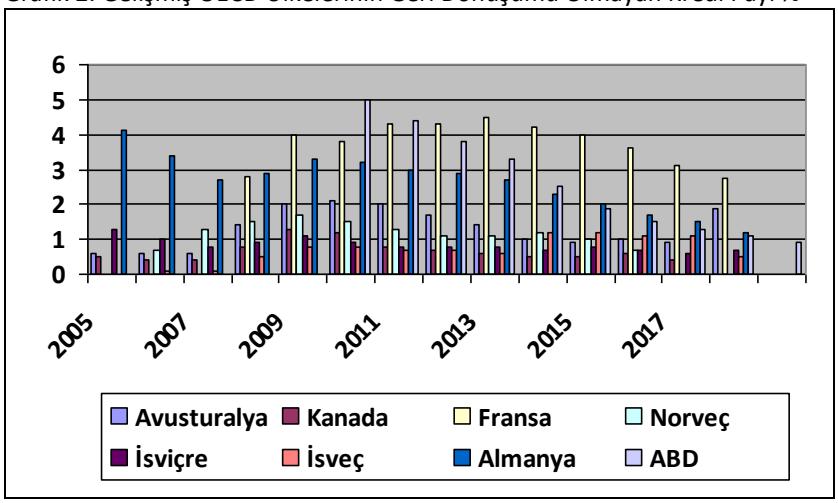
Sipahi (2003)'e göre geri dönüşü olmayan kredilerin ülke ekonomisinde yarattığı problemler;

- Tahsili geciken alacakların varlığı banka karlılık oranlarında düşüş meydana getirecektir. Karlılığı düşen bankalar faiz arttırma yoluna gidecek ve artan faizlerde maliyet enflasyonuna neden olacaktır.
- Geri dönüşü olmayan kredi nedeniyle bankalar yükümlülüklerini yerine getiremeyecek ve zamanla karlılığı düşecektir karlılığı düşen bankadan alınan vergi oranların da azalma meydana gelecektir.
- Banka iflaslarının da sebebi olana tahsil edilmemiş krediler banka sistemlerindeki dengesiz tutumlar mevduat sahiplerini ve kredi borçlularını olumsuz etkileyerek piyasada şok etkisi yaratacaktır.
- Geri dönüşü olmayan kredi oranlarının artışı sonucu banka yapısı önemli hasar görecek ve fon talebinde bulunan sektöre kredi tahsis edemeyecek bu durum ise ülke ekonomisinde yatırımları etkileyecektir (Sipahi, 2003: 21-22).

### 3.5. OECD Ülkelerinde Geri Dönüşü Olmayan Kredilerin Durumu

Türk bankacılık sisteminin yaşadığı 2000-2001 krizleri sonucunda bankacılık sektörü ağır bir darbe almış ve yeniden toplanmak ve güçlenmek için yapısal değişiklikler yaşamışlardır. bu krizden sonra yapısını sağlam bir şekilde bir şekilde kuran ve ilerleyen Türk bankacılık sistemi dünya ekonomisinde seyreden rakamlardan daha az seviyelerde azalış gözlemlenmektedir (Karamustafa, 2019: 73).

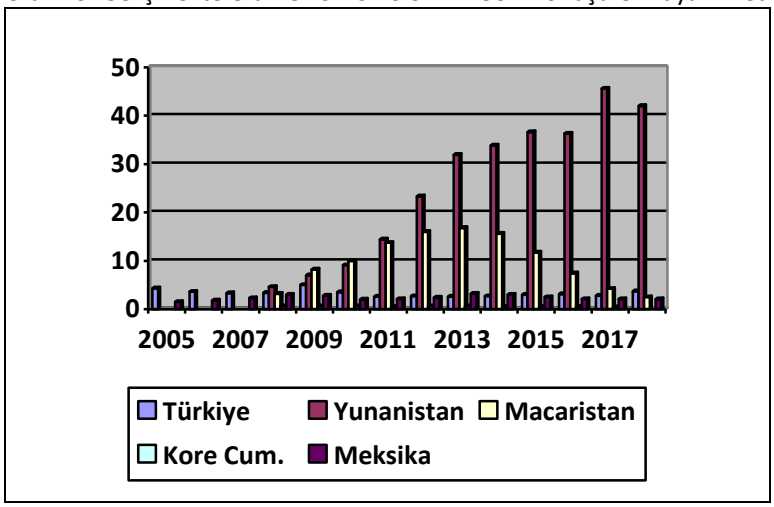
Grafik 2: Gelişmiş OECD Ülkelerinin Geri Dönüşümü Olmayan Kredi Payı %




Kaynakça:worldbank,(https://databank.worldbank.org/reports.aspx?source=2&series=FB.AST.NPER.ZS&country=).

Grafik 2'de ifade edildiği üzere gelişmiş ülkelerin içerisinde geri dönüşü olmayan kredilerin 2005 yılında payının en yüksek olduğu ülke % 4,1'lik bir payla Almanya olmuştur. 2009 yılına kadar geçen dönemde geri dönüşü olmayan kredilerin yüksek pay yine Almanya devletine aittir. Fakat 2009 yılında % 4,22'lik bir payla en yüksek orana sahip ülke Fransa olmuştur. 2011 yılında Amerika'nın bankacılık sisteminde yaşadığı problemler sonucu en yüksek oranı % 4,96 oranında bir payla yerini almıştır. 2012-2018 yılları arasında Fransa'nın içerisinde en yüksek paya sahip ülke olmuştur. 2005-2018 yılları arasında geri dönüşü olmayan kredi oranları en düşük olan ülkelerin geri dönüşü olmayan kredi paylarında ciddi bir artış görülmemiştir. Gelişmiş ülkeler genellikle Kanada, İsviçre, Norveç ve Avusturalyadır.

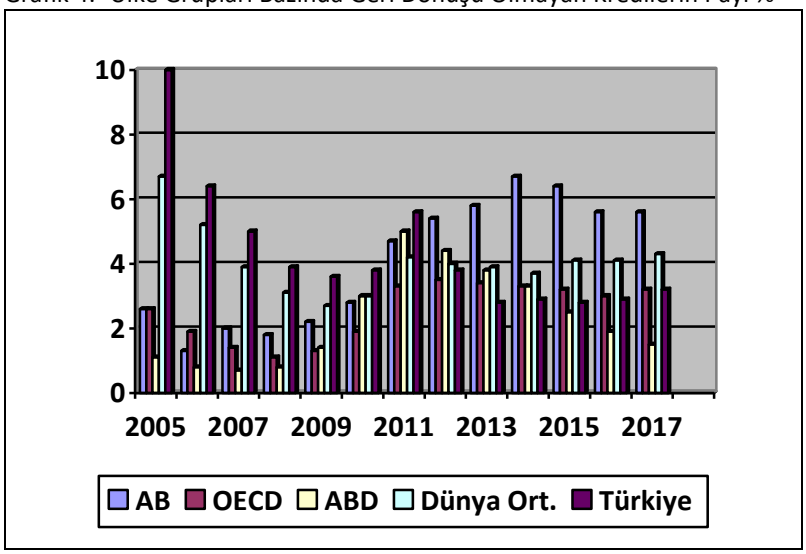
Grafik 3: Gelişmekte Olan OECD Ülkelerinin Geri Dönüşü Olmayan Kredi Payı %




**Kaynakça:**Worldbank,((https://databank.worldbank.org/reports.aspx?source=2&series=FB.AST.NPER.ZS&country=)

Grafik 3'de gelişmekte olan bazı OECD ülkelerinin geri dönüşü olmayan kredi oranını incelediğimizde, 2005-2018 yılları arasında en yüksek orana sahip olan Yunanistan'dır. Ortalama %35 civarında bir banka açığı olan Yunanistan'ın ekonomisi ve reel sektörü ciddi etkilenmektedir. Türkiye ve Macaristan'ın geri dönüş olamayan kredi payı hemen hemen aynı oranda artmaktadır. Kore cumhuriyeti ve Meksika'nın oranları genellikle % 0,6 oranları civarındadır. Kore Cumhuriyeti'nin sağlam bankacılık sistemlerinde de giderek iyileşmesini sağlamaktır.

Grafik 4: Ülke Grupları Bazında Geri Dönüşü Olmayan Kredilerin Payı %




Kaynakça:Worldbank,(https://databank.worldbank.org/reports.aspx?source=2&series=FB.AST.NPER.ZS&country=).

Grafik 4'de görüldüğü üzere 2005-2008 yılları arasında yapılan geri dönüşü olmayan kredi paylarının en yüksek olan ülke Türkiye'dir. 2009 yılından sonra yaşanan kriz sonucu Amerika'nın oranlarında ciddi bir artış gözlemlenmiştir. 2010 yılında % 3,8 civarlarına kadar düşen geri dönüşü olmayan kredi oranları çoğu Avrupa birliği ülkelerinden aşağıda bir gerileme sağlamıştır. Şayet bunun 2001 ve 2008 bankacılık sektöründe yaşanan krizler sonucu yapılandırılan bankacılık sektörünün sağlam bir şekilde piyasada varlığını sürdürmektedir.

## 4. SONUÇ

Ülkeler arasında sınırsızlık durumu olarak ifade edilen küreselleşme kavramı 20. yüzyılda varlığını iyice hissettirmiştir. Teknolojinin gelişmesi ile birlikte insanlar kendi kültürlerinden ve sosyal çevrelerinden başka kültürlerle de tanışmış ve etkileşim haline girmişlerdir. Bu etkileşim ile beraber zamanla birbirlerinden etkilenmiş ve birbirinin kültüründen beslenmiştir. Giyimden, teknolojik üretime, yeme alışkanlıklarından eğlence alışkanlıklarına kadar birbirine benzemeye başlayan dünya giderek tek tipleşmeye başlamıştır. İfade edilen bu durum sadece teknolojik ve kültürel olarak gelişmemekte devletlerin siyasi yapısını da etkilemektedir. Devletler gelişerek ilerleyen bu durum karşısında yeni politikalar oluşturmakta ve uygulamaktadır. Küreselleşme daha çok ekonomi alanında kendini göstermiştir. Ekonominin küreselleşmeye başlaması ülkeler arasında ticaretin serbestleşmesi, finansal piyasaların bağımsızlaşması gibi durumlar ekonominin ülkeler arasındaki bağımlılığı ve etkileşimi daha çok arttırmıştır. Finansal piyasaların serbestleşmesi bu piyasalarda yaşanan olumlu ve olumsuz herhangi bir durumda ülke ekonomilerini etkiler hale gelmiştir. Reel ekonomi için fon kaynağı olan bankacılık sistemi finansal piyasalar içerisinde en güçlü ve etkili bir yere sahiptir. Bankacılık sisteminde yaşanan olumsuz bir durumdan reel ekonomi ciddi bir şekilde etkilenmektedir. Bankacılık sistemi kişilere, şirketlere ve yatırımcılara fon aktarmaktadır. Sağlanan bu fon aktarma işlemi kredi veren ve kredi alan arasında yapılan karşılıklı anlaşma ile yapılmaktadır. Kredi alan kişi veya kurumlar anlaşmada belirtilen anapara veya faizinin zamanında ödememesi veya eksik ödemesi durumu olarak ifade edilen geri dönüşü olmayan kredi problemi ile karşılaşmaktadır. Bu problem hem bankacılık sistemine hemde reel ekonomide tahrip edici etkiler meydana getirmektedir. Bankaların aktif kalemlerinde bulunan geri dönüşü olmayan krediler bankacılık sisteminde maliyetleri arttırarak bankaların likitide dengesinde tahribatlar yaratacaktır. Oluşacak bu tahribatlar bankaların büyümesini geciktirecektir. Gerçekleşen bu tahribat reel ekonomide ise maliyet enflasyonunun artmasına sebebiyet vererek ekonomik büyüme, döviz kuru, enflasyon, işsizlik gibi makroekonomik göstergeler ile geri dönüşü olmayan krediler arasında olumsuz etkiler meydana getirecektir. Olumsuz etkilerin oluşması ülke refahını düşürerek mali krizlerin yaşanmasına neden olacaktır. Bu sorunun yaşanmaması için bankaların uygulayacağı politikaları hem ülke hemde kredi sağladığı kesim için doğru, sağlam ve güvenilir bir şekilde oluşturması gerekmektedir. Ayrıca bankalar kredi tahsis ederken kredi verdiği kişi ya da kurumları iyi araştırmalı, asimetrik bilginin oluşmasını engellemelidir. Banka uygulanan veya uygulanacak ekonomi politikalarını değerlendirerek ülke ekonomisinin geleceğini iyi okumalıdırlar. Bu doğruluda oluşturulacak politikaları sistemli bir şekilde uyguladıkları takdirde geri dönüşü olmayan kredi problemi hem bankacılık sektöründe hemde reel ekonomi üzerinde derin etkiler oluşturmayacaktır.

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# Sinema Salonu İşletmelerinin Finansal Sürdürülebilirliğinin Değerlendirilmesi

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**Özet:** Netflix'in 2007 yılından itibaren DVD kiralama işletmesinden internet tabanlı servis sağlayıcı bir platforma dönüşümü, film endüstrisindeki paydaşlar arasında, sinema salonu işletmelerinin endüstrideki ana dağıtım kanalı olup olamayacağına dair tartışmalara neden olmaktadır. Dijital servis sağlayıcı platformlardaki büyüme piyasada rekabete sebebiyet verdiğinden, müşterilere fiyat avantajı ve daha kaliteli hizmet de sunulabilmektedir. Üstelik, akıllı telefonlar/televizyonlar ve tabletlerdeki gelişmeler ve bu cihazların daha yaygın kullanımı, ayrıca internet kullanıcı sayısı ve hızındaki artışlar, dijital servis sağlayıcıların eğlence sektörü içindeki pazar payını da giderek artırmaktadır. Buna karşın Covid-19 önlemleri kapsamında faaliyetleri sınırlandırılan sinema salonlarında, 2020 yılı ikinci çeyreğinden itibaren gişe gelirleri düşmeye başlamıştır. Gerçektende global gişe hasılatı 2020 yılında, 2019 yılına göre yaklaşık %70 dolaylarında azalmıştır. Bu çalışma, öncelikle sinema salonu işletmelerinin mali performansı üzerinde etkide bulunan faktörleri ele almaktadır. Dünyanın en büyük sinema salonu işletmesinin mali tabloları ve sektör raporları kullanılarak, sektörün finansal sürdürülebilirliğinin tespiti ve geleceğe ilişkin bir projeksiyon çizilmesi amaçlanmıştır.

**Anahtar Kelimeler:** Sinema Salonu İşletmeleri, Finansal Sürdürülebilirlik, Dijital Teknolojiler

# Assessment of Financial Sustainability of Movie Theatre Enterprises

**Abstract:** With Netflix's transformation from a DVD rental service to an internet based digital service provider since 2007, film industry stakeholders have been arguing whether movie theaters will be the main distribution channel in the industry. Since the growth in digital service platforms causing more market competition, customers are provided with price advantages and more qualified services. Moreover, the market share of digital service providers in the entertainment industry has been increasing due to technological developments in smart phones/televisions and tablets and widespread use of these devices as well as the increase in internet users and speed. In contrast, movie theaters, whose activities have been restricted in the context of Covid-19 measures, are negatively impacted in terms of box office revenues since the second quarter of 2020. As a matter of fact, global box office revenue has dropped by around 70% in 2020 compared to 2019. This study primarily addresses the factors that influence the financial performance of movie theater enterprises. By using the financial statements of the world's largest movie theater company and industry insights, it is aimed to explore the financial sustainability of industry and to draw a future projection.

**Key words:** Movie Theater Enterprises, Financial Sustainability, Digital Technologies

## 1. GİRİŞ

Dijital teknolojinin eğlence endüstrisindeki son yükselişi endüstri paydaşları arasında şüphe uyandırmaya başlamış ve filmlerin dağıtım kanalları açısından değerlendirildiğinde sinema salonu işletmelerinin birincil kanal olarak kullanıp kullanılamayacağına ilişkin soru işaretleri yaratmıştır (Weinberg vd., 2019). Nitekim dijital teknolojinin gelişimi sadece sinema salonu işletmelerini de etkilememiş, özellikle Netflix'in 1997 yılında DVD kiralama ve mail yolu ile dağıtım şirketi olarak faaliyetine başlayıp 2007 yılında ise internet tabanlı servis sağlayıcı bir platforma dönüşmesi, kablolu TV ile video kaset ve DVD kiralama sektörlerinde yıkıcı bir etki doğurmuştur (Dysenhaus, 2020). Bunun yanı sıra, TV ve mobil cihazlardaki teknolojik gelişmeler de eğlence endüstrisindeki dönüşüme etki etmiştir. Özellikle genç izleyiciler, akıllı telefon ve tabletlerden erişilebilen akışa uygun içeriklerle daha fazla ilgilenir hale gelmiştir (Lang, 2017).

Yaşanan tüm teknolojik gelişmelere ve dijital servis sağlayıcıların çeşitlenmesine rağmen, sinema salonlarında negatif etkilenmenin minimum düzeyde kalacağı ve yaşanan bu inovasyon akımının sinema endüstrisini yok etmeyeceği belirtilse (Whitten, 2019) ve örneğin Hindistan'da sinema salonlarında film

izlemenin sosyalleşmenin önemli bir parçası olduğu ve gişe hasılatı ölçmenin performans ölçme metriği olarak film endüstrisi tarafından halen kullanılabileceği ifade edilse de (Sharma, 2020) bilhassa Covid-19'un etkisiyle sinema salonu işletmelerinin ölmese bile ciddi kan kaybı yaşadığı bir döneme girmiş bulunmaktayız.

Sinema salonu işletmelerinin durumu Türkiye açısından değerlendirildiğinde, sinema salonlarının son 5 yıllık toplam hasılat gelirleri 2019 yılına kadar her yıl büyüme kat etmesine rağmen toplam seyirci sayısı 2015-2019 yılları arasındaki dönemde düşüş trendi göstermektedir. 2020 yılına bakıldığında ise toplam hasılat bir önceki yıla nazaran yaklaşık %70 azalış göstermiştir. Aynı şekilde seyirci sayısı da salonlarının kapalı kalması nedeniyle 2019 yılına nazaran yaklaşık %71 oranında küçülme yaşamıştır (Boxofficeturkiye, 2021). Bu durum seyircilerin dijital servislere yöneldiğini ve Covid-19 öncesi dönemdeki hasılat artışının ise seyirci kaynaklı olmayıp bilet fiyatı artışlarıyla ilgili olduğunu kanıtlar niteliktedir.

Bu çalışmada, piyasa büyüklüğü açısından dünyanın en büyük 2 sinema salonu işletmesinin finansal performansları sürdürülebilirlik açısından değerlendirilerek, sektörde yaşanan gelişmeler ışığında geleceğe dair bir projeksiyon çizilmesi amaçlanmıştır. Çalışmanın devamında, öncelikle film ve sinema salonlarının tarihçesine yer verilmiş, takiben sinema salonlarına ilgiyi azaltan faktörler açıklanmış, sonrasında Kuzey Amerika'da faaliyet gösteren ve New York Borsasında işlem gören AMC Entertainment Holding ile Avrupa'da faaliyet gösteren ve Londra Borsasında işlem gören Cineworld PLC şirketlerinin finansal tabloları mali analiz yöntemleriyle tahlil edilmiştir.

## 2. FİLMİN VE SİNEMA SALONLARININ TARİHÇESİ

Dünyadaki film çekimine dönük ilk deneme, Eadweard Muybridge tarafından 1878 yılında gerçekleştirilen "Hareket Halindeki At" isimli çalışmadır. Kaliforniya'daki bir at yarışında fotoğrafçılığın yeni çağını başlatan Muybridge, bir yarış atının hareket halinde iken çok sayıda fotoğraf makinesiyle çekimlerini yaparak, hareketi gösterebilmek için seri halindeki fotoğrafları kullanmıştır. Atın koşacağı güzergahtaki duvarları beyaza boyayan, beyaz perdeler asan ve zemine beyaz mermer tozu döken Muybridge, bu sayede siyah atın arka planını izole etmiştir. Fiziksel hareketi tespit etmek üzere her biri bir fotoğraf makinesine bağlanan on iki kabloyu güzergaha yerleştirmiş ve atın çektiği arabanın tekerleri bu kablolar üzerinden geçtiğinde fotoğraf makineleri peşi sıra çekim yaparak hareketin farklı evrelerini yakalamışlardır. Zoopraksiskop adlı makineyi de icat eden Muybridge, ilkel GIF-benzeri bir koşan at görüntüsü oluşturmuştur. Bu sayede, süratle koşan atın dört ayağı da aynı anda yerden kesiliyor mu şeklindeki o zamanların popüler tartışma sorusuna da 'Evet' şeklinde bilimsel bir yanıt verilmiştir (Shah, 2018).

Guinness Rekorlar Kitabı'na göre günümüze kadar ulaşan en eski film ise 1888 tarihli yaklaşık 2 saniyelik "Roundhay Bahçe Manzarası" olup, bu film Fransız mucit Louis Le Prince'in aile üyelerinin bir bahçede oynamalarını göstermektedir (Guinness World Records, 2021). Eser, Le Prince'in tasarladığı tek lensli bir fotoğraf makinesi ve Eastman'ın saniyede 12 karelik kağıt filmi kullanılarak yapılmıştır (HistoryofInformation.com, 2021; Science Museum Group, 2021). Dünyadaki halka açık ilk ticari film gösteriminde ise Fransız Lumiere kardeşlerin 1895 yapımı "Bir Trenin Gelişi" isimli yaklaşık 50 saniyelik filmi, Paris'teki Grand Cafe'de gösterilmiş olup, filmi izleyenlerden bazılarının trenin gerçekten cafeye girdiğini zannederek koltuklarından sıçradıkları ve paniğe kapıldıkları aktarılmıştır (DW, 2021). Gösterimde kullanılan sinematograf ise, Lumiere kardeşlerin, filmin ilk gösteriminden birkaç ay önce patentini aldıkları hem bir fotoğraf makinesi hem de projektör olan bir cihazdı (DW, 2021). Thomas A. Edison ve asistanı William K. L. Dickson tarafından 1890 yılında icat edilen ve 453 kg ağırlığa sahip olup, bataryayla faaliyet gösteren Kinetoskop'a kıyasla, Lumiere kardeşlerin cihazı elle çevrilir, hafif ve daha portatifdi (Britannica, 2021).

1896'da Edison Company, ticari film çağını başlatmış olup, genellikle bir dakikadan kısa süren ve hareketli görüntülerden oluşan koleksiyonlar, dansçılar-komedyenler gibi canlı performansları da içeren varyete showlarının bir parçası olarak gösteriliyordu (History.com, 2021). ABD'de sadece film gösterimine odaklanmış ilk salon ise 1902 tarihinde Thomas L. Tally tarafından Los Angeles'da açılan The Electric Theater'dir (Los Angeles Theatres, 2021). Tipik anlamıyla dünyadaki ilk sinema filmi salonu olarak genel kabul gören Nickelodeon ise, 19 Haziran 1905 tarihinde ABD'nin Pittsburgh şehrinde Harry Davis tarafından açılmıştır. Bu salonda sessiz kısa filmler gösterime girmiştir. Davis, Fransız Lumiere

kardeşlerden bir sinematograf satın almış ve yüz sandalye ile bir piyanonun çerçevelenmiş bir ekrana baktığı salonunu, herkesin katlanabileceği bir maliyetle hizmete sokmuştur. Burada ilk gösterilen film ise 10 dakikalık "Büyük Tren Hırsızlığı" olmuştur. Filmin sonunda aktör George Barnes'ın revolverini makinenin lensine doğrultarak yakın mesafeden ateş etmesi ise izleyicilerde büyük bir heyecan oluşturmuştur. Varyete tiyatroları gibi günde iki kere sahnelenmek zorunda kalmayan salon, oyunculara da performansları için bir ödeme yapmak durumunda kalmadığı gibi, sabah sekizden gece yarısına kadar pek çok sayıda gösterimde bulunma imkanını elde etmiştir. Davis'in işleri çok iyi gitmiş ve aylar içerisinde Pittsburgh'da 10'dan fazla salon açmıştır. Salonların popülerliğine istinaden iki yıl içerisinde ABD'de 8.000'den fazla salon açılmıştır. Üstelik projeksiyondaki ilerlemeler daha büyük ekranları mümkün kılmış, ayrıca filmlere ilk başlarda piyano eşlik ederken, sonraları orkestra eşlik etmeye başlamış, daha sonraları da orkestanın yerini filmlerde ses almıştır (Mondello, 2005). Nitekim hem ses hem görüntünün birlikte kaydedildiği 1927 yapımı "Jazz Şarkıcısı" isimli film, dünyanın ilk sesli filmi olması itibariyle sinema tarihinde bir dönüm noktasını da oluşturmuştur (Sönmez, 2019).

Türkiye'deki film ve sinemanın tarihçesi ise Osmanlı İmparatorluğu'nun son dönemlerine uzanmaktadır. İmparatorluk döneminde ilk film gösterimi 1896 yılında Yıldız Sarayında Hanedan mensuplarına yönelik olarak gerçekleştirilmiş, 1896 yılının sonlarında Galatasaray'daki Sponeck Birahanesi ilk halka açık film gösterimine ev sahipliği yapmış, film çekimi ve gösterimine ilişkin ilk düzenleme 1903 tarihinde yayımlanmış, 1908 tarihinde İstanbul Tepebaşı'nda ilk yerleşik sinema salonu hizmete açılmış, sinema temalı ilk süreli yayın olan 'Sinema' dergisi 1914 tarihinde yayınlanmaya başlamış ve ilk kurmaca filmlerin çekimi 1917 tarihinde tamamlanmıştır (Türk Sineması Araştırmaları, 2015).

Sinema endüstrisinin, 100 yıllık tarihi boyunca diğer eğlence sektörü oyuncuları ile karşılaştırıldığında birçok rekabetçi avantajı bulunmaktaydı. Bunlardan ilki ABD'de 1950 yıllarına kadar sinema endüstrisinin film endüstrisi için perakende pazarı niteliği taşımasıydı. Bu yıllara kadar filmler yalnızca sinema salonlarında izleniyordu. Sektörün bir diğer rekabetçi avantajı ise alternatif film dağıtım sektörlerinin ve büyük ekranlı televizyon teknolojisinin piyasada tutulmaya başlamasına kadar olan süreçte film izleme tercihinde birincil ortamın sinema salonlarının olmasıdır (Silver ve McDonnell, 2007). Fakat, internet hizmetlerinin gelişmesi birçok şirkete; web kullanıcılarını abonelere dönüştüren bir platform olabilmeleri için çeşitli iş fırsatları sunmaktadır. Özellikle çevrimiçi medya pazarı rekabet halindeki birçok büyük teknoloji şirketine ev sahipliği yaparak son yıllarda çarpıcı bir şekilde büyüme göstermiştir. Pazarda rekabet içerisinde bulunan bu oyuncalar, birçok farklı iş modeli ile tüketicilere hizmet sağlamaktadır. Bu modeller tüketicilerin ödeyeceği aylık ücretler, reklama dayalı gelir modeli veya karma iş modellerinden oluşabilmektedir (Carroni ve Paolini, 2020).

## 3. SİNEMA SALONLARINA İLGİYİ AZALTAN FAKTÖRLER

### 3.1. TV ve Mobil Cihazlardaki Teknolojik Gelişmeler

TV'ler, siyah beyaz TV'den 1950'lerdeki renkli TV'ye, 1970'lerdeki Video Ev Sisteminin (Video Home System, VHS) entegrasyonundan, 1990'lardaki Video CD ve DVD oynatıcıların entegrasyonuna, 2000'lerdeki Blu-ray Disk oynatıcıların piyasaya çıkmasından yine 2000'lerdeki analog TV'lerden dijital TV'lere geçişe, 2010'larda akıllı TV ve 3D TV'lerin seri üretimine geçilmesinden, 292 inç dev TV'lerin bile satılmaya başlamasına kadar büyük bir evrimi kat etmiş ve kat etmeye de devam etmektedir. Gerek 4K Ultra HD görüntü teknolojisi gerek 3D altyapısı gerek üstün ses sistemleri gerekse akıllı TV'ler vasıtasıyla internet tabanlı servis sağlayıcı platformlara erişilebilirlik, ev içi eğlenceyi giderek cezbedici kılmakta ve geleneksel TV alışkanlıklarını da büyük değişimlere uğratmaktadır. Gerçekten de Netflix içeriklerinin, yüzde 70'i TV üzerinden izlenmektedir (Kafka, 2018).

Kişilerin ekran başında geçirdikleri vakit TV'den de ibaret değildir. Nitekim, bilgisayar, telefon ve tabletler cihazların ekranlarında da kişiler yoğun bir şekilde vakit geçirmektedir. Gerçekten de ABD'de kişiler giderek daha fazla mobil cihazlar başında vakit geçirmeye başlamış olup, 2014'de bir kişinin TV başında geçirdiği vakit 4 saat 20 dakika iken, mobil cihazlarda geçirdiği vakit günlük 2 saat 32 dakika olarak gerçekleşmiş, ancak 2020'de mobil cihazlarda geçirilen süre TV başında geçirilen süreyi 32 dakika aşmış bulunmaktadır (Zalani, 2021). Mobil cihazlardan bilhassa akıllı telefonların daha yoğun bir şekilde kullanımı, özellikle sınırsız mobil data planları neticesinde kişilerin akıllı telefonları aracılığıyla film ve TV şovları izleme oranında da bir artış yaşanmasına yol açmaktadır. Gerçekten de ABD'de hane halkının %30'u haftalık olarak akıllı telefonları üzerinde Premium video içeriği izlemektedir (Marketing Charts,

2020). Üstelik akıllı telefonlardaki baş döndürücü teknolojik gelişmeler göz önüne alındığında, telefonlardan film ve TV şovlarının izlenmesinin daha da yaygınlaşacağı beklenebilir.

### 3.2. Stream Platformları Arasındaki Rekabetin Kaliteyi Artırması Ve Maliyetleri Düşürmesi

Netflix ve onunla beraber diğer video hizmetlerine abonelik talebi uygulamalarının (Subscription Video on Demand) yükselişi geleneksel medya sektörü aktörlerini kökten etkilemiştir. Video hizmetlerine abonelik talebi uygulamalarının küresel boyutta ölçeklenmesi ile beraber kablolu TV sağlayıcıları rekabetçi kalabilmek adına iş modellerini ve fiyatlama stratejilerini gözden geçirmek durumunda kalmıştır. Temmuz 2016'da kablolu TV sağlayıcısı Comcast'in Netflix'le dekoder uygulaması üzerinde anlaşması, Avustralyalı kablolu TV sağlayıcısı Foxtel'in Netflix'in pazara girmesinden aylar önce abonelik ücretlerini yarıya indirmesi tüm bunlara örnek teşkil etmektedir (McKenzie vd., 2019). İnternet servis sağlayıcıların sinema endüstrisi üzerindeki etkisi de bir başka tartışma konusudur. Yeni teknolojik devlerin, eğlenceyi mobil cihazlar gibi küçük ekranlara taşıyabilmesi sayesinde sinema sektörünün geleceğinin tehlikeye gireceği belirtilmiştir (Richwine, 2019).

### 3.3. İnternet Hızı ve Erişilebilirliğindeki Artış ile İnternete Erişim Maliyetindeki Düşüş

1990'lı yıllarda yaşanan internet devrimi ve bilgisayar endüstrisinin gelişimi dünyada birçok sektörü değiştirdiği gibi film dağıtımı ve gösterimi servislerini de derinden etkilemiştir. Bu durum video kasetler ve dijital kayıt araçlarının başlatmış olduğu dijital görüntüleme servislerinden çevrimiçi (online) görüntüleme servislerine geçişe zemin hazırlamıştır (Chen, 2019). Dolayısıyla internet hızındaki artış, daha fazla sayıda insanın daha düşük maliyetlerle internete erişebiliyor olması, filmlerin online izlenebilirlik potansiyelini de artırmaktadır.

Gerçektende dünyada internet hızı yıllar itibariyle büyük bir artış sergilemektedir. Örneğin ABD'de 2013 yılında sabit genişbant ortalama indirme hızı 31 Mbps iken (Supan, 2020), 2021 yılı Mart ayı itibariyle 182 Mbps'ye yükselmiştir (Speedtest, 2021). Sabit genişbant global indirme hızı ortalaması da 2020 yılı Mart ayında 74,65 Mbps iken, 2021 yılı Mart ayında 98,67 Mbps'ye çıkmıştır (Speedtest, 2021). 5. nesil mobil telekomünikasyon hizmeti (5G) ise; hızı artırıp, gecikmeyi azaltan ve kablosuz hizmetlerin esnekliğini geliştirip, 20 Gbps'lik teorik azami hıza sahip olan, ayrıca daha az hizmet götürülen kırsal alanlar ile talebin 4G teknolojisinin bugünkü kapasitesini aştığı şehirlerde bağlanabilirliği iyileştiren bir teknolojidir (CISCO, 2021). Örneğin, Avustralya 5G'yi 2019 yılında başlattıktan sonra dünyadaki en büyük mobil hız seviyelerini elde etmiş, nitekim medyan 5G indirme hızı 2021 yılının ilk çeyreğinde 283,56 Mbps ye ulaşmıştır (Fomon, 2021).

İnternetin hızının artmasının yanı sıra internet erişilebilirliği de yıllar itibariyle giderek artmaktadır. Gerçekten de global olarak 2000 yılında 413 milyon kişi internete erişebilirken, bu rakam 2010 yılında 2 milyar kişiye (Statista, 2019), 2021 yılı Ocak ayı itibariyle de 4,66 milyar kişiye yükselmiştir (Statista, 2021). Dolayısıyla dünya nüfusunun yaklaşık %60'ı internete erişim sağlayabilir hale gelmiştir ve bu oranın ilerleyen yıllarda daha da artması beklenmektedir. Öte yandan, gelişmiş ülkelerdeki nüfusun internete erişimi ise %90'lara yakındır (Statista, 2020).

İnternet erişilebilirliğinin bir fonksiyonu ise internet hizmetinin mali katlanılabilirliğidir. İnternet erişim maliyetlerini odak noktasına alan ve düşük / orta gelire sahip 72 ülkenin yer aldığı Affordability Drivers Index (ADI)'e göre, ortalama ADI skoru 2014'ten 2020'ye %13,6 artmıştır. Afrika her ne kadar bölgesel olarak en düşük ADI skoruna sahip olsa da 2019'dan 2020'ye skor artışındaki en büyük ilerlemeyi sağlamıştır. Endeksteki ülkelerin mobil genişbant fiyatları son 5 yılda belirgin düşüşler yaşamış, 1GB verinin ortalama maliyeti 2015'den 2020'ye kadar yarı yarıya azalma sergilemiştir (A4AI, 2021).

### 3.4. Film Korsanlığı ve Dijital Platformlar

Dijital servislerin medya endüstrisini etkilediğine ilişkin birçok çalışma bulunmaktadır. Yasadışı dosya paylaşımı ve çevrimiçi korsanlığın, yasal satışların en azından bir miktar azalmasına yol açtığı birçok farklı çalışma ile tespit edilmiştir (Bai ve Waldfogel, 2012; Rob ve Waldfogel, 2004). Korsan indirme ve paylaşma uygulamaları ile film sektörü de mücadele etmektedir. 2017 yılındaki HBO yapımcısına ait olan Game of Thrones sezon finali 16.1 milyon yasal kullanıcılar tarafından izlenirken, 143 milyon indirme ise illegal yollarla yapıldığı, serinin tüm bölümleri içinse milyarlarca illegal indirmenin yapıldığı tahmin edilmektedir (Andrews, 2017).

## 4. UYGULAMA

### 4.1. Veri Seti ve Metodoloji

Çalışmada, dünyanın en büyük 2 sinema salonu işletmesinin finansal tabloları mali analiz yöntemleriyle analiz edilmiştir. 2015 ve 2019 yılları arasındaki finansal tablolar oran analizi yöntemiyle analiz edilmiş ve işletmelerin 5 yıllık finansal performansı değerlendirilmiştir. Pandemi etkisinin finansal tablolardaki etkisini gözlemleyebilmek adına 2015-2020 yılları arasındaki seçilmiş rasyolar trend analiz yöntemiyle incelenmiştir.

AMC Entertainment Holding; Kuzey Amerika kıtasında faaliyet gösteren ve New York borsasında işlem gören pazar büyüklüğü açısından dünyanın en büyük sinema salonu işletmesidir. Cineworld PLC ise Avrupa'da faaliyet gösteren ve Londra borsasında işlem gören Pazar büyüklüğü açısından dünyanın en büyük 2. sinema salonu işletmesidir. Mali analiz, sektör gidişatını anlamak ve geleceğe yönelik çıkarımlarda bulunmak adına uygulanacaktır. Çalışmada kullanılan veriler Reuters Eikon veri terminalinden ve resmi Reuters web adresinden elde edilmiştir.

**Mali Analiz Yöntemleri**

Mali (finansal) analiz, bir işletmenin hem güncel durumunu hem de geçmiş performansını değerlendirerek gelecekle ilgili işletme planlamasına ışık tutabilecek bilgiler elde edilmesine olanak sağlar (Aydın, 2012: 85). Yatırımcılar açısından değerlendirildiğinde ise bir şirketin pazar değerini ve borç yükümlülüklerinin zamanında ödenip ödenemeyeceğini göreceli olarak olasılığını belirleyen ise gelecekteki kazançlar ve temettülerdir. Bu noktada yatırımcılar, geleceğin bir göstergesi olarak geçmiş performansa güvenmekte ve menkul kıymet fiyatlarına henüz yansımamış olan temel değeri yakalamak amacıyla gelecek beyanlarda görülecek kazanç ve kredi kalitesi ölçütlerine göre hareket etmelidir (Fridson ve Alvarez, 2011; 215).

Mali analizde nihai hedefi ve bu amaca ulaşmak için gerekli adımları belirlemek ve anlamak esastır. Analistin ilgili verileri nerede bulacağını ve verileri nasıl işleyip analiz edeceğini ve bu sonuçları nasıl yorumlayacağını bilmesi gerekmektedir (Robinson vd., 2015: 292). Analistler, bir firmayı değerlendirmek için genellikle iki farklı yola başvururlar. Bunlar; firmanın zaman içindeki performansını inceleyerek kendisiyle karşılaştırma yapmak ya da firmayı ortak bir finansal oranlar seti kullanarak benzer rakipleriyle karşılaştırmaktır (Berk ve DeMarzo, 2017: 69; Robinson vd., 2015: 296).

**Oran Analizi**

Oran analizi, finansal analizin en popüler ve yaygın olarak kullanılan araçları arasındadır. Bir oran, iki miktar arasındaki matematiksel bir ilişkiyi ifade eder. Bir oranın hesaplanması basit bir aritmetik işlem iken, yorumlamak daha karmaşıktır. Hesaplanın oranın ekonomik açıdan önemli bir ilişkiye işaret etmesi oran analizini anlamlı kılmak için bir gerekliliktir (Subramanyam, 2014: 33). Oranları hesaplamak için kesin formüller belirleyen veya standart bir oran analizi listesi yayımlayan yetkili bir kurum bulunmamaktadır. Analistler arasında hatta veritabanına göre bile isimleri veya formülleri değişebilse de literatürde yaygın olarak kullanımı kabul edilen oranlar bulunmaktadır (Robinson vd., 2015: 301; Gok vd., 2019).

Literatürde sık kullanılan oranlar aşağıdaki gibidir (Berk ve DeMarzo, 2017: 69):

- Karlılık Oranları: Bu rasyolar satışlar ve yatırım üzerinden sağlanan kazançlar şeklinde hesaplanarak karın yeterliliğini ve yönetimin performansını ölçmek için kullanılır. Satışların karlılığı, toplam aktiflerin karlılığı ve öz sermayenin karlılığı gibi rasyolar örnek gösterilebilir (Erdoğan, 2009: 9).
- Likidite Oranları: Firmanın ödeme gücünü ve likiditesini değerlendirmek için genellikle bilançodaki bilgiler kullanılır. Bu rasyolar, alacaklıların firmanın kısa vadeli ihtiyaçlarını karşılamak için yeterli işletme sermayesine sahip olup olmadığını değerlendirmeleri amacıyla bir firmanın cari varlıklarını ve cari borçlarını karşılaştırır. Cari rasyo oranları ve çabuk (asit-test) rasyo örnek gösterilebilir (Berk ve DeMarzo, 2017: 71).
- Faaliyet Oranları: Bir işletmenin varlıklarına sağladıkları getiriye kıyasla ne kadar yatırım yaptıklarını ve bu varlıkların ne derece verimli kullanıldıklarını tespit etmeye yarayan rasyolardır. Alacakların

ortalama tahsis süresi, alacak devir hızı, stok devir hızı, toplam varlıkların devir hızı gibi rasyolar örnek gösterilebilir (Aydın, 2012: 92).

- Kaldıraç ve Borç Oranları: İşletmenin borçla finanse edilmesini ve sabit giderlerini karşılama oranını ölçmeye yarayan bu rasyolara; borcun toplam aktiflere rasyosu, kazancın faiz giderlerine rasyosu ve kazancın sabit giderlere olan rasyoları örnek gösterilebilmektedir (Erdoğan, 2009: 8).
- Çalışmada kullanılan rasyolar ise:
- Brüt Kar Marjı: İşletmenin gerçekleştirdiği satışlardan satılan malların maliyeti çıktıktan sonra sonucun net satış bedeline bölünmesiyle hesaplanır. İşletme satışlarının nispi karlılığını ölçmek için kullanılır (Aydın, 2012: 99).
- FAVÖK Kar Marjı: İşletmenin faiz ve vergi öncesi karının net satış bedeline bölünmesi sonucu hesaplanır. İşletmenin finansman kararlarının kar marjına olan etkisini hesaba katmadan kar marjını ölçmeye yarar (Aydın, 2012: 99).
- Faaliyet Kar Marjı: İşletmenin yalnızca faaliyetleri sonucu elde ettiği karın (faiz ve diğer gelir kalemleri olmaksızın) net satış bedeline bölünmesi sonucu hesaplanır (Fridson ve Alvarez, 2011; 278).
- Vergi Öncesi Kar Marjı: İşletme dönem karının gelir vergisi ile toplanıp net satış bedeline bölünmesi ile hesaplanır (Fridson ve Alvarez, 2011; 278).
- Net Kar Marjı: İşletmenin net dönem karının net satış bedeline bölünmesi sonucu hesaplanır (Fridson ve Alvarez, 2011; 278).
- Cari Oran: İşletmenin dönen varlıklarının kısa vadeli yabancı kaynaklara bölünmesi sonucu hesaplanır ve işletmenin kısa vadeli borçlarını ödeyebilme gücünün ölçülmesinde kullanılır. Özellikle üretim işletmelerinde oranın 2 olması beklenir (Aydın, 2012: 99; Gündoğdu, 2018: 93).
- Asit-Test Oranı: Bir işletmenin en likit varlıklarının işletmenin sahip olduğu yükümlülüklerle karşılaştırılması amacıyla, bilançodaki stok kalemi ve diğer dönen varlıklar grubu hariç dönen varlıkların tamamının kısa vadeli yabancı kaynaklara bölünmesiyle hesaplanır. Genellikle bu oranın 1 çıkması arzu edilmektedir (Gündoğdu, 2018: 93).
- Faiz Karşılama Oranı: İşletmenin yabancı kaynak kullanımı olması durumunda ödemekle yükümlü olduğu faiz giderlerini karşılama gücünü gösterir. Vergiden önceki kar ile faiz giderlerinin toplamının faiz giderlerine bölünmesi sonucu hesaplanır (Gündoğdu, 2018: 100).
- Toplam Varlıkların Öz Sermayeye Oranı: Bir işletmenin faaliyetleri için ihtiyaç duyduğu fonların kompozisyonunda; dış kaynakların mı yoksa öz sermayenin mi ağırlıklı olduğunu ölçmeye yarar. Oran ne kadar yükselirse işletmenin fonlama tercihinde dış kaynak kullanımına yoğunlaştığı tespit edilir (Stotz, 2020).
- Borçların Öz Sermayeye Oranı: Toplam borç ve finansal yükümlülüklerin toplam öz sermayeye karşı ağırlığını hesaplayan bir kaldıraç oranıdır. Bu oran şirketin sermaye yapısının borçlara mı yoksa öz kaynağa mı yöneldiğinin bir göstergesidir (CFI, 2021).
- Uzun Vadeli Borçların Toplam Sermayeye Oranı: Bir finansal kaldıraç göstergesi olarak uzun vadeli borçların toplam kullanılabilir sermayeye (uzun vadeli borç, imtiyazlı hisse senedi ve adi hisse senedi) bölünmesiyle hesaplanır (Hayes, 2020).
- Alacak Devir Hızı: Bu oran alacakların bir yılda kaç kez döndüğünü göstermektedir. Oranın artması alacakların bir yılda içerisinde o kadar kez geri döndüğünü ifade etmektedir. Net satışlar kaleminin ortalama ticari alacaklara bölünmesiyle hesaplanır (Gündoğdu, 2018: 196).
- Alacakların Ortalama Tahsil Süresi: Alacak devir hızı oranının 365'e bölünmesi sonucu hesaplanır. Gün bazında ölçüm yapmak için kullanılır (Gündoğdu, 2018: 196).

- Stok Devir Hızı: Bu rasyo işletme stoklarının likiditesini ölçmek için kullanılmakta olup stoklar ve satışlar arasındaki ilişki göstermektedir. Satışların maliyetinin ortalama stok kalemine bölünmesi ile hesaplanır (Aydın, 2012: 94).
- Stokta Bekleme Süresi: Stok devir hızı oranının 365'e bölünmesi sonucu hesaplanır. Gün bazında ölçüm yapmak için kullanılır (Gündoğdu, 2018: 201).
- Maddi Duran Varlık Devir Oranı: Net satışların maddi duran varlıklara bölünmesi sonucu hesaplanan bu rasyo işletmenin faaliyetlerine devam edebilmesi için ihtiyaç duyduğu duran varlıkların yapısı hakkında bilgi vermektedir (Akaytay, vd., 2015).
- Yatırılan Sermaye Getirisi: Bir yatırıma yatırılan sermayeden kazanılan getiriyi ölçmeye yarar. İşletmenin faiz ve vergi öncesi karının vergi oranı ile düzeltilmesi sonucu oluşan faaliyet gelirinin; yatırılan sermayenin defter bedeline bölünmesi sonucu hesaplanır. Yatırılan sermaye ise duran varlıklar ile nakit olmayan net çalışma sermayesinin toplamı sonucu bulunur (Damodaran, 2007: 7-8).

**Trend Analizi**

İşletmenin yıllık finansal tablolarından yararlanılarak hazırlanan oran analizlerinin karşılaştırılması işletmenin performansına dair bir izlenim vermektedir. Trend analizi işletmenin kendi birkaç yıllık oran analizleri arasında yapılabileceği gibi önemli rasyoların pazardaki diğer firmalarla ya da sanayi ortalaması ile de karşılaştırılması mümkündür (Erdoğan, 2009: 10).

**4.2. Bulgular ve Yorum**

Tablo 1'de 2015-2019 dönemine ilişkin AMC Entertainment Holding'e ait sıklıkla kullanılan oran analizleri gösterilmiştir.

Tablo 1: AMC Entertainment Holding Oran Analizi

| Oran Analizi | Endüstrinin Ortalama Rasyoları | 2019 | 2018 | 2017 | 2016 | 2015 |
|---|---|---|---|---|---|---|
| **Karlılık Oranları** | | | | | | |
| Brüt Kar Marjı | 54.5% | 63.8% | 63.7% | 63.5% | 61.9% | 61.0% |
| FAVÖK Kar Marjı | 14.6% | 12.5% | 15.5% | 14.7% | 16.5% | 16.1% |
| Faaliyet Kar Marjı | 3.1% | 2.5% | 4.9% | 2.0% | 6.6% | 7.7% |
| Vergi Öncesi Kar Marjı | 1.6% | (3.1%) | 2.3% | (6.6%) | 4.6% | 5.5% |
| Net Kar Marjı | 0.6% | (2.7%) | 2.0% | (12.0%) | 3.5% | 3.5% |
| **Likidite Oranları** | | | | | | |
| Asit Test Oranı | 1.08 | 0.33 | 0.56 | 0.59 | 0.55 | 0.56 |
| Cari Oran | 1.42 | 0.35 | 0.59 | 0.62 | 0.57 | 0.58 |
| Faiz Karşılama Oranı | 0.8 | 0.8 | 1 | 0.8 | 2.2 | 2.3 |
| **Borç ve Kaldıraç Oranları** | | | | | | |
| Aktifler/Özkaynaklar | 2.20 | 11.26 | 6.79 | 4.64 | 4.3 | 3.3 |
| Borçlar/Özkaynaklar | 0.29 | 4 | 3.91 | 2.42 | 2.31 | 1.4 |

| | | | | | | |
|---|---|---|---|---|---|---|
| Uzun vadeli borçlar/ Toplam Sermaye | 22.0% | 79.5% | 78.4% | 69.5% | 68.6% | 57.8% |
| **Faaliyet Oranları** | | | | | | |
| Alacakların Devir Hızı | 10.2 | 19.9 | 18.8 | 19.5 | 19.7 | 28.3 |
| Ortalama Tahsil Süresi | 35.7 | 18.4 | 19.5 | 18.7 | 18.6 | 12.9 |
| Stok Devir Hızı | 35.6 | 54.4 | 57.3 | 58.9 | 57.2 | 93.8 |
| Stokta Bekleme Süresi | 10.5 | 6.7 | 6.4 | 6.2 | 6.4 | 3.9 |
| Maddi Duran Varlık Devir Oranı | 8.67 | 1.04 | 1.77 | 1.65 | 1.45 | 2.21 |
| Yatırılan Sermaye Getirisi | - | (1.5%) | 1.3% | (7.7%) | 1.9% | 2.4% |

Kaynak: Reuters Eikon (2020)

Karlılık oranları değerlendirildiğinde, işletmenin 2015 yılından itibaren brüt kar marjını yükselttiği gözlemlenmektedir. Ayrıca bu oran sektör ortalamasının da üstünde oluşmaktadır. FAVÖK kar marjı ve faaliyet kar marjı dikkate alındığında ise, işletmenin sektör ortalamasının altında kaldığı görülmektedir. Faaliyet kar marjının düşüş trendi içerisinde olması işletmenin rekabetçi avantajının yıllar boyunca azaldığının bir göstergesi olarak yorumlanabilir. Faaliyet kar marjındaki düşüş trendine paralel olarak FAVÖK kar marjında da düşüş trendi gözlemlenmektedir. Brüt kar marjının yükseliş trendi içerisinde olduğu bir dönemde FAVÖK ve faaliyet kar marjının düşüş göstermesi işletmenin faaliyet giderlerinin yüksek olması ile vergi ve faiz yükümlülüklerine işaret etmektedir. Vergi öncesi ve net kar marjı rasyolarının sektör ortalamalarının altında kalması ve 2019 yılında negatif sonuçlanması operasyonel verimliliğinin azaldığını göstermektedir.

Likidite oranları incelendiğinde, cari oranın sektör ortalamasından oldukça düşük olduğu gözlenmektedir. Bu durum işletmenin dönen varlıklarının kısa vadeli borçlarını karşılamadığını göstermektedir. Asit-test oranına bakıldığında ise işletmenin likiditesi daha düşük varlıklarının (stoklar) dönen varlıklardan çıkarıldıktan sonraki kısa vadeli borçlarını ödeme gücü hesaplanmıştır. Bu oranının genellikle 1 olması arzu edilen bir durumdur. İşletmenin kısa vadeli yabancı kaynak yükümlüklerini dönen varlıkları ile yeterince karşılayamayacağı bu rasyoda da tespit edilmiştir. İşletmenin yabancı kaynak kullanımından doğan faiz yükümlülüklerini ödeme gücü ise faiz karşılama oranı ile tespit edilebilir. Faiz karşılama oranı dönem net karının faiz giderleri ile toplanıp faiz giderlerine bölünmesi sonucu elde edildiği için bu oranın 1'den büyük olması beklenir. İşletmenin 2017 yılından itibaren bir mali yıl hariç olmak üzere faiz giderlerini karşılayacak karlılığa ulaşmadığı görülmektedir.

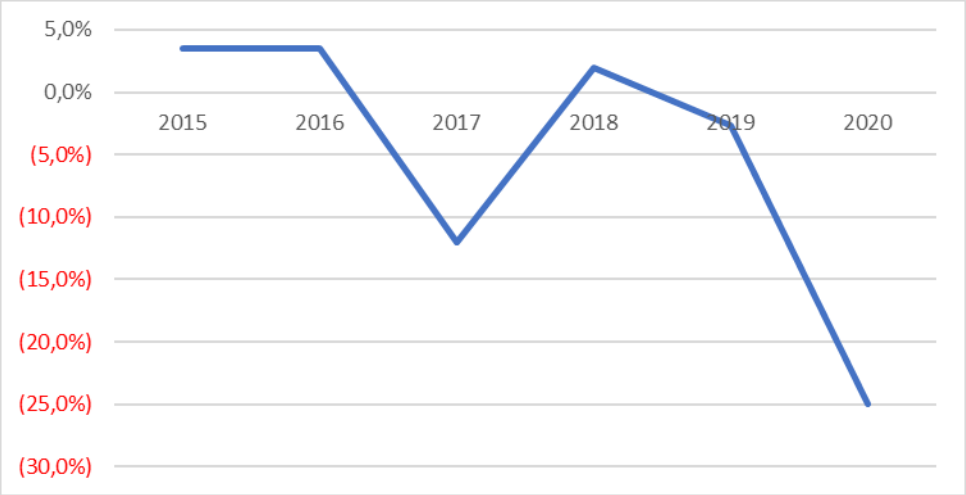
Borç ve kaldıraç oranları içerisinde yer alan aktif/özkaynak rasyosu firmanın aktiflerinin ne kadarının özkaynakları ile finanse edildiğini gösteren bir kaldıraç rasyosudur. Bu oranın 2'den büyük olması firmanın özkaynak kullanımından daha fazla borçlanmaya gittiğine işaret edebilmektedir. Sektör ortalamasının 2'ye yakın bir oranda gerçekleştiği görülmekteyken, işletmenin 2015 yılından itibaren faaliyetlerinin finansmanında dış kaynak kullanımına ağırlık verdiği borçlar/özkaynak rasyosundan da tespit edilmektedir. İşletmenin 2019 yılı itibariyle özkaynaklarının 4 katı kadar kısa ve uzun vadeli borç yükümlülüğü bulunmaktadır. Uzun vadeli borçların, uzun vadeli borçlar ve özkaynak toplamına bölünmesi sonucu oluşan rasyo da işletmenin sermaye yapısında uzun vadeli yükümlülüklerinin önemini göstermektedir. Bu oranın 0,5'den büyük ve sektör ortalamasının üstünde oluşması, uzun dönem borçlanmanın işletmenin finansmanında özkaynak kullanımına göre daha önemli bir yer tuttuğunu göstermektedir. Bu durum işletmeyi rakiplerine göre daha riskli bir konuma sokmaktadır.

Alacak devir hızı ve ortalama tahsis süresi değerlendirildiğinde işletmenin dönen varlık likiditesinin sektör ortalamasından daha iyi performans gösterdiği görülmektedir. Aynı şekilde stok devir hızı ve stok

bekleme süresi; işletmenin stok yönetiminin sektör ortalamasından daha iyi olduğunu ve işletme varlıklarının verimli kullanıldığına işaret etmektedir. Duran varlıklar değerlendirildiğinde, işletmenin yıllar boyunca giderek artan bir şekilde maddi duran varlıklara yatırım yaptığı görülmektedir. Bu durum işletmenin duran varlık likiditesini olumsuz etkilemektedir. Yatırımcılar tarafından işletmeye yapılan yatırımın verimli kullanıp kullanılmadığını değerlendirmede kullanılan yatırılan sermaye getirisi oranı (ROIC) son 5 yılda 2 kez negatif getiri sağlamasından dolayı işletmenin dış kaynak kullanımının karlılığı tetiklemediği ve kaynakların verimsiz kullanıldığı söylenebilmektedir.

Pandemi döneminin AMC Entertainment Holding işletme performansı üzerindeki etkisini gözlemlemek adına trend analizi yapılmış ve aşağıda gösterilmiştir.

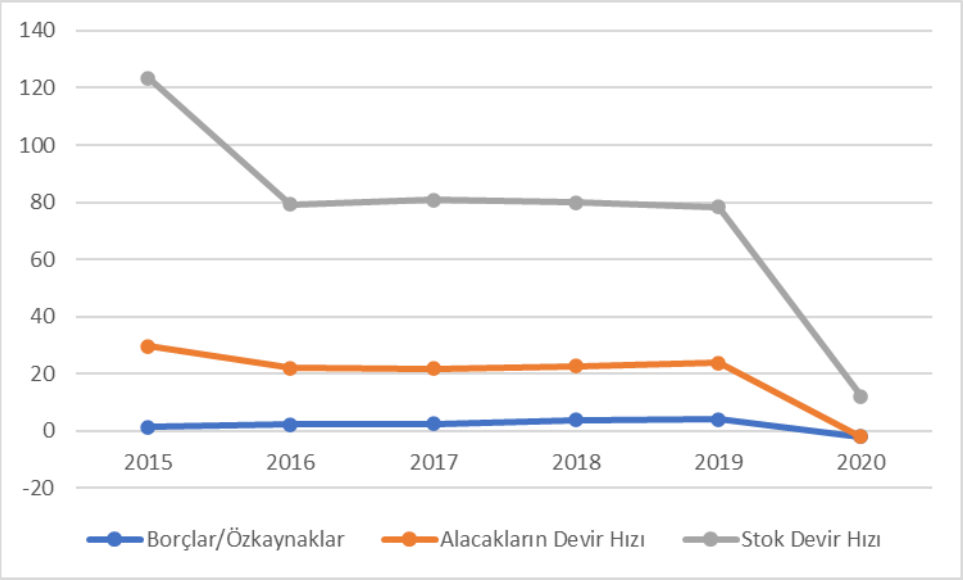
Şekil 1: AMC Entertainment Holding Net Kar Marjı Trend Analizi




Kaynak: Reuters Eikon (2020), Reuters (2021)

İşletmenin net kar marjının pandemi döneminin olumsuz etkisiyle beraber (-%25) 'lere kadar düştüğü görülmektedir. Dönem net karının negatif oluşması ve net satış bedelinin azalması net kar marjının düşmesine sebep olmuştur.

Şekil 2: AMC Entertainment Holding Seçilmiş Rasyolar Trend Analizi




Kaynak: Reuters Eikon (2020), Reuters (2021)

2020 yılında sinema salonu işletmelerinin kapalı kalması işletmenin finansal rasyolarını oldukça negatif etkilemiştir. Borçlar/Özkaynaklar rasyosu işletmenin 2020 yıl sonu bilançosunda negatif özkaynak oluşması neticesinde -2 oranında gerçekleşmiştir. Bu durum işletmenin maddi duran varlıklarının değerinin o varlıkları finanse eden kredi veya ipotek değerinin altına düşmesi sonucu gerçekleşir. Pandemi dönemi sinema salonu işletmelerinin duran varlık yatırımlarının negatif etkilendiği bu rasyodan da görülmektedir. Aynı zamanda alacak ve stok devir hızının azalması işletmenin varlık yönetiminde zorluklar çektiğini işaret etmektedir.

Tablo 2'de 2015-2019 dönemine ilişkin Cineworld PLC'nin sıklıkla kullanılan oran analizleri gösterilmiştir.

Tablo 2: Cineworld PLC Oran Analizi

| Oran Analizi | Endüstrinin Ortalama Rasyoları | 2019 | 2018 | 2017 | 2016 | 2015 |
|---|---|---|---|---|---|---|
| **Karlılık Oranları** | | | | | | |
| Brüt Kar Marjı | 57.5% | 37.1% | 24.1% | 26.4% | 26.7% | 28.5% |
| FAVÖK Kar Marjı | 32.9% | 34.7% | 21.6% | 22.2% | 21.4% | 22.0% |
| Faaliyet Kar Marjı | 16.2% | 16.6% | 12.0% | 14.4% | 14.1% | 14.6% |
| Vergi Öncesi Kar Marjı | 11.7% | 4.9% | 8.5% | 13.5% | 12.3% | 14.1% |
| Net Kar Marjı | 9.5% | 4.1% | 6.9% | 11.3% | 10.3% | 11.5% |
| **Likidite Oranları** | | | | | | |
| Asit Test Oranı | 0.97 | 0.28 | 0.53 | 0.79 | 0.62 | 0.76 |
| Cari Oran | 1.59 | 0.3 | 0.56 | 0.85 | 0.67 | 0.82 |
| Faiz Karşılama Oranı | 10.4 | 1.6 | 3.6 | 16.7 | 12.2 | 10 |
| **Borç ve Kaldıraç Oranları** | | | | | | |
| Aktifler/Özkaynaklar | 2.07 | 4.24 | 2.84 | 1.82 | 1.95 | 2.05 |
| Borçlar/Özkaynaklar | 0.25 | 2.66 | 1.18 | 0.45 | 0.51 | 0.58 |
| Uzun vadeli borçlar/ Toplam Sermaye | 12.5% | 68.4% | 53.1% | 29.5% | 32.1% | 34.7% |
| **Faaliyet Oranları** | | | | | | |
| Alacakların Devir Hızı | 5.0 | 18.4 | 27.8 | 23.1 | 23.4 | 25 |
| Ortalama Tahsil Süresi | 76.6 | 19.9 | 13.2 | 15.8 | 15.6 | 14.6 |
| Stok Devir Hızı | 13.2 | 80.5 | 127.6 | 65 | 61.6 | 60.4 |
| Stokta Bekleme Süresi | 27.7 | 4.5 | 2.9 | 5.6 | 5.9 | 6 |

| | | | | | | |
|---|---|---|---|---|---|---|
| Maddi Duran Varlık Devir Oranı | 6.26 | 1.1 | 2.62 | 1.83 | 2.03 | 2.22 |
| Yatırılan Sermaye Getirisi | - | 1.9% | 5.6% | 8.7% | 8.2% | 9.0% |

Kaynak: Reuters Eikon (2020)

İşletmenin 2015 yılından itibaren AMC Entertainment Holding'e (AMC) benzer şekilde brüt kar marjını yükselttiği gözlemlenmektedir. Ayrıca bu oran sektör ortalamasının da üstünde oluşmaktadır. Ayrıca FAVÖK kar marjı ve faaliyet kar marjı dikkate alındığında ise, işletmenin sektör ortalamasının üstünde getiri sağladığı da görülmektedir. Bu rasyolar özellikle 2019 yılında bir önceki yıla nazaran anlamlı bir artış göstermiştir. Bu durum işletmenin sektördeki rekabetçi avantajını güçlendirmesine işaret olabilir. Faaliyet karı ile vergi öncesi kar marjının arasındaki anlamlı sayılabilecek farklılık işletmenin faiz gelirlerinin önemini de göstermektedir.

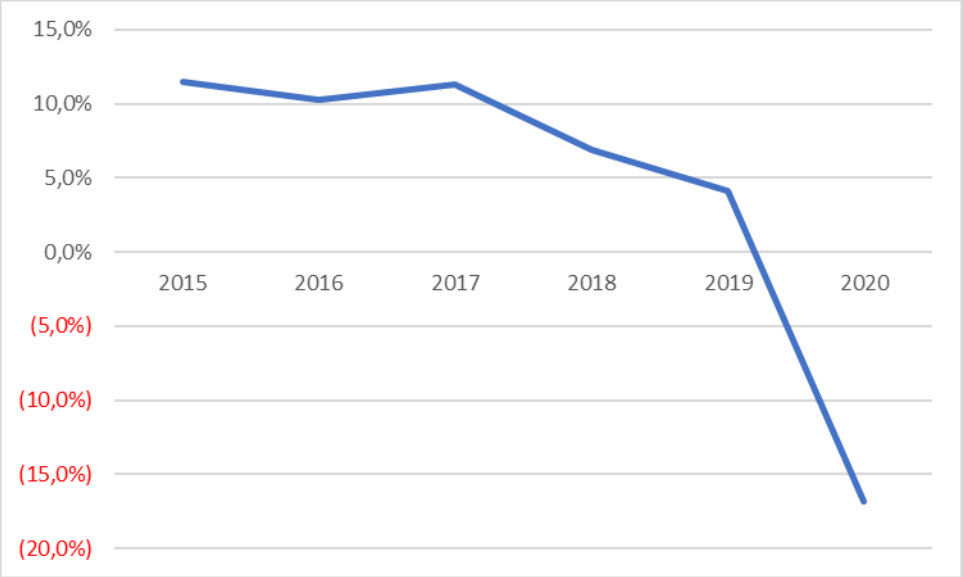
Likidite oranları incelendiğinde, cari oranın sektör ortalamasından oldukça düşük olduğu gözlenmektedir. Bu durum işletmenin dönen varlıklarının kısa vadeli borçlarını karşılamadığını göstermektedir. İşletmenin likiditesi daha düşük varlıklarının kısa vadeli borçları ödeme gücünü gösteren asit-test oranı; sektör ortalaması olarak beklenen 1 değerinde gerçekleşmesine rağmen işletmenin rasyosu 2015 yılından itibaren düşüş kaydetmiştir. Kısa vadeli yabancı kaynak yükümlüklerinin işletme dönen varlıkları ile yeterince karşılanamayacağı görülmektedir. Faiz karşılama oranının daha önce belirtildiği gibi 1'den büyük olması beklenmektedir. İşletmenin uzun yıllar boyunca faiz karşılama gücü sektör ortalamasının üzerinde seyretmesine rağmen 2019 yılında anlamlı bir düşüş yaşamıştır. İşletme net kar marjının 2015 yılından itibaren azalış trendine girmesi faiz karşılama oranlarındaki düşüşü açıklamaktadır.

Aktif/özkaynak rasyosunun son 2 yıllık finansal bilançosunda 2'den büyük olması işletmenin dış kaynak finansmanına yöneldiğinin bir işaretidir. Borçlar/özkaynak rasyosu özellikle 2018 yılından sonra artış göstermiş ve şirketin borç yükümlülüğü 2019 yılı itibariyle özkaynak tutarının 2,66 katına ulaşmıştır. Uzun vadeli borçların toplam sermayeye oranın 0,5'den büyük ve sektör ortalamasının üstünde oluşması, uzun dönem borçlanmanın işletmenin finansmanında özkaynak kullanımına göre daha önemli bir yer tuttuğunu göstermektedir. Özellikle sektör ortalamasının anlamlı bir farkla üstünde gerçekleşen bu oran işletmeyi rakiplerine nazaran daha riskli hale getirmektedir.

Alacak devir hızı ve ortalama tahsis süresi incelendiğinde yıllar boyunca alacak devir hızının düşmesine rağmen işletmenin dönen varlık likiditesinin sektör ortalamasına nazaran daha iyi bir performans gösterdiği görülmektedir. Aynı şekilde stok devir hızı ve stok bekleme süresi; işletmenin stok yönetiminin sektör ortalamasından daha iyi olduğunu ve işletme varlıklarının verimli kullanıldığına işaret etmektedir. Duran varlıklar değerlendirildiğinde, işletmenin yıllar boyunca giderek artan bir şekilde maddi duran varlıklara yatırım yaptığı görülmektedir. Bu durum işletmenin duran varlık likiditesini olumsuz etkilemektedir. Yatırımcılar tarafından işletmeye yapılan yatırımın verimli kullanıp kullanılmadığını değerlendirmede kullanılan yatırılan sermaye getirisi oranı (ROIC) son 5 yılda yatırımcılara pozitif getiri sunmuştur. ROIC oranlarının yıllar boyunca düşüş trendine girmesi işletme karlılığının ve rekabetçi avantajının azalmaya başladığının göstergesidir.

Pandemi döneminin Cineworld PLC işletme performansı üzerindeki etkisini gözlemlemek adına trend analizi yapılmış ve aşağıda gösterilmiştir.

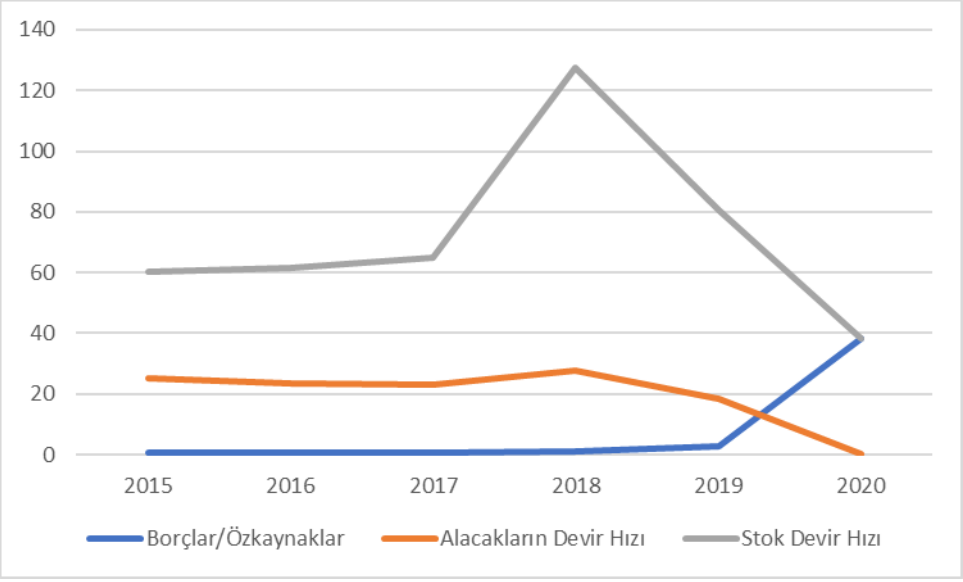
Şekil 3: Cineworld PLC Net Kar Marjı Trend Analizi




Kaynak: Reuters Eikon (2020), Reuters (2021)

İşletmenin AMC Entertainment Holding'e benzer şekilde 2020 yılında pandeminin olumsuz etkisiyle beraber negatif kar marjına sahip olduğu görülmektedir. İşletme dönem karının negatif gerçekleşmesinin bir nedeni olarak salonların kapalı olmasına rağmen işletmenin sabit gider harcamalarının olması gösterilebilir.

Şekil 4: Cineworld PLC Seçilmiş Rasyolar Trend Analizi




Kaynak: Reuters Eikon (2020), Reuters (2021)

Alacak ve stok devir hızı rasyolarının 2018 yılından sonraki azalışı işletme varlık yönetiminin verimsizleşmeye ve varlık likiditesinin azalmaya başladığının bir göstergesidir. Pandemi dönemi boyunca kapalı kalan salonların finansal tablolara olumsuz etkisi borçlar/özkaynaklar rasyosundan da görülmektedir. 2020 yılında borçlar/özkaynaklar rasyosu bir önceki yıla oranla 14 kat artış göstermiştir. İşletmenin 2020 yılında özkaynak büyüklüğünün 38 katı borç yükümlülüğü bulunmaktadır.

## 5. SONUÇ

Oran analizleri sonucu işletmelerin karlılık rasyolarının 2015 yılından itibaren düşüş trendi içinde olduğu görülmektedir. Aynı şekilde işletmelerin likidite oranları da düşüş eğilimi içerinde ve her geçen mali yılda işletmelerin kısa vadeli yükümlülüklerini karşılama zorlukları artmaktadır. İşletmelerin sermaye yapısı incelendiğinde borç yükümlülüklerinin yıllar boyunca artmış olduğu görülmektedir. Tüm bu durumlar sinema salonu işletmelerinin film endüstrisindeki rekabetçi avantajının azaldığının göstergelerinden biridir.

Sinema salonu işletmelerinin endüstrideki rekabetçiliğinin azalmasında STREAM platformlarının yükselişi de etkili olmuştur. TV ve mobil cihazlarda yaşanan teknolojik gelişmeler, internet hızının artışı, dijital platformlar arasındaki rekabetin maliyetleri düşürmesi gibi birçok faktör STREAM platformlarına olan talebi artırmıştır. Bu durum Türkiye'de de olduğu gibi birçok ülkede sinema salonu izleyici sayılarının azalmasındaki temel sebeplerden biridir.

Pandemi etkilerinin özellikle sinema salonu işletmelerini büyük ölçekte negatif etkilemesi STREAM platformlarının büyümesine katkı sağlamıştır. Önümüzdeki süreçte sinema salonu işletmelerinin mali yapılarında pandemi dönemine kıyasla düzelme beklense de sektörün uzun vadeli projeksiyonunda salon işletmeciliğinin rekabetçi gücünün azalacağı ve STREAM platformlarında talep artışı yaşanacağı beklenmektedir.

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# Ticarette Dışa Açıklığın Ekonomik Büyüme Üzerindeki Etkisi: Türkiye İçin Ampirik Bir Kanıt

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**Özet:** Ticarette dışa açıklığın ekonomik büyüme üzerine etkisi, uzun yıllardır mevcut literatürde tartışma konusudur. Bazı çalışmalarda bu etkinin olumlu, bazılarında ise önemsiz ve hatta olumsuz olduğu görülmüştür. Ulaşılan bu karma sonuçlar ise, analitik çerçeveye ve ülkeye özgü özelliklere atfedilmektedir. Bu çalışmada ise, 1970-2018 döneminde Türkiye'de ticarette dışa açıklığın ekonomik büyüme üzerindeki etkisi araştırılmaktadır. Değişkenlerin birim kök analizi için Ng-Peron birim kök testi tercih edilmiş ve değişkenlerin birinci farkı alındığında durağan hale geldiği bulgusuna ulaşılmıştır. Değişkenler arasında eşbütünleşmenin olup olmadığı Hatemi J- Irandoust saklı eşbütünleşme yaklaşımı yardımıyla belirlenmiştir. Ampirik bulgular ticarette dışa açıklık + bileşeni ile ekonomik büyüme + bileşeni arasında bir saklı eşbütünleşmenin varlığına işaret etmektedir. Değişkenlerin uzun dönem katsayılarının tahmininde FMOLS tahmin tekniği dikkate alınmıştır. Ampirik bulgular aynı zamanda ticarette dışa açıklık + bileşeni ile ekonomik büyüme + bileşeni arasında anlamlı bir ilişkinin olduğunu ortaya koymaktadır. Çalışmada ticarette dışa açıklık + bileşeni ile ekonomik büyüme + bileşeni arasında çift yönlü bir nedenselliğin varlığına rastlanılmıştır. Elde edilen sonuçlara göre politika önerileri sunmak mümkündür.

**Anahtar Kelimeler:** Ticarette Dışa Açıklık, Ekonomik Büyüme, Saklı Eşbütünleşme Analizi, Nedensellik

## 1. GİRİŞ

1980'li yıllardan itibaren gelişmekte olan ekonomilerin büyük bir kısmında ticari ve finansal alanda liberalleşme yani liberal ekonomi politikaları hızlı bir şekilde uygulanmaya başlamıştır. Nitekim Tornell vd. (2003), gelişmekte olan ekonomilerin öncelikle ticaretin serbestleştirilmesi ile serbestleşme politikalarına başladığını bunu da tipik olarak finansal serbestleşmenin izlediğini ortaya koymuşlardır.

Dışa dönük ekonomik büyüme literatürü önemli çalışmaları bünyesinde barındırmaktadır. Örneğin Edwards (1998), genellikle ihracat ve ithalat toplamının GSYİH' ye oranı olarak almış, bunun mal, hizmet, sermaye, emek, bilgi ve fikir alışverişini kolaylaştırdığını ifade etmiştir. Yakın zamanda yapılan bir incelemede, Grabner ve ark. (2018), ticaret açıklığını ekonominin fiili dışa yöneliminin bir ölçüsü olarak görmüş, daha yüksek ticaret açıklığı seviyelerinin daha yüksek uluslararası finansal piyasalar entegrasyonu ile ilişkili olduğuna dikkati çekmiştir.

Ekonomi literatüründe dış ticaret destekleyici büyüme hipotezi, ticarette dışa açıklığın gelişmiş ekonomilerden gelişmekte olan ekonomilere doğru ileri teknoloji ve bilgi birikiminin akacağını bunun toplam faktör verimliliğini teşvik ederek ekonomik büyümeyi hızlandıracağı görüşündedir. Bu nedenle bu hipotez aynı zamanda ticari dışa açıklıktan ekonomik büyümeye doğru işleyen bir nedenselliğin varlığını kabul etmektedir. Chang vd. (2009), ticaret açıklığı ile ekonomik büyüme arasındaki ilişkinin farklı ülkeler arasında istikrarlı bir durum arz etmediğini, ülkenin yapısal özelliklerinin iki değişken arasındaki nedensel ilişkilerin doğasını önemli ölçüde etkileyebileceğini savunmuştur. Shayanewako (2018), dış ticaret-büyüme bağlantısı konusunda bir fikir birliği olmadığını, sonuçların ülkeler, veriler ve deneysel tekniklere bağlı olarak farklı olabileceğini ortaya koymuştur.

Bu arka plan göz önüne alındığında, bu çalışma Türkiye örneğinde ticarette dışa açıklık ile ekonomik büyüme arasındaki asimetrik ilişkileri eşbütünleşme ve nedensellik analizi bağlamında incelemektedir. Burada değişkenlerin birim kök özelliklerinin belirlenmesinde ADF ve PP testleri kullanılmaktadır. Değişkenler arasındaki asimetrik eşbütünleşmenin varlığı Hatemi J-Irondoust (2012) saklı eşbütünleşme testi ile araştırılmaktadır. Değişkenleri katsayılarının tahmininde FMOLS tahmin yöntemi kullanılmıştır.

Değişkenler arasındaki asimetrik nedensellik ilişkisi saklı hata düzeltme modeli bağlamında belirlenmektedir.

Bu çerçevede çalışmanın bundan sonraki kısımları şu şekilde tasarlanmıştır. İkinci bölümde ampirik literatür üzerinde durulmaktadır. Üçüncü bölüm çalışmada kullanılan model ve veri setini içermektedir. Dördüncü bölümde analizlerden elde edilen sonuçlara yer verilmektedir. Sonuç kısmı ile çalışma sona ermektedir.

## 2. LİTERATÜR TARAMASI

Krueger (1978) ülkeler arası çalışmalarda, ticaretin serbestleştirilmesinin, uzun vadede verimliliği ve üretkenliği artırmaya yol açan endüstrilerde uzmanlaşmayı teşvik ettiğini göstermiştir. Tyler (1981), OPEC ve orta gelirli ülkeler örneğinde imalat sanayi ihracatındaki bir büyümenin, ekonomik büyümeyi artıran teknolojik ilerlemeye yol açtığını öne sürmüştür.

Nishimizu ve Robinson (1984), Japonya, Kore, Türkiye ve Yugoslavya örneğinde, ihracattaki büyümenin rekabet gücünü ve ölçek ekonomilerini artırarak toplam faktör verimliliğini artırdığını, ithalatın büyümesinin ise toplam faktör verimliliğindeki büyümeyi yavaşlattığını ortaya koymuştur. Romer (1990), 90 ülkenin kesit verilerini kullanarak ticarette dışa açıklık ve ekonomik büyüme arasındaki ilişkiyi araştırmış ticarette dışa açıklığın yerli üretimi artırmak için çok çeşitli yenilikler elde etmeye yardımcı olabileceğini ve ekonomik büyümeye yol açabileceğini ileri sürmektedir.

Irwin ve Tervio (2002) dış ticaret-büyüme bağını I. Dünya Savaşı öncesi verileri kullanarak test emişlerdir. Savaşlar arası ve savaş sonrası dönemler, ticarette dışa açıklığın ekonomik büyümeyi canlandırdığına işaret etmişlerdir. Awokuse (2008) ticarette dışa açıklık ve ekonomik performans arasındaki nedensellik ilişkisini Granger nedensellik yaklaşımı ve etki-tepki fonksiyonları ile Arjantin, Kolombiya ve Peru'da incelemiştir. Ampirik sonuçlar, ithalattan reel ekonomik büyümeye giden nedensel bağın, ihracattan reel ekonomik büyümeye uzanan Granger-nedensel ilişkisinden daha güçlü olduğunu ortaya koymuştur. Dahası, ekonomik büyümeden ihracata ve ithalata kadar ters nedensellik ilişkisi için kanıtlar elde etmiştir.

Kim ve Lin (2009), enstrüman değişkenli eşik regresyon analizini uygulayarak, 61 ülkenin verilerini kullanarak ticarette dışa açıklığın ekonomik büyümeye katkıda bulunup bulunmadığını test etmişlerdir. Ampirik kanıtlar, ekonomik büyüme ile uluslararası ticaret arasında istikrarlı bir ilişki olduğunu göstermiştir. Das ve Paul (2011) 12 yükselen Asya ekonomisinde ticarette dışa açıklığın ekonomik büyüme üzerindeki etkisini araştırmak için GMM yaklaşımını uygulamışlardır. Bulgular, ticarette dışa açıklığın ekonomik büyüme üzerinde olumlu bir etkisi olduğunu göstermiştir. Buna ek olarak, Chansomphou ve Ichihashi (2011), Asya mali krizinden önce ve sonra Güney Doğu Asya ekonomilerinin ekonomik büyümesi üzerinde ticarette dışa açıklığının etkisini araştırmak için yapısal kırılmalı eşbütünleşme yaklaşımını kullanmışlardır. Bulguları, finansal krizin Malezya, Endonezya ve Filipinler ekonomilerini etkilediğini, Tayland'ın ise ekonomik kriz öncesi ve sonrası performansının daha iyi olduğunu belirlemiştir. Ayrıca, ticarette dışa açıklığın Endonezya ve Malezya örneğinde çıktı üzerinde olumlu bir etkisi olduğunu, ancak Tayland örneğinde bu etkinin daha küçük olduğunu, ticarette dışa açıklığın Filipinler'deki ekonomik büyümeyi ekonomik krizden önce hızlandırdığını tespit etmiştir.

Kim vd. (2011), düşük ve yüksek gelirli ülkelerde dış ticaret-büyüme bağlantısını eşik regresyon yaklaşımını uygulayarak yeniden araştırmışlardır. Elde ettikleri sonuçlar, ticarette dışa açıklığın yüksek gelirli ülkelerde kapitalizasyonu, finansal gelişmeyi, üretkenliği ve ekonomik büyümeyi artırdığını ve düşük gelirli ülkelerde etkinin negatif ve istatistiksel olarak anlamlı olduğunu ortaya koymuşlardır.

Shazbaz (2012), Pakistan için bir Cobb-Douglas üretim fonksiyonu kullanarak ticarette dışa açıklık ve ekonomik büyüme arasındaki ilişkiyi analiz etmiştir. Bu çalışma ticarette dışa açıklığı temsilen ihracat, ithalat, ticaret hadleri ve kişi başına ticaret değişkenlerini kullanmıştır. Ampirik sonuçlar, Pakistan için büyümeye dayalı ihracat, büyümeye dayalı ithalat ve büyümeye dayalı ticaret hipotezlerini destekler niteliktedir. Bojanic (2012), finansal gelişme ve finansal kalkınmanın, 1940-2010 döneminde Bolivya için ekonomik büyümenin Granger nedeni olduğunu bulmuştur.

Kar vd. (2014), 1989-2007 dönemlerinde Türkiye'deki ticaret serbestleşmesi, finansal gelişme ve ekonomik büyüme arasındaki ilişkiyi hem doğrusal hem de doğrusal olmayan Granger nedensellik

testlerini kullanarak analiz etmişlerdir. Ampirik sonuçları, Türkiye'de ticaret, finansal gelişme ve ekonomik büyüme arasında çift yönlü nedensel ilişkinin varlığını ortaya koymuştur.

Hye ve Lau (2015), ARDL modelini kullanarak Hindistan'da ticarette dışa açıklık ve ekonomik büyüme arasındaki ilişkiyi ampirik olarak incelemişlerdir. Ticarette dışa açıklığın ekonomik büyüme üzerindeki etkisinin örneklem dönemine göre zamana göre değiştiğini ve ticarette dışa açıklığın reel ekonomik büyümeyi kısa vadede olumlu etkilediğini göstermişlerdir. Bununla birlikte, ekonomik büyüme, uzun vadede ticarette dışa açıklıktan olumsuz etkilenmiştir, bu da literatürde büyümeyi azaltıcı ihracat (veya açıklık) hipotezine karşılık gelmektedir.

Çeliköz vd. (2017), 1980-2016 dönemi için Türkiye'deki ticaret açıklığı ve ekonomik büyüme arasındaki Granger-nedensellik ilişkisini incelemek için eşbütünleşme testi ve bir vektör hata düzeltme modeli (VECM) kullanmışlardır. Yazarlar, kısa vadede ticarette dışa açıklıktan ekonomik büyümeye tek yönlü Granger nedenselliği tespit etmişlerdir.

Eren ve Ünal (2019), Engle-Granger ve Gregory-Hansen eşbütünleşme testleri ve Toda-Yamamoto nedensellik yaklaşımını kullanarak, 1960-2016 döneminde Türkiye'de ticaret açıklığı ile ekonomik büyüme arasındaki ilişkiyi incelemişlerdir. Bulgular gösteriyor ki, ekonomik büyümeden ticarette dışa açıklığa doğru tek yönlü bir nedensellik söz konusudur.

## 3. MODEL, VERİ SETİ VE METODOLOJİ

1970-2018 dönemini kapsayan bu çalışmada Türkiye'de ticarette dışa açıklığın ekonomik büyüme üzerindeki etkisi incelenmektedir. Bu ilişkiyi inceleyebilmek için doğrusal bir regresyon denklemi kullanılmıştır. Regresyon denkleminde bağımsız değişken ticarette dışa açıklık (ihracat ve ithalat toplamının GSYİH'ya oranı olarak) ve bağımlı değişken olarak ekonomik büyümeyi temsilen kişi başına reel gelir (2010 sabit dolar fiyatlarıyla) kullanılmıştır. Bu serilere ilişkin veriler Dünya Bankası Dünya Kalkınma Göstergeleri web sitesinden temin edilmiştir. Değişkenler logaritması alınarak ampirik analizler gerçekleştirilmiştir.

Çalışmanın ampirik metodolojisi üç ana kısımdan oluşmakta olup, birinci olarak değişkenlerin logaritmik değerleriyle ADF ve PP birim kök analizi yapılmakta ve değişkenlerin durağanlığı incelenmektedir. Değişkenler arasındaki uzun dönem ilişkisinin varlığı Johansen eşbütünleşme testi kullanılarak incelenmiştir. Arasında eşbütünleşmenin tespit edilemediği bu değişkenler arasında saklı bir eşbütünleşmenin olup olmadığı değişkenlerin + ve – bileşenleri dikkate alınarak Hatemi J-Irandoust (2012) saklı eşbütünleşme testi kullanılarak analiz edilmektedir. Metodolojinin ikinci kısmında elde edilen pozitif ve negatif bileşenlerin uzun dönem katsayıları Phillips- Hansen (1990) FMOLS tahmincisi ile tahmin edilmiştir. Analizin son aşamasında ise değişkenlerin pozitif ve negatif serileri (bileşenleri) arasında Granger-Yoon (2002) tarafından geliştirilen saklı hata düzeltme modeli kullanılarak asimetrik nedensellik ilişkisi incelenmiştir.

## 4. BULGULAR

Ticarette dışa açıklık ile ekonomik büyüme değişkenlerinin durağanlık analizinde kullanılan ADF ve PP test sonuçları Tablo 1'de yer almaktadır. Değişkenlerin durağanlık testlerinde sabit ve sabit-trendli modeller kullanılmıştır. Ayrıca birim kök test istatistiğinin örnek değeri SIC kriterine gore belirlenmiştir. Buna gore Tablo 1'de de görüldüğü gibi birinci farkları alınarak yapılan durağanlık test sonuçlarına gore serilerin birinci farkında durağan olduğu görülmektedir.

Tablo 1: Birim Kök Test Sonuçları

| | ADF | | PP | |
|---|---|---|---|---|
| Değişkenler | Sabitli | Sabitli-trendli | Sabitli | Sabitli-trendli |
| LNGDP | 0.515 | -1.837 | 0.554 | -1.925 |
| LNTRADE | -1.841 | -2.416 | -1.845 | -2.416 |
| ΔLNGDP | -6.643*** | -6.687*** | -6.644*** | -6.685*** |
| ΔLNTRADE | -5.953*** | -5.890*** | -6.029*** | -5.949*** |

Not: ADF testinde optimal gecikme uzunluğu SIC kriteri kullanılarak otomatik olarak belirlenmiştir. PP testinde band genişliği için Newey-West metodu kullanılmıştır. ***, %1 düzeyinde anlamlılığı ifade etmektedir.

Tablo 1 sonuçlarından yol çıkarak serilerin birinci farkında durağan olduğu sonucuna ulaşıldıktan sonra analizin bir sonraki adımı olan seriler arasındaki eşbütünleşme ilişkisinin incelenmesi gerekmektedir. Tablo 2' de gösterilen VAR analizine göre uygun gecikme uzunluğu, farklı kriterler de dikkate alındığında, 1 olarak belirlenmiştir. Bu sonuç, seriler arasındaki eşbütünleşmenin analizinde Johansen testinin kullanılmasına imkân sunmaktadır.

Tablo 2: VAR Modeli Gecikme Uzunluğu Belirleme

| Gecikme Uzunluğu | LR | FPE | AIC | SIC | HQ |
|---|---|---|---|---|---|
| 0 | NA | 0.000359 | -2.256300 | -2.176794 | -2.226517 |
| 1 | 245.709 | 1.41e-06* | -7.796555* | -7.558037* | -7.707205* |
| 2 | 1.971886* | 1.60e-06 | -7.670737 | -7.273206 | -7.521820 |
| 3 | 5.821994 | 1.65e-06 | -7.646106 | -7.089563 | -7.437622 |

Johansen eşbütünleşme testi kullanılarak ticarette dışa açıklık ve ekonomik büyüme değişkenleri arasında bir uzun dönem ilişkisinin olup olmadığı incelenmiştir. Tablo 3' de bulunan sonuçlara göre değişkenlerin logaritmik ilk değerleri arasında herhangi bir eşbütünleşmenin yani uzun dönem ilişkisinin olmadığı anlaşılmıştır.

Tablo 3: Johansen Eşbütünleşme Test Sonuçları

| | İz istatistiği | Max. Öz değer istatistiği |
|---|---|---|
| R=1 | 5.923 | 5.728 |
| R≤1 | 0.195 | 0.195 |

İki değişken arasında bir saklı eşbütünleşmenin olup olmadığını belirleyebilmek için serileri + ve – bileşenlerine ayırarak söz konusu bileşenler arasında bir eşbütünleşmenin olup olmadığının araştırılması gerekir. Saklı eşbütünleşmenin ilk aşamasında değişkenlerin + ve – bileşenlerinin birinci farkta durağan olması gerekmektedir. Tablo 4'deki sonuçlar her iki değişkenin + ve – bileşenlerinin birinci farkta durağan olduğu tespit edilmiştir.

Tablo 4: Serilerin Birim Kök Sonuçları (+ ve - Bileşenleri)

| | ADF | | PP | |
|---|---|---|---|---|
| Değişkenler | Sabitli | Sabitli-trendli | Sabitli | Sabitli-trendli |
| LNGDP+ | 1.176 | -1.573 | 1.410 | -1.595 |
| LNGDP- | -0.454 | -2.420 | -0.435 | -2.420 |
| LNTRADE+ | -1.699 | -1.262 | -1.699 | -1.381 |
| LNTRADE- | -1.420 | -1.846 | -1.638 | -1.986 |
| ΔLNGDP+ | -6.195*** | -6.454*** | -6.200*** | -6.650*** |
| ΔLNGDP- | -7.073*** | -6.499*** | -7.075*** | -6.991*** |
| ΔLNTRADE+ | -5.465*** | -5.598*** | -5.465*** | -5.618*** |
| ΔLNTRADE- | -5.445*** | -5.547*** | -5.343*** | -6.353*** |

Not: *** % 1 düzeyinde anlamlılığı ifade etmektedir.

Birinci farkında durağan olduğu tespit edilen ticarette dışa açıklı ile ekonomik büyüme değişkenlerinin + ve – bileşenleri arasında bir eşbütünleşmenin araştırılmasında Hatemi J-Irondoust testi kullanılmıştır. Tablo 5' te yer alan sonuçlara göre ticarette dışa açıklığın (+) bileşeni ile ekonomik büyüme (+) bileşeni arasında bir eşbütünleşmenin olduğu belirlenmiştir. Bu nedenle bu iki seri arasında asimetrik bir eşbütünleşmenin olduğu kanısına varılmıştır.

Tablo 5: Hatemi J- Irandoust Saklı Eşbütünleşme Analiz sonuçları (+ ve - Bileşenleri)

| | İz istatistiği | Max. öz değer istatistiği |
|---|---|---|
| LNGDP+ LNTRADE+ | | |
| R=1 | 28.140** | 25.872** |
| R≤1 | 5.573 | 5.573 |
| LNGDP- LNTRADE- | | |
| R=1 | 10.101 | 8.123 |
| R≤1 | 1.979 | 1.979 |

Not: ** % 5 düzeyinde anlamlılığı ifade eder.

Yapılan analiz sonuçlarına göre elde edilen bulgulardan yola çıkarak ticarette dışa açıklığın (+) serileri ile ekonomik büyümenin (+) serileri arasında bir saklı eşbütünleşme ilişkisinin varlığı tespit edildiğinden analizin bir sonraki adımı olan söz konusu serilerin uzun dönem katsayıları FMOLS tahmincisi kullanılarak elde edilmiştir. Bulgular Tablo 6' da yer almaktadır. Tablo 6 sonuçlarına göre ise, ticarette dışa açıklığın (+) serisi dikkate alındığında ilgili katsayı 0.637 olarak tahmin edilmiştir. Bu durum ticarette dışa açıklığın (+) serisinde meydana gelen %1' lik bir artış ekonomik büyüme (+) serisinde 0.637'lik bir artışa neden olacağını ifade etmektedir. Diğer taraftan ekonomik büyüme (+) bileşeni katsaysı 1.987 olarak belirlenmiş böylece ters yönde de bir pozitif ilişkinin varlığı ortaya konmuştur.

Tablo 6: Uzun Dönem Tahminleri (FMOLS Tahmincisi)

| LNGDP+ | LNTRADE+ |
|---|---|
| 1.984*** | 0.637*** |

Not: ***, %1 düzeyinde anlamlılığı gösterir.

Ticarette dışa açıklığın (+) bileşeni ile ekonomik büyümenin (+) bileşeni arasında bir uzun dönem ilişkisinin ardından da bu ilişkinin katsayısının belirlenmesi bir sonraki aşama olan seriler arasındaki nedensellik ilişkisinin araştırılmasına izin vermiştir. Bu amaçla kurulan saklı hata düzeltme modeli sonuçları Tablo 7'de verilmektedir. Tablo 7 sonuçlarına bakıldığında bağımlı değişken ticari dışa açıklık (+) bileşeni dikkate alındığında ECT katsayısının negatif ve istatistiksel olarak anlamlı olduğu sonucuna varılmıştır. Bu durum ekonomik büyüme (+) serisinden bağımlı değişken olan ticarette dışa açıklığın (+) serisine doğru uzun dönem asitmetrik nedenselliğin olduğunu ortaya koymaktadır.

Tablo 7: Saklı Hata Düzeltme Modeli Tahmin Sonuçları (Bağımlı Değişken: LNTRADE+)

| Değişkenler | Katsayılar | Standart Hata | t-istatistiği | Olasılık |
|---|---|---|---|---|
| Sabit | 0.133727 | 0.026607 | 5.026033 | 0.0000 |
| $ECT_{t-1}$ | -0.117337 | 0.045911 | -2.555755 | 0.0154 |
| $GDP_{t-1}$ | -0.685687 | 0.557286 | -1.230403 | 0.2272 |
| $GDP_{t-2}$ | -1.758739 | 0.549027 | -3.203372 | 0.0030 |
| $TRADE_{t-3}$ | -0.216875 | 0.162170 | -1.337331 | 0.1903 |

Yapılan ampirik çalışmanın son aşaması olan, bağımlı değişken ekonomik büyüme (+) serisi ve bağımsız değişken ticarette dışa açıklık (+) serisi arasındaki saklı hata düzeltme modeli sonuçları ise Tablo 8'de yer almaktadır. Elde edilen bulgular, ECT katsayısının bulunamamasından dolayı, değişkenler arasında asimetrik bir nedenselliğin olmadığını ortaya koymuştur.

Tablo 8: Saklı Hata Düzeltme Modeli Tahmin Sonuçları (Bağımlı Değişken: LNGDP+)

| Değişkenler | Katsayılar | Standart Hata | t-istatistiği | Olasılık |
|---|---|---|---|---|
| Sabit | 0.020872 | 0.003559 | 5.865370 | 0.0000 |
| $TRADE_{t-4}$ | -0.281485 | 0.163382 | -1.722869 | 0.0926 |
| $GDP_{t-1}$ | -0.061341 | 0.039719 | -1.544349 | 0.1304 |

## 5. SONUÇ

Yapılan ampirik çalışmada Türkiye'de ticarette dışa açıklığın ekonomik büyüme üzerindeki etkisi araştırılmıştır. İncelenen değişkenlerin öncelikle logaritmik değerleri alınmış ve değişkenlerin durağanlık analizi ADF ve PP birim kök testleriyle sınanmıştır. Değişkenlerin birinci farkında durağan olduğu tespit edilmiştir. Daha sonra değişkenlerin logaritmik ilk halleri Johansen eşbütünleşme testiyle incelenerek değişkenler arasında herhangi bir eşbütünleşme ilişkisinin varlığı tespit edilememiştir. Buna göre ampirik çalışma Hatemi J-Irandoust saklı eşbütünleşme testi ile devam etmiştir. Saklı eşbütünleşme testi sonucuna göre ticarette dışa açıklığın (+) bileşeni ile ekonomik büyüme (+) bileşeni arasında bir eşbütünleşmenin varlığı belirlenmiştir. Daha sonra değişkenlerin uzun dönem katsayıları FMOLS tahmincisi kullanılarak belirlenmiştir. FMOLS tahmin sonuçlarına göre, bağımsız değişken olarak ticarette dışa açıklığın (+) serisi dikkate alındığında, ekonomik büyüme (+) serisinin katsayısı 0.637 olarak tespit edilmiş ve ticarette dışa açıklığın (+) serisinde meydana gelen % 1' lik bir artışın ekonomik büyümenin (+) serisinde 0.637' lik bir artışa neden olacağı sonucuna ulaşılmıştır. Daha sonra değişkenlerle saklı hata düzeltme modeli kurularak değişkenler arasındaki uzun dönem asimetrik ilişkinin varlığı araştırılmıştır. Yapılan analiz sonucuna göre ise saklı hata düzeltme modelinde ECT katsayısının negatif ve istatistiki olarak anlamlı bulunmasından dolayı ekonomik büyüme (+) bileşeninden ticarette dışa açıklığının (+) bileşenine doğru asimetrik bir nedenselliğin varlığı tespit edilmiştir. Fakat ters yönde herhangi bir asimetrik nedensellik belirlenememiştir.

Ekonomi teorisinde, ticarette dışa açıklık ve ekonomik büyüme arasındaki ilişkiyi anlamak için dış ticaret kaynaklı büyüme ve büyümeye dayalı dış ticaret olmak üzere iki hipotez öne sürülmektedir. Çalışmada ticarette dışa açıklığın (+) bileşeni ile ekonomik büyümenin (+) bileşeni arasında uzun dönemde pozitif bir ilişkinin tespit edilmiş olması ekonomik büyümenin en önemli belirleyicisinin ticari dışa açıklık olduğunu ortaya koymaktadır. Dolayısıyla dış ticaret kaynaklı ekonomik büyüme hipotezinin desteklendiği anlamına gelmektedir. Bu nedenle ekonomik büyümeyi hızlandırmak istiyorsa politika yapıcıları dışa açık ekonomi politikaları izlemeye devam etmelidirler.

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# Türkiye Ekonomisinde Tarımsal Enerji Tüketimi-Ekonomik Büyüme İlişkisi: Bir Saklı Eşbütünleşme Analizi

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**Özet:** Enerji tüm canlıların yaşamı için gerekli olduğu gibi, sürdürülebilir bir ekonomik büyüme için de temel girdilerden biri olarak kabul edilmektedir. Bu çalışmada tarımsal enerji tüketimi ile ekonomik büyüme arasındaki ilişki incelenmiştir. Türkiye ekonomisi dikkate alınarak 1990-2018 dönemine ait yıllık veriler kullanılmıştır. Değişkenlerin durağanlık analizi ADF ve PP birim kök testi ile gerçekleştirilmiş ve değişkenlerin birinci farkında durağan olduğu tespit edilmiştir. Değişkenler arasındaki uzun dönem ilişkisi yeni nesil testlerden biri olan Hatemi J-Irandoust saklı eşbütünleme testi kullanılarak analiz edilmiştir. Sonuçlar tarımsal enerji tüketimi + bileşeni ile ekonomik büyüme + bileşeni arasında bir eşbütünleşmenin varlığını belirlemiştir. Uzun dönem katsayıları FMOLS tahmincisi kullanılarak, nedensellik ilişkileri de saklı hata düzeltme modeline dayalı asimetrik nedensellik testi ile incelenmiştir. Elde edilen ampirik sonuçlara göre, tarımsal enerji tüketimi + bileşeni ekonomik büyüme + bileşenini uzun dönemde pozitif etkilemektedir. Ayrıca, ekonomik büyüme + bileşeninden tarımsal enerji tüketimi + bileşenine doğru işleyen tek yönlü bir asimetrik nedensellik söz konusudur. Çalışma, Türkiye ekonomisi için bazı politika tavsiyeleri sunabilmektedir.

**Anahtar Kelimeler:** Tarımsal Enerji Tüketimi, Ekonomik Büyüme, Saklı Eşbütünleşme, Saklı Hata Düzeltme Modeli

## 1. GİRİŞ

Enerji, ilkel çağlardan beri tüm canlıların kullandığı önemli bir faktör olmuştur. Üretim ve tüketim faaliyetlerinde temel girdi olarak varlığının kabul edilmesi, ekonomik büyüme ve kalkınmanın itici gücü olup olmadığı konusunu tartışmaya açmıştır. Modern ekonominin başlangıcı kabul edilen Adam Smith'den günümüze kadar klasik iktisatçılar başta olmak üzere ana akım iktisatçılarının büyük bir kısmı, büyüme ve kalkınmanın temel girdisi olarak fiziksel sermaye, emek ve doğal kaynaklar üzerinde durmuşlardır. Ancak 19. yüzyılda küreselleşmenin de etkisiyle sanayileşmiş ülkeler enerjinin iktisadi büyümenin temel girdilerinden bir olduğunu fark etmişlerdir. Sanayi devrimiyle enerji ihtiyacının artış göstermesi ve birinci dünya savaşıyla devam etmesi, diğer taraftan 1973 ve 1979 yıllarında meydana gelen enerji darboğazları, enerjinin ekonomideki yerinin fark edilmesinde etkili olmuştur.

Yaşanan petrol krizleriyle birlikte enerjinin önemi arttığı gibi enerji kaynakları bakımından yetersiz olan ülkeler enerji politikalarında değişime gitmek zorunda kalmıştır. Ekonominin her sektörü için kullanılan fosil yakıtların rezerv bakımından sorgulanması ve tükenebilir olması ülkeleri yeni arayışlara sürüklemiştir.

Enerji faktörü literatürde farklı makroekonomik serilerle ilişkilendirilip ekonometrik uygulamalara temel değişken olmuştur. Bu çalışmada tarımsal enerji tüketimi-ekonomik büyüme arasındaki ilişki Türkiye ekonomisi için 1990-2018 döneminde zaman serisi teknikleri kullanılarak araştırılmaktadır. Zaman serisi yöntemlerinden birim kök, asimetrik eşbütünleşme, uzun dönem tahmini ve asimetrik nedensellik analizleri çerçevesinde söz konusu ilişki test edilmektedir.

## 2. TARIMSAL ENERJİ TÜKETİMİ İLE EKONOMİK BÜYÜME ARASINDAKİ İLİŞKİ: AMPİRİK LİTERATÜR

Ampirik çalışmalar enerji tüketimi-ekonomik büyüme ilişkisi üzerinde yoğunlaşmakla birlikte küçük bir bölümünün tarımsal enerji tüketimi ile ekonomik büyüme arasındaki ilişkinin araştırılmasına yöneldiği görülmektedir. Moghaddasi vd. (2018) İran tarımsal sektörü üzerinde durmuştur. İran tarımı uzun yıllardır enerji faktörünü yoğun şekilde kullanmaktadır. Bundan dolayı büyüme ve ihracat bakımından önemli sonuçlar doğurabileceği belirtilmektedir. Bu çalışmada 1967-2015 dönemi dikkate alınarak, nedensellik ve eşbütünleşme analiz teknikleri kullanılmıştır. Elde edilen ampirik sonuçlara göre enerji

tüketiminden ekonomik büyümeye doğru tek taraflı bir nedensellik sonucuna varılmıştır. Diğer taraftan modele dâhil edilen ihracat unsuru ile enerji tüketimi arasında her hangi bir nedenselliğin varlığı tespit edilememiştir. Başka bir bulguya göre tarım alanında kullanılan enerji miktarının %1 oranında artması uzun dönemde tarımsal büyümeyi %1.29 oranında artırmaktadır.

Sebri ve Abid (2012) çalışmalarında tarım ekonomisinde enerjinin rolüne değinmişlerdir. Tunus ekonomisini dikkate alarak enerji tüketimi, tarım sektörü ve ekonomik büyüme gibi değişkenleri kullanarak aralarındaki ilişkiyi araştırmışlardır. Çalışmada 1980-2007 dönemine ait veriler kullanılmıştır. Kullanılan Granger nedensellik testine göre enerjinin bileşenleri arasında (petrol ve elektrik tüketimi) direk bir ilişkinin varlığı bulunmuştur. Ayrıca, ticari açıklık ve enerji tüketimi tarımsal katma değerin nedenidir. Böylece enerjiden büyümeye ve ticaretten büyümeye doğru Tunus tarım sektöründe bir nedensellik söz konusudur.

Chandio vd. (2018) 1984-2016 dönemini kapsayacak şekilde Pakistan'da enerji tüketimi ile tarımsal ekonomik büyüme arasındaki ilişkiyi incelemişlerdir. Bu çalışmada ARDL yaklaşımı kullanılmış, Pakistan tarımsal ekonomisi üzerinde değişkenlerin uzun dönem ve kısa dönem ilişkilerine bakılmıştır. Çalışmanın bulguları gösteriyor ki, uzun ve kısa dönemde tarımsal ekonomik büyüme gaz ve elektrik tüketimi tarafından pozitif olarak etkilenmektedir. Uzun dönemde gaz ve elektrik tüketimi elastikiyet katsayıları sırasıyla 0.906 ve 0.421, kısa dönemde ise 0.59 ve 0.276 olarak tahmin edilmiştir.

Moghaddasi ve Paur (2016) 1974-2012 dönemine ait yıllık verileri kullanarak Solow artığı çerçevesinde tarımsal üretim ile enerji tüketimi arasındaki ilişki incelemişlerdir. Cobb-Dauglas üretim fonksiyonu tahmininden elde edilen sonuçlar gösteriyor ki, emek, sermaye ve enerji değişkenlerinde meydana gelen %1'lik bir değişim tarımsal katma değerinde sırasıyla %4.07, %0.09 ve %0.49 bir değişime yol açmaktadır. Bu durum emek, sermaye ve enerjinin tarımsal katma değerin dolayısıyla tarımsal üretimin önemli belirleyicileri olduğunu kanıtlamaktadır.

Shahbaz vd. (2016) 1972-2011 döneminde Pakistan'da, ekonomik büyüme, tarım ve modern sektör büyümesi, finansal gelişme ile enerji tüketimi arasındaki ilişkiyi analiz etmişlerdir. Çalışmada ARDL sınır testi ve Granger nedensellik tekniğinden istifade edilmiştir. Nedensellik testi sonucuna göre genel ekonomik büyüme enerji talebinin nedenidir. Diğer taraftan modern sektördeki büyüme ile enerji tüketimi, finansal gelişme ile enerji tüketimi arasında çift yönlü bir nedenselliğin varlığı tespit edilmiştir. Ayrıca, enerji tüketimi tarımsal büyümenin nedenidir.

Akyol (2020) tarımsal üretimde kullanılan enerji tüketimi ve tarımsal katma değer değişkenleri arasındaki ilişkiyi araştırmıştır. Modele dâhil edilen ülkeler AB'ye üye ve geçiş ekonomileri olan 10 ülkedir. Çalışmada 2019-2017 periyoduna ait yıllık veriler kullanılmış ve Panel veri teknikleri ile ilişkiler test edilmiştir. Elde edilen ampirik bulgulara göre, tarımsal enerji tüketimi tarımsal katma değer üzerinde pozitif bir etkiye sahip olup, tarımsal enerji tüketiminin tarımsal büyümeyi artırdığı şeklinde yorumlanabilir.

## 3. MODEL ve VERİ SETİ

Türkiye ekonomisi üzerinde tarımsal enerji tüketimi ve ekonomik büyüme arasındaki ilişkiyi test edebilmek için aşağıdaki gibi bir doğrusal regresyon denklemi dikkate alınmıştır:

$$LNGDP_t = \beta_0 + \beta_1 LNTARIM_ENERJİ_t + u_t \quad (1)$$

$$LNTARIM_ENERJİ_t = \beta_0 + \beta_1 LNGDP_t + u_t \quad (2)$$

Yukarıdaki modelde $\beta_0$ sabit terimi, $u_t$ ise hata terimini göstermektedir. GDP kişi başına reel geliri (2010 sabit $ fiyatlarıyla) tarımsal enerji tüketimi ise tarım sektöründe kullanılan toplam enerji tüketimi ifade etmektedir. Kişi başına reel gelir Dünya Bankası Dünya Kalkınma Göstergeleri veri sitesinden, tarımsal enerji tüketimi verileri ise Uluslararası Enerji Ajansından elde edilmiştir. Bu çalışmada 1990-2018 dönemine ait yıllık veriler kullanılmıştır. Tüm değişkenler logaritmaları alındıktan sonra analizlere dâhil edilmişlerdir.

## 4. METODOLOJİ

Çalışmada ilk olarak, değişkenlerin birim kök analizi ADF ve PP birim kök testleriyle gerçekleştirilmektedir. İkinci olarak, değişkenler arasındaki uzun dönem (eşbütünleşme) ilişkisinin varlığı

Johansen (1990) eşbütünleşme testi ile incelenmektedir. Değişkenlerin + ve – bileşenleri arasındaki eşbütünleşme ilişkisi Hatemi-j & Irandoust (2012) saklı eşbütünleşme yaklaşımı ile araştırılmaktadır. Değişkenlerin uzun dönem katsayıları Phillips-Hansen(1990) FMOLS tahmincisi ile nedensellik ilişkisi ise Granger-Yoon (2002) tarafından geliştirilen saklı hata düzeltme modeli ile araştırılmaktadır.

**5. BULGULAR**

Tarımsal alanda kullanılan enerji tüketimi ile ekonomik büyüme değişkenlerinin durağanlık analizinin ADF ve PP test sonuçları Tablo 1'de sunulmaktadır. Birim kök test sonuçlarına göre değişkenlerin düzey değerlerinde durağan olmadığı görülmektedir. Ancak serilerin birinci farkları alınarak yapılan durağanlık testi değişkenlerin birinci farkında durağan olduğunu ortaya koymaktadır. Bu sonuç değişkenlerin eşbütünleşme analizi için Johansen testinin, Hatemi J-Irondoust saklı eşbütünleşme testinin ve saklı hata düzeltme modelinin kullanılmasına imkân tanımaktadır.

Tablo 1: Birim Kök Test Sonuçları

| | ADF | | PP | |
|---|---|---|---|---|
| Değişkenler | Sabitli | Sabitli-trendli | Sabitli | Sabitli-trendli |
| LNGDP | 1.087 | -1.506 | 1.562 | -2.724 |
| LNTARIM_ENERGY | -1.585 | -3.012 | -1.594 | -2.123 |
| ΔLNGDP | -9.123*** | -9.483*** | -9.047*** | -15.587*** |
| ΔLNTARIM_ENERGY | -7.073*** | -7.738*** | -6.914*** | -7.738*** |

Not: ADF testinde optimal gecikme uzunluğu AIC kriteri kullanılarak otomatik olarak belirlenmiştir. PP testinde band genişliği için Newey-West metodu kullanılmıştır. ***, %1 düzeyinde anlamlılığı ifade eder.

Değişkenlerin birinci farkında durağanlık göstermesi seriler arasında eş bütünleşmenin varlığını test edebilmek için Johansen eşbütünleşme testinin kullanımına izin vermektedir. Yapılan VAR analizi sonucuna göre, Tablo 2'den de görüleceği üzere, serilerin gecikme uzunluğu 2 olarak bulunmuş bu sonuç bir sonraki aşama olan Johansen eşbütünleşme testinde kullanılmıştır.

Tablo 2: Var Gecikme Uzunluğu Belirleme

| Gecikme uzunluğu | LR | FPE | AIC | SIC | HQ |
|---|---|---|---|---|---|
| 0 | NA | 2.39e-05 | -4.965 | -4.868 | -4.937 |
| 1 | 84.929 | 8.12e-07 | -8.350 | -8.059 | -8.266 |
| 2 | 10.792 | 6.66e-07* | -8.556* | -8.072* | -8.417* |
| 3 | 0.370* | 9.04e-07 | -8.268 | -7.590 | -8.073 |

Not: *, optimal gecikme uzunluğunu ifade eder.

Modele dâhil edilen tarımsal enerji kullanımı ve ekonomik büyüme değişkenleri arasında bir uzun dönem ilişkisinin var olup olmadığı Johansen eşbütünleşme testi ile sınanmaktadır. Ancak değişkenlerin pozitif ve negatif bileşenleriyle bir işlem yapabilmek için öncelikle seriler arasında bir eşbütünleşmenin olmaması gerekmektedir. Tablo 3'te sunulan Johansen eşbütünleşme testi sonuçlarına göre seriler arasında herhangi bir eşbütünleşme ilişkisine rastlanmamıştır. Ancak saklı bir eşbütünleşmenin olup olmadığı serilerin + ve – bileşenleri arasında saklı eşbütünleşme testi olan Hatemi J-Irondoust testinin kullanılmasını gerektirmektedir. Bunun ön şartı da serilerin + ve – bileşenlerinin de birinci farkında durağan olmasıdır.

Tablo 3: Johansen Eşbütünleşme Test Sonuçları

| | İz istatistiği | Max. Öz değer istatistiği |
|---|---|---|
| R=1 | 12.428 | 8.182 |
| R≤1 | 4.246 | 4.246 |

Tablo 4'ten görüleceği üzere, yapılan birim kök analizinde serilerin + ve – bileşenlerinin düzeyde durağan olmadığı birinci farkları alındığında durağan olduğu tespit edilmiştir. Bu sonuç söz konusu seriler arasında saklı bir eşbütünleşme analizi yapılmasına izin vermektedir.

Tablo 4: Serilerin Birim Kök Sonuçları (+ ve - Bileşenleri)

| | ADF | | PP | |
|---|---|---|---|---|
| Değişkenler | Sabitli | Sabitli-trendli | Sabitli | Sabitli-trendli |
| LNGDP+ | 0.980 | -3.875 | 0.252 | -3.872 |
| LNGDP- | -1.132 | -1.356 | -1.141 | -1.376 |
| LNTARIM_ENERGY+ | -0.196 | -2.162 | -0.168 | -2.192 |
| LNTARIM_ENERGY- | 2.564 | -0.711 | 2.506 | -0.359 |
| ΔLNGDP+ | -8.393*** | -8.553*** | -8.356*** | -8.853*** |
| ΔLNGDP- | -6.207*** | -6.326*** | -6.120*** | -6.241*** |
| ΔLNTARIM_ENERGY+ | -6.329*** | -6.197*** | -6.298*** | -6.171*** |
| ΔLNTARIM_ENERGY- | -5.313*** | -7.169*** | -5.310*** | -7.239*** |

Not: ***, %1 düzeyinde anlamlılığı ifade eder.

Bileşenlerine ayrıştırılan serilerin birim kök analizleri yapıldıktan sonra söz konusu seriler arasında Johansen eşbütünleşme testi kullanılarak bir eşbütünleşme ilişkisinin olup olmadığı araştırıldığında bu teknik Hatemi J-Irandoust saklı eşbütünleme testi olarak bilinir. Tablo 5'ten elde edilen bulgulara göre; tarımsal enerji tüketimi + serisi ile ekonomik büyüme + serisi arasında eşbütünleşmenin varlığı tespit edilmiştir. Ancak tarımsal enerji tüketimi - serisi ile ekonomik büyüme - serisi arasında uzun dönemde bir ilişkinin varlığı tespit edilememiştir. Değişkenlerin – serilerinde eşbütünleşmenin varlığı söz konusu olmadığı için bundan sonraki aşamada bu seriler için uzun dönem katsayıları ve nedensellik ilişkisi tahmin edilmemiştir.

Tablo 5: Hatemi J- Irandoust Saklı Eşbütünleşme Analiz sonuçları (+ ve - Bileşenleri)

| | İz istatistiği | Max. Öz değer istatistiği |
|---|---|---|
| LNTARIM_ENERGY+ LNGDP+ | | |
| R=1 | 26.873** | 19.663** |
| R≤1 | 7.210 | 7.210 |
| LNTARIM_ENERGY- LNGDP- | | |
| R=1 | 8.284 | 7.857 |
| R≤1 | 0.426 | 0.426 |

Not: ** % 5 düzeyinde anlamlılığı ifade eder.

Türkiye ekonomi dikkate alınarak yapılan analizde serilerin + bileşenleri arasında uzun dönemli bir ilişkinin tespit edilmesinden sonra söz konusu serilerin uzun dönem katsayıları FMOLS tahmin tekniğiyle tahmin edilmiş ve Tablo 6'da gösterilmiştir. Modelde bağısız değişken olarak tarımsal enerji tüketimi + serisi, bağımlı değişken olarak ise ekonomik büyüme + serisi alınmıştır. Bu durumda tarımsal enerji tüketimi + serisi katsayısı 0.519 olarak bulunmuştur. Elde edilen bu sonuç tarımsal enerji tüketimi + serisinde meydana gelen %1'lik bir artışın, ekonomik büyüme + serisinde 0.519 oranında bir artış sağladığı anlamına gelmektedir. Diğer taraftan ekonomi büyüme + serisi ile tarımsal enerji tüketimi + serisi arasında da pozitif bir ilişki söz konusudur. Bu ilişki katsayısı 1.332 olarak belirlenmiştir.

Tablo 6: Uzun Dönem Katsayı Tahminleri (Tahmin Yöntemi: FMOLS)

| LNTARIM_ENERGY+ | LNGDP + |
|---|---|
| 0.519*** | 1.332*** |

Not: ***, %1 düzeyinde anlamlılığı ifade eder.

Ampirik analizde tarımsal enerji tüketimi + serisi ile ekonomik büyüme + serisi arasında uzun dönem ilişkisinin varlığı tespit edildiğinden dolayı nedensellik analizi olan saklı hata düzeltme modelinde de bu seriler dikkate alınmış, çıkan sonuçlar Tablo 7'de sunulmuştur. Bağımlı değişken tarımsal enerji tüketimi + serisi, bağımsız değişken ise ekonomik büyüme + serisi alındığında hata düzeltme katsayısı olan ECT - 0.331 yani negatif ve istatiksel olarak anlamlı olduğu görülmektedir. Bu durum ekonomik büyüme +

serisinden tarımsal enerji tüketimi + serisine doğru uzun dönemli bir asimetrik nedenselliğin varlığını ortaya koymaktadır.

Tablo 7: Saklı Hata Düzeltme Modeli Tahmin Sonuçları (Bağımlı Değişken: LNTARIM_ENERGY+)

| Değişkenler | Katsayılar | Standart Hata | t-istatistiği | Olasılık |
|---|---|---|---|---|
| Sabit | 0.023*** | 0.005 | 4.547 | 0.000 |
| $ECT_{t-1}$ | -0.331** | 0.134 | -2.560 | 0.016 |

Not: *** ve ** sırasıyla %1 ve % 5 düzeyinde anlamlılığı ifade eder.

Bağımlı değişkeni ekonomik büyüme + serisi, bağımsız değişkeni tarımsal enerji tüketimi + serisi seçildiğinde kurulan saklı hata düzelme modeli tahmin sonuçları Tablo 8'de sunulmuştur. Elde edilen ampirik bulgular neticesinde saklı hata düzeltme katsayısı ECT hesaplanamadığından dolayı söz konusu modele dahil edilen bileşenler arasında bir asimetrik nedenselliğin varlığı tespit edilememiştir.

Tablo 8: Saklı Hata Düzeltme Modeli Tahmin Sonuçları (Bağımlı Değişken: LNGDP+)

| Değişkenler | *Katsayılar* | *Standart Hata* | *t-istatistiği* | *Olasılık* |
|---|---|---|---|---|
| Sabit | 0.020 | 0.003 | 6.056 | 0.000 |
| $GDP_{t-1}$ | -0.493 | 0.177 | -2.772 | 0.010 |

## 6. SONUÇ

Bu çalışmada tarımsal enerji tüketiminin ekonomik büyüme üzerindeki etkisi Türkiye örneğinde 1990-2018 periyodunda araştırılmıştır. Değişkenlerin ADF ve PP birim kök testleriyle durağanlık analizi gerçekleştirilmiştir. Değişkenlerin birinci farkta durağanlığı tespit edilmiştir. Johansen eşbütünleşme testi ile uzun dönem ilişkisi incelenmiş ve değişkenler arasında herhangi bir ilişki bulunamamıştır. Bu durum analizi bir sonraki aşama olan Hatemi-j & Iranoust saklı eşbütünleşme testine götürmektedir. Değişkenlerin bileşenleri olan pozitif ve negatif bileşenleri birinci farkta durağan bulunmuş, gerçekleştirilen saklı eşbütünleşme analizi sonucunda hem + bileşenler hem de – bileşenler arasında eşbütünleşmenin varlığı ortaya çıkarılmıştır. Değişkenlerin uzun dönem katsayıları FMOLS tahmincisi ile tahmin edilmiştir. Bu aşamada elde edilen sonuçlara göre; tarımsal enerji tüketimi + bileşeni ile ekonomik büyüme + bileşeni arasında uzun dönemde pozitif bir ilişki tespit edilmiştir. Yani, tarımsal enerji tüketimi + serisinde meydana gelen %1'lik bir artış, ekonomik büyüme + serisini uzun dönemde 0.519 oranında artırmaktadır. Ayrıca, ters yönde de pozitif bir ilişki tespit edilmiştir. Saklı hata düzeltme modeli tahmin sonuçları ise ekonomik büyüme + serisinden tarımsal enerji tüketimi + serisine doğru uzun dönemli bir asimetrik nedenselliğin varlığını kanıtlamaktadır.

Ekonomik büyüme + serisinden tarımsal enerji tüketimi + serisine doğru uzun dönemli bir asimetrik nedenselliğin tespit edilmiş olması aslında enerji-büyüme konusundaki dört temel hipotezden biri olan "koruma hipotezi" ni destekleyen bir kanıt olarak değerlendirilebilir.

Bu çalışmanın temel kısıtı sadece tarım sektörü enerji tüketimi-ekonomik büyüme ilişkisini incelemesidir. Bundan sonraki çalışmalar sanayi ve hizmetler sektörünü de analize dahil ederek her bir sektör için ampirik bulgular elde edebilir ve karşılaştırmalı politika önerileri sunabilir. Ayrıca bu çalışmalar genel olarak enerji tüketimi yerine fosil ve yenilenebilir enerji olarak enerji faktörünü iki kısma ayırarak sektörlerin ekonomik büyüme üzerindeki etkilerini daha geniş bir perspektiften tahmin edebilir.

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# COVID-19 Pandemi Sürecinin İhracat Üzerindeki Etkisi: Kayseri İli Örneği*

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**Özet:** Kayseri TR72 Bölgesi içinde bulunan ve bölgedeki diğer illerle karşılaştırıldığında ihracat alanında öncü olan bir ildir. Kayseri'de ihracat üzerinde Covid-19 Pandemi sürecinin etkilerinin araştırıldığı bu çalışmada, teorik bilgilerin oluşturulmasında Türkiye İstatistik Kurumu, Kayseri Ticaret Odası, Kayseri Sanayi Odası, Kayseri Organize Sanayi Bölge Müdürlüğü, Kayseri Serbest Bölge Müdürlüğü, Kayseri Esnaf ve Sanatkarlar Odası yayın ve verilerinden yararlanılmıştır. Çalışmanın uygulama aşamasında anket ve yüz yüze görüşme yöntemleri kullanılmış, Kayseri il merkezinde faaliyet gösteren 253 firmadan geri dönüş alınmıştır. Pandemi nedeniyle anket soruları elektronik ortamda düzenlenmiş, anketi cevaplayacak kişilerin belirlenmesinde Kayseri Sanayi Odası ve firma yetkilileri ile yapılan görüşmelerden yararlanılmıştır. Anket çalışması sonrasında firma yetkililerinin pandemi sürecinde ihracat ile ilgili görüş ve önerilerini alabilmek amacıyla ikili görüşmeler yapılmış, bu görüşmelerden elde edilen bilgiler uygulama sonuçları bölümünde belirtilmiştir. Çalışmada farklı sektörlerden, farklı büyüklüklerde faaliyet gösteren bu firmalardan ihracat yapılarına ilişkin kapsamlı bilgiler elde edilmiş, bunun yanı sıra pandemi öncesi ve sonrası ihracat süreçlerinin karşılaştırılmasına katkı sağlamıştır.

**Anahtar kelimeler:** Covid-19, İhracat, Dış Ticaret, Kayseri'de ihracat.

# The Effects of the COVID-19 Pandemic Process on Exports: The Case of Kayseri Province

**Abstract:** Kayseri is a leading province in the field of export when compared to other provinces in the TR72 region. In this study, in which the effects of the Covid-19 pandemic process on exports in Kayseri were used the publications and data of the Turkish Statistical Institute, Kayseri Chamber of Commerce, Kayseri Chamber of Industry, Kayseri Organized Industrial Zone Directorate, Kayseri Free Zone Directorate, Kayseri Chamber of Tradesmen and Craftsmen. In the implementation phase of the study were used a questionnaire and face-to-face interview methods, feedback was received from 253 companies operating in Kayseri city center. Due to the pandemic, the survey questions were arranged electronically, and interviews with the Kayseri Chamber of Industry and company officials were used to determine the people who would answer the survey. After the survey, bilateral meetings were held in order to get the opinions and suggestions of the company officials about exports during the pandemic process, and the information obtained from these interviews is stated in the application results section. In the study, comprehensive information on export structures was obtained from these companies operating in different sizes and from different sectors, as well as contributing to the comparison of export processes before and after the pandemic.

**Keywords:** Covid-19, Export, Foreign Trade, Export in Kayseri.

## 1. GİRİŞ

Örgütü (Word Health Organization, WHO) tarafından 11 Şubat 2020'de SARS-CoV-2 olarak tanımlamıştır. Dünya Sağlık Örgütü 11 Şubat 2020 tarihinde bu salgını Covid-19 pandemisi olarak adlandırmıştır. Covid-19 pandemisi henüz dünyada sağlık sektörü başta olmak üzere, tüm sektörleri etkilemektedir. Bu kapsamda ülkelerde mal ticareti azalmış, ihracat gerilemiştir. İhracat döviz geliri yaratan bir işlemdir. Ülkeler ihracat yaparak gelir düzeylerini ve istihdam hacmini artırmaktadır. İhracatla döviz rezervleri de yükselmektedir. İhracatın azalması tüm bu olumlu etkilerin azalmasına neden olmaktadır. Bu nedenle Covid-19 pandemisinin ihracat üzerindeki etkilerinin incelenmesi ve tedbir alınması önem taşımaktadır.

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2020 yılında pandemi ile birlikte dünya hasılası azaldı, ülke gelirleri geriledi. Dış ticarette yavaşlama yaşandı. Türkiye İhracatçılar Meclisi 2021 yılı raporuna göre dış ticaret alanında izolasyon ve sosyal mesafe düzenlemeleri sektörler arasında farklı etkiler ortaya çıkarmıştır. Pandeminin en ağır hissedildiği sektörün hizmet sektörü olduğu gözlenmiştir. Bu kapsamda ulaştırma, ticaret, konaklama, restoran, kültür, sanat ve eğlence gibi hizmet sektörlerimde gelir daralmaları yaşanmıştır. Raporda, tarım ve hayvancılık alanında pandeminin etkilerin daha hafif olduğu gözlenmektedir. Özellikle pandemiden daha fazla etkilenen sektörlerde, devlet desteklerine rağmen, özellikle KOBİ'lerin oldukça zor süreçlerden geçtiğininin altı çizilmiştir.

Pandeminin dış ticaret alanında pek çok değişikliğe yol açacağı kesindir. Örneğin Dünya Bankasının, "Dünya Kalkınma Raporu 2019: İşin Değişen Doğası" raporunda, teknolojinin ticareti giderek daha fazla şekillendirdiği, işgücü piyasasında insan yerine robotların daha fazla kullanıldığı, insanların eğitimine ve sağlığına daha fazla yatırım yapılmasının zorunlu hale geldiği belirtilmiştir.

Dünya Ekonomik Forumu (World Economic Forum, WEF) "İstihdamın Geleceği Raporu 2020" adlı çalışmada 2020 yılında üretimde %33 robot, %67 insan şeklinde olan dağılımın 2025 yılında %47 robot %53 insan şeklinde değişeceğini tahmin etmektedir. Buna bağlı olarak gelecekte mevcut mesleklerin bazılarının yok olacağı belirtilmektedir. Rapora göre teknoloji işgücü üzerinde baskı yaratsa da yeni iş kolları yaratacak ve bunun yanı sıra üretkenliği arttırmakta ve etkili kamu hizmetleri sunmanın yolunu açacaktır.

Bu çalışmanın ikinci bölümünde literatür ve araştırma alanı yer almakta, üçüncü bölümde araştırma konusu, amacı ve yöntemi tanımlanmakta, dördüncü bölümde anket sonuçlarına ve yüz yüze görüşme raporu bulgularına yer verilmekte, çalışma sonuç bölümü ile tamamlanmaktadır.

## 1. LİTERATÜR VE ARAŞTIRMA ALANI

Literatürde, KOBİ'lerin ihracat kapasitesi ve dış ticarette yaşadığı sorunlara yönelik çalışmalar mevcuttur. Fakat pandemi döneminde dış ticaret alanında yapılan çalışmalar henüz sınırlı sayıdadır. Bununla birlikte ihracat ile ilgili sektörel ve yerel/bölgesel düzeyde yürütülen çalışmalar oldukça azdır. Özellikle içinde bulunduğumuz pandemi çok uzun bir süredir olağan üstü bir süreç yaşanmasına yol açmış, pandeminin etkilerinin net olarak görülebilmesi önem kazanmıştır.

İncelenen çalışmalardan Yılmaz ve Bayram (2020), e-ticaret ve ihracat verilerini kullanarak Covid-19 pandemi döneminde Türkiye'deki elektronik ticareti incelemişlerdir. Çalışmada en çok e-ihracatı yapılan ürün kategorisinin hazır giyim olduğu, seyahat ve turizmin salgın öncesi dönemde e-ticarette en çok tercih edilen ürün kategorisi içindeyken salgın döneminde en fazla gerileme yaşayan sektör olduğu belirtilmiştir. Dicle Kalkınma Ajansı (DKA), Strateji Geliştirme ve Planlama Birimi tarafından hazırlanan TRC3 Bölgesinde Covid-19 Salgınının Ekonomik ve Sosyal Etkileri Araştırma Raporunda (2020) Bölge ihracatçılarının Irak'taki müşteri firmalar haricinde diğer ülkelerdeki müşteri profillerinde değişimler olduğu sonucuna ulaşılmıştır. Bu değişimin kısa vadeli mi yoksa kalıcı mı olduğu uzun vadede pandemi sürecine bağlı olarak da belirlenebileceği görüşü iletilmiştir. Alkin (2020) pandemi sonrası yeni normal süreçte, e-ticaret ve e-ihracat'ın altın çağı yaşayacağını belirtmiş, güçlü dijital platformların diğerlerine göre avantaj sağlayacağını ileri sürmüştür. Bu kapsamda, ülkelerin dünyanın farklı yerlerinde Ticaret Merkezleri açmak yerine, Lojistik Merkezleri açmaya yoğunlaşmaları önerilmiştir. Yıldırım (2020) Covid-19 pandemisinin dış ticarete etkilerini incelemiş ve Türkiye gibi ithalata bağımlılığın yüksek olduğu ülkelerin, pandemi sürecinden olumsuz etkileneceğini ileri sürülmüş ve sıkı iktisadi politikaların uygulaması gerektiğini belirtmiştir. Adıgüzel (2020) Covid-19 pandemisinin Türkiye ekonomisine etkilerini makroekonomik bir yaklaşımla incelemiş ve süreçte yaşanan olumsuz etkilere yönelik politikalar geliştirilmeyi amaçladığı çalışmasında, Covid-19 pandemisinin üretim, istihdam, gelir, kar, ihracat cari denge, bütçe dengesi ve merkezi yönetim borç yükü değişkenleri olumsuz etkilediği sonucuna ulaşmıştır.

Bu çalışmanın araştırmanın alanı Kayseri il merkezidir. Kayseri'de Kayseri Ticaret Odası'nın aktif 13.420, Kayseri Sanayi Odası'nın 1.394 ve Kayseri Ticaret Borsası'nın 874 üyesi bulunmaktadır. Kayseri Esnaf ve Sanatkârlar Odasına kayıtlı 41 oda ve 26.840 faal üye mevcuttur. 62 adet yabancı sermayeli firma Kayseri'de faaliyet göstermektedir. Kayseri'de 3 adet Organize Sanayi Bölgesi bulunmaktadır. Kayseri Organize Sanayi Bölgesinde 845, Mimar Sinan Organize Sanayi Bölgesinde 50, Kayseri Serbest Bölgesinde

38 işletme üretim yapmaktadır(Kayseri Ticaret Odası, Kayseri Sanayi Odası, Kayseri Esnaf ve Sanatkarlar Odası, Kayseri Organize Sanayi Bölge Müdürlüğü, Kayseri Serbest Bölge Müdürlüğü web sayfalarında yer alan verilerden yararlanılmıştır. Erişim Tarihi: 01.12.2021). Serbest Bölgenin en önemli tesisleri ofis büro mobilyaları, sac boru ve profil, elektrostatik toz boya, yatak-baza, dayanıklı tüketim malları, alüminyum iletken tel tesisleri, beyaz eşya üretim fabrikası gibi üretim ağırlıklı tesislerden oluşmaktadır. (https://www.kayser.com.tr/tr, Erişim Tarihi: 01.02.2020). Bölge illerinde Kayseri'de sanayi gelişmiş durumdadır. İl karayolu, demiryolu ve havayolu ulaşım imkânlarıyla önemli bir lojistik merkez olarak kabul edilmektedir. Kayseri orta ve ileri teknoloji ürün ihracatında Türkiye'nin 12. ihracatçı ili durumundadır. Kayseri'de ihracatçı firma sayısı son üç yıla göre incelendiğinde, 2016 yılında 1.129, 2017 yılında 1.254, 2018 yılında 1.275'dir. Bu dönemde ihracatçı firma sayısı arttığı görülmektedir (https://www.kayso.org.tr/tr, Erişim Tarihi: 01.01.2021).

Tablo 1. 2013-2020 Dönemi İhracat Verileri (bin dolar)

| | **2013** | **2014** | **2015** | **2016** | **2017** | **2018** | **2019** | **2020** |
|---|---|---|---|---|---|---|---|---|
| Kayseri | 1.889.386 | 2.120.071 | 1.809.533 | 1.743.457 | 1.876.654 | 2.362.967 | 2.496.210 | 2.625.518 |
| Sivas | 78.550 | 91.375 | 77.886 | 80.166 | 93.109 | 96.098 | 92.752 | 92.338 |
| Yozgat | 21.495 | 16.921 | 11.091 | 10.648 | 11.952 | 9.522 | 13.499 | 15.282 |

Kaynak: Türkiye İstatistik Kurumu, İllere Göre İhracat verileri, www.tuik.gov.tr

Tablo 1'de görülmekte olduğu gibi, Kayseri'de ihracat 2013 yılından itibaren 2015 ve 2016 yılları hariç, artış eğilimindedir. TR72 bölgesinde diğer illerle karşılaştırıldığında ihracat hacmi yüksektir.

Tablo 2. 2019 Yılı Kayseri İhracatında İlk On Ülkeye Ait Bilgiler

| | **1 OCAK-31 ARALIK** | | |
|---|---|---|---|
| **ÜLKELER** | **2018** | **2019** | **DEĞ.** |
| Irak | 244.988,12 | 267.964,67 | 9,38% |
| Almanya | 98.210,02 | 107.254,83 | 9,21% |
| İtalya | 80.267,51 | 90.455,56 | 12,69% |
| ABD | 51.215,17 | 84.461,45 | 64,91% |
| Birleşik Krallık | 52.900,82 | 77.913,28 | 47,28% |
| İsrail | 51.019,03 | 72.085,21 | 41,29% |
| Libya | 25322,8477 | 54714,381 | - |
| Belçika | 101.361,84 | 53.677,52 | -47,04% |
| Fas | 48.833,78 | 52.537,71 | 7,58% |
| Romanya | 50738,617 | 51130,989 | - |

Kaynak: İhracatta ülke verileri, https://ticaret.gov.tr/istatistikler/dis-ticaret-istatistikleri

Tablo 2'ye göre, Kayseri'de 2019 yılı aralık ayı itibariyle, 2018 yılında da olduğu gibi, ihracat pazarında ilk sırada olan ülke Irak'tır. Almanya, İtalya, ABD, İsrail, Fas gibi ülkelerle olan ticarette artış göstermiştir. 2018 yılı verilerine göre ortalama 2,1 milyar dolar ihracat içerisinde, 245 milyon dolarla Irak en fazla ihracat yapılan ülke olmuştur. Daha sonra, 98 milyon dolarla Almanya, 80 milyon dolarla İtalya, 101 milyon dolarla Belçika takip etmektedir. Belçika ise 2018 ve 2019 yılları karşılaştırıldığında büyük bir farkla düşüş yaşamıştır.

Tablo 3. Kayseri İhracatında İlk On Mala Ait Bilgiler

| | **1 OCAK-31 ARALIK** | | |
|---|---|---|---|
| **SEKTÖR** | **2018** | **2019** | **DEĞ.** |
| **TOPLAM** | **1.918.905,16** | **2.050.132,88** | **6,84%** |
| Mobilya, Kağıt ve Orman Ürünleri | 354.076,79 | 413.177,17 | 16,69% |
| Demir ve Demir Dışı Metaller | 302.511,21 | 399.089,79 | 31,93% |
| Elektrik Elektronik | 248.771,34 | 289.545,30 | 16,39% |
| Tekstil ve Hammaddeleri | 286.578,63 | 262.573,01 | -8,38% |

| | | | |
|---|---|---|---|
| Çelik | 232.802,67 | 243.202,45 | 4,47% |
| Kimyevi Maddeler ve Mamulleri | 104.296,19 | 121.583,71 | 16,58% |
| Madencilik Ürünleri | 139.991,42 | 74.965,84 | -46,45% |
| İklimlendirme Sanayii | 60.067,85 | 62.700,42 | 4,38% |
| Makine ve Aksamları | 59.587,70 | 61.601,80 | 3,38% |
| Su Ürünleri ve Hayvansal Mamuller | 33.251,73 | 24.353,20 | -26,76% |
| Çimento Cam Seramik ve Toprak Ürünleri | 20.014,96 | 22.603,44 | 12,93% |
| Hububat, Bakliyat, Yağlı Tohumlar ve Mamulleri | 26.620,28 | 20.031,05 | -24,75% |
| Halı | 10.764,27 | 17.309,83 | 60,81% |
| Otomotiv Endüstrisi | 18.608,18 | 16.404,97 | -11,84% |
| Hazır giyim ve Konfeksiyon | 12.901,78 | 12.106,21 | -6,17% |
| Meyve Sebze Mamulleri | 4.907,61 | 5.251,47 | 7,01% |
| Yaş Meyve ve Sebze | 990,54 | 2.086,31 | 110,62% |
| Kuru Meyve ve Mamulleri | 466,75 | 503,60 | 7,90% |
| Deri ve Deri Mamulleri | 564,21 | 386,26 | -31,54% |
| Savunma ve Havacılık Sanayii | 936,36 | 368,40 | -60,66% |

Kaynak: Ticaret Bakanlığı, 2018-2019, https://ticaret.gov.tr/istatistikler/dis-ticaret-istatistikleri.

Tablo 3'e göre, Kayseri'de 2018-2019 döneminde mobilya, demir ve demir dışı metaller, çelik, kimyevi maddeler ve mamulleri, makine ve aksamları, elektrik elektronik hizmeti ve halı ihracatında artış, savunma ve havacılık sanayii, madencilik ürünleri ihracatında azalma söz konusudur.

Tablo 4. Kayseri'de İhracatta Öncü Sektörler (Ocak 2019 -Ocak 2020)

| | |
|---|---|
| Süs bitkileri | %30,5 |
| Yaş Meyve Sebze | %28,6 |
| Fındık ve Mamulleri | %21,7 |
| Halı | %21,4 |
| Gemi ve Yat | %18,4 |
| Mobilya | %15,5 |

Kaynak: Kayseri Ticaret Odası, İhracatı artıran sektörler, https://www.kayserito.org.tr, Regesta 2019-2020.

Tablo 4'e göre, 2019 yılı için Kayseri'de ihracatta öncü sektörlere bakıldığında; süs bitkileri %31 oranla en üst sırada yer alırken, yaş meyve ve sebze %28, fındık ve mamulleri %22 oranı ile ikinci ve üçüncü sırayı aldığı görülmektedir. Mobilya sektörü ise aynı yıl için %16 oranı ile altıncı sırada yer almıştır.

## 2. ARAŞTIRMA KONUSU, AMACI VE YÖNTEMİ

Araştırmanın konusu Covid-19 Pandemisinin ihracata etkilerinin belirlenmesidir. Araştırmanın amacı, Kayseri ilinde pandemi sürecinde ihracat işlemlerinde yaşanan olumlu-olumsuz unsurları belirlemek ve gerek il gerek bölge gerekse Türkiye için önem taşıyan istikrarlı ekonomik büyüme ve dış dengeye fayda sağlayacak sonuçlara ulaşabilmektir. Araştırmanın uygulama aşamasında il merkezinde faaliyet gösteren farklı sektörlerdeki firmaların görüşlerinin alınmış olması araştırma sonuçlarının sektör bazlı okunabilmesine de imkan sağlamıştır.

Araştırma konusunun teorik bölümünde Türkiye İstatistik Kurumu, Kayseri Ticaret Odası, Kayseri Sanayi Odası, Kayseri Organize Sanayi Bölge Müdürlüğü, Kayseri Serbest Bölge Müdürlüğü, Kayseri Esnaf ve Sanatkarlar Odası yayın ve verilerinden yararlanılmıştır. Araştırmanın uygulama bölümünde anket ve yüz yüze görüşme yöntemleri kullanılmıştır. Anket soruları, tek yanıtlı, birden fazla yanıtlı ve açık uçlu sorular olarak düzenlenmiştir. Tek yanıtlı sorular, yalnızca bir yanıt verilen sorulardır. Birden fazla yanıtlı çoktan seçmeli sorularda, katılımcıların kendileri için geçerli olan tüm seçenekleri işaretlediği sorulardır. Açık uçlu sorular, katılımcıların yanıtlarını bir yorum kutusuna yazması istenen ve önceden belirlenmiş

cevap seçenekleri olmayan sorulardır. Örneklem seçiminde, Erdoğan-Yazıcıoğlu (2004:50) tarafından hazırlanan seçim kriterleri kullanılmıştır. Kayseri Sanayi Odasına kayıtlı 1.394 işletme bulunmaktadır.

Tablo 5. (0.05) İçin Örneklem Büyüklükleri

| Evren | 0.03 örnekleme hatası (d) | | | 0.05 örnekleme hatası (d) | | | 0.10 örnekleme hatası (d) | | |
|---|---|---|---|---|---|---|---|---|---|
| | p=0.5 q=0.5 | p=0.8 q=0.2 | p=0.3 q=0.7 | p=0.5 q=0.5 | p=0.8 q=0.2 | p=0.3 q=0.7 | p=0.5 q=0.5 | p=0.8 q=0.2 | p=0.3 q=0.7 |
| 100 | 92 | 87 | 90 | 80 | 71 | 77 | 49 | 38 | 45 |
| 500 | 341 | 289 | 321 | 217 | 165 | 196 | 81 | 55 | 70 |
| 750 | 441 | 358 | 409 | 254 | 185 | 226 | 85 | 57 | 73 |
| 1000 | 516 | 406 | 473 | 278 | 198 | 244 | 88 | 58 | 75 |
| 2500 | 748 | 537 | 660 | 333 | 224 | 286 | 93 | 60 | 78 |
| 5000 | 880 | 601 | 760 | 357 | 234 | 303 | 94 | 61 | 79 |
| 10000 | 964 | 639 | 823 | 370 | 240 | 313 | 95 | 61 | 80 |
| 25000 | 1023 | 665 | 865 | 378 | 244 | 319 | 96 | 61 | 80 |
| 50000 | 1045 | 674 | 881 | 381 | 245 | 321 | 96 | 61 | 81 |
| 100000 | 1056 | 678 | 888 | 383 | 245 | 322 | 96 | 61 | 81 |
| 1000000 | 1066 | 682 | 896 | 384 | 246 | 323 | 96 | 61 | 81 |
| 100 milyon | 1067 | 683 | 896 | 384 | 245 | 323 | 96 | 61 | 81 |

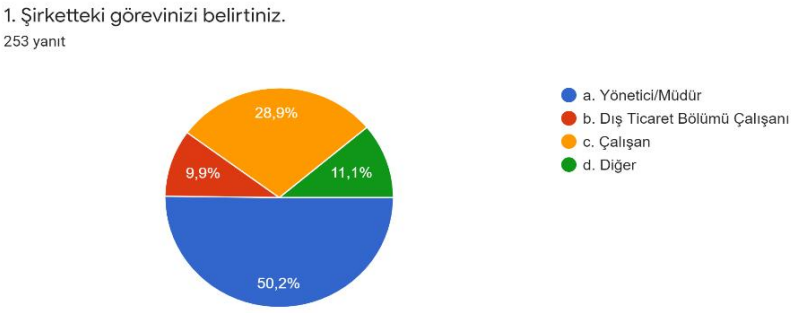
Kaynak: Yazıcıoğlu ve Erdoğan, 2004, s.50.

Örneklem hacminin belirlenmesinde, Yazıcıoğlu ve Erdoğan (2004:50) çalışmasından yararlanılmıştır. Tablo 5'de görülebileceği üzere, Yazıcıoğlu ve Erdoğan, örnekleme hatasını azaltmak için örneklem büyüklüğünün arttırılması gerektiğini, diğer yandan seçilen hata payına göre belli bir değerden sonra örneklem büyüklüğünün artmasına gerek olmadığını ileri sürmektedirler. Bu kapsamda, anket yapılacak firma, sayısı 253 olarak belirlenmiştir. Anket sonuçları değerlendirilirken ankete verilen cevapların yüzde dağılımı kullanılmıştır. Alınması gereken tedbirlerin belirlenmesi aşamasında ise anket çalışması sonuçları yanında 25 firma yetkilisi ile ikili görüşmeler yapılarak, yetkililerin görüşleri raporlandırılmıştır.

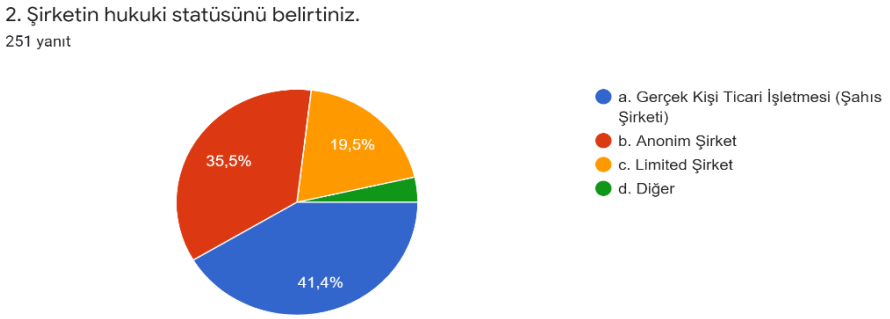
## 3. UYGULAMA SONUÇLARI

Projenin uygulama aşamasında anket ve yüzyüze görüşme formlarına bağlı sonuçlar yer almaktadır. Aşağıda anket uygulaması sonuçları, ankette yer alan sorular da belirtilerek, aşağıda sunulmuştur:

**Soru 1:** Şirketteki görevinizi belirtiniz? sorusuna, 253 firma katılmıştır. Bunlardan 127 kişi (%50,2) Yönetici/Müdür, 25 kişi (%9,9) dış ticaret bölümü çalışanı, 73 kişi (%28,9) Çalışan, 28 kişi (%11,1) Diğer çalışan olarak yanıt vermiştir.

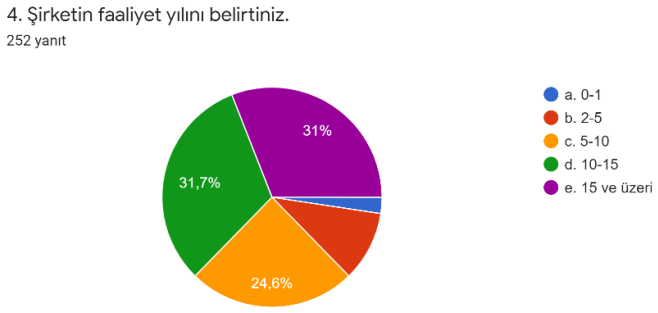



**SORU 2:** Şirketin Hukuki Statüsünü belirtiniz? sorusuna, 251 firma yanıtlamıştır. Bunlardan 104 kişi (%41,4) Gerçek kişi ticari işletmesi (Şahıs Şirketi), 89 kişi (%35,5) Anonim şirket, 49 kişi (%19,5) Limited şirket, 9 kişi (%3,6) Diğer şirkettir.

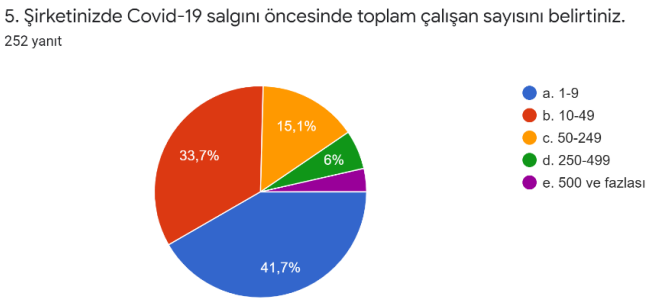



**SORU 3:** Şirketin faaliyet alanını belirtiniz? sorusuna, 249 firma yanıtlamıştır. Ankete katılan firmaların faaliyet alanları sırasıyla Diğer Sanayi Ürünleri, Mobilya kâğıt orman ürünleri ve Hazır Giyim Konfeksiyon ürünleridir.

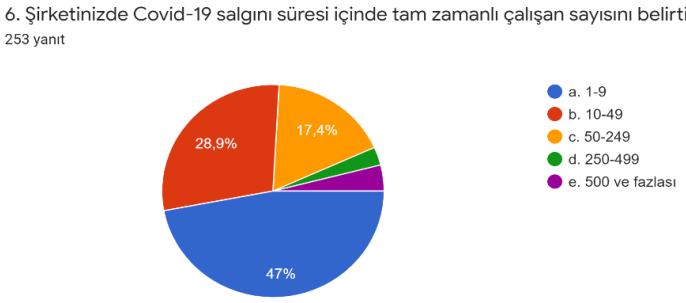
**SORU 4:** Şirketin Faaliyet Yılını belirtiniz? sorusuna, 252 firma yanıt vermiş, firmaların yüksek oranda 10-15 aralığında (%31,7) ve 15 üzeri (%31) yıldır faaliyet gösterildiği bilgisine ulaşılmıştır. Bu kapsamda ankete katılan firmaların %62,7'si 10 yıl ve üzeri faaliyet gösteren firmalardır.



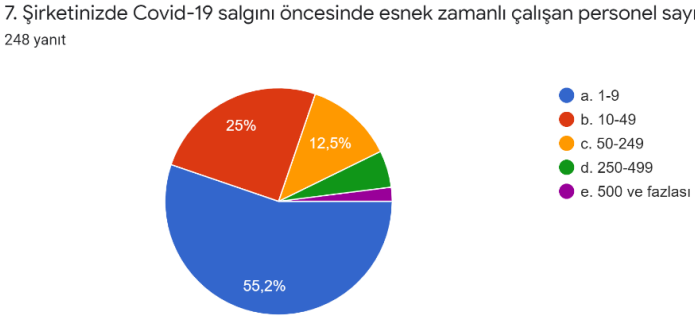

**SORU 5:** Şirketinizde Covid-19 salgını öncesinde toplam çalışan sayısını belirtiniz? sorusuna, 252 firma yanıt vermiştir. 1-9 aralığında çalışan sayısı 105 kişi (%41,7), 10-49 aralığında 85 kişi (%33,7), 50-249 aralığında çalışan sayısı 38 (%15,1), 250-499 aralığında çalışan sayısı 15 kişi (%6), 500 ve üzeri aralığında çalışan sayısı 9 kişi (%3,6) olarak cevaplamıştır. Firmaların ortalama %75'nin pandemi öncesinde 1-49 kişi çalıştırdığı görülmektedir. Firmaların %10'u 250 ve üzeri kişi çalıştırmaktadır.




**SORU 6:** Şirketinizde Covid-19 salgını süresi içinde tam zamanlı çalışan sayısını belirtiniz? sorusuna, 253 firma yanıtlamıştır. 1-9 aralığında çalışan sayısı 119 kişi (%47), 10-49 aralığında 73 kişi (%28,9), 50-249 aralığında çalışan sayısı 44 kişi (%17,4), 250-499 aralığında 7 kişi (%2,7), 500 ve daha fazla çalışan sayısı olan 10 kişi (%4) cevaplamıştır. Pandemi sürecinde 1-9 arasında çalışan tam zamanlı sayısında artış, diğer gruplarda azalma söz konusudur. Bu sonuç, tam zamanlı çalışan sayısının azaldığını göstermektedir.

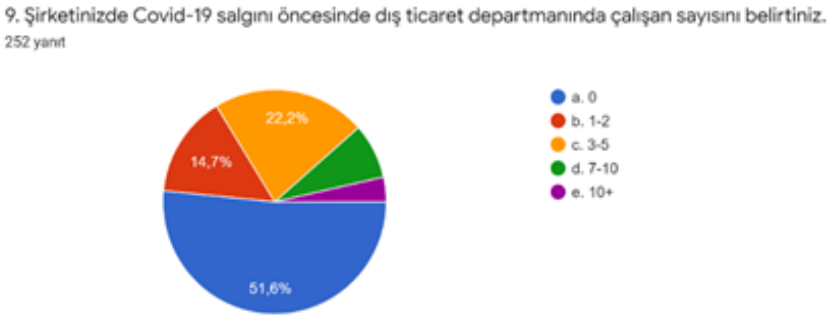



**SORU 7:** Şirketinizde Covid-19 salgını öncesinde esnek zamanlı çalışan personel sayısını belirtiniz? sorusuna, 251 firma yanıtlamıştır. 1-9 aralığında çalışan sayısı 137 kişi (%55,2), 10-49 aralığında 62 kişi (%25), 50-249 aralığında çalışan sayısı 31 kişi (%12,5), 250-499 aralığında 13 kişi (%5,2), 500 ve daha fazlasına 5 kişi (%2) cevaplamıştır.



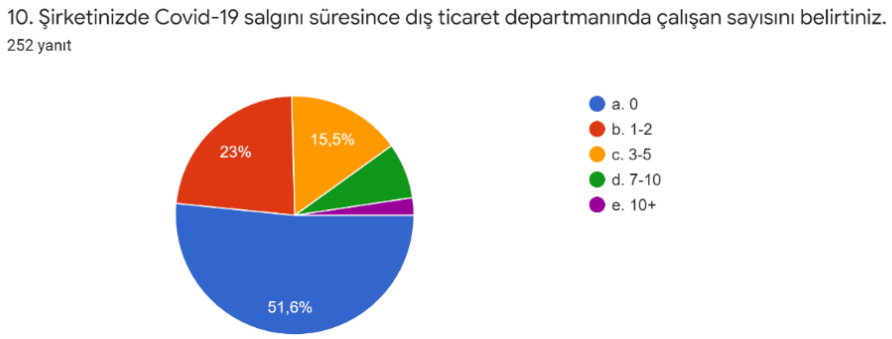

**SORU 8:** Şirketinizde dış ticaret departmanı bulunmakta mıdır? sorusuna, 253 firma yanıtlamıştır. Bunlardan 109 kişi (%43,3) evet, 143 kişi (%56,7) hayır cevabını vermişlerdir. Bu sonuç, Kayseri'de ticaret performansının artırılabileceğini göstermektedir.

**SORU 9:** Şirketinizde Covid-19 salgını öncesinde dış ticaret departmanında çalışan sayısını belirtiniz? sorusuna, 252 firma yanıt vermiştir. Bunlardan 0 seçeneğini işaretleyen 130 kişi (%51,6), 1-2 aralığında 37 kişi (%14,7), 3-5 aralığında 56 kişi (%22,2), 7-10 aralığında 20 kişi (%7,9), 10 ve üzeri seçeneğini işaretleyen 9 kişi (%3,6) cevaplamıştır.




**SORU 10:** Şirketinizde Covid-19 salgını süresince dış ticaret departmanında çalışan sayısını belirtiniz? sorusuna, 252 firma yanıtlamıştır. Bunlardan 0 seçeneğini işaretleyen 130 kişi (%51,6), 1-2 aralığında 58 kişi (%23), 3-5 aralığında 39 kişi (%15,5), 7-10 aralığında 19 kişi (%7,5), 10 ve üzeri işaretleyen 6 kişi

(%2,4) çalışan sayısını belirtmişlerdir. Bu sonuçlar kapsamında, dış ticaret departmanı olan şirketlerde pandemi sürecinde dış ticaret eleman sayısında da azalma yaşandığı görülmektedir.




**SORU 11:** Şirketiniz İhracat yapıyor mu? sorusuna, 249 firma yanıt vermiştir. Ankete katılan 163 firma ihracat yaptığını belirtirken, 86 firma ihracat yapmadığını belirtmiştir.

**SORU 12:** Şirketinizde ihracatını yaptığınız ürünler nelerdir? sorusuna, 213 firma yanıt vermiştir. Buna göre ilk üç sektör Diğer Sanayi Ürünleri, Mobilya kağıt orman ürünleri ve Hazır Giyim Konfeksiyon ürünleri olarak sıralanmaktadır.

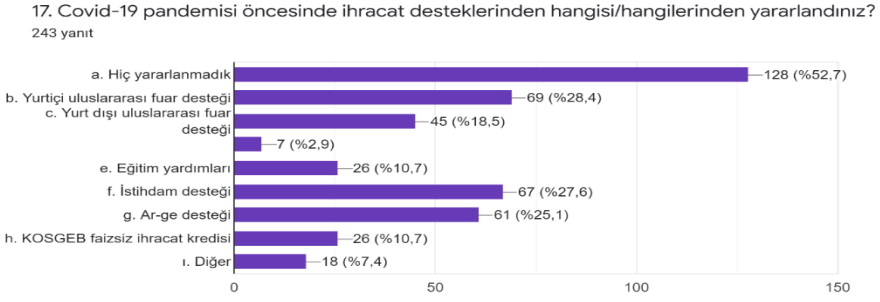
**SORU 13:** Covid-19 pandemisi öncesinde İhracat yaptığınız ilk 5 ülkeyi sıralayınız? sorusuna, 168 firma yanıt vermiştir. Ankete katılan firmalara göre, en fazla ihracat yapılan ülkeler içinde ilk sırada Almanya gelmektedir. İlk beş ülke sıralaması; Almanya, Çin, Azerbaycan, ABD, Fransa 'dır.

**SORU 14:** Covid-19 pandemisi süresince İhracat yaptığınız ilk 5 ülkeyi sıralayınız? sorusuna, 164 firma yanıt vermiştir. Ankete katılan firmalara göre, en fazla ihracat yapılan ülkeler içinde ilk sırada Almanya gelmektedir. İlk beş ülke sıralaması; Almanya, Çin, Azerbaycan, ABD, İngiltere' dir. Bu kapsamda pandemi öncesi ve pandemi süreci içinde ihracat yapılan ülke sıralamasında bir farlılık gerçekleşmediği belirlenmiştir.

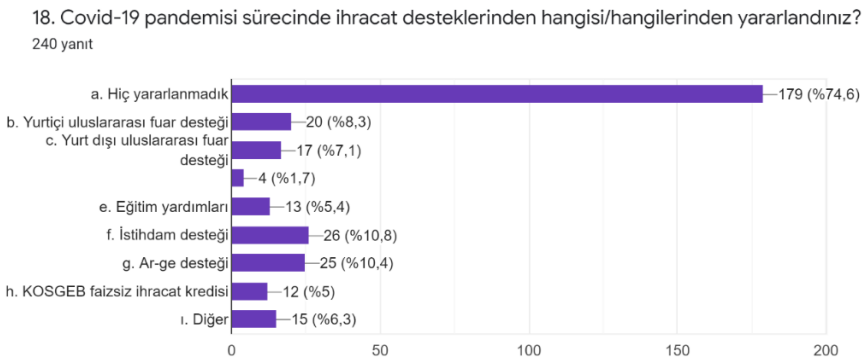
**SORU 15:** Covid-19 pandemisi öncesinde en fazla ihraç ettiğiniz ürünler nelerdir? sorusuna, 167 firma yanıt vermiştir. Ankete katılan firmalara göre, en fazla ihraç edilen ürünler içinde Mobilya, Hazır giyim, Yaş meyve ve sebze gelmektedir.

**SORU 16:** Covid-19 pandemisi süresince en fazla ihraç ettiğiniz ürünler nelerdir? sorusuna, 167 firma yanıt vermiştir. Ankete katılan firmalara göre, en fazla ihraç edilen ürünler içerisinde Sağlık ve Medikal ürünleri, Mobilya kağıt orman ürünleri, Yaş meyve ve sebze, Hazır giyim konfeksiyon ürünleri gelmektedir. Bu kapsamda pandemi öncesi ve pandemi süreci içinde ihracat edilen ürünlerde, Sağlık ve Medikal ürünler kapsamında farlılık sörkonusudur.

**SORU 17:** Covid-19 pandemisi öncesinde ihracat desteklerinden hangisi/hangilerinden yararlandınız? sorusuna 243 firma yanıt vermiştir. Firmaların verdiği cevaplara göre, Hiç yararlanmadık 128, Yurtiçi uluslararası fuar desteği 69, Yurt dışı uluslararası fuar desteği 45, Yurt dışı ofis mağaza açma yardımı 7, Eğitim yardımları 26, İstihdam desteği 67, Ar-ge desteği 61, KOSGEB faizsiz ihracat kredisinden 26, diğer olarak işaretleyen 18 firmanın ihracat desteklerinden yararlandığı görülmüştür.



**SORU 18:** Covid-19 pandemisi sürecinde ihracat desteklerinden hangisi/hangilerinden yararlandınız? sorusuna 240 firma yanıt vermiştir. Firmaların verdiği cevaplara göre, Hiç yararlanmadık 179, Yurtiçi uluslararası fuar desteği 20, Yurt dışı uluslararası fuar desteği 17, Yurt dışı ofis mağaza açma yardımı 4, Eğitim yardımları 13, İstihdam desteği 26, Ar-ge desteği 25, KOSGEB faizsiz ihracat kredisinden 12, diğer cevabını veren 15 firmanın ihracat desteklerinden yararlandığı görülmüştür. Pandemi süresinde şirketlerin destek alımına yönlendirilmesi, bu konuda bilgilendirici eğitimlerin verilmesi ihracatı olumlu etkileyecek önemli bir kanal olarak görülmektedir.

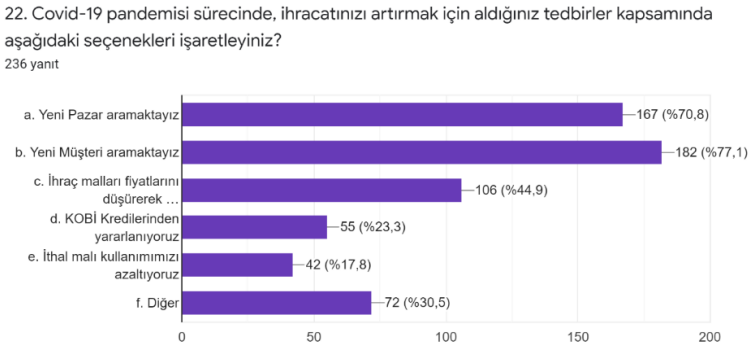



**SORU 19:**
Covid-19 pandemisi öncesinde ihracat kapasitenizi belirtiniz? sorusuna 207 firma yanıtlamıştır. %1-10 aralığında ihracat kapasitesi 81 firma (%39,1), %11-20 aralığında 43 firma (%20,8), %21-30 aralığında 29 firma (%14), %31-40 aralığında 29 firma (%14), %41-50 aralığında 9 firma (%4,3), %51-60 aralığında ise 13 firma (%6,3) cevaplamıştır.

**SORU 20:** Covid-19 pandemisi sürecinde ihracat kapasitenizi belirtiniz? sorusuna 209 firma yanıtlamıştır.
%1-10 aralığında ihracat kapasitesi 93 firma (%44,5), %11-20 aralığında 43 firma (%20,6), %21-30 aralığında 24 firma (%11,5), %31-40 aralığında 25 firma (%12), %41-50 aralığında 9 firma (%4,3), %51-60 aralığında 2 firma (%1), %60 ve üzeri aralığında 8 firma (%3,8), İşletmemizin faaliyeti durmuştur olarak söyleyen ise 5 firma (%2,4) ihracat kapasitesini belirtmişlerdir. Pandemi öncesi ihracat kapasitesi yüksek olan firmalar (%20 ve üzerinde olan firmalar), pandemi sürecinde daha düşük ihracat kapasitesi ile çalışabilmişlerdir.
**SORU 21:** Covid-19 pandemisi sürecinde sorun yaşadığınız alanları belirtiniz? sorusuna, 241 firma yanıtlamıştır. Firmaların verdiği cevaplara göre İhracat geliri kaybı 99, Dış ticaret yaptığımız müşteri kaybı 53, Nakit akışının yavaşlaması 193, Üretim kapasitesinin gerilemesi 113, esnek çalışmaya bağlı istihdam kaybı 70, işten çıkarmaya bağlı istihdam kaybı 54, Hijyen malzemeleri tedarikinde sorun yaşanması 69, diğer olarak işaretleyen ise 25 firma sorun yaşadığı alanları belirttiği görülmüştür.



**SORU 22:** Covid-19 pandemisi sürecinde, ihracatınızı artırmak için aldığınız tedbirler kapsamında aşağıdaki seçenekleri işaretleyiniz? sorusuna, 236 firma yanıtlamıştır. Firmaların verdiği cevaplara göre Yeni Pazar aramaktayız diyen firma sayısı 167, Yeni müşteri aramaktayız 182, İhraç malları fiyatlarını düşürerek rekabet ediyoruz 106, KOBİ kredilerinden yararlanıyoruz 55, İthal malı kullanımını azaltıyoruz 42 ve diğer cevabını işaretleyen ise 72 firma ihracatını artırmak için aldığı tedbirleri belirttiği görülmüştür.




Uygulama bölümünün yüz yüze görüşme yöntemi kullanımı pandemi nedeniyle online olarak ve ikili görüşme şeklinde gerçekleşmiştir. 25 firma sahibi ile görüşme yapılmış ve pandemi sürecinde ihracat ile ilgili yaşadıkları sorunlar, beklentileri ve çözüm önerileri raporlanmıştır. Görüşmelerin standart bir yapı kazanması amacıyla firma yetkililerine aşağıda belirtilen üç soru sorulmuş, alınan cevaplar aşağıda özetlenmiştir:

**İkili Görüşme, Soru 1:** Pandemi sürecinde ihracat işlemlerinde sorun yaşadınız mı? Sorun yaşamanızın nedenleri nelerdir? sorusuna, 17 firma ihracat konusunda sıkıntı yaşadıklarını söyleyerek evet, ihracat yapmayan 8 firma ise sıkıntı yaşamadıklarını söyleyerek hayır cevabını vermişlerdir. İhracat konusunda sorun yaşayan 17 firmaya yaşadıkları sorunları, 5 firma pandemi sürecinde nakit akışının yavaşladığını, 4 firma ihracat gelirinde düşüş yaşandığını ve üretim kapasitesinin düştüğünü, 8 firma ise hijyen malzemeleri tedarikinde sorun yaşadıklarını belirterek cevaplamıştır.

**İkili Görüşme, Soru 2:** İhracatı artırmak için çözüm önerileriniz nelerdir? sorusuna, 15 firma Yeni müşteriler bulmak demişlerdir; yeni müşteriler de uluslararası fuarlar, e-ticaret siteleri, işletme ve rakiplerdeki bilgiler, devlet kurumlarının ve STK'ların yardım ve destekleri ile sağlanmaktadır, 7 firma ülkelerin dış ticaret dengelerinin korunması ve ülke içindeki ekonomik faaliyetlerin canlanması karlılığın artmasını sağlamak, olarak cevap vermiş , 4 firma iç fiyatların yüksek bularak düşürülmesi gerektiğini belirtmiştir. 9 firma döviz kurunun düşürülmesi gerektiğini, 5 firma ithal malı kullanımının azaltılmasını ve kar marjlarını değil pazar paylarını artırmanın da doğru bir çözüm önerisi olacağını belirtmişlerdir.

**İkili Görüşme, Soru 3:** Önerileriniz nelerdir? sorusuna, firmalardan alınan cevaplar şöyledir; İhracatın teşvik edilmesi, ihraç pazarlarının geliştirilmesi ve dünya ihracatındaki payımızın artırılması, uluslararası piyasalara açılan işletmelerin rekabet güçlerinin artırılması, uygun kredilerle üretici firmaların desteklenmesi, yurtiçi ve yurtdışı fuarlarına katılım imkanı sağlanmasıdır.

## 4. SONUÇ

İhracat yapısındaki olumlu gelişmeler ülke ekonomisi ile doğrudan ilişkili olmakta ve ülkenin makroekonomik değişkenlerini olumlu etkileyebilmektedir. Pandeminin etkilerini azaltmak, çalışma hayatının ve istihdamın önündeki olumsuz sürecin atlatmasını sağlamak içinde bulunduğumuz dönemde alınan tedbirlere bağlıdır.

Bu çalışmada Kayseri ilindeki firmaların pandemi sürecinin ihracat üzerindeki etkisinin ve alınabilecek tedbirler incelenmeye çalışılmıştır. Bunu gerçekleştirirken Kayseri Sanayi Odası ve firma yetkilileri ile görüşülerek araştırmada anket yapılması için gerekli firma listesi oluşturulmuştur. Ankete katılan kişiler

büyük ölçüde yönetici, müdür ve üst düzey kişiler olması anketin güvenilirliğini artırmıştır. Firmaların hukuki yapısı ağırlıklı olarak gerçek kişi ticari işletmesi (şahıs şirketi) biçimindedir. Ankete katılan firmaların faaliyet alanları sırasıyla Diğer Sanayi Ürünleri, Mobilya kâğıt orman ürünleri ve Hazır Giyim Konfeksiyon ürünleridir. Ankete katılan firmaların %62,7'si 10 yıl ve üzeri faaliyet gösteren firmalardır. Firmaların ortalama %75'nin pandemi öncesinde 1-49 kişi çalıştırdığı görülmektedir. Firmaların %10'u 250 ve üzeri kişi çalıştırmaktadır. Pandemi sürecinde 1-9 arasında çalışan tam zamanlı sayısında artış, diğer gruplarda azalma söz konusudur. Bu sonuç, tam zamanlı çalışan sayısının azaldığını göstermektedir. Firmalarda Covid-19 salgını öncesinde esnek zamanlı çalışan sayısı 1-9 aralığında diğer gruplara göre daha yüksektir (%55,2). Pandemi süresince ise kapanma sürecine bağlı olarak esnek çalışan sayısı yüksektir. Dış ticaret departmanı bulunan firma sayısı 109 kişi (%43,3) iken bulunmayan firma sayısı 143 kişi (%56,7) olup, bu bulgu ihracat potansiyelinin geliştirilmesi gerektiğini ortaya kaymaktadır. Ankete katılan 163 firma ihracat yaptığını belirtirken, 86 firma ihracat yapmadığını belirtmiştir. İhraç yapan firmaların en fazla ihraç ettiği ürünler içerisinde sağlık ve medikal ürünleri, mobilya kağıt orman ürünleri, yaş meyve ve sebze, hazır giyim konfeksiyon ürünleri ilk sıralarda yer aldığı belirlenmiştir. Bu kapsamda pandemi öncesi ve pandemi süreci içinde ihracat edilen ürünlerde özellikle sağlık ve medikal ürünler kapsamında farlılık yaşandığı görülmektedir. Ankete katılan firmalara göre, pandemi öncesinde en fazla ihracat yapılan ülke Almanya'dır. İhracatta ilk on ülke sıralaması; Almanya, Çin, Azerbaycan, ABD, Fransa, Gürcistan, Suudi Arabistan, Cezayir, Mısır ve İngiltere'dir. Pandemi sürecinde de benzer şekilde ihracat yapılan ülkeler sıralamasında, İngiltere dışında, benzer eğilim söz konusudur.

Diğer bir sonuç, pandemi öncesinde özellikle ihracat kapasitesi yüksek çalışan (%20 ve üzerinde olan) firmaların pandemide ihracat hacminde diğerlerine göre daha fazla azalma olduğu yönündedir. Covid-19 pandemisi öncesinde ve sonrasında ihracat desteklerinden yararlanan firma sayısı düşüktür. Bu sonuç ihracat desteklerine yönelik firmaların yeterli bilgi ve girişimde olmadıklarını göstermiştir. Diğer bir bulgu ankete katılan firmalarda dış ticaret departmanın bulunmadığı veya yeterli olmadığı yönündedir. Öte yandan pandemi süresince firmalar ihracatta gelir ve müşterileri kaybı yaşadıklarını, nakit akışında sorun yaşadıklarını, üretim kapasitelerinin azaldığını, istihdam kaybı yaşadıklarını, hijyen malzemeleri tedarikinde sorun yaşadıklarını belirtmişlerdir. Bu kapsamda firmaların pandemi sürecinde ihracatı artırmak için yeni pazar ve müşteri aradıkları ve ithal malı kullanımını azalttıkları belirlenmiştir.

25 firma ile yapılan yüz yüze görüşme raporlarına göre; firmalar için nakit akışının yavaşlaması, ihracat gelirlerinin azalması, üretim kapasitesinin düşmesi, hijyen malzemeleri tedarikinde sorun yaşayanların olması firmaların pandemi süresinde yaşadıkları sıkıntıların başında gelmektedir. Firmalar ihracatı artırmak için çözüm önerisi olarak yeni müşteriler bulmak gerektiğini belirtmiş, bunun ise uluslararası fuarlara katılım, e-ticaret sitelerinden müşteri bulma, işletme ve rakiplerdeki bilgilerin paylaşımı, devlet kurumlarının ve STK'ların yardım ve destekleri ile sağlanabileceğini belirtmişlerdir. Bu süreçte bazı firmalar iç fiyatları yüksek bulmakta, bazıları döviz kurunun düşürülmesi gerektiğini belirtmektedir. Firmalar, pazar paylarının artırılması için de destek beklemektedir.

Gerek anket gereke ikili görüşmelerden elde edilen sonuçlara göre; Kayseri ilinde firmaların yenilikçi olması, girişimcilik kültürünün benimsenmesi, dış ticaret elemanı çalıştırması, bu elemanların eğitimi için katılacakları programları teşvik etmesi gerekmektedir. Firmaların dış pazarı araştıracak, yeni müşteri bulabilecek düzeyde İngilizce bilen ve dış ticaret uzmanlığı olan personele ihtiyacı vardır. Girişimcilik, iktisadi konjonktür gibi kavramlar üzerine eğitim veren üniversite, kamu ve STK'lar ile iletişime geçilerek firmalarda farkındalık oluşturulmalıdır. Ayrıca özellikle kriz dönemlerinde finansman çok önemlidir. Bu sorunun çözümünde uzun vadeli, düşük faizli ve ödemesi pandemi sonrası başlayacak krediler nakit akışını canlandıracak bir etki yaratacaktır. İhracat yapan işletmeleri özellikle desteklemek gerekmektedir. Bu kapsamda işletmelerin, pandemi bitene kadar, ayakta kalabilmek ve yeni normal hayata uyum sağlayabilmek için alt yapı desteğine, vergi borçlarının ertelenmesine, devlet teşviklerine ve destek kredilerine ihtiyaç duyacağı da öngörülmektedir.

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# Bankaların Sürdürülebilirlik Değerlendirmesi: Gri İlişkisel Analiz Yöntemi

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**Özet**: Geleneksel iş modelleri yerine sosyal ve çevresel konuların da dikkate alınmasıyla ortaya çıkan sürdürülebilir kalkınma programlarının gerçekleştirilmesi finans sektörü ön plana çıkmaktadır. Çevresel, sosyal ve ekonomik etken olan sürdürülebilirlik stratejisi uzun dönem ele alındığında kurumlara yarar sağlamaktadır. Sürdürülebilir finans anlayışının etkinleştirilmesi için yasal düzenlemeler yapılması ve bilgi eksikliklerinin giderilmesinin yanı sıra finansal kurumlarda sürdürülebilirlik algısının pekişmesi ve bu algının kalkınma politikalarına da yansıması gerekmektedir. Finansal kaynakların dağıtımında yer alan bankacılık sektörünün sürdürülebilirlik için gerekli olan kaynakları sağlaması gerekmektedir. İş süreçlerinin iklimsel değişikliklere göre şekillenmesi kapsamında, bankacılık faaliyetleri de değişim içine girmektedir. Bu çerçevede, sürdürülebilir kalkınma sürecinde gelişmekte olan ülkelerde bankaların rolü önem arz etmektedir. Bankacılık faaliyetlerinin sürdürülebilirliğinde savunucu bankacılık, önleyici bankacılık, saldırgan bankacılık ve sürdürülebilir bankacılık olamk üzere dört aşama bulunmakta ve sürdürülebilirlik aşamasında karar verme işlemi yapılırken finansal getiriden ziyade sürdürülebilirlik sonuçları üzerinde durulmaktadır. Çalışma kapsamında, Türkiye'de bankacılık sektöründe faaliyet gösteren kurumların sürdürebilirlik stratejilerin Gri ilişkisel analiz yöntemi kullanılarak ortaya çıkartılması amaçlanmaktadır.

**Anahtar kelimeler**: Sürdürülebilirlik, Bankacılık sektörü, Gri ilişkisel analiz

# Sustainability Assessment of Banks: The Gray Relative Analysis Method

**Abstract:** The financial sector comes to the fore in the realization of sustainable development programs that emerge by taking into account social and environmental issues instead of traditional business models. Sustainability strategy, an environmental, social and economic factor, benefits organizations in the long term. In order to activate the sustainable finance approach, legal regulations should be made and information deficiencies should be eliminated, as well as the sustainability perception in financial institutions should be reinforced and this perception should be reflected in development policies. Bank sector involved in the distribution of financial resources must provide the necessary resources for sustainability. Banking activities are also undergoing changes within the scope of shaping business processes according to climatic changes. In this framework, the role of banks in sustainable development process is important. İn developing countries. There are four stages in the sustainability of banking activities: defensive banking, preventive banking, aggressive banking and sustainable banking. During the decision-making process at the sustainability stage, the focus is on sustainability results rather than financial returns. Within the scope of the study, it is aimed to reveal the sustainability strategies of institutions operating in the banking sector in Turkey by using the Gray relational analysis method.

**Keywords**: Sustainability, Banking sector, Gray relational analysis

## 1. GİRİŞ

Üretim ve çeşitliliğin devamlılığı sağlanırken gelecekteki ihtiyaçlardan ödün verilmemesi temeline dayanan sürdürülebilirlik olgusu, kaynakların verimli kullanılmasıyla çevresel bozulmanın en alt düzeye indirilerek ekonomik ve sosyal gelişimin/kalkınmanın sağlanması esasına dayanmaktadır. Bankacılık sektörü, özellikle teknolojik gelişmeler sonucunda, gelişmekte olan ülkelerin finansal sistemleri içinde önemli artan bir paya sahip olmaktadır. Bu çerçevede, bankaların sunduğu hizmetlerin insana, çevreye ve sosyal yapıya etkisi olduğundan yola çıkılarak sürdürülebilir kalkınma sürecine de katkı sağlaması gerekmektedir. Sürdürülebilirlik kavramı bankacılık sektöründe sorumluluk kavramını istikrarlı ekonomilerin temeline oturturken; bankacılık sektöründe itibar ve rekabet üstünlüğü de sağlamaktadır. Sürdürülebilir bankacılık kavramı, ekonomik modellerin ve büyüme stratejilerin gözden geçirilerek,

ticaret sonucu ortaya çıkan sanayileşme faaliyetlerine, iklim değişikliklerine ve ekolojik dengeye dolaylı olarak katkı sağlayabilmektedir.

Uçkun ve Girginer (2011), kamu bankaları içinde en yüksek performansın Türkiye Cumhuriyeti Ziraat Bankası A.Ş'ne ve özel bankalarda ise en yüksek performansın Anadolubank A.Ş.'ne ait olduğunu ifade etmektedir. Özçelik ve Avcı (2011) sürdürebilirlik performanslarına göre en iyi bankalar sırasıyla Türkiye Sınai Kalkınma Bankası A.Ş., Türkiye Garanti Bankası A.Ş. ve Akbank T.A.Ş. olarak belirlemektedir. Altan ve Candoğan (2014), performans karşılaştırılmasında gri ilişki analiz ve geleneksel analiz sonuçlarının birbirinin tersi olarak elde edildiğini göstermektedir Özbek (2015), sırasıyla QNB Finansbank A.Ş. , Denizbank A.Ş., HSBC Bank A.Ş. ve ING Bank A.Ş.'nin en iyi kurumsal sürdürülebilirlik performansına sahip yabancı sermayeli bankalar olduğunu göstermektedir. Ömürbek ve diğ.(2017), ARAS, MOOSRA ve COPRAS yöntemlerini kullanarak sürdürebilirlik performansı en iyi olan bankanın Türkiye Cumhuriyeti Ziraat Bankası A.Ş olurken; Türkiye Vakıflar Bankası T.A.O. sürdürülebilir performans açısından kötü olduğunu belirtmektedir. Eren ve diğ. (2017), büyük ölçekli bankalar arasından Türkiye Cumhuriyeti Ziraat Bankası A.Ş'nin, orta ölçekli bankalar arasında QNB Finansbank A.Ş.'nin ve küçük ölçekli bankalar arasında ise Anadolubank A.Ş'nin performans değerlerinin yüksek olduğunu vurgulamaktadır. Yüksel ve diğ. (2017), performans karşılaştırmasında gri ilişki analiz ve MOORA yöntemiyle elde edilen sonuçların benzer olduğunu göstermektedir. Aras ve diğ.(2018), sırasıyla Türkiye Garanti Bankası A.Ş., Türkiye Finans Katılım Bankası A.Ş ve Şekerbank T.A.Ş. 'in sürdürülebilirlik performansına sahip bankalar olduğunu göstermektedir. Yıldız ve Öztel (2018), kurumsal sürdürülebilirlik araştımasında ekonomik performansın 2014 yılında, çevresel performansının 2015 yılında ve sosyal performansın 2016 yılında en iyi değerlerde olduğunu göstermektedir. Gözkonan ve diğ.(2019), TOPSIS ve gri-İlişkisel analiz yöntemlerini kullanarak sürdürülebilir performansın geleneksel bankalar içinde Akbank T.A.Ş. ve katılım bankalarının içinde ise Kuveyt Türk Katılım Bankası A.Ş olduğunu göstermektedir. Ecer (2019), sırasıyla Türkiye İş Bankası A.Ş., Akbank T.A.Ş., Türk Ekonomi Bankası A.Ş., Yapı ve Kredi Bankası A.Ş. ve Şekerbank T.A.Ş.'nin en iyi kurumsal sürdürülebilirlik performansına sahip özel sermayeli bankalar olduğunu göstermektedir .Ayçin ve Orçun (2019), 2016 yılına göre sürdürülebilirlik performansı en iyi bankalar sırasıyla Türkiye Cumhuriyeti Ziraat Bankası A.Ş, Türkiye İş Bankası A.Ş , Türkiye Garanti Bankası A.Ş. olurken ; 2017 yılında Türkiye Cumhuriyeti Ziraat Bankası A.Ş, Türkiye İş Bankası A.Ş., Türk Ekonomi Bankası A.Ş olmaktadır.Topak ve Çanakçıoğlu (2019), performansı en yüksek bankaların sırasıyla , Türkiye Cumhuriyeti Ziraat Bankası A.Ş, Türkiye İş Bankası A.Ş. ve Türkiye Türkiye Garanti Bankası A.Ş. olduğunu belirtmektedir.

Çalışma kapsamında, ilgilenilen kriterler ile alternatiflerin belirlenerek değerlendirme, sıralama ve seçim yapma işlevine yardımcı olan çok kriterli karar verme yöntemlerinden entropi yöntemi kullanılarak ağırlıklandırma yapılan gri-ilişkisel analiz yöntemiyle bankalara ilişkin sürdürülebilirlik performansları incelenmektedir. Çalışmanın ilk bölümünde konuya giriş yapıldıktan sonra, ikinci bölümde sürdürülebilir performansın belirlenmesinde kullanılan ekonometrik yönteme değinilmektedir. Üçüncü bölümde bankalara ilişkin sürdürülebilirlik performansları karşılaştırıldıktan sonra, son bölümde bulgular ve önerilere yer verilmektedir.

## 2. Ekonometrik Metodoloji

Sistemdeki düzensizliğin ve belirsizliğin ölçüsü olarak tanımlanan entropi, veriler tarafından sağlanan faydalı bilgi miktarını ölçmektedir (Wu, 2011).Farklı indeks boyutlarının eş-ölçülemezlik üzerindeki etkilerini yok etmek amacıyla fayda-maliyet indekslerine göre kriterler

$$r_{ij} = x_{ij}/max_{ij} \qquad \text{(i=1…,m;j=1,…,n)} \qquad (1)$$

$$r_{ij} = min_{ij}/x_{ij} \qquad \text{(i=1…,m;j=1,…,n)} \qquad (2)$$

şeklinde standartlaştırılmaktadır.Farklı ölçü birimlerindeki aykırılıkları yok etmek için normalizasyon yapılarak, alternatifler i, kriterler j, verilen fayda değerleri $a_{ij}$ olmak üzere

$$P_{ij} = \frac{a_{ij}}{\sum_{i=1}^{m} aij}; \forall_j \qquad (3)$$

elde edilmektedir. Entropi katsayısı k= $(\ln(n))^{-1}$ ve normalize edilmiş değerler $P_{ij}$ olmak üzere

$$E_{j=} - k\sum_{i=1}^{m}[P_{ij}\, lnP_{ij}];\forall j \quad (4)$$

elde edilmektedir. $\forall_j$ *için* $d_j = 1 - E_j$ belirsizliği göstermek üzere j. kriterinin önem derecesi olarak $W_j$ ağırlıkları

$$W_j = \frac{d_j}{\sum_{j=i}^{n} d_j};\forall_j \quad (5)$$

şeklinde gösterilmektedir.Deng (1982), gri sistem teorisinden yola çıkarak gri ilişki analizini ortaya koymaktadır. Bilginin netliğini göstermek için renkler (bilinen bilgiler beyaz, kısmen bilinen bilgiler gri, hiç bilinmeyen bilgiler siyah) kullanılmaktadır (Lui ve Lin,2010). Karar matrisi

$$\begin{bmatrix} x_1(1)\, x_1(2) & \dots & x_1(n) \\ x_2(1)\, x_2(2) & \dots & x_2(n) \\ \vdots & \vdots & \vdots \\ x_n(1)\, x_n(2) & \dots & x_n(n) \end{bmatrix} \quad (6)$$

şeklinde oluşturulduktan sonra, j.kriterin normalize değerleri içindeki en büyük değeri $x_0$(j) olmak üzere referans serisi

$$x_0 = (x_0\ (1), x_0(2), \dots., x_0\ (j), \dots, x_0(n)$$

şeklinde ifade edilmektedir. j.kriterin hedef değeri $x_{0b}(j)$ ve $max\ x_i\ (j) \geq x_{0b}\ (j) \geq \min x_i\ (j)$ olmak üzere Kriter değerinin normalize işlemi sonucunda büyük çıkması uygunsa,

$$x_i^* = \frac{x_i\ (j) - minxi(j)}{\max x_i(j) - min x_i(j)} \quad (7)$$

Kriter değerinin normalize işleminin sonra küçük çıkması uygun ise,

$$x_i^*(j) = \frac{\max x_i\ (j) - xi(j)}{\max x_i(j) - min x_i(j)} \quad (8)$$

Kriter değerinin normalize işleminin ardından ortalama bir değer alması uygun ise,

$$x_i^*\ (j) = \frac{|x_i(j) - x_{0b}(j)|}{|\max x_i(j) - x_{0b}(j)|} \quad (9)$$

kullanılmakta ve karar matrisi

$$X_i^* = \begin{bmatrix} x_1^*(1) & x_1^*(2) & \cdots x_1^*(n) \\ x_2^*(1) & x_2^*(2) & \cdots x_2^*(n) \\ \vdots & \vdots & \vdots \\ x_n^*(1) & x_n^*(2) & \dots x_n^*(n) \end{bmatrix} \quad (10)$$

şeklinde elde edilmektedir.$X_0^*\ ile\ X_i^*$ arasındaki mutlak değer

$$\Delta_{0i}(j) = |x_0^*\ (j) - x_i^* = \begin{bmatrix} \Delta_{01}(1) & \Delta_{01}(2) & \dots \Delta_{01}(n) \\ \Delta_{02}(1) & \Delta_{02}(2) & \dots \Delta_{02}(n) \\ \vdots & \vdots & \vdots \\ \Delta_{0m}(1) & \Delta_{0m}(2) & \dots \Delta_{0m}(n) \end{bmatrix} \quad (11)$$

olarak gösterilmektedir. [0,1] aralığında değer alan $\zeta$ ayırıcı katsayısı, $\Delta \max = \max_i \max_j \Delta_{oi}\ (j)$ ve $\Delta \min = \min_i \min_j \Delta_{oi}\ (j)$ olmak üzere, *gri ilişkisel katsayı matrisi*

$$\gamma_{0i}\ (j) = \frac{\Delta min - z\Delta max}{\Delta oi(j) - z\Delta max} \quad (12)$$

formülü ile hesaplanmaktadır. Kriterlerin eşit önem düzeyinde olduğu varsayıldığında i.elemanın gri ilişki derecesi

$$\Gamma_{oi} = \frac{1}{n}\sum_{j=1}^{n}\gamma_{oi}(j)$$
(13)

ve kriterlerin farklı ağırlıklarıa sahip olduğu varsayıldığında söz konusu ise i.elemanın gri ilişki derecesi

$$\Gamma_{oi} = \sum_{j=i}^{n}[W_i(j)X\gamma_{oi}(j)]$$
(14)

olarak elde edilmektedir (Özbek,2021).

### 3. Sürdürülebilirlik Performansının Belirlenmesi

Çalışma kapsamında, Türkiye Cumhuriyeti Ziraat Bankası A.Ş (B1), Türkiye Halk Bankası A.Ş (B2), Türkiye Vakıflar Bankası T.A.O (B3), Akbankk T.A.Ş (B4), Türkiye İş Bankası A.Ş (B5), Türkiye Ekonomi Bankası (B6), Yapı ve Kredi Bankası A.Ş (B7) ve Türkiye Garanti Bankası A.Ş (B8) olmak üzere toplam sekiz (8) banka ve toplam aktifler oranı (F1), nakdi krediler oranı(F2), özkaynak oranı(F3), mevduat oranı(F4), şube sayısı(O1), müşteri sayısı(O2), toplam ATM sayısı(O3), çalışan sayısı(O4),çalışan başına ortalama eğitim süresi(O5), sermaye yeterlilik oranı(S1) kapsam 1(K1) ve kapsam2(K2) olmak üzere toplam on iki (12) kriter ele alınmaktadır. İlgili bankalara ilişkin veriler Kamuyu Aydınlatma Platformu(KAP), Türkiye Bankalar Birliği (TBB) ve bankalara ilişkin yıl-sonu faaliyet raporlarından elde edilirken; kapsam1 ve kapsam 2 verilerine Climate-Change veri setinden ulaşılmaktadır.

Bankalara ilişkin elde edilen karar matrisi ve farklı ölçütlerin kullanılmasından kaynaklanan sorunları giderilmesi için gerçekleştirilen standartlaştırılma işlemine ilişkin sonuçlar Tablo 1.'de gösterilmektedir. Kriterlere ilişkin entropi değerleri elde edildikten sonra ej, dj, wj ve k değerleri elde edilmektedir.

Tablo 1 : Bankalar ve kriterlere ilişkin karar matrisi

Karar matrisinin belirlenmesi

| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B1** | 21 | 18,1 | 35,1 | 22,1 | 1758 | 40 | 7243 | 24563 | 13,35 | 17 | 33780 | 47754 |
| **B2** | 20,8 | 19,4 | 10,9 | 19,6 | 1006 | 21,4 | 4051 | 18967 | 69,12 | 14,3 | 30000 | 453000 |
| **B3** | 26,6 | 24 | 16,5 | 40,2 | 943 | 23,1 | 4245 | 16835 | 58,6 | 16,61 | 24000 | 24171 |
| **B4** | 9 | 6 | 9,6 | 17,3 | 771 | 20,1 | 5100 | 12750 | 38 | 19,7 | 13449 | 53505 |
| **B5** | 12,4 | 4,7 | 18,4 | 20,7 | 1271 | 19,5 | 6506 | 24053 | 25,7 | 17,9 | 21789 | 71781 |
| **B6** | 11 | 8 | 11,5 | 12 | 471 | 6,4 | 1728 | 8954 | 42 | 16,95 | 4915 | 18721 |
| **B7** | 10 | 4 | 9,4 | 22 | 846 | 22 | 4330 | 17.118 | 34 | 18 | 17.249 | 41.338 |
| **B8** | 1,5 | 6,8 | 12,4 | 13 | 914 | 17,6 | 5260 | 18784 | 40 | 17,8 | 12933 | 54300 |

Standartlaştırma süreci

| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B1** | 0,186 | 0,198 | 0,283 | 0,132 | 0,220 | 0,235 | 0,188 | 0,172 | 0,041 | 0,122 | 0,213 | 0,062 |
| **B2** | 0,185 | 0,213 | 0,088 | 0,117 | 0,126 | 0,125 | 0,105 | 0,133 | 0,215 | 0,103 | 0,189 | 0,592 |
| **B3** | 0,236 | 0,263 | 0,133 | 0,24 | 0,118 | 0,135 | 0,110 | 0,118 | 0,182 | 0,120 | 0,151 | 0,031 |
| **B4** | 0,080 | 0,065 | 0,077 | 0,103 | 0,096 | 0,118 | 0,132 | 0,089 | 0,118 | 0,142 | 0,085 | 0,069 |
| **B5** | 0,110 | 0,051 | 0,148 | 0,124 | 0,159 | 0,114 | 0,169 | 0,169 | 0,080 | 0,129 | 0,137 | 0,093 |
| **B6** | 0,097 | 0,087 | 0,092 | 0,071 | 0,059 | 0,037 | 0,044 | 0,063 | 0,130 | 0,122 | 0,031 | 0,024 |
| **B7** | 0,089 | 0,043 | 0,075 | 0,13 | 0,106 | 0,129 | 0,112 | 0,120 | 0,10 | 0,130 | 0,109 | 0,054 |
| **B8** | 0,013 | 0,074 | 0,1001 | 0,077 | 0,114 | 0,103 | 0,136 | 0,132 | 0,1247 | 0,128 | 0,081 | 0,071 |

Entropi değerlerinin elde edilmesi

| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B1** | -0,313 | -0,321 | -0,357 | -0,267 | -0,333 | -0,340 | -0,314 | -0,303 | -0,132 | -0,257 | -0,329 | -0,173 |
| **B2** | -0,312 | -0,329 | -0,213 | -0,251 | -0,261 | -0,260 | -0,237 | -0,268 | -0,330 | -0,234 | -0,315 | -0,310 |

| | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B3** | -0,341 | -0,351 | -0,268 | -0,342 | -0,252 | -0,271 | -0,243 | -0,252 | -0,310 | -0,254 | -0,286 | -0,109 |
| **B4** | -0,202 | -0,179 | -0,198 | -0,234 | -0,225 | -0,252 | -0,267 | -0,216 | -0,252 | -0,277 | -0,209 | -0,186 |
| **B5** | -0,243 | -0,153 | -0,283 | -0,258 | -0,292 | -0,248 | -0,300 | -0,300 | -0,202 | -0,264 | -0,273 | -0,222 |
| **B6** | -0,227 | -0,213 | -0,220 | -0,189 | -0,167 | -0,123 | -0,139 | -0,174 | -0,266 | -0,257 | -0,107 | -0,090 |
| **B7** | -0,215 | -0,137 | -0,195 | -0,267 | -0,237 | -0,264 | -0,245 | -0,255 | -0,237 | -0,265 | -0,241 | -0,157 |
| **B8** | -0,057 | -0,193 | -0,230 | -0,198 | -0,248 | -0,234 | -0,272 | -0,267 | -0,259 | -0,263 | -0,204 | -0,187 |
| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** |
| $e_j$ | -0,920 | -0,903 | -0,946 | -0,967 | -0,970 | -0,959 | -0,971 | -0,980 | -0,958 | -0,998 | -0,946 | -0,691 |
| $d_j$ | 1,920 | 1,903 | 1,946 | 1,967 | 1,970 | 1,959 | 1,971 | 1,980 | 1,958 | 1,998 | 1,946 | 1,691 |
| $w_j$ | 0,082 | 0,082 | 0,083 | 0,084 | 0,084 | 0,084 | 0,084 | 0,085 | 0,084 | 0,086 | 0,083 | 0,072 |
| **k** | 0,480 | | | | | | | | | | | |

Tablo 2.'de gri ilişkisel analiz yöntemi için elde edien verilere göre karar matrisi oluşturulmaktadır. Kriterlerin fayda yönlü ve maliyet yönlü olmasına göre minimum ve maksimum değerleri saptanmaktadır.Maksimize ve minimize değerlere göre optimum değerlerin belirlenmesi ile referans serisi oluşturulmaktadır. Referans seri ile her sütundaki gözlemler arasındaki mutlak farkı elde edildikten sonra minimum ve maksimum değerler için Tablo.2'de belirlenen son değerler kullanılmakta ve ayırıcı katsayı değeri 0,5 olarak belirlenmektedir. İlişki derecesi elde edildikten sonra ağırlıklandırmanın eşit düzeyde yapıldığı bilgisi ile sonuçlar elde edilmektedir.

Tablo 2. Aynı önem derecelerine göre gri ilişkisel analiz bulguları

Karar Matrisi

| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B1** | 21 | 18,1 | 35,1 | 22,1 | 1758 | 40 | 7243 | 24563 | 13,35 | 17 | 33780 | 47754 |
| **B2** | 20,8 | 19,4 | 10,9 | 19,6 | 1006 | 21,4 | 4051 | 18967 | 69,12 | 14,3 | 30000 | 453000 |
| **B3** | 26,6 | 24 | 16,5 | 40,2 | 943 | 23,1 | 4245 | 16835 | 58,6 | 16,61 | 24000 | 24171 |
| **B4** | 9 | 6 | 9,6 | 17,3 | 771 | 20,1 | 5100 | 12750 | 38 | 19,7 | 13449 | 53505 |
| **B5** | 12,4 | 4,7 | 18,4 | 20,7 | 1271 | 19,5 | 6506 | 24053 | 25,7 | 17,9 | 21789 | 71781 |
| **B6** | 11 | 8 | 11,5 | 12 | 471 | 6,4 | 1728 | 8954 | 42 | 16,95 | 4915 | 18721 |
| **B7** | 10 | 4 | 9,4 | 22 | 846 | 22 | 4330 | 17.118 | 34 | 18 | 17.249 | 41.338 |
| **B8** | 1,5 | 6,8 | 12,4 | 13 | 914 | 17,6 | 5260 | 18784 | 40 | 17,8 | 12933 | 54300 |

Referans serisinin ve karşılaştırma matrisinin oluşturulması

| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | **Maks.** | **Maks** | **Maks** | **Maks.** | **Min.** | **Maks** | **Maks** | **Min.** | **Maks** | **Maks** | **Min.** | **Min.** |
| **Ref.** | 26,6 | 24 | 35,1 | 40,2 | 471 | 40 | 7243 | 8954 | 69,12 | 19,7 | 4915 | 18721 |
| **B1** | 21 | 18,1 | 35,1 | 22,1 | 1758 | 40 | 7243 | 24563 | 13,35 | 17 | 33780 | 47754 |
| **B2** | 20,8 | 19,4 | 10,9 | 19,6 | 1006 | 21,4 | 4051 | 18967 | 69,12 | 14,3 | 30000 | 453000 |
| **B3** | 26,6 | 24 | 16,5 | 40,2 | 943 | 23,1 | 4245 | 16835 | 58,6 | 16,61 | 24000 | 24171 |
| **B4** | 9 | 6 | 9,6 | 17,3 | 771 | 20,1 | 5100 | 12750 | 38 | 19,7 | 13449 | 53505 |
| **B5** | 12,4 | 4,7 | 18,4 | 20,7 | 1271 | 19,5 | 6506 | 24053 | 25,7 | 17,9 | 21789 | 71781 |
| **B6** | 11 | 8 | 11,5 | 12 | 471 | 6,4 | 1728 | 8954 | 42 | 16,95 | 4915 | 18721 |

| | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B7** | 10 | 4 | 9,4 | 22 | 846 | 22 | 4330 | 17118 | 34 | 18 | 17249 | 41338 |
| **B8** | 1,5 | 6,8 | 12,4 | 13 | 914 | 17,6 | 5260 | 18784 | 40 | 17,8 | 12933 | 54300 |
| **Min.** | 1,5 | 4 | 9,4 | 12 | 471 | 6,4 | 1728 | 8954 | 13,35 | 14,3 | 4915 | 18721 |
| **Maks.** | 26,6 | 24 | 35,1 | 40,2 | 1758 | 40 | 7243 | 24563 | 69,12 | 19,7 | 33780 | 453000 |

Karar matrisinin standartlaştırılması

| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | **Maks** | **Maks** | **Maks.** | **Maks.** | **Min.** | **Maks** | **Maks.** | **Min.** | **Maks.** | **Maks.** | **Min.** | **Min.** |
| **Ref.** | 1 | 1 | 1 | 1 | 1 | 40 | 7243 | 8954 | 69,12 | 1 | 0 | 0 |
| **B1** | 0,776 | 0,705 | 1 | 0,358 | 0,776 | 40 | 7243 | 24563 | 13,35 | 0,5 | 1 | 0,066 |
| **B2** | 0,768 | 0,77 | 0,058 | 0,269 | 0,768 | 21,4 | 4051 | 18967 | 69,12 | 0 | 0,869 | 1 |
| **B3** | 1 | 1 | 0,276 | 1 | 1 | 23,1 | 4245 | 16835 | 58,6 | 0,427 | 0,661 | 0,01255 |
| **B4** | 0,298 | 0,1 | 0,007 | 0,187 | 0,298 | 20,1 | 5100 | 12750 | 38 | 1 | 0,295 | 0,080 |
| **B5** | 0,434 | 0,035 | 0,350 | 0,308 | 0,434 | 19,5 | 6506 | 24053 | 25,7 | 0,666 | 0,584583 | 0,122 |
| **B6** | 0,378 | 0,2 | 0,081 | 0 | 0,378 | 6,4 | 1728 | 8954 | 42 | 0,490 | 0 | 0 |
| **B7** | 0,338 | 0 | 0 | 0,354 | 0,338 | 22 | 4330 | 17118 | 34 | 0,685 | 0,427 | 0,052 |
| **B8** | 0 | 0,14 | 0,116 | 0,035 | 0 | 17,6 | 5260 | 18784 | 40 | 17,8 | 12933 | 54300 |

Mutlak Değer Tablosu

| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B1** | 0,223 | 0,295 | 0 | 0,641 | 1 | 0 | 0 | 1 | 1 | 0,5 | 1 | 0,066 |
| **B2** | 0,231 | 0,23 | 0,941 | 0,730 | 0,415 | 0,553 | 0,578 | 0,641 | 0 | 1 | 0,869 | 1 |
| **B3** | 0 | 0 | 0,723 | 0 | 0,366 | 0,502 | 0,543 | 0,504 | 0,188 | 0,572 | 0,661 | 0,012 |
| **B4** | 0,701 | 0,9 | 0,992 | 0,812 | 0,233 | 0,592 | 0,388 | 0,243 | 0,558 | 0 | 0,295 | 0,080 |
| **B5** | 0,565 | 0,965 | 0,649 | 0,691 | 0,621 | 0,610 | 0,133 | 0,967 | 0,778 | 0,333 | 0,584 | 0,122 |
| **B6** | 0,621 | 0,8 | 0,918 | 1 | 0 | 1 | 1 | 0 | 0,486 | 0,509 | 0 | 0 |
| **B7** | 0,661 | 1 | 1 | 0,645 | 0,291 | 0,535 | 0,528 | 0,523 | 0,629 | 0,314 | 0,427 | 0,052 |
| **B8** | 1 | 0,86 | 0,883 | 0,964 | 0,344 | 0,666 | 0,359 | 0,629 | 0,522 | 0,351 | 0,277 | 0,081 |

Eşit ağırlıklandırılması Gri İlişkisel Katsayı Matrisi

| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B1** | 0,691 | 0,628 | 1 | 0,4378 | 0,333 | 1 | 1 | 0,333 | 0,333 | 0,5 | 0,333 | 0,882 |
| **B2** | 0,683 | 0,684 | 0,346 | 0,406 | 0,546 | 0,474 | 0,463 | 0,438 | 1 | 0,333 | 0,365 | 0,333 |
| **B3** | 1 | 1 | 0,408 | 1 | 0,576 | 0,498 | 0,479 | 0,497 | 0,726 | 0,466 | 0,430 | 0,975 |
| **B4** | 0,416 | 0,357 | 0,335 | 0,381 | 0,682 | 0,457 | 0,562 | 0,672 | 0,472 | 1 | 0,628 | 0,861 |
| **B5** | 0,469 | 0,341 | 0,434 | 0,419 | 0,445 | 0,450 | 0,789 | 0,340 | 0,391 | 0,6 | 0,461 | 0,803 |
| **B6** | 0,445 | 0,384 | 0,352 | 0,333 | 1 | 0,333 | 0,333 | 1 | 0,506 | 0,495 | 1 | 1 |

| | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B7** | 0,430 | 0,333 | 0,333 | 0,436 | 0,631 | 0,482 | 0,486 | 0,488 | 0,442 | 0,613 | 0,539 | 0,905 |
| **B8** | 0,333 | 0,367 | 0,361 | 0,341 | 0,592 | 0,428 | 0,581 | 0,442 | 0,489 | 0,586 | 0,642 | 0,859 |
| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** |

Entropi ağırlıklandırılması Gri İlişkisel Katsayı Matrisi

| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **wj** | 0,082 | 0,082 | 0,083 | 0,084 | 0,084 | 0,084 | 0,084 | 0,085 | 0,084 | 0,086 | 0,083 | 0,072 |
| **B1** | 0,691 | 0,628 | 1 | 0,437 | 0,333 | 1 | 1 | 0,333 | 0,333 | 0,5 | 0,333 | 0,882 |
| **B2** | 0,683 | 0,684 | 0,346 | 0,406 | 0,546 | 0,474 | 0,463 | 0,438 | 1 | 0,333 | 0,365 | 0,333 |
| **B3** | 1 | 1 | 0,408 | 1 | 0,576 | 0,498 | 0,479 | 0,497 | 0,726 | 0,466 | 0,430 | 0,975 |
| **B4** | 0,416 | 0,357 | 0,335 | 0,381 | 0,682 | 0,457 | 0,562 | 0,672 | 0,472 | 1 | 0,628 | 0,861 |
| **B5** | 0,469 | 0,341 | 0,434 | 0,419 | 0,445 | 0,450 | 0,789 | 0,340 | 0,391 | 0,6 | 0,461 | 0,803 |
| **B6** | 0,445 | 0,384 | 0,352 | 0,333 | 1 | 0,333 | 0,333 | 1 | 0,506 | 0,495 | 1 | 1 |
| **B7** | 0,430 | 0,333 | 0,333 | 0,436 | 0,631 | 0,482 | 0,486 | 0,488 | 0,442 | 0,613 | 0,539 | 0,905 |
| **B8** | 0,333 | 0,367 | 0,361 | 0,341 | 0,592 | 0,428 | 0,581 | 0,442 | 0,489 | 0,586 | 0,642 | 0,859 |

Tablo 3.'de gri ilişkisel analiz yöntemi için elde edien verilere göre karar matrisi oluşturulmaktadır. Kriterlerin fayda yönlü ve maliyet yönlü olmasına göre minimum ve maksimum değerleri saptanmaktadır. Ayırıcı katsayı değeri 0,5 olarak belirlenmektedir. İlişki derecesi elde edildikten sonra de entropi ağırlıklandırma yöntemi ile gerçekleştirilen gri ilişkisel analiz sonuçları gösterilmektedir.

Tablo 3. Eşit ağırık ve Entropi ağırlıklandırılmasına göre gri ilişkisel analiz bulguları

Eşit Ağırlıklı Gri İlişkisel Katsayı Matrisi Tablosu

| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** | **r** | **Sıralama** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B1** | 0,691 | 0,628 | 1 | 0,4378 | 0,333 | 1 | 1 | 0,333 | 0,333 | 0,5 | 0,333 | 0,882 | 0,622 | 2 |
| **B2** | 0,683 | 0,684 | 0,346 | 0,406 | 0,546 | 0,474 | 0,463 | 0,438 | 1 | 0,333 | 0,365 | 0,333 | 0,506 | 6 |
| **B3** | 1 | 1 | 0,408 | 1 | 0,576 | 0,498 | 0,479 | 0,497 | 0,726 | 0,466 | 0,430 | 0,975 | 0,6715 | 1 |
| **B4** | 0,416 | 0,357 | 0,335 | 0,381 | 0,682 | 0,457 | 0,562 | 0,672 | 0,472 | 1 | 0,628 | 0,861 | 0,568 | 4 |
| **B5** | 0,469 | 0,341 | 0,434 | 0,419 | 0,445 | 0,450 | 0,789 | 0,340 | 0,391 | 0,6 | 0,461 | 0,803 | 0,495 | 8 |
| **B6** | 0,445 | 0,384 | 0,352 | 0,333 | 1 | 0,333 | 0,333 | 1 | 0,506 | 0,495 | 1 | 1 | 0,598 | 3 |
| **B7** | 0,430 | 0,333 | 0,333 | 0,436 | 0,631 | 0,482 | 0,486 | 0,488 | 0,442 | 0,613 | 0,539 | 0,905 | 0,510 | 5 |
| **B8** | 0,333 | 0,367 | 0,361 | 0,341 | 0,592 | 0,428 | 0,581 | 0,442 | 0,489 | 0,586 | 0,642 | 0,859 | 0,502 | 7 |

Entropi Ağırlıklı Gri İlişkisel Katsayı Matrisi Tablosu

| | **F1** | **F2** | **F3** | **F4** | **O1** | **O2** | **O3** | **O4** | **O5** | **S1** | **K1** | **K2** | **r** | **Sıralama** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B1** | 0,057 | 0,051 | 0,083 | 0,037 | 0,028 | 0,084 | 0,084 | 0,028 | 0,028 | 0,043 | 0,027 | 0,064 | 0,619 | 2 |
| **B2** | 0,056 | 0,056 | 0,029 | 0,034 | 0,046 | 0,040 | 0,039 | 0,037 | 0,084 | 0,028 | 0,030 | 0,024 | 0,507 | 5 |

| | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **B3** | 0,082 | 0,082 | 0,034 | 0,084 | 0,048 | 0,042 | 0,040 | 0,042 | 0,061 | 0,040 | 0,036 | 0,071 | 0,666 | 1 |
| **B4** | 0,034 | 0,029 | 0,028 | 0,032 | 0,057 | 0,038 | 0,047 | 0,057 | 0,039 | 0,086 | 0,052 | 0,062 | 0,567 | 4 |
| **B5** | 0,038 | 0,027 | 0,036 | 0,035 | 0,037 | 0,038 | 0,067 | 0,029 | 0,032 | 0,051 | 0,038 | 0,058 | 0,492 | 8 |
| **B6** | 0,036 | 0,031 | 0,029 | 0,028 | 0,084 | 0,028 | 0,028 | 0,085 | 0,042 | 0,042 | 0,083 | 0,072 | 0,594 | 3 |
| **B7** | 0,035 | 0,027 | 0,027 | 0,036 | 0,053 | 0,040 | 0,041 | 0,041 | 0,037 | 0,052 | 0,045 | 0,065 | 0,506 | 6 |
| **B8** | 0,027 | 0,030 | 0,030 | 0,028 | 0,050 | 0,036 | 0,049 | 0,037 | 0,041 | 0,050 | 0,053 | 0,062 | 0,498 | 7 |

## SONUÇ VE DEĞERLENDİRME

Sürdürebilirlik yaklaşımı çevresel, sosyal ve ekonomik bir etken olduğundan uzun dönemde bankacılık sektörüne yarar sağlamaktadır. Çalışma kapsamında, bankaların sürdürebilirliği Kapsam (1) ve Kapsam (2) verilerine göre karşılaştırarak değerlendirildiğinden, sürdürülebilirlikle ilgili veri açıklayan bankalar incelenmektedir.2019 yılı faaliyet raporlarından alınan bilgilere göre, eşit ağırlıklı gri ilişki analizine göre sürdürülebilirlik performansı kapsamında Türkiye Vakıflar Bankası T.A.O birinci sırada yer alırken, Türkiye Cumhuriyeti Ziraat Bankası A.Ş ikinci sırada, Türkiye Ekonomi Bankası üçüncü sırada, Akbankk T.A.Ş dördüncü sırada, Yapı ve Kredi Bankası A.Ş beşinci sırada, Türkiye Halk Bankası A.Ş altıncı sırada, Türkiye Garanti Bankası A.Ş yedinci sırada ve Türkiye İş Bankası A.Ş ise sekizinci sırada yer almaktadır. Entropi yöntemi ile ağırlıklandırma yapıldığında ise, Türkiye Vakıflar Bankası T.A.O birinci sırada yer alırken, Türkiye Cumhuriyeti Ziraat Bankası A.Ş ikinci sırada, Türkiye Ekonomi Bankası üçüncü sırada, Akbankk T.A.Ş dördüncü sırada, Türkiye Halk Bankası A.Ş beşinci sırada, Yapı ve Kredi Bankası A.Ş altıncı sırada, Türkiye Garanti Bankası A.Ş. yedinci sırada ve Türkiye İş Bankası A.Ş. sekizinci sırada yer almaktadır. Eşit ağırlıklı ve entropi ağırlıklı gri ilişki analizi sonuçlarına göre küçük farklılıklar belirlenmektedir. Bu çerçevede, ilk dört bankaya ilişkin sıralamada herhangi bir değişiklik bulunmamakla birlikte, Yapı ve Kredi Bankası A.Ş. ağırlıklandırma ile birlikte sürdürülebilirlik performans sıralamasında bir sıra düşerken; Türkiye Halk Bankası A.Ş. bir sıra yukarı kaymaktadır. Bankacılık sektörünün sürdürülebilirlik kapsamında çalışmaları olmakltadır Türkiye Garanti Bankası A.Ş. sektör ele alındığında ilk defa temiz enerjiye yatırım yapan banka olarak değerlendirilmektedir. Ek olarak, ING Bank A.Ş. güneş enerjisi santralleriyle kendi kullandığı enerjisinin bir kısmı üretmeye başlamaktadır. Türkiye İş Bankası A.Ş ise, enerji portföyünün %69'luk kısmını yenilenebilir enerjiye ayırmaktadır. Diğer bankalar ise, sürdürülebilirlik alanında kendilerini iyileştirici faaliyetler gerçekleştirmekte ve fonlar ayırmaktadır.

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# Örgüt Kuramlarıyla Örgütsel Değişime Felsefi Yaklaşım; "Eleştirel Kuramın Hakkını Teslim Etmek"

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**Özet:** Çalışma, örgüt teorileri ile eleştirel teori arasındaki ilişki ve etkinin felsefi değerlendirmesinde yönetim bilimine katkıda bulunmayı amaçlamaktadır. Burrell ve Morgan'a (1979) göre, tüm örgütsel teoriler bilim felsefesine dayanmaktadır. Örgüt ve yönetim kuramlarının günümüzde geldiği nokta, kuramları eleştirel bir bakış açısıyla ele alarak geliştirme isteğidir. Bu açıdan, örgüt kuramlarının geçirdiği örgütsel değişiminde, gerek klasik, neo klasik gerekse de Modern, Post modern yaklaşımlar bu çabalarla şekillenmiştir. Örgütsel değişim ve kültürün artan önemi ile evrensel gerçeklerin subjonctifliğiyle mümkün olmadığı anlaşılmış ve teorilerin sosyal gerçekliğe bakış açısının yeniden değerlendirilmesiyle eleştirel teorinin ortaya çıkmasına neden olmuştur. Felsefe, olayların tamamına bakarken aşırı öznelliğin bilinçli bir şekilde düzeltilmesini sağlar. Eleştirel kuram ile birlikte örgütlerin rasyonel doğasının yanı sıra irrasyonel bir yapıya da sahip oldukları kabul edilmiştir. Eleştirel kuram, yönetim kuramlarının evrimi için, örgütlerdeki önemli unsurlardan biri olarak görülen beşeri unsurların dönüşüm evrelerine ışık tutan bir felsefi temele dayandırılmıştır. Bu nedenle, eleştirel teori ve örgütsel teorilerin yolları bu dönüşümün hayat bulduğu her noktada kesişir. Bu bakımdan eleştirel kuramın örgüt kuramlarının katkılarına tamamen karşı çıktığını belirtmek, sorgulanması gereken bir görüş haline gelmiştir. Bu amaçla, çalışmada eleştirel kuramın örgüt kuramının evrimindeki felsefi etkilerini göstererek genel bir çerçeve çizilmeye çalışılmıştır. Konu ile ilgili akademik literatür taranarak metodolojik yöntemlerden faydalanılmıştır.

**Anahtar Sözcükler:** Örgüt Kuramı, Eleştirel Kuram, Değişim ve Felsefe

**Abstract:** The study aims to contribute the management science in the philosophical evaluation of the relationship and effect between the organizational theories and critical theory. According to Burrell and Morgan (1979), all organizational theories are based on the philosophy of science. The point where organization and management theories have reached today is the desire to be developed by considering the theories with a critical point of view. In this respect, both classical, neo-classical and modern, postmodern approaches in organizational change of organizational theories have been shaped by these efforts. With the increasing importance of organizational change and culture, it has been understood that the realization of universal facts are not possible, and the reassessment of theories' perspective on social reality has led to the emergence of critical theory. Philosophy provides a conscious correction of excess subjectivity in looking at the whole of events. Along with the critical theory, it is accepted that organizations have an irrational structure besides their rational nature. Critical theory is based on a philosophical basis that sheds light on the transformation stages of human elements, which are seen as one of the important component in organizations, for the evolution of management theories. Therefore, the paths of critical theory and organizational theories intersect at all points where this transformation comes to life. In this respect, the view of critical theory completely opposes the contributions organizational theories must be questioned. For this purpose, a general framework has been drawn by showing the philosophical effects of critical theory on the evolution of organizational theory. The academic literature on the subject has been reviewed and methodological methods have been used.

**Keywords:** Organization Theory, Critical Theory, Change and Philosophy

## 1. GİRİŞ

Küreselleşmenin çok fazla hissedildiği günümüz dünyasında örgüt teorisi artan bir şekilde zorlu problemlerle karşı karşıya kalmaktadır. Örgütlerin sağlıklı bir şekilde varlığını sürdürmesi, amaçlarına ulaşabilmesi ve yönetim problemlerine çözüm çabalarıyla mümkün olabilir. O halde, örgütler nasıl gelişiyor? Örgütlerin gelişim ve değişim mekanizmaları nelerdir? Süreklilikte yönetimin rolü nedir? Bunlar literatürün farklı nitelikte cevaplar aradığı pek çok sorulardan bazılarıdır. Örgütün nasıl işlediğine dair farklı yaklaşımlarda bulunan örgütsel teoriler mevcut bilgimizin taraflı ve eksik olduğu gerçeğini farketmemizi sağlar. Felsefe bu noktada örgüt teorisine eleştirel yaklaşabilmeyi ve örgüt teorilerini

sınıflandırabilmeyi kolaylaştırır (Keskin, Akgün ve Koçoğlu, 2016: 71). Eleştirel teori, farklı sosyokültürel değer yargıları ve ideolojileri doğrultusu üzerinde hakimiyet kurulan bilgiyi özgürleştirmeyi amaçlar. Örgütsel işleyiş, sistemin bir bütünlük içinde var olması araştırmacıların her zaman ilgisini çekmiş ve örgütün bütünsel şemsiyesi altında vücut bulan ilişkisel süreçler, iletişim sistemleri, sürekli değişen ve gelişen etkileşim süreçleri, araştırmacıların sistemin yapısına olan araştırma eğilimlerini arttırmıştır. Felsefi yaklaşımda, örgütleri varlık olarak değil oluşum (becoming ontology) görme eğilimi ağır basmıştır. Bu durumda örgütü meydana getiren süreçlerin varlığı dikkat çekmiştir. M.Horkheimer'e göre (1994) bir teori; insanları, bulundukları kısıtlayıcı koşulları değiştirerek onları özgürleştirdiği kadar eleştireldir. Örgütlerin devamlılığı ise her zaman değişimle ilişkilendirilir. Bu, bazı yazarlar tarafından açıkça bir "çalışma objesi" olarak işlenmiştir: Hannan ve Freeman (1977), Pfeffer ve Salancik (1975), Tushman ve Romanelli (1985), Nelson ve Winter (1982), McKelvey (1999) için çalışmalarında örgütsel değişim ve örgüt teorisine yapılan araştırmaların ana zemini olmaya devam etmektedir. Bu bakımdan örgütsel değişim konusu; yönetim bilimlerinde değişim mekanizmaları (Tushman ve Romanelli, 1985; Pettigrew ve Whipp, 1989), örgütsel yaşam döngüsünün aşamaları (Nadler ve Tushman, 1990), örgütsel öğrenme (Argyris ve Schön, 1978) ve popülasyon ekolojisi (Hannan ve Freeman, 1977) gibi örgütsel çalışma alanlarına doğru evrilmiştir. Bu analizlerde "zaman kavramı" (Le concept du temps) açıkça merkezi bir rol oynar. Eleştirel teori aslında anın değerlendirmesi ve yorumlamasıyla yolunu açmaya çalışır ve aynı zamanda toplumun ve örgütlerin temel yönlerinin keşfidir. Buradaki oluşumlar örgütün bütünsel yapısının altında yatan ilişkisel süreçlerin, geri bildirim döngülerinin sürekli değişen etkileşimlerin ön plana çıkmasını sağlamıştır. Bu açıdan örgütlerin etkileşim içerisinde olduğu çevre de örgütlerin davranışlarıyla oluşur (Keskin vd., 2016: 76). Oluşum ontolojisi örgütlerin ve örgütsel olguların sürekli değişim, dönüşüm ve oluşum içerisinde olduğunu düşünür. Örgütsel hayat dışarıda var olan oluşumu tamamlanmış bir gerçek değildir. Aksine, süregelen bir "oluşturma" sürecinin çıktısıdır. Peki değişim örgütteki varlığını nasıl bir süreç içinde sürdürmektedir? Eleştirel kuramın bakışı nasıl yorumlanır? Çalışmamız akademik bakış açısından sapmadan bu sorulara yanıt aramaktadır.

## 2. ELEŞTİREL KURAM VE FELSEFESİ

Eleştirel kuramın yola çıkış felsefesini incelemek için öncelikle yaklaşımın ilk dönemine ışık tutan birinci kuşak Frankfurt Okulu çalışmaları önem taşımaktadır. Bu dönem; Max Horkheimer (1895-1973), Theodor Adorno (1903-1969), Herbert Marcuse (1898-1979), Walter Benjamin (1892-1940), Friedrich Pollock (1894-1970), Leo Lowenthal (1900-1993) ve Eric Fromm'un (1900-1980) araştırmalarıyla şekillenmiştir. Birinci kuşak Frankfurt Okulu olarak bilinen bu dönem, bilgiyi ideolojik tahakkümden kurtarma ve özgürleştirme amacı ile özdeşleşmiştir. Özellikle çalışan ve sessizleştirilen kesimin deneyimlerine odaklanarak toplumsal patolojilerden sorumlu ideolojileri keşfetmeyi amaçlayan bir sosyal kuramsal yaklaşım olarak ön plana çıkmıştır. İkinci kuşak Frankfurt Okulu, 1950'lerde yeniden canlanan özgürleştirmeci düşünce ile toplumların ve örgütlerin mevcut düzeninden kurtulma gereğine odaklanmıştır. Başta Jürgen Habermas (1929-) olmak üzere Alfred Schmidt (1931-2012) ve Claus Offe (1940-) gibi eleştirel kuramcıların çalışmaları ile Frankfurt Sosyal Araştırmalar Enstitüsünde devam etmiştir. İkinci kuşak Frankfurt Okulu, bilgi üretiminin ve bilginin hakim ideolojiler tarafından kontrol edilemeyeceği, toplumsal ideolojilerin kontrolü altında kalmayacağı koşulları incelemeye odaklanan ayırt edici bir yaklaşım geliştirmiştir. Okulun birinci dönemi, bilgiyi hakim ideolojilerden özgür kılmak için ekonomik, politik ve psikoanalitik çatışmalara odaklanılması gerekliliğini savunurken İkinci kuşak Frankfurt Okulu, günlük hayattaki bireyler arası etkileşimde gerçekleşen söylemsel iletişime ve dilin kullanımına odaklanmayı önermektedir. Üçüncü kuşak Frankfurt Okulu ise, 1994'te Habermes'ın Enstitü'den emekliye ayrılması ile başlayan ve eleştirel kuramın günümüze uzanan bakış açısını oluşturan yakın dönemine işaret etmektedir. Axel Honneth (1949-) öncülüğünde gelişen Üçüncü kuşak Frankfurt Okulu; Kant, Hegel ve Marx gibi kuramcıların felsefesine dayanan temellerinin yanı sıra ampirik sosyal bilim araştırmalarını ve analitik felsefeyi de kapsayıcı bir alana yayılmıştır. Üçüncü kuşak Frankfurt Okulu kuramcıları, Habermas öncülüğünde gelişen İkinci kuşak Frankfurt Okulu'nu sosyal değişim için gerekli olan bir eylem stratejisi belirlemedikleri gerekçesiyle eleştirmiş ve 'Ne yapılabilir?' sorusuna cevap aranması gerektiğini savunmuştur (Keskin vd., 2016: 420).

1920'lerde ortaya çıkan ve bugüne kadar devam eden Eleştirel Teori, bir dizi yazarı (Adorno, Benjamin, Habermas, Marcuse dahil) kültür ve iletişimi içeren kavram ve temaları kapsayan geniş bir düşünce akışıdır. Bu karmaşık bütünü açıklığa kavuşturmak için, eleştirel kuramın kavramsal kalbini daha iyi

vurgulamak Eleştirel Kuram tarihindeki farklı anları belirlemek mümkündür. Yani "anlar"/Moment, Eleştirel Kuramın dikkat ettiği ortamı belirler. Mevcut durumu teşhis etme fikri sadece konunun merkezinde değil, aynı zamanda bir felsefe ve sosyal bilimler arasında yakın işbirliğidir; ve bu tür teşhisler ışığında kültür ve iletişim alanındaki dönüşümler tasarlanır. Bu heterojenlik, belki de eleştirel projeyi kaynağında en iyi karakterize eden şeydir ve 1930'larda Horkheimer tarafından yavaş bir şekilde bir "araştırma programı" ve "temel bir teorik tutum" olarak tanımlanır. Oldukça belirsiz bölme çizgileri boyunca geniş alanlara uygulanan bu proje, çeşitli çalışma zenginlikleriyle yeniden formülasyonların ve yorumların yolunu açtı. E. Renault, Y. Sintomer ve G. Raulet, bu bakımdan paha biçilmez başlangıçlara aracılık etmişlerdir: 1930'lardan günümüze kadar eleştirel teorinin ana çekimlerini tanımlamışlar ve her aşamada felsefi konuları araştırmışlardır (Renault, 2003: 386). Zamanını teşhis etmeyi amaçlayan Eleştirel Teori'nin, kaçınılmaz olarak tarih sürecine dahil olan tasarımı, kendisini sürekli yeniden formüle etmesine, geleceğe doğru esnetilmesine yol açmaktadır. Bu anlamda bir şekilde değişimi kendine ve sosyal bilimlere sağlama fırsatı vermektedir. Geniş anlamda, eleştirel teori terimi, özellikle Anglosakson bağlamında, bir dizi yaklaşımdan oluşur. Bu yaklaşımların birkaçından bahsetmek gerekirse; kültür, müzik, edebiyat, devlet, hukuk, iletişim, medya, otoriterlik, bireysel gelişim sayılabilir. Eleştirel Teorinin çeşitli yazarları (özellikle Theodor W. Adorno, Walter Benjamin, Jürgen Habermas, Herbert Marcuse) geçen yüzyılın ortalarında önemli bir etkiye sahipti. Tüm dünyada en güncel sorunlar ve sorular açısından (özellikle Almanya,ABD, Brezilya, İtalya, Japonya'da) düzenlenen araştırmacıların, yayınların, toplantıların, seminerlerin veya konferansların sayısı göz önüne alındığında, Eleştirel Teori'nin entelektüel faaliyetlerle yaşayan ve bunlarla boğuşan bir alana sahip olduğu açıktır. Eleştirel Teori, şu anda bile birçok araştırmacı, doktora öğrencisi ve araştırma projesiyle alana olan katkısını sürdürmeye devam ederek örgüt teorileriyle bütünleşmiş bir çerçeve olarak görülmektedir. Bu anlamda entelektüel faaliyetler açısından, bu düşünce geleneği her zaman alana yakındır. Ancak bir düşünce geleneğinin güncelliği ve gelecekteki gelişimi sorunu, yalnızca ürettiği yayınları ve faaliyetleri ile ölçülmez. Aynı zamanda - ve her şeyden önce - zamana uyma, onu mantıklı bir şekilde yorumlama ve güncel gelişmelerdeki eğilimleri-değişimlerin neler olduğunu algılama yeteneği ile ölçülür. Bu anlayışın şu anda hala varlığını sürdürüyor olması bile, algılanan problemler ve sorular kümesi için tutarlı bir teorik çerçeve sağlamak için gereklidir. İşte tam bu noktada, bu nedenlerden dolayı eleştirel kuramın hakkını araştırmak gerekmektedir. Eleştirel teori tarihindeki farklı "anları" veya farklı dönemleri vurgulamak, her birinin kendine özgü özellikleri ve sınırları olduğunu kabul etmek kuşkusuz yararlıdır. 1930'ların başlarında, Max Horkheimer, özellikle materyalist bir araştırma programının ana hatlarını çizmek için yola çıktığı zaman, Eleştirel Teori'nin ana özelliklerini belirlemiş ve farklı deneysel disiplinleri sosyal felsefe tarafından oluşturulan tutarlı bir çerçeve içinde ifade etmeye çağırmıştır (Horkheimer, 1978).

Horkheimer, 'eleştirel bir modern toplum teorisinin ana hatları ne olmalıdır?' sorusundan yola çıkmıştır. Max Horkheimer, Traditional Theory and Critical Theory adlı çalışmasında öncelikle teorinin ne olduğunu açıklamıştır. Burada, "Genel olarak teorinin nihai amacının, artık belirli bir alanla sınırlı olmayan, tüm olası nesneleri kapsayan evrensel bir bilim sistemi inşa etmek olduğunu" ifade etmiştir. Daha geleneksel teori anlayışının ise esas olarak yönetici sınıfın genel fikirleri tarafından yönlendirildiğini belirtmiştir. Bu anlamda araştırmacılar eleştirel teoriyi, geleneksel kuramcıların dediği şekliyle, yalnızca öngörümlemeye odaklanan doğa bilimleriyle karşılaştırarak gerçeklik hakkında halihazırda kurulmuş olan sistemi güçlendirme eğilimine yönelmişlerdir. İşte bu anlamda Horkheimer herşeyden önce eleştirel teorinin tanımını sunmak için çalışmıştır. Max Horkheimer'a göre Eleştirel Teori "açıklama" (Klärung) dediği şeyi üretmesidir. Eleştirel tip teorisine özgü bir açıklamayı tetikleyen bir yansıma geleneksel teoride de mevcuttur. Yazara göre eleştiri, onun gözünde aklın özüdür, bu sadece düşünme, analiz ve yenilik yeteneği değil, aynı zamanda ahlaki ve politik sebeptir. Bu nedenle eleştiri, bilgi ve özgürlük arasındaki bir ilişkiye dayanır ve tarih ve sosyal yapıların gelişiminde rolü vardır (Horkheimer, 1974).

Eleştirel kuram Burrel ve Morgan (1979) gibi yönetim bilimciler tarafından radikal insancıl paradigma içinde değerlendirilmiştir. Radikal insancıl paradigmanın temelini, bireyin içinde yaşadığı dünyayı oluşturduğu düşüncesi oluşturmaktadır. Bunu oluşturan süreçlerin eleştiriye tabi tutulması radikal insancıl paradigmanın temel amaçlarından biridir (Yıldırım, 2007: 392). Bu açıdan bakıldığında, eleştirel kuramın temelini oluşturan bu paradigmayı kavrayabilmenin asıl yöntemi felsefi düşüncenin eleştirel bakış açısını ele almakla mümkün olabilecektir. Eleştirel kuramın temel mantığını anlamak için öncelikle kuramın temel felsefesini kavramak, felsefi düşüncenin eleştirel kurama sağladığı besleyici temeli görebilmek önem taşımaktadır. Felsefi düşünce eleştirel bir düşünce tarzı olmakla birlikte bilince

dayalıdır. Bu düşünce tarzı kendisine veri olarak ele aldığı her türlü malzemeyi aklın eleştiri süzgecinden geçirmektedir (Arslan, 2018: 28). Nitekim eleştirel kuramın tanımladığı bağlamı içerisinde sosyal gerçekliği olduğu gibi bilmenin mümkün olmadığı savının buna dayandığını söylemek yanlış olmayacaktır. Eleştirel teorinin ilk hedeflerinden biri olan 'bilimin ve bilimsel bilginin değer yargılarından bağımsız olmadığını gösterme' amacı da bu dayanağa bir kanıt niteliği taşımaktadır. Kuramsal bakış açısı sebebiyle, eleştirel kuramın bilimsel teorilerden bazı belirgin farklılıklarına değinmek yerinde görülebilecektir. Eleştirel kuramın temsilcileri olan Frankfurt Okulu üyeleri, bilimsel kuramlar ile eleştirel kuram arasında keskin bir ayrım yapmışlardır. Okul üyeleri bu ayrımı üç boyutta incelemişlerdir. İlk olarak amaçsal bir farklılıktan söz edilmektedir. Bilimsel kuramların amacı dünyanın başarılı bir biçimde manipüle edilmesi iken, yani araçsal bir kullanım söz konusuyken, eleştirel kuram özgürleşmeyi ve aydınlanmayı, davranışı gerçekleştirenlerin gizli zorlamaların farkına varmasını sağlamayı ve böylece onları bu zorlamalardan kurtarıp, doğru çıkarlarının nerede olduğunu belirlemelerini sağlayacak bir yere getirmeyi hedeflemektedir (Geuss, 2002: 84). Nitekim Habermas, strateji ve yapısal koşul bağımlılık üzerine olan örgütsel literatürün çoğunun eleştirel teorinin bu teknik menfaat yaklaşımından türediğini iddia etmiştir (Barrett,Powley ve Pearce, 2013: 195). İkinci olarak, eleştirel kuram ile bilimsel teoriler mantıksal açıdan farklıdırlar. Bilimsel kuramlar nesneleştiricidir. Bu, en azından tipik durumlarda kuram ile kuramın gönderme yaptığı nesneler arasında bir ayrım yapılabileceği anlamına gelir. Bilimsel çerçeve içerisinde kuramın kendisi betimlediği nesne alanının parçası değildir. Öte yandan eleştirel kuramın dönüşlü olduğu veya kendi kendisine gönderme yaptığı iddia edilmektedir. Son olarak, bu iki yaklaşım birbirlerinden bilgisel olarak kabul edilebilir olup olmadıklarını belirlemede kullanılabilecek kanıt türü konusunda da farklıdırlar. Bilimsel kuramlar gözlem ve deney yoluyla ampirik kanıtlama gerektirirken, eleştirel kuram ancak daha karmaşık bir değerlendirme sürecini başarıyla tamamlarsa bilgisel açıdan kabul edilebilir hale gelir. Bu değerlendirme sürecinin temel noktası ise, kuramın dönüşlü anlamda kabul edilebilir olduğunun gösterilmesidir (Geuss, 2002: 85). Sözü edilen üç önemli farklılık açısından ortak bir değerlendirme yapmak gerektiğinde, asıl konunun eleştirel kuramın felsefi temeline dayandığını ifade etmek gerekir. Nitekim amaç, mantık ve kanıtlama şeklinin ayırt edici olarak belirtildiği özelliklerin, her iki kuramsal bakış açısının temel felsefesi için de bir çerçeve çizeceği açıktır. Bu açıdan kuramların birbirinden ayrışmasını sağlayacak asıl kriterin, 'başlangıçtaki yola çıkış felsefesi' olduğunu söylemek mümkündür.

Eleştirel kuramın felsefesiyle ilgili yukarıda değinilen temel özelliklerin ışığında yönetim ve örgüt kuramlarında bu yaklaşımların yansımalarının nasıl gerçekleştiği alanımız açısından önem taşımaktadır. Bu niyetle örgüt kuramı alanının bu evrimden nasıl etkilendiğini ortaya koymak, kuramların geçirdiği paradigmal dönüşümlerin satır aralarını ortaya koymayı gerektirmektedir. Dolayısıyla evrim mantığıyla düşünüldüğünde hem klasik kuramların geçirdiği dönüşümün, hem de sonrasında varolan neo-klasik kuramların da yeniden değişime maruz kalışının sebebi asıl olarak, eleştirel bakış açısının temel felsefesinin örgüt ve yönetim alana yansımasından kaynaklı olabileceği düşünülmektedir. Nitekim eleştirel kuramın temel iddiaları olarak görülen prensipleri bu düşünceyi destekler niteliktedir. Bu prensipler Keskin ve arkadaşları (2016: 421) tarafından; 1) Bilgi objektif değildir, doğa bilimlerinde olduğu gibi evrensel kurallara tabi olamaz, 2) Bilgi değer yargılarından bağımsız değildir, toplumsal tarih ve kültürel gelişimle bağlantılıdır, 3) Mevcut toplumsal düzenin olduğu gibi kabul edilmemesi gerekir, şeklinde ifade edilmiştir. Eleştirel kuramın temelini oluşturan bu iddialar da örgüt kuramının zaman içerisindeki evriminin etkileri olarak; kültürel belirlenimcilik, kontrol mekanizmaları ve subjektiflik, düşünümsellik ve demokratik örgüt arayışları gibi birçok kavram ve olgunun besleyicisi olmuştur. Eleştirel kuramın bu besleyici yapısı, örgüt kuramlarındaki değişimi eleştirel yaklaşım perspektifinden ele almanın önemine işaret etmektedir. Bu gerekiliğe sosyal bütünlük perspektifinden bakıldığında, sosyal dünyayı izole edilmiş bölümlere ayırmak ve onları ayrıştırmak, sosyal süreçleri her şeyi çözme noktasına kadar parçalara ayırmak gerekli hale gelmektedir. Burada, Georg Lukács'ın ardından Max Horkheimer da bilgi alanını, bilimin kullanımıyla dünyayı nesneleştirmeye ve kontrol etmeye çalışan kapitalist bir toplum çerçevesinde araçsallaştırma olarak incelemiştir. Buna göre de, sosyal dünyayı bir bütün olarak kavrayabilmenin yolu, bu şeyleştirmeden kaçan bir bilgi biçimi geliştiren, toplumsal süreçleri diyalektik olarak düşünebilen ve onları pratik gelişimlerin ötesinde yeniden oluşturan bütünsel, genel bir bakış açısına (Horkheimer, 1970) dayanmaktadır.

## 2.1. Klasik Örgüt Kuramlarının Evriminde Eleştirel Kuram İzleri

Örgütleri tanımlama girişimlerinde, teorisyenler, birey ile görevi arasındaki ilişkinin farklı yönlerini art arda vurgulamışlardır. Başlangıçtaki bu yaklaşım insan ile işinin fiziksel ve idari koşulları arasındaki ilişkiye dayandırılmıştır (Aktouf, 1989: 1-13). Klasik örgüt okulunun amacı ise, verimliliği artırmak için iş bölümüdür. İşyerindeki çalışanların çıkarlarını dikkate almaz. Klasik ekol, Teori X'e denk düşer, aynı zamanda HGY (hedeflere göre yönetim) olarak nitelendirdiğimiz sistemlere de karşılık gelir. Önerilen hedeflere ulaşılmadığında bir yaptırım söz konusudur. Hedefler koymak ve onları astlara dayatmaktan oluşmaktadır. Klasik yönetim düşüncesi fonksiyonel bir yaklaşıma sahiptir. Diğer bir deyişle klasik düşüncede yönetim fonksiyonlarına önem verilir. Fayol'un ortaya koyduğu ve diğer klasik düşünürler tarafından geliştirilen, yönetim fonksiyonlarıyla ilgili kavramsal çatı klasik düşünürlerin en önemli katkılarından birini teşkil etmektedir. Nitekim, F. W. Taylor, H. Fayol, L. Urwick, L. Gulick ve R. C. Davis'in tüm yönetim fonksiyonlarıyla ilgili fikir ve görüşleri bulunmaktadır. F.W. Taylor (1856-1915): Çalışmanın bilimsel organizasyonunun (1911'de başlatılan **"**L'organisation Scientifique du Travail" (OST)) özü 3 ilkeye dayanmaktadır:

1. İşbölümü ve Görevde Uzmanlaşma: Tasarım ve uygulayıcılar arasında bir ayrım olmalıdır. Bu, "Bir işi yapmanın en iyi yolu" olarak ifade edilmiştir. Buna göre bir işi yapmanın en iyi yolu, çalışmanın da tek yolu olarak görülmüştür.
2. Görevin Bölünmesi: Çalışmanın gerçekleştirilmesi kolay olacak şekilde çok basit ögelere ayrıştırılmasıdır. (örnek: "Les Temps Modernes" filmi).
3. Performansa Dayalı Ücret: performansla (verimlilik) bağlantılı bir prime karşılık gelir. Taylor'a göre, prim tek başına ana motivasyon kaynağıdır.

Bu organizasyon ilkeleri, üretkenliği artırmak için (başta Ford olmak üzere: Ford Model T) üretim hatlarını ortaya çıkaracak ve bu model bir 'tüketim toplumu' sembolünün başlangıcını oluşturacaktır. Taylorist yönetim anlayışı ise insan faktörünü ihmal etmiş, bu da üretkenliğin azalması, devamsızlığın artması gibi sonuçlar doğurmuştur. Çalışma süresindeki artış devamında atık, enerji ve hammadde israfında artışa neden olan bir durumu meydana getirmiştir. Diğer yandan bu süreç, hiyerarşi ile çatışmaların ortaya çıkması ve dolayısıyla sosyal iklimin bozulmasına da yol açmıştır. Başlangıcında Taylorizm, yüksek verimlilik için etkili bir yöntem olsa da sürecin ortalarına doğru etkinliğini kaybetmiştir. H. Fayol (1841-1925) Yönetim İlkeleri (Le principe administratif) adlı eserinde işletmelerin faaliyetlerini altı ana işlevde incelemiştir. Bunlar: 1-Teknik (imalat) 2.Ticari (satış) 3.Mali, 4.Muhasebe (bilanço, envanter) 5.Güvenlik ve 6.Yönetim (planlama, organize etme) şeklinde belirtilmiştir. Henri Fayol'a göre ise, işletme, ne kadar hiyerarşik bir hale gelirse, yönetim işlevi o kadar önemli hale gelmektedir. Bu açıdan Fayol, kendi teorisinin işletme de çalışanlara uygulanmasını önerir. Ona göre yönetmek, planlamak, organize etmek, komuta etmek, koordine etmek, kontrol etmek gerekir. Klasik kuramın önemli otoritelerinden olan M. Weber (1864-1920) ise Bürokrasi kuramı ile ün yapmıştır. Weber, yönetebilmek için, üç yönetim tarzına karşılık gelen bürokrasinin uygulanması gerektiğini düşünmektedir. Bu konuda ilk olarak karizmatik tarzı ele alan Weber ardından geleneksel ve rasyonel tarzı incelemiştir. Karizmatik tarz, muazzam becerilere ve kişisel niteliklere sahip bir lider olarak ifade edilirken, Geleneksel tarz işletmenin miras yoluyla geleneksel tarzda nasılsa o şekilde devam etmesi şeklinde tanımmıştır.Buradaki geleneksel bağ, miras yoluyla yönetim statüsüne bağlı yetkiyi de hakim kılmaktadır. Öte yandan Weber için yalnızca bir yönetim tarzı vardır, bu da üçüncü tarz olan Rasyonel tarz veya Bürokratik tarzdır. Bu tarzda; Kuruluşun üyeleri kişisel ücret almazlar (a), yetki, kişisel olmayan prosedürler yoluyla uygulanır (b), kurallar, bu yönetim tarzının temelini oluşturur (c), bürokratik tarzda bir iş için herhangi bir aday, denemelerle test edilen teknik nitelikleri için seçilir, daha sonra aday yönetim ile bir sözleşme imzalar(d). Bürokrasiden bahsederken, Peter İlkesi ve Parkinson Yasası (Lafrance, 2012: 1) hakkında konuşmak da önemlidir. Peter ilkesi: 'Mükemmel tamirci yeteneksiz bir usta oldu **(**Excellent mécanicien, il est devenu contremaître incompétent)' Bu ilkeye göre: "herkes terfiler yoluyla hiyerarşiyi yetersizlik düzeyine yükseltme eğilimindedir". Peter'in ilkesi, kuralların herkes için açık olmasını, artık terfi etmediğinizde de yetersizlik düzeyinize ulaştığınızı savunmaktadır. Laurence J. Peter'ın dayandığı ampirik bulgular şöyledir (1969): Herhangi bir organizasyonda, birisi işini iyi yaparsa, ona daha karmaşık bir görev verilir. Kişi verilen bu görevi doğru yaparsa, kendisine bir terfi daha verilecek ve yeteneklerinin ötesinde bir iş bulana kadar bu döngü devam edecektir. Parkinson Yasası'na

göre ise, "tüm işler mevcut zamanı işgal edecek şekilde genişleme eğilimindedir". Aşırı bürokrasinin büyük etkileri görülebilir. Parkinson bürokrasinin olumsuz yönleri olduğunu savunmuştur. Örneğin işletme içindeki; idari yavaşlık, ağırlık, azalan üretkenlik, Artan maliyetler, dinamizm kaybı bunlardandır. Nitekim bunlar da personelin motivasyonun düşmesi anlamına gelmektedir. İşletme dışında ise; müşteri memnuniyetsizliği, azalan satışlar, değişen pazarlarda çevreye uyum sağlanmaması parkinson yasası olarak adlandırılmıştır.

Daha sonra, insan ilişkilerinin babası olarak tanımlanacak olan E. Mayo (1880-1949) 5 yıl süre ile sosyal etkenlerin keşfedilmesine yönelik bir çalışma gerçekleştirmiştir. Hawthorne atölyesinde bir telefon üretim şirketi olan Western Electric'te gerçekleştirdiği çalışmanın başlangıcında, fiziksel çalışma koşullarına odaklanak insani boyutlara dikkat çekmiştir. Böylece çalışması ile işyerindeki yorgunluğun nedenleri, iş kazaları, artan devamsızlığın sonuçlarına dayanarak insanı ön plana çıkarmayı başarmıştır. A. Maslow'un (1908-1970) çalışmaları ise ihtiyaçlar piramidi olarak anılmıştır. Düşüncesinin temelinde, 'bir insan tarafından ifade edilen ihtiyaçların piramit biçiminde hiyerarşik hale getirilebileceği' yatmaktadır. F. Herzberg (1923) ise, iş zenginleştirme fikriyle; çift faktör teorisini Maslow'un piramidinden esinlenerek oluşturmuştur. Yazara göre, işyerindeki memnuniyetsizlik faktörleri hijyen faktörleri olarak kabul edilebilecektir. Herzberg, "Hijyen eksikliği hastalığa neden oluyorsa, varlığı sağlığı garanti etmez" ifadesini kullanmıştır. McGregor (1906-1964) ise, X ve Y teorilerini ortaya atmıştır. Klasik insan ilişkileri okulundan ayıran X ve Y terimlerinin mucidi olan kişidir. McGregor, bazı yöneticileri aşağıdaki varsayımlardan oluşan X teorisine göre faaliyet gösterdikleri için eleştirmiştir; a-Sıradan insan çalışmaktan doğuştan nefret eder, çalışmayı sevmez ve bundan kaçınmak için her şeyi yapar, b-Çalışabilmesi, sınırlandırabilmesi, kontrol edebilmesi, kendisine hedefler koyabilmesi ve yaptırımlarla tehdit edebilmesi gereklidir. McGregor kendi ifadesi ile bunu "homo-sapiens güvenlik ister ve sorumluluktan hoşlanmaz" şeklinde ifade etmiştir. Maslow'un piramidinden ilham alan McGregor, X teorisinin zıttı olarak ortaya attığı Y teorisini önermiştir. Aslında, bu durum, hedefler için çalışırken kendilerini yönetebilecek ve kendilerini kontrol edebilecek insanların olmasından ibarettir. Böylece, çalışanlar güçlenmeyi severler çünkü bunu zenginleşme ve kendini gerçekleştirme olarak görürler. Sonuçta kuram, çalışanların, amaçların belirlenmesine dahil edildiklerinde bu hedeflere ulaşmayı taahhüt edeceklerini savunmaktadır. Böylelikle McGregor tarafından ortaya atılan Y teorisi ile de motivasyon teorisi ortaya çıkmış olmuştur.

Görüldüğü gibi klasik kuramın örgüt uygulamalarına esas teşkil ettiği yadsınamamakla birlikte zamanın getirdiği birtakım değişiklikler de örgüt alanında dönüşümlere yol açmıştır. Sosyal bilimler felsefesinde 20.yüzyılda yaşanan gelişmeler, sosyal bilimlerin diğer tüm alanlarında olduğu gibi örgüt kuramı yazınındaki hakim bakış açılarının tartışılmasına ve örgüt kuramı yazınının kendisinin eleştirilmesine sebep olmuştur (Erkal ve Şentürk, 2015: 339). Nitekim örgüt kuramlarının klasikten neo-klasiğe ve modern döneme kadarki evriminin temeli de bu paradigma tartışmalarının bir sonucu olarak görülebilecektir. Bu açıdan düşünüldüğünde sosyal bilimler içerisinde önemli bir alanı temsil eden örgüt kuramı alanının gelişiminde de geçmişteki bazı önemli bilim insanlarının ve bilimsel çabaların yeri yadsınamayacaktır. Bu bağlamda eleştirel yönetimin, klasik yönetim anlayışı içerisinde değerlendirilen bir isimden gelen temellerine değinmek yerinde görülebilecektir. Bu isim, döneminin ilerisinde olan bilimsel fikirleriyle günümüze kadar ışık tutabilen bir bilim insanı olan Max Weber'dir. Geleneksel kuram toplumu doğaymış gibi ele alan disiplinler bırakmıştır. Bu bakış açısında doğa, eşzamanlı olarak hem kendi dışındaki bir kavram hem de kavramı ve kendi nesnesini elde etmeyi amaçlayan her türlü çabayı kapsayan bir diyalektik gerçeklikten ziyade insanları dışlayan bir şey olarak anlaşılmıştır (Wilson, 2013: 419). Nitekim bu ayrışma, geleneksel kuramın temelini oluşturan 'evrenselleştirme ve genelleştirme' ye karşılık pozitivizme yapılan bazı eleştirileri ön plana çıkarmıştır.

Pozitivizme yapılan bu eleştirilere göre aklın, sadece sosyal olguların açıklanmasında değil, aynı zamanda tüm toplumsallığın, kurum ve kuram düzeyinde, akla uygun hale getirilmesinde geçerli tek referans halini alması söz konusu olmuştur. Bu tarz bir inşacılık ise zamanla sıkı eleştirilere tabi tutulmuştur. Klasik kuramın önemli bilim insanlarından biri olan Max Weber, pozitivist inşacılığın sadece görüngüler üzerinden kuram yaratmasının sosyal fenomenleri açıklamada yetersiz kaldığını savunmuştur. Ona göre, sosyal olgular sadece görüngüler üzerinden açıklanamaz; çünkü görüngülerin arkasında fiziksel anlamda gözlemlenemeyecek ya da ölçümü yapılamayacak etmenler bulunmaktadır. Anlayıcı sosyoloji

kavramından hareket eden Weber'e göre kültür veya din gibi sosyal fenomenler, insan davranışları ve sosyalliğin kurulmasında etkilidir ve bunlar aklın fizik yasaları yoluyla açıklanamayacak olan şeyleri ifade etmektedir. Weber'in teorileri büyük ölçüde Alman sosyolojisinin etkisinde kalarak gelişmiştir. Sosyal fenomenlerin açıklanmasında kültürü ön plana alan Alman sosyolojik yaklaşımı, pozitivizmin insan eylemlerinin beşeri yönlerini katı belirlenimci yasalara tabi tutarak kişisel özgürlüğün eylemsel doğasını göz ardı ettiğini ileri sürmüştür. Diğer bir deyişle, Alman sosyolojik yaklaşımı, insanlığın oluşumuna deterministik yasaları değil, toplumsallığın ve kültürelliğin oluşumuna dayanak oluşturan bireysel eylemleri yerleştirmektedir (Baştürk, 2011: 21-22). Bu bakış açısına göre, klasik yönetim anlayışı içinde yaşayan bir bilim insanı olan Weber'in de savunduğu gibi, bağlam önemli bir hale gelmeye başlamıştır. Böylelikle eleştirel teorinin örgüt teorisiyle kesiştiği dönemde (1970'ler) ortaya çıkan kültürel belirlenimcilikle birlikte, sosyal sistemlerde hayatta kalmanın biyolojik sistemlerle aynı koşullara bağlı olmadığı fikri ön plana çıkmıştır. Sosyal sistemlerde olayların evrensel sosyal kurallarla açıklanmaktan çok kültürel olarak belirlendiği anlayışı yaygınlaşmaya başlamıştır (Keskin vd., 2016: 445). Bu gelişmelerle birlikte klasik anlayış içerisinde şekillenmeye başlayan eleştirel bakış açısı, bilincin ve toplumun oluşumunda ve yeniden üretiminde fikirlerin rolünü (Yıldırım, 2007: 393) ön plana çıkarmıştır.

Klasik yönetim yaklaşımına en ağır eleştiriler davranış bilimciler tarafından getirilmiştir. Kurama en yaygın eleştiri, klasik düşüncenin rasyonel insan modeline dayanması yönünden gelmiştir. Ayrıca klasik yönetimin örgütü bir makine, insanı da makinenin uzantısı olarak tanımlaması açısından da oldukça eleştirilmiştir. Örgütün sadece biçimsel kısmıyla ilgilenmesi, biçimsel olmayan örgütü dikkate almayışı klasik yönetim döneminin büyük bir eksikliği olarak ifade edilmiştir. Klasik yaklaşım insan davranışının örgütün yapı ve işleyişinde etkisinin olmadığı varsayımı ile de eleştirilmiştir. İnsanı motive eden unsurlara ilişkin varsayımlar, davranış bilimciler tarafından gerçeklere uymadığı düşüncesiyle eleştiri almıştır. Herbert Simon örgütün insanlardan oluşan bir sistem olduğuna vurgu yaparak, örgütleri insan etkileşimlerinin bütünü olarak tanımlamıştır. Simon insanı tamamen rasyonel bir varlık olarak görmenin sakıncalarını sınırlı rasyonellik kavramıyla açıklamıştır. Argyris (1962) klasik yönetim ilkelerinin örgüt üyelerinin kapasite ve yeteneklerini göstermelerine imkan tanımayacağını ve çalışanların pasif ve inisiyatiften yoksun bireyler haline geleceğini belirtmiştir. March ve Simon (1993) ise klasik yaklaşımın ilkelerinin sadece doğruyu ifade ettiğini uygulamaya yol gösterici olmadığını belirtmişlerdir (Kalemci Tüzün, 2012: 22). Nitekim Weber'in ideal bürokrasisinde de bunun izlerine rastlamak mümkündür.

Weber'in öne sürdüğü 'rasyonel kuralların üstünlüğünün' ve 'bütün etkinliklerin bu kurallarca denetlenmesinin', bürokratların davranışları ve güvenilirlikleri açısından olumlu olduğu kabul edilirken, esneklikten yoksun olmanın getireceği sakıncaların varlığını da göz ardı etmemek gerekmektedir. Zira kurallara aşırı bağlılık, bireylerin bu kuralları içselleştirmelerine; başka bir deyişle, bu kuralları 'araç' olarak görmekten ziyade bir 'amaç' olarak benimsemelerine neden olabilecektir. Bunun tehlikeli yanı, asıl amacın ortadan kalkması, onun yerini, amaç kabul edilen kuralların almasıdır. Nitekim kamu bürokrasilerinde yaşanan gecikmelerin, kırtasiyeciliğin ve ataletin temelinde bu sorunun yattığı söylenebilmektedir (Tolay, 2012: 67).

Klasik örgüt kuramının evriminin içerisindeki belirli noktalara bakarak genel bir değerlendirme yapmak gerektiğinde, yaklaşımın kendi içerisinde birçok sancılı süreci de barındırdığı söylenebilecektir. Dönemin sanayileşmeyle birlikte geçirdiği evrimsel süreçler, araştırmacı ve uygulamadakilere, fabrikalarda çalışmaya başlayan kesimin farklı ihtiyaçları ve beklentileri olabileceğinin ipuçlarını vermeye başlamıştır. Nitekim, bu süreçler eleştirel kuramın da ele aldığı; 'örgüt üyelerinin gerçek potansiyellerini yerine getirmek için topluma ve örgüte dahil olan her kesimin istek ve ihtiyaçlarının dikkate alınması ve güç ilişkileri arasında uzlaşıya dayalı bir iletişimi sağlayacak toplum ve örgütlerin nasıl oluşturulacağı' (Keskin vd., 2016: 440) konusunu işaret etmektedir. Bu açıdan bakıldığında, klasik yönetimin ortaya çıkardığı bazı temel prensip ve sorunsalların, eleştirel kurama nasıl temel teşkil ettiğini okumanın ve anlamlandırmanın daha mümkün hale geldiği ifade edilebilecektir.

## 2.2. Neo-Klasik Örgüt Kuramlarının Evriminde Eleştirel Kuram İzleri

Klasik yönetim düşüncesinin kavram ve ilkelerine dayanan neo-klasik düşüncede, kavram ve ilkeler insan ilişkileri yaklaşımının etkisiyle yumuşatılmış ve geliştirilmiştir. İnsan ilişkileri yaklaşımı, motivasyon,

liderlik, grup davranışı, kişiler arası ilişkiler ve haberleşme gibi mikro konularla gelişmeye başlamış daha sonra biçimsel ve biçimsel olmayan örgüt, sosyal ve teknik sistemler arasında etkileşim, birey ve örgüt bütünleşmesi vb. gibi makro konu ve sorunlar üzerine eğilerek, olgunlaşmış ve örgütsel davranış yaklaşımı ve sanayide hümanizm akımına dönüşmeye başlamıştır (Baransel, 1979: 214-215). Bu açıdan bakıldığında neo-klasik örgüt teorisi bir bakıma, klasik örgüt teorisi ile insan ilişkileri yaklaşımının bir parçasıdır. Bu açıdan ortaya çıkış nedeni de klasik kuramların alan için yetersiz kalmaya başlaması olarak ifade edilmektedir. Neo-klasik yaklaşımın ana fikri, bir örgüt yapısı içinde çalışan "insan" unsurunu anlama, onun yeteneklerinden maksimum düzeyde yararlanabilme, yapı ve insan davranışları arasındaki ilişkiyi inceleme, örgüt içerisindeki sosyal grupları ve özelliklerini tanıma üzerinedir. Ele aldığı konular itibariyle insan ilişkileri kuramı (neo-klasik) iş yerindeki sosyal süreçlerin rolü üzerinde durmaktadır (Şahin, 2004: 530-531). Neo-klasik dönemin temelini oluşturan Hawthorne Araştırmaları, çalışanların klasik dönemde geliştirilen mekanik anlayışın dışında, psikolojik niteliklerinin öne çıkarıldığı ve motivasyonda farklı araçların kullanılması gerektiği anlayışını ortaya koyan çalışmalar dizisi olmuştur. Ayrıca örgütün teknik niteliğinden ötede psikolojik ve toplumsal ilişkilerin ortaya çıkardığı psiko-sosyal bir varlık olduğu düşüncesi bu çalışmaların bulguları arasında düşünülebilir. Neo-klasik dönemde geliştirilen insanların ekonomik unsurların dışındaki araçlarla motive edilebileceği fikri, yönetim anlayışlarına ve çalışma ilişkilerine de yansımıştır (Asunakutlu, 2001: 11).

Neo-klasik kuram içerisinde ele alınan önemli araştırma ve kuramlardan bazıları; Kurt Lewin ve arkadaşlarının liderlik araştırmaları, Elton Mayo ve arkadaşlarının Hawthorne araştırmaları, W.Lloyd Warner'ın Yankee City araştırması, Harwood Araştırmaları, Tavistock Enstitüsü Araştırması, Douglas MacGregor'un X ve Y kuramı, George V. Homans'ın İnsan grubu yaklaşımı, Chris Argyris'in Olgunlaşma kuramı Likert'in Sistem 4 modeli ve Maslow'un motivasyon teorisi olarak ifade edilebilecektir. Neo-klasik kuramcılar, beşeri ilişkileri dikkate alarak, örgütün biçimsel yapısının yanında bir de sosyal yapısının olduğunu inceleme ve araştırmalarda ortaya koymuşlardır. Fakat örgütü oluşturan varlıkların kendi başına birer varlık olduğu düşüncesinden kurtulamadıkları için, motivasyon konusuna gereğinden fazla ağırlık vermeleri hayal kırıklığına yol açmıştır. Öte yandan insanın geleneksel teorinin katı kalıpları içinde, etkin ve verimli olarak çalışmasını giderek güçleştiren bu geleneksel modellerin zaman içinde çöküşü de kaçılmaz olmuştur (Öğütoğulları ve Akpınar, 2016: 38-44). Bu anlamda insanı ön plana çıkarmasıyla önemli bir yaklaşım getiren kuram çeşitli açılardan eleştirilmiştir.

İnsan ilişkileri yaklaşımı, genel olarak; ılımlı bir tutumu ve paternalist felsefeyi yansıtması ve insanları manüpile etmenin farklı bir şekli olması, kararlara katılma mekanizmasının sahte bir biçimde uygulanması, aldatıcı bir demokrasi havası yaratılması, sendikalara karşı olması, örgüt içi gerçekleri açıklamakta sınırlı kalması gibi yönlerden eleştirilmiştir. Ayrıca insan ilişkileri yaklaşımının örgütü 'kapalı bir sistem' olarak tasarlamaları, ekonomik ve toplumsal koşullar ve sendikaların iç politikaları gibi dış ya da çevresel faktörleri göz önüne almamasının büyük bir noksanlık olduğu ileri sürülmekte ve insan ilişkileri yaklaşımı bu açıdan da eleştirilmektedir (Baransel, 1979: 288). Henry A. Landsberger tarafından ele alınan Hawthorne Revisited (1958) adlı çalışma fikirler savaşında rol alan yazarların görüşlerindeki temel noktaları esas alan ayrıntılı bir tablo çizmiştir. Landsberger Mayo ve izleyicilerinin ortaya koyduğu görüşlere ve İnsan İlişkileri Hareketi'ne çeşitli yazarlar tarafından getirilen eleştirileri şu dört alanda toplamıştır. Bunları; (1) Mayo'nun 'toplumun çatışma, düzensizlik, ve kuralsızlık içinde olduğu' şeklindeki varsayımı, (2) işçiye bakış açısı, (3) toplu sözleşmenin fonksiyonu ve (4) sendikanın yeri, şeklinde ifade edilmiştir (Berber, 2013: 476).

Neo-klasik örgüt teorisi ile eleştirel teorinin yollarının kesiştiği nokta ise Landsberger'in çalışmasında yer verdiği ikinci madde ile ilgili olan örgütlerdeki psikanalizle ilgili olarak ortaya çıkmaktadır. Psikanaliz, Freud'un insan kişiliğine dair yaptığı araştırmalar sonucunda bireyin bilinçli, düzenli, rasyonel doğasının yanı sıra bilinç dışı, irrasyonel, olgunlaşmamış ve bencil olan bir tarafının da yer aldığını ifade eder. İlk olarak 1940'larda Tavistock Enstitüsü'nde gerçekleştirilen araştırmalar, çalışanların sosyal ve psikolojik unsurlardan nasıl etkilendiğini göstermeye çalışmıştır. Ardından İnsan İlişkileri Okulu olarak anılmaya başlanan Tavistock Enstitüsü araştırmaları çalışanların çatışma, dışlanma, topluluktan ayrılma gibi çeşitli psikolojik durumlarında insan ilişkilerini incelemiştir. Eleştirel örgüt teorisinin ortaya çıkmasıyla birlikte örgüt alanında etkisi olan bir dizi bireysel özellik; değerler, tercihler, inanç sistemleri hatta daha derin ve subjektif bilişsel unsurlar örgüt üyelerinin eylemlerini anlamak için araştırılmaya dahil edilmiştir (Keskin vd., 2016: 452). Eleştirel Teorinin bu "panoramasında", bütünü kendi başına temsil etme iddiasıyla bir

anın diğerine üstünlüğünü öne sürmekten kaçınmak gereklidir. Bu açıdan bakıldığında neo-klasik örgüt ile eleştirel kuram odak noktasına 'insan'ı alan bir bakış açısı geliştirmeleri dolayısıyla birbiriyle yan yana yürümekte oldukları söylenebilecektir. İnsan ilişkileri yaklaşımı örgütteki insanla ilgili özellikle 'moral' gibi bir kavramsallaştırmayı kullanarak 'örgütlerin sosyal sistem olduğu' gerçeğini desteklemiştir. Nitekim eleştirel teorinin ortaya çıkışıyla örgüt alanına dahil ettiği unsurlar (değerler, tercihler, inanç sistemleri.vb) neo-klasik kuramın örgüt alanına kazandırdığı bu kavramlarla çok yakından ilgilidir. Dolayısıyla neo-klasik kuramda yaşanan paradigmatik dönüşümlerle eleştirel örgüt teorisinin oluşumunun izleri, örgüt kuramının alanı içerisinde birbirine benzer ayak izleri bırakmışlardır. Bunun en önemli ve destekleyici unsuru da, iki kuramsal bakış açısının da örgüt içerisindeki insana atfettikleri önemden kaynaklanmaktadır. Bu bakımdan, Neo-klasik örgüt paradigmasının gelişmeye başladığı 1950-60 yıllarındaki yaşanan ilerlemelerin, eleştirel teorinin örgüt teorisi alanında gelişimini ele alan ilk eserler arasında gösterilen Critical Management Studies (1992) gibi eserlerin ele alındığı dönemlere ışık tuttuğunu söylemek yanlış olmayacaktır. Her şeyden önce sözü edilen ilişki bu dönemde teori ile pratik arasındaki belirli bir eklemlenme anlayışına da kaynak sağlamıştır. Bu anlayışla birlikte teorinin ön görevlerinden biri de, "iyi bir yaşamı" tanımlamayı başarmak haline gelmiştir. Nitekim bu kavramsallaştırma, teori öncesi uygulamayı ona felsefi bir statü vererek nesneleştirme amacıyla değil, teori yoluyla etkin varoluşuna ve konuşlandırılmasına katkıda bulunmak için önemli görülebilecektir.

Scott (1961), örgüt bilimine değerli katkılar yapmakla birlikte neoklasik kuramın da, klasik kuram gibi, eksikliklerinden, dar görüşlü bakış açısından ve üzerinde çalıştığı insan davranışlarının pek çok yönü arasında bütünleşme sağlayamamasından dolayı eleştirilere maruz kaldığını ifade etmiştir. Bu nedenle mevcut kuramsal bilgi birikimindeki eksiklikleri ve yetersizlikleri gidermek amacıyla, modern örgüt kuramları ortaya çıkmıştır (Aktaran Tolay, 2012: 69).

## 2.3. Modern Örgüt Kuramlarının Evriminde Eleştirel Kuram İzleri

İş hayatına dair ilk araştırmadan bu yana, insan doğası üzerine farklı görüşlerin ortaya çıktığını görülmüştür. İnsanı, maliyet ve faydaları hesaplama konusunda keskin bir anlayışla yönlendirilen bir zeka ve sağduyu varlığı olarak görenler olmuştur. Burada insan esasen rasyonel bir varlık olarak kabul edilmiştir. İkincisi yaklaşım ise çalışanların davranışları ve motivasyonları ile ilgilenmiş, bu yüzden bu akım davranışçı bir akım olarak kabul edilmiştir. Ancak bu, düşünce okullarından biriyle özdeşleşen tüm araştırmacıların, bu öncülerin ortaya koyduğu fikirleri zorunlu olarak kabul ettikleri anlamına gelmemektedir. Bu anlamda neo-klasik yaklaşımda da, öncü kişilerin fikri baskınlığı olsa da, dönemsel olarak belirli-kesin fikirlerle özdeşleşmekten ziyade bazı şeyleri görmenin ve yorumlamanın bir yolunu açmıştır. Açılan yollardan biri de modern döneme giden yol olmuştur.

Kavramsal açıdan bakıldığında modernist yaklaşım, modern dönemde ortaya çıkan ve özellikle de 19. yüzyılda batı dünyasına egemen hale gelen dünya görüşünü belirtmektedir. Bu açıdan modernizm, modern dönemlerdeki hem bir yaşayış tarzını (modernlik) hem de kültürel bir gelişmeyi (modernite) yansıtmaktadır. Kökleri Antik Çağ felsefesine kadar uzanan modernizm, en başta eleştirel düşünceyle anılmaktadır. Modernizm, akılcı, ilerlemeci, olgucu bir bakış açısı taşımakta; bu yönüyle aydınlanma felsefesi ile ilişkilendirilmektedir. Öte yandan, modernizm, bireyin yargılama ve eleştiri yeteneklerinin geliştirilmesi bağlamında kültürel (toplumsal) bir dönüşüm projesidir (Yıldırım, 2010: 382). Modernizmin kavramsallaştırılması açısından bakıldığında modernleşme kuramının ortaya çıkışı da bu mantığa dayanmaktadır.
Bir toplumsal değişme teorisi olarak ortaya çıkan modernleşme kuramı, modernleşme sürecinin evrenselliği vurgusundan hareketle batı dışında kalan toplumların da bu sürece katılmasının mümkün olduğunu varsayarak batının izlediği tarihsel seyri, inceleme nesnesi olarak aldığı toplumlara bir model olarak sunmuştur. Batı dışı toplumların gelişmesi süreci ile ilgilenen modernleşme kuramı, batı dışı dünyanın savaş sonrasında değişim süreçlerinin incelenmesinde ve belli önerilerin ortaya konmasında etkin bir konum elde etmiştir. Modernleşme kuramının gündeme getirdiği yaklaşımlar yalnızca Amerikan sosyal bilim çevrelerinde değil, aynı zamanda batı dışı toplumlar içerisinde de karşılık bulmuştur (Altun, 2000: 123). Bu yaklaşımda, sanayileşmenin esasen özgürleştirici bir güç ve ileriye dönük bir olgu olduğu ve bu yüzden Batı toplumlarının 'gelişmekte olan' toplumlar için izlenmesi gereken bir model sunduğu düşünülmektedir (Giddens, 2010: 130). Nitekim modernleşmeyi toplumsal değişimin temelinde ele alan önemli yönetim bilimciler de alana yönlendirici bir bakış açısı sunmuşlardır. Toplumsal değişme ve

dönüşüm üzerinde önemle duran düşünürlerden biri Max Weber'dir. Onun sayesinde toplumsal değişmenin sosyal-bilimsel kavranışı yeni bir boyut kazanmıştır (Solmaz, 2011: 42). Örgütlere ilişkin başlıca modern tez Weber'in Bürokrasi kuramından kaynaklanmaktadır. Klasik ve neo-klasik kuramlar örgüt yapılarını kapalı bir sistem olarak ele alırken, modern örgüt kuramları örgütleri, çevresiyle etkileşim içinde bulunan, çevreden bir takım girdileri alarak işleyen ve enerjiye dönüştüren ve bunları çıktılar biçiminde yine çevreye veren açık sistemler olarak tanımlarlar (Öğütoğulları ve Akpınar, 2016: 44). Örgütler dinamik ve açık sistemler olarak ele alındığı için değişim ve karmaşıklık bu kuramın üzerinde durduğu temel noktalar olarak görülmektedir (Şahin, 2004: 534). Örgüt teorisinin gelişiminde önemli etkilere sahip akımlardan biri olan modernist yaklaşım, modern toplumda etkisini gösteren kaos ve karmaşıklığın insanın kendi iradesi ile yönetilebileceğini savunmaktadır. Bu bağlamda modernist teori; küreseldir ve her kültüre uyarlanabilir; geçmişi reddeder, örgütün yeni yönlerini keşfeder; rasyonalizm esasına dayanır, adil ve eşitlikçidir; ortak bir uzmanlık dilinin gelişmesini amaçlamaktadır (Keskin vd., 2016: 196-197). Modernist teorinin bu temel kabullerine karşılık, postmodernist anlayışın ortaya çıkışıyla birlikte yaklaşım bazı eleştiriler de almaya başlamıştır.

Modern düşüncenin temel dayanağını oluşturan, zihin ile maddenin bağımsız kendilikler olduğu düşüncesine dayanan dualist analiz biçimleri de, postmodernistler tarafından eleştirilmektedir. Dualist çözümleme şeklinde kavramlar biri diğerine üstün olacak şekilde ifade edilmektedir. Akıl-duygu, akıl-akıldışı, nesnel-öznel, eril-dişil ikili yapıları örnek olarak verilebilir. Burada ilk kavramlar üstün ve imtiyazlı olarak kabul edilmektedir. Öte yandan modern paradigmalar araştırmacıyı imtiyazlı bir otorite gibi görür. Burada bilgi üretimi süreci içerisinde araştırmacının gerçeği bulma yeteneğine sahip olduğu varsayılır. Ancak postmodernizm bu anlayışı kabul etmemiştir. Modernist olguda araştırma yöntemleri değişik kuram ve hipotezlerin değerlendirilmesinde yaygın bir şekilde kullanılırken, postmodernizm buna karşı çıkarak yöntemi doğrunun tek belirleyicisi olmaktan çıkarmıştır (Yıldırım, 2007: 382-383). Modernist yaklaşım kuramsal çerçevedeki bu eksik kalan taraflarının yanı sıra özellikle İkinci Dünya Savaşı'ndan sonra ortaya çıkan toplumsal sorunlara uygun çözümler getirememesi, aydınların bir kısmını yeni arayışlara sürüklemiş ve sonuçta, modernitenin felsefesine ve bilimsel bilgi tekeline karşı çoğulculuğu, yerelliği ve özgürleşmeyi ön plana çıkaran postmodern durum ortaya çıkmıştır (Aslan ve Yılmaz, 2001: 93).

Öte yandan, modernleşme teorisinin az gelişmiş diye nitelendirilen ülkelerdeki toplumsal yapıyı ve kendine özgü üretim biçimlerini görmezlikten gelerek baskıcı, kendi toplumuna yabancı ve yönetici sınıflarca benimsenen düşünce tarzlarını, ihtiyaçları, değerleri dayatmaya çalıştığı ileri sürülmüştür. Modernleşmeyle birlikte toplumsallaşmanın oluşturduğu değerlerin örgütlenme sürecinin geri dönüşü olmayan bir süreci ifade ettiği kabul edilmiş ve Weber buna "demir kafes" adını vermiştir. Rasyonel karar verme açısından türetilmiş bu tür bir toplumsallaşma bireyin rasyonel olmayan doğasını, arzularını, sevgilerini, tutkularını baskı altına almaktadır. Modern toplum bir kafes olmakla da kalmamakta, içindeki insanları kişisel kimliklerini görmezlikten gelerek o kafesin parmaklıklarınca biçimlendirmektedir. Nitekim, buradan hareketle, modernizme yöneltilen eleştirilerin modernizmin evrenselliği savunma adına her tür tikelliği bastırmasından kaynaklandığı düşüncesi savunulmuştur (Demirel, 2014: 171).

## 2.4. Postmodern Örgüt Kuramlarının Evriminde Eleştirel Kuram İzleri

Örgüt teorisi, aynı zamanda toplumsal yaşama ışık tutarak geniş bir bakış açısı sunduğu için önemli bir yere sahiptir. Ayrıca örgüt teorisi içinde bulunduğumuz dünyaya nasıl dahil olduğumuzu, onu nasıl gördüğümüzü ve anlamlandırdığımızı ve karşılığında nasıl eyleme geçmemiz gerektiği konusunda bizi yönlendirir. Mc Auley'e (2007) göre örgüt teorisi günlük hayatımızda olaylara ve ardında yatan "ortak kanı" (commonsense) olarak nitelediğimiz mekanizmayı daha dikkat ve özenle açıklamayı amaç edinir. Felsefi postmodernizm görüşünün dışında yeni bir sosyal toplumun ortaya çıkışına işaret eden post-modern dönem de örgüt teorisinde önemli gelişmelere sahne olmuştur. Lyotard'ın (1984) belittiği gibi post sanayi dönemine geçişle birlikte Sanayi Devrimi'nden beri süregelen sosyal ve ekonomik yapılar yeniden şekillenmeye ve gelişen bilgi teknolojileri ile birlikte yeni bir toplumsal ağ oluşturmaya başlamıştır (Keskin vd., 2016: 49). Bu yeni süreci ifade eden terimler, değişim, esneklik, sürdürülebilirlik ve düzenliliktir. Bu terimlerin anlamını kazandığı çerçeve ise postmodernist çerçevedir.

Postmodern yaklaşım, gözlemlenen ile sosyal olgunun onu gözlemleyen aktör ile arasında direkt bir ilişki olmadığını aksine kullanılan dil ve dili meydana getiren kelimelerin nasıl kullanılacağına dair kurallar (diloyunları) tarafından yönlendirildiğini, dolayısıyla tek bir gerçekliğe varılamıyacağını savunur (Boisot ve Mckelvey, 2010: 410-450). "Post-modern" terimi, büyük örgütsel değişikliklerle (esnek ve/veya katılımcı örgütsel biçimler) veya bir dizi yeni yaklaşım veya bakış açısıyla belirlenen belirli bir dönemi belirtmek için kullanılır. Bu ikinci anlama göre, post-modern yazıların temaları söylemin merkeziliği ve gerçekliğin oluşumunda dilin rolü, aktörlerden bağımsız olarak yeniden üretilen içkin yapıların belirlenmesi, inanç sistemlerinin ve söylemin kodunun çözülmesi ile ilgilidir. Bu yapılarla ilgili olarak, güç ve bilgi arasındaki ilişki, büyük ilerleme söylemlerinin reddi, rasyonalite veya sosyal özgürleşme olarak anlaşılır. Post-modern yazıların heterojen ve parçalı doğası, hermetikliği, ilişkili deneysel çalışmanın yokluğu, organizasyonların yönetimine katkıları hakkında sorulara yol açar. Yönetim teorisinin çoğunun altında yatan bir gelenek olan bilimsel yöntemlerle edinilen bilgilerle, 1980'lerin sonunda ortaya çıkan post-modernist teori, ortak olarak modernist geleneğin ve onun ilerleme fikrinin çekişmesini mecbur kılmıştır. Bununla birlikte, bu çekişme farklı biçimler alır. Burada eleştirel akım, bu modernist geleneğin yeniden yönlendirilmesi ve aşırılıklarının düzeltilmesini isterken, post-modernist teori, temel temalara itiraz eder ve modernizmin sonunu ilan eder. "Postmodernizm" terimi, yeni, mimari, görsel sanatlar, ekoloji, hukuk, şehir planlama ve çeviri çalışmaları gibi çeşitli alanlarda ortaya çıkmaktadır.

Postmodernizm sözcüğünün kökeni veya anlamı konusunda fikir birliği yoktur. Aslında, hiç kimse onun özel olarak neyi belirttiği konusunda hemfikir değildir ve fenomenler, nesneler ve toplumun durumu, düşünce, kültür ve bilim gibi çeşitli şeyleri adlandırmak için kullanılır. Bu anlamda postmodernizm kelimesinin kökeni hakkında bol miktarda açıklama olduğu açıktır. Ancak bizim çalışma konumuz gereği 21. yüzyıl kullanımlarına bakarak yolumuza devam etmek yerinde görülmektedir. Postmodernizmin popülerlik kazanması ve terimin tarihsel ve sosyolojik kabulleri arasında bir gerilim yaşamaya başladığı dönem ve yer, 1960'ların mimarlık ve edebiyat eleştirisi alanı olmuştur. Kullanımı daha sonra insan bilimlerinin çoğunda ve estetik alanlarda yayılmıştır. 1960'dan sonra ise tanımlar birikmiş ve hatta birbiriyle çelişmeye başlamıştır. Burada sunulan "postmodernite" kavramsallaştırmasının unsurları, daha genel bir toplum teorisi ve onun tarihsel gelişimi içerisinde çerçevelenmiştir. Postmodernizm, modernliğin temel belirleyicileri olan “akılcılığın, rasyonel kapitalist değerlerin, bürokrasinin, uzmanlaşmanın, merkeziyetçiliğin, hiyerarşinin, kimlik belirlemelerinin ve dolayısıyla modern devlet yapısının” reddine dayanır (Doğan, 2017: 31). Disiplinlerarası nitelik kazanan ve diğer akımlar gibi dünyada olan değişimlere karşı ortaya çıkan postmodernizm, ne herhangi bir kuram ne de bir ilkeler bütünüdür. Modernizmin aksine postmodernizm, kesin tespitlere karşı çıkar, belirsizliği ve şüpheciliği ön planda tutarak kendi paradigmasını oluşturur. Bu paradigma kapsamında “bütüncül, içine kapanık, mutlak doğruların ve ideolojilerin” bulunduğu modernizmin aksine, “parçalı bir yapının hakim olduğu, açık ve kesin doğruya ulaşmanın mümkün olmadığı” postmodern anlayış biçimlenir. Diğer bir deyişle postmodernizm, modernizmle benimsenen bilgi ve varlığın sabit değerlere dayanması gerektiği ve bu sabit değerler oluşturulamazsa kaos ortamının oluşacağı düşüncesinin tersine “çoklu gerçeklik, antikurumsalcılık ve görecelilik temelleri” üzerine kurulmaktadır (Tahtalıoğlu, 2018: 21). Postmodernizmin bilimsel anlayıştaki bu radikal değişimi, sosyal bilimlerle ilgili de radikal değişimlere sebep olmuştur. Örgüt konusunda yapılan tartışmalarda örgüt kültürü, ortak kültür, alt kültür, örgütsel sembolizm, örgüt imajı, örgüt iklimi, örgüt kişiliği gibi kavramlar, merkezi bir yer almaya başlamıştır. Örgütle ilgili söz konusu konularla, postmodernizm konusunda yapılan tartışmalar arasında, ortaya çıkış yönünden bir eşzamanlılık da söz konusu olmaktadır. Postmodern yaklaşımı benimseyenler, örgütün tekdüze ve durağan yapı ve özelliklere sahip olamayacağını kabul ederken, dil ve eylemin de hiçbir zaman son biçimini alamayacağını, sadece geleceğe doğru uzanan bir oyun içinde sürekli hareket halinde bulunacağını savunurlar (Şişman, 1996: 458). Bu açıdan postmodernizmle, örgütle ve örgüt kuramıyla ilgili eleştirel bakış açısını barındıran birçok bakış açısının da (kültürel belirlenimcilik, subjektiflik, düşünümsellik vb.) temelleri atılmaya başlanmıştır**.**

Postmodern teoriye esas eleştiri eleştirel teori tarafından gelmiştir. Her ne kadar Frankfurt Okulu’nun ilk jenerasyonu modernitenin negatif yönlerine işaret ettiyse de, Habermas gibi Frankfurt Okulu’nun eleştirel teorisinin temsilcileri, postmodern teorinin kilit eleştirmenleri olarak 1970’ler ve 1980’lerde ortaya çıkmışlardır. Eleştirel kuramcılar, modernite ile postmodernite arasında olduğu iddia edilen ve çoğu postmodernist tarafından kabul edilen ayrımı reddederler. Bu anlamda, eleştirel kuramcıların

eleştirileri, postmodern kuramın modernite, usa varma, aydınlanma, evrensellik ve eleştirel teorinin genelde kullandığı diğer kavramlara yaptığı saldırılarla ilintilidir. Eleştirel kuramın postmodern kuramı mercek altına alması ise, postmodern toplum teorileri, medya, taklit vb.'den çok, bilginin postmodern şekilleri ve onların sözde irrasyonel eğilimleri ile ilgilidir. Eleştirel kuramcılar, postmodernistler tarafından varolduğu iddia edilen modernite ve postmodernite farklılığını reddederler. Ancak bu eleştirel kuramcıların moderniteyi savunduğu anlamına da gelmez. Bu anlamda, postmodern kuram ve eleştirel kuram arasında farklılıklar olduğu gibi benzerlikler de bulunmaktadır (Aydın, 2001: 203-204). Yukarıda sözü edilen farklı ilgi alanlarına karşılık iki yaklaşımın benzer ilgi alanları da söz konusudur. Postmodernistlere göre örgütler sabit unsurlardan oluşmazlar, aksine Weick'in (1969) ilişkiler ağında olduğu gibi sürekli bir dönüşüm ve 'akış' içerisindedirler. Bu nedenle tekrarlanan örgütsel faaliyetlerin aşamalandırılması, anlamları ve uygulamaları analiz edilmesi gereken unsurlardır (Keskin vd., 2016: 49). Nitekim bu nokta da tam olarak çalışmamıza aydınlık kazandırmaktadır. Yukarıda sözü geçen dönüşüm ve akış, örgüt kuramlarındaki aktif bir süreci ve değişimi ifade etmektedir.

## 3. ÖRGÜTLER VE ÖRGÜT TEORİLERİNİN VAROLUŞ NEDENLERİ

Örgütler sosyal hayatın devamlılığı için önemli varlıklardır. Örgütlerin hayat kalitesine ve toplumsal refaha katkıda bulunduklarına değinen Tompkins (2005), modern toplumlarda karmaşık yapıya sahip olsalar bile, örgütlerin beşeri, finansal ve fiziksel kaynakları bir araya getirebilme becerisine sahip olduklarını ifade etmektedir. Örgütler, hayatın her alanı için önemlidir ve içerisinde sosyal refahı sağlayan unsurları barındırırlar. Örgüt teorisi ise, kendisine örgütün her bölümünde uygulama alanları bulabilmektedir (Hatch ve Cunliffe, 2006). Genelde birbiri ile zıt birçok argümana sahne olan örgüt teorisi, teorisyenlerin ortak bir nokta bulmak üzere farklı paradigmalar/bakış açıları benimsediği bir yarış alanıdır (Keskin vd., 2016: 69). Felsefe ise tam bu noktada bakış açılarındaki subjektifliği bilince taşıyarak örgüt ve teorilerini farklı görmeyi sağlamak ve açıklamak süreçlerinde realist bir uygulama sunar. Sosyal varlık olarak kabul edilen örgütler hem iç hem de dış etkenlerin etkisinde kalırlar. Serge Moscovici'nin "varlıklar kendilerini korumaya çalışıyorlar, değişime yol açıyorlar" ifadesi bugün içinde bulunduğumuz şartlarda örgütleri de etkileyen koşulların kısaca özeti gibidir. İkincisi "Kalıcılık/sürdürülebilirlik" kavramıdır. "Sürdürülebilirlik" ve "değişim" kavramları başlangıcından bu yana örgütlerin yönetimi anlamında oldukça fazla bir zaman geçirmişlerdir. İlk adımda, bir yönetim modeli inşa etme ve uygulama adına "değişim" örgüt teorisinin ana teması haline gelmiştir. Yönetim, bir süre için, örgütün sorunlarına kesin bir cevap verebilecek evrensel modellerin araştırılması ve kurulması yolunda Taylorist modelin ilkelerini takip etmiş ardından ise kademeli olarak örgütleri, uyarlama ve uygun koşulları aramaya yönelmiştir. Konu ile ilgili akademik çalışmalar sayesinde, bu ilke, işletmenin rekabet edebilirliğini ve sürdürülebilirliğini sağlamada "değişimi" temel bir unsur olarak kabul eder hale gelmiştir. Değişim, örgütü oluşturan unsurlar ve bunların karşılıklı ilişkileri, süreçleri, ürünleri, hizmetleri ve örgütsel hedefleri üzerinde birden çok etkiye sahiptir. Özellikle hedefler üzerindeki etki, radikal örgütsel değişimin bir işaretidir (Nurcan vd., 2002: 4). Öte yandan değişim, işletmelerde büyük bir sorun olarak karşılanmakta, kabulü ve uygulanma güçlüğü nedeniyle örgüt içinde endişeyle karşılanmaktadır. Değişim ve sürdürülebilirlik ilişkisi üzerine düşüncenin vardığı bu ilk aşamada, istikrar ve sürdürülebilirliği savunan ideal modelin tasarımından, değişimin örgüt faydasında gerekli bir unsur haline geldiği bir yönetim tasarımına geçildiği görülmektedir. Yönetimin misyonu, "gruplar halinde çalışan bireylerin önceden belirlenmiş ortak hedeflere ulaşmak için etkili ve dinamik bir şekilde işbirliği yapmaya teşvik edildiği bir ortam yaratmak veya sürdürmek" (Koontz ve O'Donnell, 1980) olarak tanımlandığında, buradaki bazı kavramları değişimle ilgisi önem kazanmaktadır. Sürdürülebilirlik (durabilité/sustainability) pek çok çalışmada değişimle birlikte anılmaktadır. Pek çok tanım dizisi, çalışma alanının genişlediğini açıkça göstermektedir. Günümüze doğru uzanan araştırmalarda yazarlar artık örgütlerde değişimin gerekliliğini savunan ve bunu şart koşan teorisyenler haline gelmişlerdir. Bu anlamda değişim, belirli bir örgütsel bağlam içinde, karmaşık ve sosyal olarak yapılandırılmış bir dönüştürme süreci olarak anlaşılmalıdır. Yönetim için değişim her zaman zor, sabır ve çaba gerektiren bir iş olmasına rağmen gerekli olduğu açıktır. Diğer birçok alanda olduğu gibi yönetim araştırmasında da önemli bir tema, her olayı ve konuyu değişim ve dönüşüm açısından düşünmektir. Bu iki önemli olgu, istikrar ve kalıcılığın terkedilerek yavaş yavaş akıl yürütmenin ön plana çıktığını göstermektedir ve bu noktada eleştirel kurama ihtiyaç duyulmaktadır.

Örgüt teorisinde felsefi bir bakış ilk olarak Burrell ve Mogan'ın (1979) Sosyolojik Paradigmalar ve Örgütsel Analiz (Sociological Paradigms and Organizational Analysis) adlı kitabında karşımıza çıkmaktadır. Yazarlara göre tüm örgüt teorileri, altında yatan bir felsefi teoriye ve gizli bir sosyal teoriye dayanmaktadır (Keskin vd., 2016: 69). İnsan bilimlerinin konusunu, insan ve insanın bir ürünü olarak ele alınabilecek her şey oluşturmaktadır. Değişim, diğer birçok alanda olduğu gibi yönetim araştırmalarında da önemli bir tema ve işlenmesi zor bir konudur. Değişim, zamanla sosyal aktivitenin içsel bir endişesi haline geldiği için, örgütsel mekanizmaların daha iyi anlaşılması ihtiyacını doğurmaktadır. Bu anlamda değişim, örgütsel bilimlerdeki uygulayıcılar ve araştırmacılar için de merkezi bir rol oynamaktadır. Bu yol bizi sosyal inşacılık alanına götürmektedir. Rölativizmle birlikte anılan sosyal inşacılık, kendisini dayandırmakta olduğu post-yapısalcı ve post-modern kuramları kullanarak psikoloji biliminin katı pozitivist deneysel doğa bilimi olma hevesine eleştiriler getirmek ve bu bilimin "keşfettiği" gerçeklerin aslında sosyal olarak inşa edilen ve çoğunlukla yönetim odaklarının yararına olan bilgiler olduklarını göstermek üzere yola çıkmıştır (Altınal, 2010: 75). Sosyal inşacılık" terimi çok çeşitli konuları ele alan felsefe ve bilim sosyolojisindeki birçok tezle kesişmektedir. İnşacı düşüncenin öncüleri "Eleştirel Kuramcılar" olarak tanımlanmakta sakınca bulmazlar. Entelektüel kökenlerini eleştirel sosyal teorinin standart figürleri olarak ön plana çıkan Anhony Giddens, Jurgen Habermas ve Michel Foucault'ya, hatta onların da öncüleri kabul edilen Marks ve Nietzsche'ye dayandırırlar. Bu düşünürler için inşacılık, kapsamlı uluslararası eleştirel kuram ailesinin bir parçasını oluşturmaktadır. Postmodernistler, Neo-Marksistler ve Feministler de bu aileye dahil edilmektedir. Ancak eleştirel kuramcıların önde gelenleri, inşacılığın rasyonalizm ve pozitivizmi maskelediği düşüncesiyle bu akımı pek dostça karşılamamaktadırlar. Üçüncü kuşak eleştirel kuramcılarına nazaran daha az meta-teorik konular ve disipliner eleştiriler üzerinde duran inşacılar, sosyal eleştirel kuram kaynaklı ontolojik varsayımlar, kavramsal çerçeveler ve metodolojik yaklaşımlara daha çok ağırlık vermektedirler. Böylece inşacılar, etik değerlere vurgu yapan toplum sosyolojisine de önemli bir kavrayış sunarak, uluslararası eleştirel kurama hayati bir destek sağlamaktadırlar (Arı ve Kıran, 2011: 52). Nitekim, örgütsel fenomenlere bakışları açısından da eleştirel kuramın ve sosyal inşacı kuramın felsefelerinin kesiştiği yerler olduğu ifade edilebilecektir. Nihayetinde, değişimde aktörler yalnızca sınırlı bir güçleriyle dış kısıtlamalara yanıt verirler ve bunun etkisiyle yapı uyarlanabilir sıçramalarla ve işletmenin çevreye olan bağımlılığına göre değişebilir.

## 4. SONUÇ

Modern toplumların gelişiminde önemli ve motive edici güç olarak kabul edilen örgütler, dünyayı ve insan davranışlarının gerekçelerini daha iyi anlama isteğine aracılık ederler. Ayrıca örgütler, toplumun karmaşık yapısını düzene koymada baş rolü üstlenirler. Bu nedenle örgütleri, süreçlerini ve yapısını iyi anlamak gereklidir. Öte yandan örgüt teorileri örgütler ve çevre arasındaki bağın nasıl işlediğini, nasıl bir bağlantı kurulduğunu açıklamayı ve düzenlemeyi hedeflemektedir. Teorinin her zaman uygulanabilir belirli sınırları vardır. Teoriler sahip olduğumuz bilginin taraflı, subjektif, eksik olduğu gerçeğini anlamamızı sağlar. Örgüt teorilerinin daha çok yönetim biliminde kullanılması ise yeni değildir. Organizasyonel yönetim işlevleri (planlama, organize etme, komuta etme, koordine etme, kontrol) kapsam açısından düşünüldüğünde evrensel olduğu düşünülen etkili yönetim ilkelerinin formülasyonudur. Genel model olarak sunulan organizasyon düzeni, açıkça belirlenmiş bir iş bölümü ve çeşitli görevlerin koordinasyonunu sağlayan katı bir hiyerarşinin varlığı ile karakterize edilir. Bu anlamda bilimsel yönetimin babası olan Taylor, klasik okulun en iyi bilinen temsilcisi ve teorisyeni olarak ününü kuşkusuz gelecek nesillere kadar devam ettirebilecektir. Onun kanaatlerinden biri, tartışmasız bir rasyonalite ile bilimsel bir yönetim yaklaşımına ulaşmanın mümkün olduğuydu. Bu teorik çercevede yönetim uzun zamandır örgütün sorunlarına kesin olarak yanıt verebilecek evrensel modellerin araştırılması ve uygulanması olarak görülmüştür. Bu anlayışta, örgütün verimliliği ve sürdürülebilirliği, onun değişme kapasitesi ile değil, istikrarlı ve kesin bir organizasyon biçimi oluşturma kapasitesi ile sağlanmaktadır. Bu bakış açısı geniş çapta sorgulanmıştır ve bazı kavramsal ilerlemeler artık organizasyonun verimliliğini ve sürdürülebilirliğini değişim kapasitesinin bir sonucu olarak kavramamızı önemli hale getirmektedir. Bu kavrayış içerisinde örgüt kuramında paradigmal değişime işaret eden önemli başlıklardan birini de eleştirel kuram oluşturmuştur.

Eleştirel Kuram 1920 ve 30'larda Almanya'da gelişen ve hareket noktasını Marx'tan alarak, yabancılaşan emeğin özgürleşmesi ve bu şekilde toplumsal dönüşümü hedefleyen bir yaklaşımdır. Kuram, dönemin Almanya'sında pozitivist bakış açısına ve teknokrasi[1] zihniyetine karşı bir tepki olarak gelişmiştir. Eleştirel kuram Burrel ve Morgan (1979) gibi yönetim bilimciler tarafından radikal insancıl paradigma içinde değerlendirilmiştir. Eleştirel Kuram, sabit bir kuramsal külliyat olmaktan uzaktır ve kendisini yeniden formüle etmekten, kendi zamanını değil, diğer kuramları da onlardan ayırarak veya onlardan bolca çekerek yüzleşmekten asla vazgeçmemiştir. Bu açıdan bakıldığında geçen yüzyılın en çok sorgulama, değiştirme, yeniden formüle etme ve özeleştiri yapma yeteneğini gösteren düşünce okullarından biri olduğu bile söylenebilmektedir. Eleştirel teori kapalı bir teori değil, tarihe açık, şimdiye demir atmış ve geleceğe dönük bir teori olarak ününü sağlamıştır. Hareket halinde ve pratikle sürekli etkileşim içinde olan diyalektik bir teoridir ve bu perpektifiyle tarihle birlikte dönüştürülür. Sabit, zamansız veya tarihin dışında bir teori olabileceği fikri, Eleştirel teori anlayışının tam tersidir. Bu anlamda eleştirel teorinin geleceği için açık olan şey her zaman değişimi destekleyici görüşe açık olacağıdır.

Örgütsel değişime örgüt kuramları ve felsefi boyutu ile baktığımızda işletmelerin değişiminde insanlararası iletişimin önemli boyutu karşımıza çıkmaktadır. Değişim için, sürdürülebilirlik, rekabet ve strateji konunun önemli boyutlarını oluşturmaktadır. Ancak yüksek düzeyde sürdürülebilir rekabet avantajı, tüm kendine bağlı işletmeler içinde gerçek bir kurum kültürü oluşturmayı başaran, çalışanlarını elinde tutan ve kendilerini vazgeçilmez kılmak için stratejik konumlandırmayı başaran işletmelerde mümkün olmaktadır. Bu anlamda teorik bir araştırmayı temsil eden bu çalışma bize birkaç şey öğretmektedir. Eleştirel kuramın temsilcileri, özellikle ele aldıkları kapitalist modernizm eleştirisinden hareketle, pozitivizmin özgürlük için gerekli olan eleştirel akıldan yoksun olduğunu ifade etmişlerdir. Kültürün endüstrileşmesiyle birlikte popüler kültür/kitle kültürü insan bilincinin parçalanmasını, tek tipleşmesini ve tüketim kültürünün egemen olmasını sağlamıştır. Bu parçalı bilinç de insanın özgürleşmesinin önündeki engellerden birini oluşturmuştur. Bu bakış açısıyla Frankfurt Okulu kuramcılarına göre, kitleler kapitalizm ve kapitalistlerin kontrol ettiği kültür endüstrileri tarafından kolayca 'aptallaştırılabilmekte'dir (Yaylagül, 2014: 94-95). Bunun birçok sebebini de klasikten postmoderne örgüt kuramlarının evriminde görmek mümkündür. İşletmeler her geliştiğinde çevresini de şekillendirdiği kabul edilir, başka bir deyişle, onu sürekli inşa eder. Değişim, özünde bir kopma oluştursa bile, bu kopuşu meydana getiren süreçlerin kendilerinin de sürekli ve kademeli olduğunu, bunun da tekdüze anlamına gelmediğini hatırlamak önemlidir. Önemli olan bilinçle yapabilme yeterliğine sahip olmaktır. Felsefenin desteği bu yönde olmaya devam edecektir. Nitekim rgütleri anlamak için felsefi varsayımların şekillendirdiği anlamlandırma çerçevesinden yola çıkılmaktadır. Tek bir doğru cevabı bulunmayan felsefi yaklaşımlar, olaylara bütünsel bakıştaki fazla subjektifliğin bilinçle düzeltilmesini sağlamakla görevlidir. Örgüt teorileri felsefi açıdan eleştirel teoriyi yanına almasıyla bir çok soruyu aramaya devam ederek artık kalıcı bir duruş sergilemeye devam edecektir. Bu açıdan eleştirel teori, anı değerlendirme önermesi yoluyla, değişimin kapılarını örgütlere daima açık tutacaktır.

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# Sürdürülebilir Giyilebilir Ürünler: İnsan Yaşam Kalitesini Artırmak İçin Giyilebilir Teknoloji

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**Özet:** Son yıllarda, giyilebilir teknoloji ile insan-bilgisayar iletişimi ortayı çıktı. Giyilebilir bilgisayarlar oldukça küçük taşınabilir bilgisayarlardır. Gelecekteki giyilebilir teknolojinin biyometrik veriler toplayarak geliştirilebileceği dolayısıyla, giyilebilir bilgisayarların yalnızca kaliteyi yükseltmeyeceği hayatın tüm yönlerini etkileyeceği, giyilebilir sürdürülebilirlik yaşam kalitesini yükseltmeye ve insan merkezli odaklı olmaya yöneliktir. Giyilebilir uygulamalar, sağlık, görme engelliler için yardım, afet yardımı ve kamu güvenliği alanlarını içerir. Gelecekte, giyilebilir cihazlar bireyler ve toplumlar için değerli bir kullanım alanı oluşturacaktır. Dolayısıyla sürdürülebilir giyilebilir cihazlar, hem bireyler hem de genel olarak toplumlar için olumlu değişikliklere yol açacaktır.

**Anahtar Kelimeler:** Sürdürülebilir giyilebilir ürünler, Giyilebilir teknoloji, Yaşam kalitesi

# Sustainable Wearables: Wearable Technology For Enhancing The Quality Of Life

**Abstract:** In recent years, human-computer communication has emerged with wearable technology. Wearable computers are very small portable computers. Wearable sustainability is geared towards improving the quality of life and being people-centered, so that future wearable technology can be developed by collecting biometric data, that wearable computers will not only improve quality but affect all aspects of life. Wearable apps include healthcare, assistance for visually impaired, disaster relief, and public safety. In the future, wearable devices will create a valuable use for individuals and communities. Therefore, sustainable wearable devices will lead to positive changes for both individuals and societies in general.

**Key Words:** Sustainable wearable products, wearable technology, quality of life

## 1. GİRİŞ

Giyilebilir teknoloji, kullanıcıların çevrimiçi bilgilere rahatça erişebilmeleri ve hareket halindeyken diğerleriyle (veya diğer şeylerle) iletişim kurabilmeleri için kullanıcılara mobilite ve bağlantı özelliklerini sağlar (Billinghurst ve Starner, 1999). Gerçek hayatta uygulama için nicelikli yaşam koşullarını analiz ederek yaşam kalitesini iyileştirmek için yöntemler üzerinde daha fazla çalışma yapılmıştır. Hareketleri takip edilen hedefler, gerçekleştirilen fiziksel aktiviteler ve çevresel bilgiler gibi çeşitli kişisel bilgileri içerir (Oh ve Lee, 2015). Giyilebilir cihazların teknolojik gelişimi, vücudun herhangi bir yerinde fiziksel aktiviteler ve insanın fizyolojik durumu için ölçüm ve izlemeyi mümkün kılar. İzleme görevlerini yerine getirmek için vücudun baş, kulak, göz, kol, gövde, boyun ve ayak gibi herhangi bir yerine takılabilir (Vandrico, 2016).

"Giyilebilir ürünler" olarak da bilinen giyilebilir teknoloji, aksesuar olarak takılabilen, giysiye gömülebilen, kullanıcının vücuduna implante edilebilen ve hatta cilde dövme yapılabilen bir elektronik cihaz kategorisidir. Cihazlar, mikro işlemcilerle güçlendirilmiş ve İnternet üzerinden veri gönderip alma özelliği ile geliştirilmiş, pratik kullanımları olan aygıtlardır. Bu tür cihazların hızla benimsenmesi, giyilebilir teknolojiyi Nesnelerin İnterneti'nin (IoT) ön saflarına yerleştirdi (Hayes, 2020).

Giyilebilir teknoloji, yani vücudun yüzeyine giyilen elektronik cihazlar ve aksesuarlar gibi hızla gelişen bir trenddir. Giysiler ve kıyafetler, el çantaları, mücevherler ve gözlükler giyilebilir bilgi işlem için giderek daha önemli platformlar haline gelmektedir. Teknoloji daha yaygın hale gelmekte ve insan yaşamının her alanında yer almaktadır. Giyilebilir teknolojinin ortaya çıkışı, her gün hayatımızı daha da geliştirmek için yeterli fırsatlar sunarken, aynı zamanda dezavantajına da sahiptir (Vaajakari, 2018).

Giyim, kıyafet sektöründeki sürdürülebilir yenilikler sayesinde kumaş israfı, karbon emisyonu, su kullanımı ve daha birçok kaynak ihtiyacı azaltılabilir. Sürdürülebilir giyim fikri, kıyafet üretimini, dağıtımını, kullanımını ve geri dönüşümünü içine alan bir süreçtir. Ortaya çıkan karbon emisyonu gibi birçok alanda yapılan yenilemelere gidilerek üretilen sürdürülebilir kıyafetler sayesinde, uzun vadeli pozitif sonuçlar elde edilebilir. Her yıl ortalama 60 milyon ton civarında kıyafet üretiliyor. Bunun sonucunda, devasa tekstil sektöründeki en ufak bir değişiklik bile kayda değer sonuçlar ortaya çıkarabiliyor (YeniIsFikirleri, 2019).

## 2. SÜRDÜRÜLEBİLİR GİYİM

Sürdürülebilir moda, ürününü olabildiğince güvenli ve çevre dostu hale getirmek için ürünün tüm yaşam döngüsüne bakılır. Sürdürülebilir giyim markalarının taşıdığı vasıflar(Kristen, 2019):

**Atık:** Sürdürülebilir giyim markaları, üretim sırasında ve giyim rotasını tamamladıktan sonra mümkün olduğunca fazla atığı azaltmaya çalışır. Bu, giysilerde geri dönüştürülmüş malzemelerin kullanılmasını ve kıyafetleri atmak yerine onarmayı içerir.

**Su kullanımı:** İçme, çiftçilik ve üretim için tatlı su talebi, sahip olduğumuz su miktarını aşıyor. Sürdürülebilir giyim markaları, su kullanımlarını nerede azaltabileceklerini görmek için tedarik zincirlerinden yararlanıyor.

**Çalışma koşulları:** Birçok hızlı moda markasının fabrikalarında korkunç derecede kötü çalışma koşulları vardır. Hatta bazıları giysilerini olabildiğince ucuza yapmak için köle emeği kullanıyor. Sürdürülebilir giyim markaları, çalışanları korumak için adil iş gücü ve etik üretim uygulamalarını takip eder.

**Tehlikeli kimyasallar:** Kimyasal boyaların ve son işlemlerin çoğu hızlı bir şekilde işçiler için tehlikelidir. Ayrıca su kaynağını kirletebilir ve tüm toplumun tüketmesini güvensiz hale getirebilirler. Sürdürülebilir giyim markaları, bu kimyasallara doğal boyalar gibi alternatifler arıyor.

**Tarım:** Pamuk doğal bir lif olmasına rağmen, genellikle büyümek için önemli miktarda böcek ilacı gerektirir ve bu da yaban hayatına ve çiftlikte çalışan insanlara zararlıdır. Sürdürülebilir giyim markaları, çevreyi ve çiftçileri korumak için organik pamuk, keten ve diğer elyafları kullanma eğilimindedir. Ayrıca geleneksel yetiştirme yöntemlerinden daha az su kullanmanın yollarını ararlar.

**Kısa yaşam döngüsü:** Hızlı moda mememizin nedenlerinden biri, bugün burada olması ve yarın gitmesidir. Sürdürülebilir modadaki en büyük hedef, insanları daha az satın almaya teşvik etmek ve giysilerin daha uzun süre dayanmasını sağlamaktır. Bu nedenle, yıllarca tekrar tekrar giyebileceğiniz basit ve klasik tarzlar yaratırlar.

### 2.1. Sürdürülebilir kumaşlar

Organik pamuk, İpek, Organik, yün, Kenevir, Alpaka, Angora, Deve, Kaşmir, Tiftik, Keten, Rami, Aluyot. En popüler olanı, organik pamuğun kullanılmasıdır. Sürdürülebilir giyilebilir ürünler, giyilebilir teknoloji ve yaşam kalitesinin iyileştirilmesi, sosyal etki ve kamu yararı üzerinde olumlu bir etkiye sahip olan sürdürülebilirlik değeri olan uygulamaların araştırılmasıdır.

## 3. SÜRDÜRÜLEBİLİR GİYİLEBİLİR TEKNOLOJİLER

Sürdürülebilir giyilebilir ürünler "yaşam kalitesinin ve sosyal etkinin iyileştirilmesi üzerinde olumlu etki yaratabilen giyilebilir bir teknoloji cihazı" dır. Sürdürülebilir giyilebilir teknoloji ve akıllı tekstiller oluşturulması maliyet, dayanıklılık ve ölçeklenebilirlik gibi konuları içerir.

Sürdürülebilir giyim, Adil Ticaret üretimi veya organik olarak yetiştirilmiş hammadde içeren kumaş gibi sosyal ve çevresel sürdürülebilirliğin bir veya daha fazla yönünü içeren giysiler (Goworek vd., 2012).

Giysilerde bir pamuklu gömleğin üretilmesi, bir kişinin 2,5 yılda içtiği kadar su gerektirir. Naylon ve polyester gibi sentetik malzemeler için ise üretilmesinde daha az su kullanır. Fakat tehlikeli sera gazları yayarlar. Kenevir, bambu ve rami gibi doğal lifler pamuk alternatifi olarak yaygın olarak kullanılmaktadır.

## 4. SÜRDÜRÜLEBİLİR GİYİLEBİLİRLERİN DEZAVANTAJLARI

Moda endüstrisi hızla, mevsimsel olarak değişen trendleriyle ünlüdür, kısa inovasyon döngüleri ve yazılım uyumsuzluğu, tüketici elektroniği sektöründe iyi bilinen zorluklardır. Giyilebilir teknolojiler, çevre, insan sağlığı ve toplumlar üzerindeki etkileri güç tüketimini, kıt kaynakların tüketimini ve geri dönüşümü zor elektronik atıkların büyük akışlarını üreterek etkileyebilir. Kritik hammaddelere olan talep, malzeme kıtlığını arttıracak olsa da, tedarik zincirinin diğer ucunda, geri dönüşüm sürecinde onları doğru şekilde ayırma zorluğundan dolayı, bu değerli kaynaklar kaybedilecektir. Çok sayıda küçük e-atık maddesi normal evsel atıklarla sonuçlanabilir ve daha da kritik olarak, çevrede su, toprak ve havayı kirleten ve insan sağlığına zarar veren sorunlu maddeler ortaya çıkabilir. Giyilebilir teknolojiler, her zaman çevrimiçi kültürü daha da yoğunlaştıracak ve bu da gerçek insan etkileşimleri ve genel refah üzerinde zararlı bir etkiye sahip olacaktır (Vaajakari, 2018).

Giyilebilir teknolojiler güç tüketimini artırarak, kıt kaynakların tüketimini artırarak ve geri dönüşümü zor olan büyük elektronik atık akışları oluşturarak çevre, insan sağlığı ve toplumlar üzerindeki etkileri artırabilir. Giyilebilir teknolojiler, gerçek insan etkileşimleri ve genel refah üzerinde zararlı bir etkiye sahip olabilecek, her zaman çevrimiçi olan bir kültürü daha da yoğunlaştıracaktır. Son olarak, giyilebilir teknolojilerin yükselişiyle ilgili olarak pek çok veri gizliliği ve güvenliği sorunu vardır (Vaajakari, 2020).

Giyilebilir ürünler, kullanıcılara cihazlar üzerinden bağımsız veya basit bir akıllı telefon aracılığıyla yardım sağlar. Bununla birlikte, giyilebilir cihazların son eğilimi çevre ile entegrasyondur (Augusto vd., 2013).

## 5. SÜRDÜRÜLEBİLİRLİK GİYİLEBİLİRLERİN AVANTAJLARI

Daha dayanıklı malzemeler üretilerek ve kullanıcıların odak noktasını daha iyi yakalamak için yeni, daha yenilikçi yollarla doğru bakım ve temizlik uygulamalarına ilişkin farkındalığı ve bilgiyi artırarak gerçekleştirilebilir (örnek; Görsel işaretleyiciler, AR). Ancak elektronik cihazların tüketimini yavaşlatmak için çoklu platform kullanımı ve yazılım uyumluluğu her zaman sağlanmalıdır. Kullanıcının değişen istek ve gereksinimlerine nasıl ayak uyduracağına dair birçok öneri vardır. Kullanım bağlamına göre değiştirilebilen ve uyarlanabilen, çok işlevli ürünler üretmektir. Örneğin, kendi kendini temizleme ve onarım işlevlerine sahip renk, şekil ve sıcaklık değiştiren malzemeler, gelecekte değişen kullanıcı gereksinimlerini karşılamak için olası bir çözüm olarak sunulmuştur.

Genişletilmiş bir yaşam döngüsü elde etmenin bir yolu, kullanıcı ve ürün arasındaki anlam oluşumunu geliştirmektir. Bu, giyilebilir teknolojilerin temel avantajının üzerinde olduğu bir alandır. Belirli bir ürüne olan duygusal bağlılığı artırarak, daha uzun bir yaşam süresine sahip olması beklenir.

Giyilebilir teknoloji, sosyal sürdürülebilirlikle ilişkili olarak başka önemli avantajları da beraberinde getirebilir. Sağlık ve sporla ilgili giyilebilir ürünler, nüfusun yaşlanmasıyla ilgili sorunları ortadan kaldırabilir, sağlık sorunlarını azaltabilir ve sağlık hizmeti maliyetlerini düşürebilir. Uzaktan sağlık bakımı ve erken korunmaya izin vererek yaşam kalitesini artırabilirler.

Giyilebilir teknolojiler, bilgiyi depolayarak ve bunları nesilden diğerine aktararak kültürel gelenekleri ve mirası korumaya da yardımcı olabilirler. Bu aynı zamanda bireyler ve topluluklar arasındaki bağlılığı desteklemeye de yardımcı olabilir. Giyilebilir teknolojilerin, halkı koruma faaliyetlerine yardım etmede ve sosyal krizlere yanıt vermede rol oynayabileceği düşünülmektedir.

Giyilebilir teknolojilerin sürdürülebilirlik etkisini belirleyecek olan şey, gerçek kullanıcı davranışıdır. Ürün, en yüksek sürdürülebilirlik standartlarına göre tasarlanmış olsa da, bu çabaları geçersiz kılacak olan, kullanıcıların anlık kararlarıdır (Vaajakari, 2020).

Giyilebilir teknolojinin mevcut toplu tüketim kalıpları üzerinde bir atılım yaptıklarında yıkıcı bir etkiye sahip olabileceği de varsayılmaktadır. Ürün ömrünü uzatarak yeni ürünlerin tüketimini yavaşlatmaya yardımcı olabilirler.

Genişletilmiş bir yaşam döngüsü elde etmenin bir yolu, kullanıcı ile ürün arasındaki ilişkiyi güçlendirmektir. Bu, giyilebilir teknolojilerin temel avantajının bulunduğu bir alandır. Belirli bir ürüne olan duygusal bağlılığı artırarak daha uzun bir ömre sahip olması beklenir. Ürünün kullanıcının değerleri ve yaşam tarzı, kimlik inşası, kişisel anılar ve estetik ihtiyaçları ile bağlanması gerekir. Giyilebilir teknoloji,

sosyal sürdürülebilirlik ile ilgili olarak diğer önemli avantajları da beraberinde getirebilir. Sağlık ve kondisyonla ilgili giyilebilirler nüfusun yaşlanması ile ilgili sorunları giderebilir, sağlık sorunlarını azaltabilir ve sağlık maliyetlerini düşürebilir. Uzaktan sağlık bakımı ve erken korunmaya izin vererek yaşam kalitesini arttırabilirler. Giyilebilir teknolojiler aynı zamanda bilgi ve bilgiyi depolayarak ve onları kuşaktan diğerine geçirerek kültürel gelenekleri ve mirası korumaya yardımcı olabilir. Bu aynı zamanda bireyler ve topluluklar arasındaki bağlantıyı desteklemeye de yardımcı olabilir. Giyilebilir teknolojilerin kamu koruma faaliyetlerine yardım etmede ve sosyal krizlere cevap vermede rol oynayabileceği öngörülmektedir (Vaajakari, 2018).

## 6. SÜRDÜRÜLEBİLİR GİYİLEBİLİRLERİN İNSAN YAŞAM KALİTESİNE ETKİLERİ

Giyilebilir cihazlar, birçok durumda günlük rutinler sırasında sağlık izleme sistemi olarak kullanılabilir. Gelecekteki giyilebilir teknolojinin sadece basit fiziksel aktiviteler veya biyometrik veriler toplamadaki durumundan etkileşecektir. Bazı araştırmacılar tarafından giyilebilir bilgisayarların sadece kaliteyi artırmakla kalmayıp, yaşamın tüm yönlerini etkilemek için geliştirilmiş olmalarıdır. Giyilebilirlerin sürdürülebilirlik açısıyla yaşam kalitesini artırmaya yönelmesi, sosyal kamu yararı ve güvenliği açısından uygulamaya alınması önemli bir gelişmedir.

Giyilebilir teknoloji sağlıklı yaşam tarzları için bir alternatiftir. Kullanıcıların sağlığını ve fiziksel aktiviteleri izlemek için kullanılabilirler. Giyilebilir cihazlar hastaların tanı ve tedavi yöntemlerini araştırarak, hastaların yaşam kalitelerini artırmayı amaçlamaktadır. Örneğin: Giyilebilir cihazlar görme engelli insanların sokakta düşme ve çarpışmalara karşı koruyarak yollarını güvenli ve kolay bulmalarını sağlar.

Giyilebilir teknoloji, hastanelerde hasta yönetimi verimliliğini de artırabilir. Araştırmacılar, sağlık dengesizliklerinin erken tespiti için giyilebilir teknolojiyi kullanmayı amaçlamaktadırlar. Giyilebilir tekniklerde kablosuz iletişim, araştırmacıların yeni bir tür bakım noktası (POC) teşhis cihazları tasarlamasına olanak tanır (Ghafar-Zadeh, 2015). Örneğin, ticari taşınabilir sensörler ve acil tıbbi hizmetler, acil servis veya yoğun bakım ünitesi ortamlarındaki cihazlar gibi giyilebilir çözümlerle entegre giysiler, hasta yaşamını tehlikeye atan risklerin sürekli izlenmesini kolaylaştırmıştır. Sistem, hasta sağlık durumu parametrelerinin (kalp atış hızı, solunum hızı, vücut sıcaklığı, kan oksijen satürasyonu, pozisyon, aktivite ve duruş) ve çevresel değişkenlerin (dış sıcaklık, toksik gazların varlığı ve giysilerden geçen ısı akışı) tespit edilmesini sağlar. Verileri işlemek ve yararlı bilgileri sağlık hizmeti sağlayıcılarına uzaktan iletmektir (Curone vd., 2010).

Popülasyondaki fiziksel aktiviteyi artırmak ve hareketsiz davranışı azaltmak için davranışsal müdahaleler olarak giyilebilir aktivite izleyicileri (WAT'ler) kullanılmıştır. Giyilebilir teknik programların etkili, yoğun, evde rehabilitasyon sağlama potansiyeline sahip olduğunu buldular (Nguyen vd., 2017).

Giyilebilir teknoloji, depresyon gibi psikiyatrik bozuklukların teşhisi ve izlenmesine de yardımcı olabilir. Araştırmacılar, hastaların otonom durumunu karakterize etmek için giyilebilir tekstil teknolojisine ve anlık doğrusal olmayan kalp atış hızı değişkenliği değerlendirmesine dayanan bir sistemi keşfettiler (Valenza vd., 2015).

Hastalar ve sağlık hizmeti sağlayıcıları, diyabeti etkin bir şekilde yönetmek için kan şekeri dinamiklerini etkileyen birçok faktörü (örneğin, ilaç tedavisi, aktivite, diyet, stres, uyku kalitesi, hormonlar ve çevre) izlemelidir. Son tüketici teknolojileri, diyabetik topluluğun bu kronik hastalığın gerçekten kişiselleştirilmiş, gerçek zamanlı, veriye dayalı yönetimine doğru büyük adımlar atmasına yardımcı olmuştur (Heintzman, 2016).

Artan sağlık hizmeti maliyetiyle birlikte, giyilebilir cihazlar ve sistemler, izleme ve önleme yoluyla kendi kendine bakımı kolaylaştırma potansiyeline sahip olabilir. Örneğin, ter bazlı glikoz seviyesinin invazif olmayan bir şekilde izlenmesini sağlamak için giyilebilir bir biyoelektronik teknolojisi geliştirilmiştir (Lee vd., 2017).

Parkinson hastalığını yönetmek için giyilebilir cihazlar, teşhis ve tedavi müdahalelerinin etkilerine ilişkin içgörüler sağlayan zengin veri kaynakları toplamak için büyük bir potansiyel sunar. Bradikinezi, Parkinson hastalığının birincil semptomlarından biri olduğundan, on saniyelik tam kavrama eylemi, bradikinezi

şiddetini değerlendirmek için yaygın olarak kullanılmaktadır. Parkinson bradikinezisinin şiddetini değerlendirmek için giyilebilir bir cihaz geliştirdiler (Lin vd., 2017).

Kardiyovasküler izleme yapmak ve kalp hastalarında mHealth uygulamalarına olanak sağlamak için giyilebilir cihazlar geliştirilmiştir. Düşük güç tüketen giyilebilir EKG izleme sistemleri geliştirilmiştir (Winokur vd., 2013).

Giyilebilir teknoloji, engelli insanların yaşamlarını iyileştirmek için uzun süredir kullanılmaktadır. Önümüzdeki yıllarda, bu alandaki daha fazla gelişmenin, engelliler de dahil olmak üzere tüm insanların yaşam kalitesini, sağlık hizmetlerini ve rehabilitasyonunu daha da artırması beklenmektedir. Örneğin, işitme engelli insanların müziği deneyimlemesine izin vermek için sesi titreşimlere çevirebilen giysi ve tekstillerdeki entegre haptiklerdir (Strapsco, 2021).

Kablosuz giyilebilir cihazlar, hastalarda mobiliteyi desteklemiştir. Aktivite izleme, hastaların kronik durumlarını yönetmek için kullanılır (Chiauzzi vd., 2015).

## 7. KAMU YARARI VE SOSYAL ETKİ İÇİN GİYİLEBİLİR ÜRÜNLER

Giyilebilir cihazları benimseyerek, hem insan yaşam kalitesi iyileştirmelerine odaklanan çabalar hem de sosyal etkiye dayalı sürdürülebilirlik değerleri oluşturulabilir. UNICEF'in sahip olduğu sosyal etki faaliyetlerinde yenilikçi giyilebilir teknolojileri benimsedi ve uyguladı. Bu giyilebilir cihazların yalnızca kullanıcıların daha üretken olmasına yardımcı olmakla kalmayıp, aynı zamanda yaşam kalitesi, dolayısıyla sosyal kamu yararını geliştirme rolüne dönüşür. Bu bağlamda, UNICEF gelecekteki giyilebilir ürünler için aşağıdaki koşulları önerdi (Palmer ve Gershbein, 2016).

**Maliyet Etkili:** Gösterilmiş bir iş senaryosu ile düşük maliyetli alanlarda toplu halde yürütülebilir

**Düşük Güç:** Bir pili çalıştırır, uzun bir pil ömrüne sahiptir (muhtemelen alternatif enerji, güç tasarrufu sağlar gücün olmadığı yerde)

**Sağlam ve Dayanıklı:** Suya, darbeye, hava koşullarına, ısıya dayanıklıdır, kolayca depolanır.

**Ölçeklenebilir:** Çeşitli ortamlara ve topluluklara uygulanabilir, daha büyük ekosistemleri dikkate alabilir, kolayca üretilir / geliştirilir, kullanımı kolay ve bakımı kolaydır (yerel beceriyle sabitlenir / ele alınır) Giyilebilir cihazlar şu anda ilginç küçük taşınabilir cihazlar olarak algılansa da, yanıt verme gibi kritik alanlar için tüm dünyaya yayılma fırsatı bulacaklardır. Giyilebilir teknoloji, halka yardım etmede büyük bir rol oynayacaktır. Bireysel güvenlik ve rahatlığı sağlamak ve sosyal istikrarı sürdürmek için halkın korunması için, giyilebilir cihazların fiyatının yüksek olması, bunların yayılmasını zorlaştırmaktadır. Giyilebilir cihazların kullanımı esnasında güç ve dayanıklılığın sağlanması da son derece önemlidir. Afet yardım personeli ve kolluk görevlilerinin güvenliği açısından yoğun konsantrasyon gerektiren tehlikeli durumlarda işlevselliği önemlidir. Cihazlara gömülü piller bulunuyorsa, bunlar yardım faaliyetlerini kısıtlayacak kadar büyük veya ağırsa veya giyilebilir ekipman nedeniyle zorlu çevre koşulları, tehlikeli durum yaratabilir. Giyilebilir cihazlarda güç ve dayanıklılığın sağlanması önemli bir etmendir.

## 8. SONUÇ

Giyilebilir teknolojilerin sürdürülebilirlik etkisini belirleyen kullanıcı davranışıdır. Ürün en yüksek sürdürülebilirlik standartlarına göre tasarlansa da, kullanıcılar bunları uygun kullanmıyabilirler. Başarılı ve sürdürülebilir giyilebilir cihazlar, hem bireyler hem de genel olarak toplumlar için olumlu değişikliklere yol açacaktır.

Gelecekteki giyilebilir cihazlar daha doğru ve daha genel bilgiler toplayarak geniş bir alanlarda kullanılacaktır. Yapay zekanın geliştirilmesi, sensörlerin güvenirliliği, uzun pil ömrüne sahip güç kaynağı ile toplumun ve kamunun kullanımında yararlı olacaktır.

“Zaten var olan bir ürün yeni bir ürünü satın alma ihtiyacını ortadan kaldırdığında, çevreye en büyük sürdürülebilirlik faydası gerçekleşir” (Kuusk, 2016).

Bir bina yanarken her saniye önemlidir. Olay yerine koşan ilk müdahale yapan ekipler zaman tasarrufu ve sınırlama potansiyeline sahip olan giyilebilir teknoloji sayesinde hayat kurtarabilir. Polis memurları, itfaiyeciler ve sağlık görevlileri söz konusu olduğunda, giyilebilir cihazlar şu anda uzaktan kumanda sağlamak için test edilmektedir (Wearable, 20201).

Her gün değişen modanın çevresel etkisi, tekstil atıkları, kirlilik, su stresi ve karbon emisyonları gibi konularla birlikte, çevre dostu giysilere olan talebi artırmıştır. Giyilebilir cihazlar pazarında, vücuda takılan kameralar birçok alanda ivme kazanıyor. Giyilebilir cihazların işletmeler ve hükümetlerdeki etkisi giderek daha belirgin hale geliyor. Giyilebilir cihazlardan elde edilen veriler hastanın durumunu izlemek için teşhis aracı olarak kullanılabilir. Giyilebilir cihazlardan alınan veriler, diğer klinik verilerin yaptıkları işlevi görür.

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# Yeşil Şehirler

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**Özet:** Yeşil şehir kavramı, daha yoğun, daha yeşil ve daha yaşanabilir şehirler yaratmanın yeni bir çözüm yoludur. Yeşil bir şehir çevreyi iyileştirir, zengin biyolojik çeşitlilik yaratır. Hava kirliliğini azaltır, su depolamasını sağlar, gürültüyü azaltır ve sıcak dönemlerde havayı soğutur. Bu şehirler, yenilenebilir enerji üretimini, toplu taşıma kullananların yüzdesini, yeşil alanları ve geri dönüşüm programlarını içerir. Yeşil Büyüme, doğal kaynakları ve çevresel hizmetleri sağlarken, ekonomik büyümeyi ve kalkınmayı teşvik etmek anlamına gelir. Günümüz Dünyasın da gelişmiş ülkeler, iklim değişikliğinin etkilerine karşı Yeşil Şehirler projesini stratejik bir araç olarak değerlendirmektedirler. Yeşil şehirler, su elektrik ve atık yönetimi gibi kaynakların tüketimini azaltmayı amaçlıyor.

**Anahtar Kelimeler:** Yeşil şehirler, Yeşil büyüme, Yeşil ekonomi

# Green Cities

**Abstract:** The green city concept is a new solution towards creating denser, greener, and more livable cities. A green city improves the environment and creates rich biodiversity. It reduces air pollution and noise, provides water storage, and cools the air during hot periods. These cities include renewable energy generation, the percentage of people using public transport, green spaces, and recycling programs. Green growth means promoting economic growth and development while providing natural resources and environmental services. In today's world, developed countries consider the green cities project as a strategic tool against the effects of climate change. Green cities purpose to reduce the consumption of resources such as water, electricity and waste management.

**Key Words:** Green cities, Green growth, Green economy

## 1. GİRİŞ

Dünya nüfusunun çoğunluğunu oluşturmanın yanı sıra, şehirler orantısız miktarlarda dünya ekonomisine ve karar alma gücüne odaklanır. Dahası, kentsel alanlar Dünya yüzeyinin yalnızca yaklaşık yüzde ikisini kaplasalar da, kaynaklarının yüzde 75'ini tüketirler. Yine de, sosyal ve politik hareketler ve teknolojik ve kurumsal bilgi ve yenilik merkezleri için bir merkez olarak şehirler, daha yeşil ekonomiler için güçlü bir katalizör olabilir. Dünya genelinde şehirlerin büyüyen boyutu ve önemi, onları yeşil ekonominin geliştirilmesinde tartışmasız en önemli unsurlar haline getiriyor. Şehirlerin yönetimi, rekabet eden ulusal çıkarlardan (örneğin, bölgesel kalkınma gündemleri ve sektör lobileri) ve sorumluluklardan (ulusal savunma maliyetleri gibi) biraz kurtulurken acil sorunlara daha duyarlı olabilir. Kentsel geçiş faaliyetleri, iklim değişikliği ve biyolojik çeşitlilik kaybı gibi küresel çevre sorunları ile ilgili politikaların uygulanmasında giderek daha önemli bir rol oynamaktadır. Yeşil ekonomi, gelişim düzeylerine ve mekansal organizasyonlarına bağlı olarak farklı şehirlerde farklı bir karaktere bürünecektir (Kennedy vd.,2013).

Kentsel alanların yoğunlaştırılması, planlamadaki birçok aktör tarafından sürdürülebilirliğe ulaşmanın bir yolu olarak görülürken, aynı zamanda bir planlama ideali olarak da sorgulanmıştır (Neuman, 2005).

Yeşil alanların sağladığı ekosistem hizmetleri, bu alanların fiziksel niteliklerine ve işlevlerine bağlıdır ve insanlar için fayda ve değer sağlar (Haines-Young ve Potschin, 2008).

Şehirler, küçük bir dizi gösterge aracılığıyla tam olarak tespit edilmesi çok zor olan mekansal, kültürel, çevresel ve sosyo-ekonomik özelliklerle çok karmaşık kentsel gelişim kalıpları altında gelişir. Yeşil bir şehir, tüm faaliyetlerinde enerji verimliliğini ve yenilenebilir enerjiyi teşvik eden, çevreci çözümleri kapsamlı bir şekilde destekleyen, planlama sistemlerinde karma arazi kullanımı ve sosyal karma uygulamaları ile arazi kompaktlığını uygulayan bir şehirdir. Yeşil şehirler için diğer tanımlardan farklı olarak, enerji verimliliği temel bir özellik olarak içerir. Ayrıca, GSYİH'nın Yeşil Şehir performansı üzerinde olumlu bir etkisi olduğu, nüfus büyüklüğünün olumsuz bir etkisi olduğu ve en etkili faktörlerin sanitasyon ve hava kalitesi olduğu kanıtlanmıştır (Brilhante ve Klaas, 2018).

Yeşil Şehir geleceğin modelidir. Yaşam kalitesinin sürekli geliştirebilen, tüm disiplinlerin bölgesel olarak koordine edilen faaliyetleri bir araya getiren kentsel yapılardır (ELCA, 2011). Yeşil şehir performansını ölçmek için göstergeleri sekiz alanda sınıflandırdı (Brilhante ve Klaas, 2018): sosyo-ekonomik (SE), enerji (E), yeşil alan ve arazi kullanımı (G), ulaşım (T), atık (W), su (WA), sanitasyon (S) ve hava kalitesi (A). Ayrıca şehirlerin yeşilliğini ölçmek için göstergeleri (Pace vd., 2016): enerji, ulaşım, su, atık ve hava kalitesi şeklinde sınıflandırdı. Enerji, doğrudan veya dolaylı olarak iklim değişikliği, ulaşım, ekonomik kalkınma, kamu hizmetleri, sağlık, altyapı, bilgi iletişim teknolojisi, çevre kalitesi, su, gıda ve arazi kullanımı ile bağlantılıdır (UN-Habitat, 2015). 2011'de Birleşmiş Milletler Çevre Programı (UNEP) Yeşil Ekonomi vizyonunu tanımladı; Daha iyi insan refahı ve sosyal eşitlik, çevresel riskleri önemli ölçüde azaltır (UNEP, 2011).

## 2. YEŞİL ALANLARIN YAŞAM KALİTESİNE VE SAĞLIĞA ETKİLERİ

Yeşil alanlar, kent sakinleri için daha eğlenceli alanlara dönüşürken, Yeşil şehir unsurları, daha az olumsuz sosyal davranış ve daha güvenlik algısı oluşturarak güvenli bir topluma katkıda bulunabilir (Kuo vd., 1998). Sokaklarda ve yollarda bitki örtüsü stresi azaltarak daha güvenli bir trafik ortamına katkıda bulunur. Yol ağaçları bir trafik tehlikesi olarak kabul edilmediğinden, yeşil yol ortamları daha güvenli olarak kabul edilir (Mok vd., 2006). Araba sürücüleri, ağaçlı sokaklarda daha düşük hızda kalırlar (Naderi vd., 2008). Binaların yakınındaki yeşil alanlar, güçlü bağlar oluşturarak sosyal etkileşimi kolaylaştırır (Kuo vd., 1998). Ağaçların bulunduğu ormana benzer alanlar, bölge sakinlerine piknik alanları oluştururken çevre sakinlerinin bir araya gelmesini sağlar (Coley vd., 1997). Yeşil alanlara ofis penceresinden bakmak iş memnuniyetini artırırken, yaşam kalitesini geliştirir (Dravigne vd., 2008). İşyerinde bir bahçeyi veya başka bir yeşil alanı görme stres düzeylerini azaltır (Stigsdotter, 2004; Lottrup vd., 2013).

Günümüzde fiziksel hareketsizlik, her yıl hastalığa sebep olmakta ve yaklaşık 1,9 milyon insanın erken ölümüne neden olan önemli bir küresel sağlık sorunudur (WHO, 2002). Büyük yeşil alanlara yakın yerlerde yaşayan insanlar, fiziksel aktivitede, diğer insanlara göre daha fazla zaman harcadıklarından, sağlığı destekleyici olumlu etkiler beklenebilir (Pretty vd., 2006). İnsanların bahçeli alanlarda yaşamı, açık hava etkinlikleri stresi ve fazla kiloyu azaltır (Nielsen ve Hansen, 2007). Daha fazla yeşil alana sahip olan kentsel alanlarda yaşam daha kalitelidir (de Vries vd., 2003). Evden bir kilometre uzaktaki yeşil alan, bir çocuğun sağlıksız bir kiloya sahip olma riskinin beş kat daha azaltır (Potwarka vd., 2008).

## 3. KENTSEL GELİŞİM VE YEŞİL BÜYÜME

Kentlerin fiziksel gelişimi, kent ekonomisinin en önemli bileşenleri arasındadır. Kentsel gelişme, doğal çevreyi ve kaynakları insan yapımı üstyapılara ve altyapıya dönüştürür ve bu dönüşüm, geri kalan doğal çevre üzerinde önemli bir stres yaratır. Şehirlerimizi inşa etme şeklimiz, ekonomik kaynaklarımızı nasıl harcadığımızı ve dağıttığımızı da etkiler. Kentsel biçimler ve kentsel işlevlerin mekânsal dağılımı bu açıdan kritik bir rol oynamaktadır. Kentsel işlevlerin uzak bir yerde bulunduğu büyük şehirler, hem karasal hem de su kaynakları dahil olmak üzere enerji ve doğal kaynakların tüketimini artırmaktadır. Yüksek yoğunluklu ve karma kullanımlı kentsel mahallelere sahip kompakt şehirler (örnek; Perakende, ofis ve konut faaliyetlerinin yoğunlaştırılması ve birleştirilmesi), seyahat faaliyetini azaltabilir ve bu nedenle enerji tasarrufu ve daha düşük arazi kullanımı değişikliği ile sonuçlanabilir. Genel olarak, çevredeki tarım ve orman arazilerinin korunması yoluyla (örneğin, tarımsal faaliyetler ve yerleşim alanı kullanımının birleştirilmesi yoluyla) şehirler, bu alanlar tarafından sağlanan ekosistem hizmetlerinden faydalanabilir. Bu da bir yandan sakinlerinin yaşam kalitesini artırırken diğer yandan belirli altyapı maliyetlerini potansiyel olarak azaltabilir. Yeşil ekonomiye geçişi teşvik edebilecek kentsel gelişimin kilit bir bileşeni, üstyapıdır: Daha spesifik olarak, İnşaat sektörü, küresel enerji tüketiminin yaklaşık yüzde 40'ını kullanarak karbon emisyonlarına başlıca katkıda bulunanlardan biridir; tüm temiz suyun yüzde 12'sini tüketiyor ve toplam atık hacminin yüzde 40'ını üretiyor. Yeşil Kent ekonomisinin temel hedeflerinden biri, enerji ve kaynak verimliliğini teşvik etmek ve kent sakinleri için yüksek kaliteli, sağlıklı ve uygun fiyatlı binalar sağlamaktır (Kennedy vd.,2013).

Şehirler, ulusal ekonomik büyümenin kritik itici güçleridir. Ancak hızla büyüyen şehirler genellikle hava kirliliği, sera gibi olumsuz çevresel gaz emisyonları etkilidir (Sassen, 2012). Kentsel yeşil büyüme,

ekonomik büyümeyi ve gelişmeyi teşvik eden kentsel faaliyetler olarak tanımlanır (OECD, 2013). Yeşil büyüme, iddialı hedefi GSYİH büyümesini sürdürmek olan bir ekonomik gelişme türüdür. Doğal kaynaklara zarar vermeden, Teknolojik yeniliği (özellikle Sürdürülebilir enerji sistemlerine ve döngüsel ve biyo temelli bir ekonomiye odaklanmak) artırılabilir (Daly, 1992; Acemoğlu, 2012).

Ulusal hükümetlerin şehirlerde yeşil büyümeyi sağlayabileceği yollar araştırılmalıdır. Kamu-özel ortaklıkları, kalkınma ücretleri, krediler, tahviller ve karbon finansmanı gibi mekanizmalar yoluyla yeşil altyapı yatırımları için özel finansman yatırımları yapılmalıdır (OECD, 2013).

Şehirlerde yeşil büyümeyi gerçekleştirmek için (Alter, 2014):

- Yerel ve ulusal yeşil büyüme hedeflerini uyumlu hale getirmek ve izleme araçlarını etkili kılmak
- Belediyeler arası işbirliğini artırmak
- Kentsel gelir yapılarını uyumlu hale getirmek için yeşil büyüme hedeflerini yeniden şekillendirmek
- Yeşil altyapı için özel yatırımlar yapmak

## 4. YEŞİL EKONOMİ

Yeşil ekonomi kavramı, başlangıçta finansal krize bir yanıt olarak uluslararası, bölgesel ve ulusal politika çevrelerinde popülerlik kazanmıştır (Bina ve Camera, 2011). UNEP, yeşil ekonomiyi, ‘‘insan refahı ve sosyal adaletin iyileşmesine neden olurken, aynı zamanda çevresel riskleri ve ekolojik kıtlıkları önemli ölçüde azaltan’’ bir ekonomi olarak tanımlar (UNEP 2010). Dünya nüfusunun yarısından fazlası artık kentsel alanlarda yaşıyor. Dünya Bankası tahmin ediyor ki Kentsel büyümenin % 90'ından fazlası gelişmekte olan dünyada olup, her yıl kentsel alanlar artmaktadır (World Bank, 2010). Yalnızca küresel ölçekte toplu ekonomik düzenlemenin çevresel bozulmanın ve iklim değişikliğinin tehlikeli sonuçlarını önleyebileceği yaygın olarak kabul edilmektedir. Şehirler genellikle kısa vadede büyüme ve refahın lokomotifi olurken, uzun vadede olumsuz ekonomik etkileri olabilir. Enerji talebinin ve endüstriyel üretimin merkezi olarak, kentsel alanlar antropojenik sera gazlarının % 80'inden sorumludur (Stern, 2006). Sadece son 10 yılda, küresel gıda fiyatları iki katından fazla arttı (FAO, 2013). Küresel yeşil ekonomi basitçe bir yeşil teşvik tarafından yönlendirilen GSYİH büyümesi olamaz, çünkü bir miktar yeşillik içeren GSYİH büyümesinin, kaynak kullanımında, emisyonlarda ve tüketim modellerinde gerekli ve acil değişiklikleri sağladığı kanıtlanamaz; çevresel bozulma, kaynak tükenmesi ve iklim değişikliği gereklidir. Bununla birlikte, ekonomilerin yeşillenmesi büyümeyi zorunlu olarak engellemez (Schmalensee, 2012). Uluslararası Enerji Ajansı (IEA), CO2 yörüngesine geçilmenin, 2020 ve 2035 arasında yapılan tüm yatırımların sıfır emisyona geçilmesi gerektireceğini öne sürdü (IEA, 2007). Yeşil ekonomi, çok düzeyli yönetişim için önemli bir kavramdır (Pearce vd., 1989).

Yeşil ekonomi, geleneksel ekonominin basitçe yeşillendirilmiş kısımlarının ötesine geçer. Yalnızca çevresel dışsallıkların uygun fiyatlandırılması değil, aynı zamanda ekonomiyi bu yönde yönlendiren doğru kurumların oluşturulması da dahil olmak üzere ekonominin nasıl işlediğine dair daha geniş bir anlayış gerektirecektir. Şehirlerdeki düzenli toplu taşıma, sürdürülebilir uygun fiyatlı binalar / konutlar, yenilenebilir merkezi olmayan enerji kaynakları ve sürdürülebilir tüketim modellerinin faydaları şehirleri sadece kendi vatandaşları için değil, aynı zamanda daha geniş toplum için daha iyi hale getirebilir. Bir şehir ekonomisinin en önemli kısımlarından bazıları, ekosistem hizmetleri, sosyal hizmetler (örnek; Toplum temelli sosyal sermaye) ve bilgiye dayalı faaliyetler (örnek; Eğitim ve insan / entelektüel sermaye). Daha yeşil bir şehir ekonomisi elde etmenin önündeki en büyük zorluklardan biri, kentsel gelişim politikasının odağını geleneksel GSYİH ölçümlerinden (evler, fabrikalar veya yollar gibi) uzaklaştırmak ve dikkati parasal olmayan kaynaklara değer verme ve bunları yönetme yöntemlerine yönlendirmektir. Kentsel ekosistemler (örneğin, biyolojik çeşitliliğe dayalı gelenekler), su ve yiyecek temini, enerji ve iklim değişikliğini azaltma (karbon ve ısı adası yönetimi) gibi bir dizi fayda sağlar. Bu hizmetlerin niceliğinin ve kalitesinin korunması, şehirdeki yoksulluğun ortadan kaldırılması için temel olabilir. Şehirlerin ekosistemler üzerinde sınırlarının ötesinde hem bağımlılıkları hem de önemli etkileri vardır. Örneğin, birçok şehir tabanlı finans kurumu, şehir sınırlarının ötesindeki faaliyetler için sermaye sağlar (En önemlisi madencilik ve petrol üretim operasyonlarının madencilik endüstrileri). Ekonomide daha geniş yapısal değişikliklerin olması ekonomide yeşillendirmeyi hızlandırabilir. Şehirler ayrıca dünya

çapında üretilen sera gazlarının (GHG'ler) büyük bir kısmından sorumludur ve bu da küresel olarak geniş bir kentsel, kırsal ve orman ortamını etkiler. Bu nedenle, şehir sınırlarının ötesinde yeşil ekonomik bağlantıları kolaylaştıran mekanizmalar oluşturmak çok önemlidir. Kentsel yönetişim mekanizmalarının oluşturulması şehir ekonomisinin yeşillendirilmesi, yoksulluğun ortadan kaldırılmasına yol açan daha yeşil bir küresel ekonomiye ulaşmak için gerekli bir ön koşuldur. Şehirlerin devasa fiziksel, finansal, beşeri, sosyal, doğal ve entelektüel sermayesini daha yeşil bir ekonomi hedefine yönlendirmek için şehirlerin içinde ve ötesinde yönetişimin yönlendirilmesi gerekiyor. Yeşil ekonomi aynı zamanda, ekonomik kazanımlara odaklanmazsa sürdürülebilir ilerlemenin başarısız olacağına dair köklü bir inanç nedeniyle merkezi bir kalkınma teması olarak ortaya çıkar. Ve şehirler temel ekonomik merkezlerdir (Kennedy vd.,2013).

Birleşmiş Milletler Çevre Programı (UNEP), "yeşil ekonomi" yi "düşük karbonlu, kaynak verimli ve sosyal açıdan kapsayıcı ekonomi" olarak tanımlamaktadır. Ekonomik İşbirliği ve Kalkınma Teşkilatı şunu belirtmektedir: "Yeşil büyüme, doğal varlıkların refahımızın dayandığı kaynakları ve çevresel hizmetleri sağlamaya devam etmesini sağlarken, ekonomik büyümeyi ve kalkınmayı teşvik etmek anlamına gelir." Yeşil Ekonomi Koalisyonu ise yeşil ekonominin "gezegenin ekolojik sınırları dahilinde herkes için daha iyi yaşam kalitesi sağlayan bir ekonomi" olduğunu düşünüyor. Yeşil Ekonomi, çevresel sürdürülebilirliği, ekonomik hedefleri ve sosyal refahı uzlaştırır. Küresel iklim acil durumu göz önüne alındığında, yeşil ekonomi, mevcut baskın ekonomik modele en iyi alternatif gibi görünmektedir. Ve özellikle gelişmekte olan ekonomilerde sürdürülebilir kalkınmanın sağlanması için vazgeçilmezdir (Albino, 2020).

Yeşil ekonomi Prensipleri (UNDESA, 2012):

- Yeşil ekonomi, sürdürülebilir kalkınmaya ulaşmak için bir araçtır
- Yeşil ekonomi, insana yakışır iş ve yeşil işler yaratmalıdır
- Yeşil ekonomi, kaynak ve enerji açısından verimlidir
- Yeşil ekonomi gezegensel sınırlara veya ekolojik sınırlara veya kıtlığa saygı duyar
- Yeşil ekonomi entegre karar vermeyi kullanır
- Yeşil ekonomi, uygun göstergeleri / ölçütleri kullanarak GSYİH'nın ötesindeki ilerlemeyi ölçer
- Yeşil ekonomi eşitlikçi ve adildir. Ülkeler arasında ve Ülkeler içinde
- Yeşil ekonomi, biyolojik çeşitliliği ve ekosistemleri korur
- Yeşil ekonomi, yoksulluğun azaltılması, refah, geçim kaynakları ve sosyal koruma ve temel hizmetlere erişim sağlar
- Yeşil ekonomi, yönetişimi ve hukukun üstünlüğünü geliştirir. Kapsayıcıdır; demokratik; katılımcı; sorumlu; şeffaf; ve istikrarlıdır
- Yeşil ekonomi dışsallıkları içselleştirir

## 5. AKILLI, YEŞİL VE YAŞANABİLİR ŞEHİRLER

Kentleşme güçlü bir küresel eğilimdir. 2030'a kadar her on kişiden altısı kentsel alanlarda yaşayacağı tahmin ediliyor. Bu hızlı genişleme, artan CO2 emisyonları ve iklim değişikliği en acil zorluklar olan şehirleri büyük bir baskı altına sokuyor. Bugün, şehirler küresel C02 emisyonlarının yüzde 70'ini oluşturuyor. Şehir sakinleri aşırı kalabalık, atık ve su yönetimi konularının yanı sıra aşırı kalabalık, kirletici ulaşım sistemleriyle de mücadele etmelidir. Bütün bunlar vatandaşların fiziksel sağlığı ve refahı üzerinde doğrudan olumsuz etkiler oluşturmaktadır. Şehirler, dünyanın en zengin ve en fakir vatandaşlarını barındırır. Bugün gördüğümüz çevresel zarar ve ekonomik eşitsizliklerin zorluklarını sergiliyorlar. Bununla birlikte, şehirlerin siyasi, ekonomik ve teknolojik gücü büyüdükçe, yeşil geçişte ve yeşil ekonominin itici güçlerinde öncü olarak hareket etmek için Sürdürülebilir Kalkınma Hedeflerine katkıda bulunabilirler. Sürdürülebilir şehirlere geçiş sosyal, kültürel, ekonomik ve iklimsel faktörlere bağlıdır. Gelişmekte olan ekonomilerin hızla büyüyen şehirlerinde enerji, su ve hareketlilik gibi temel ihtiyaçlar sürdürülebilir bir şekilde karşılanmalıdır. Aynı zamanda kaynaklar etkin bir şekilde yönetilmelidir. Daha gelişmiş ekonomilerde bulunan şehirlerde, şehirlerin ekonomik faaliyet, enerji tüketimi ve çevresel etki için optimize edilmesini sağlamak için akıllı yaklaşımlara ihtiyaç vardır. Bir şehrin özel kalkınma durumuna bakılmaksızın, kentsel vatandaşlar için iyi yaşam sağlamak yol gösterici bir ilke olmalıdır. Kentleşmenin zorluklarını karşılamak için, kentsel alanları geliştirirken bütüncül bir yaklaşım benimsemeli ve gerekli

yatırımları yapmalıyız. Bununla birlikte, daha yeşil bir geleceğe geçişi hızlandırmak için sağlıklı ve yaşanabilir şehirleri oluşturabiliriz (State of Green, 2011).

Dünya da az sayıda en yeşil şehir ve en yaşanabilir şehirler bulunmaktadır. Yeşil Şehirlerde hedef su, enerji, ulaşım ve toplu taşımayı içeren özellikleri bir araya getirmektir. Gerçekten enerji ve ulaşımla ilgili bir sonuç olan, ancak aynı zamanda önemli ölçüde yeşil altyapı (örneğin, parklar ve sokak ağaçları) hava kalitesi etkilemektedir. Bir çok araştırma, şehirlerdeki biyolojik çeşitliliğin, doğanın ve ekosistemlerin, koruma ve ekosistem hizmetlerinden sürdürülebilirliğe, insan refahına, topluluk uyumuna katkıda bulunduğunu göstermektedir. Aslında, çoğu durumda hava kalitesi, yağmur suyu yönetimi, nüfus artışı, konut fiyatları ve yaşam kalitesi gibi kilit kentsel çıktıların itici güçleridirler. Buna karşılık, "yeşil" şehirlerin bu temel bileşenleri, yaşanabilir ve dayanıklı şehirlerin belirlenmesinde de anahtar rol oynayan unsurlardır. Daha yeşil şehirler yalnızca LEED binaları, geçiş sistemleri, enerji kaynakları, yoğunluk planlaması ve bina kodlarından oluşmuyor. Yeşil şehirler aynı zamanda sağlıklı ve yaşanabilir şehirlerin temel itici güçlerinden bazıları için stratejilere değer veren ve bunları uygulayan şehirlerdir. Bu, farklılaşmamış yeşil alandan daha fazlasıdır. Parklar, sokak bitki örtüsü, doğal alanlar ve ekosistem hizmetleri için daha tutarlı ve bağlantılı planlamadır (Maddox, 2017).

## 6. SONUÇ

İklim değişikliği ve biyolojik çeşitlilik kaybı gibi küresel çevre sorunları ile ilgili politikaların uygulanmasında giderek daha önemli bir rol oynamaktadır. Yeşil ekonomi, Mega şehirlerin yeşil kimlik bilgilerini tanıtmaları için başka bir platform sağlıyor. Yeşil ekonomi, gelişmişlik düzeylerine ve mekansal organizasyonlarına bağlı olarak farklı şehirlerde farklı bir karaktere bürünecektir. Şehirlerin farklı zorluklarla karşı karşıya olduğunu kabul etmek önemlidir. Gelişmiş ülkelerdeki şehirler yeni işler ve endüstri yaratarak büyümeye çalışıyor. Afrika ve Asya şehirleri en yüksek büyüme oranlarından bazılarına sahiptir ve kalkınma yolları 21. Yüz yılda küresel kalkınma üzerinde çok önemli bir etkiye sahip olacaktır (Kennedy vd.,2013).

Yeşil bir şehri "tüm faaliyetlerinde enerji verimliliğini ve yenilenebilir enerjiyi teşvik eden, çevreci çözümleri kapsamlı bir şekilde destekleyen, planlama sistemlerinde karma arazi kullanımı ve sosyal karma uygulamaları ile arazi kompaktlığını uygulayan bir şehir, ve yerel gelişimini yeşil büyüme ve eşitlik ilkelerine bağlıyor." Yeşil şehir, enerji verimliliğini temel bir özellik olarak içerir. Ayrıca, GSYİH'nın Yeşil Şehir performansı üzerinde olumlu bir etkisi olduğu, ayrıca nüfus büyüklüğünün olumsuz bir etkisi olduğu ve en etkili faktörlerin sanitasyon ve hava kalitesi olduğu kanıtlanmıştır (Brilhante ve Klaas, 2018).

Kamusal yeşil alan; Parklar ve plazalar gibi çekici kamusal alanlar, mahallelere bir kimlik ve topluluk duygusu sağlayarak bir şehre ekonomik ve kültürel zenginlik getirirken, aynı zamanda normal şehir yaşamının gürültüsünden bir çıkış noktası sunar (Kennan ve Busch, 2016).

Ekonomik büyümenin itici gücü olarak yeşil şehirler, önümüzdeki 30 yıl içinde dünya GSYİH'sının büyük bir kısmı şehirlere yatırılacaktır. Küresel yeşil geçiş için bu yatırımların sürdürülebilir çözümlerde olması çok önemlidir. Yeşil kentsel çözümlerin uygulanması, kısa geri ödeme süreleri ve yüksek yatırım getirisi (YG) olan güçlü iş durumları sunar (State of Green, 2011).

Şehirler ve kentsel alanlar, rakipsiz insan yoğunluklarını, ekonomik büyümeyi, ticari ağları ve yeniliği temsil eder ve düşük karbonlu bir dünyaya geçişe önemli bir katkı sağlama potansiyeline sahiptir. Başlangıç noktası, şehirlerin sürdürülebilir bir şekilde gelişmeye devam etmesini sağlayan çok seviyeli yönetişim çözümlerini keşfetmek olabilir. Yeşil büyümeyi büyük ve küçük tüm şehirler için gerçeğe dönüştürmek için altta yatan sorunların üstesinden gelmek çok önemlidir. Kentsel altyapının direncini artırma konusunda yeşil büyümeyenin katkıları gereklidir. Ülkeler, iklim değişikliği, artan nüfus yoğunluğu ve kentsel yayılmanın çeşitli zorluklarıyla başa çıkmak için dayanıklı altyapı geliştirmeye yönelmelidir. Şehirlerin, belirli yerel koşulları dikkate alan bir yeşil büyüme modelini benimsemesi veya güçlendirmesi gerekir. Yeşil büyümeye önemli bir katkı sağlayabilecek yerel eylem fırsatları arazi kullanım düzenlemesi, vergilendirme, ulaşım, enerji verimliliği, atık, su yönetiminden kamu alımlarına kadar değişen kentsel yeşil büyüme politikalarının tasarlanmasını içerir (Skah, 2016).

Yeşil şehirler temiz havaya ve suya sahiptir. Temiz sokakları ve parklarıyla, Yeşil şehirler doğal afetler ve büyük bulaşıcı hastalık salgınlarına karşı dirençlidir (Kahn, 2006). Yeşil şehirler, çevre dostu şehirler olarak tanımlanıyor. Şehirlerin yeşillendirilmesi, aşağıdakilerden bazılarını veya tamamını kapsar: (1) hastalıklara karşı geliştirilen yeni teknolojiler; (2) kimyasal ve fiziksel tehlikelerin azaltılması; (3) herkes için yüksek kaliteli kentsel çevreler geliştirmek; (4) şehir dışındaki alanlara transferleri en aza indirmek ve çevresel maliyetleri azaltmak; ve (5) sürdürülebilir tüketime doğru ilerlemenin sağlanması (UNEP, 2011).

Yeşil kentsel alanlar biyolojik çeşitliliği ile ekonomik birimlerdir. Sağlıklı gıda üretimini ve talebi karşılamak için doğal kaynaklara ihtiyaç vardır. Yeşil Kent veya Yeşil Şehirler özel bir Sürdürülebilir kalkınma durumu olarak düşünülebilir.

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# Yöresel/Yerel, Bölgesel ve Geleneksel Tarım ve Gıda Ürünleri: Kavramlar ve Kapsamlar Üzerine Bir Değerlendirme

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**Özet:** Yöresel/yerel, bölgesel ve geleneksel tarım ve gıda ürünleri, tarım ve gıda ürünleri üretimi içinde önemli bir yere sahiptir. Tüketicilerin farklı algılarla bu ürünlere yönelik tutum ve tercihleri de tüketim artışını motive etmektedir. Uluslararası literatür, söz konusu ürünlere tüketicinin verdiği desteğin, büyük ölçüde gıda güvenliği, kalite ve çevresel kaygılar gibi faktörlerle bağlantılı olduğunu ortaya koymaktadır. Tüketici beklentilerinin karşılanabilmesinin yanı sıra, yöresel/yerel, bölgesel ve geleneksel ürünlerin üretim ve ticaretinin artması için de bu ürünlere ilişkin Coğrafi İşaret (Cİ) çalışmalarının yapılması önemli bir avantajdır. Cİ uygulamalarının yanı sıra, üretimlerinin ve tüketimlerinin ekonomik ve sosyal sürdürülebilirliği amacıyla yapılan araştırmalar için de bu ürünlerin tanım ve kapsamlarının netleştirilmesi önemlidir. Bu çalışmada; yöresel/yerel, bölgesel ve geleneksel gıda ürünlerinin tanım ve kapsamları ile birbirleriyle olan ilişkileri, uluslararası literatürden yararlanılarak değerlendirilmiştir.

**Anahtar kelimeler:** Yöresel/Yerel Gıda, Geleneksel Tarım Ürünleri, Bölgesel Gıda, Etnik Gıda

# Local, Regional and Traditional Agriculture and Food Products: An Evaluation on Concepts and Scopes

**Abstract:** Local, regional and traditional agricultural and food products have an important place in total agricultural and food products production. Consumers' attitudes and preferences towards these products with different perceptions also motivate the consumption increase. International literature reveals that consumer support for these products is largely related to factors such as food safety, quality and environmental concerns. It is an important advantage to carry out geographical indication studies in order to increase the production and trade of these products as well as meeting the expectations of the consumers. In addition to geographical indication applications, it is necessary to clarify the definitions and scopes of these products for researches conducted for the economic and social sustainability of their production and consumption. In this study, the definitions and scopes of local, regional and traditional agriculture and food products and their relations with each other are evaluated using international literature.

**Key words:** Local Food, Traditional Agricultural Products, Regional Food, Ethnic Food

## 1.GİRİŞ

Özellikle son yıllarda çeşitli motivasyonlarla küresel ölçekte ve bu arada Türkiye'de bölgesel, yöresel/yerel ve geleneksel ürünlere olan talep giderek artmaktadır (Katchova and Woods, 2012:4; Furman and Papavasiliou, 2018:1). Yerel üreticiler tarafından üretilen gıda ürünleri, tüketiciler tarafından "bölgesel" veya "ulusal" gıda ürünlerinden daha kaliteli, alışkanlıklarına ve gereksinimlerine daha uygun olarak algılanmaktadır (Pícha et al, 2018: 126-127; Moreno and Malone, 2020:3). Küresel trende uygun bir şekilde, bu tür ürünlerin üretim ve pazarlamasının ekonomik boyutu (Feldmann and Hamm, 2015:153) ve bu alanda kurulan işletmelerin ölçeği de giderek büyümektedir (Aggestam et al., 2017: 65). Türkiye özelinde mevcut tarımsal yapı ve kırsal alan dokusu, yöresel/yerel, bölgesel ve geleneksel tarım ve gıda ürünlerinin çeşitliliği açısından büyük bir potansiyele ve üretim gücüne (Kantaroğlu ve Demirbaş, 2018:516; Bilge ve ark., 2019:129) olanak tanımaktadır. Bu ürünlerin üretim miktarının artışı ve ticaretinin gelişimi için orijinlerini belirleyen ürün tescillerinin yapılması ve hem üretim hem de ticaret açısından mevzuata uyumunun sağlanması gereklidir. Ürünlerin gıda güvenliği ve kalitesi açısından izlenebilirliği (Kantaroğlu ve Demirbaş, 2019:500) kadar, bu gıdaların üretim ve ticaretinin sürdürülebilirliği farklı tanımlarla ele alınan söz konusu ürünlerin tanım ve kapsamlarının netleştirilmesini gerektirmektedir. Oysa, yöresel/yerel, bölgesel ve geleneksel tarım ve gıda ürünleriyle ilgili uzlaşılan bir kavram birliği olmaması (Meyerding et al.,2019:32), bu ürünlerle ilgili çalışmalar için ortak bir zemin oluşturmayı karmaşık ve bulanık bir hale getirmektedir. İşte bu amaçla bu çalışmada,

yöresel/yerel, bölgesel ve geleneksel tarım ve gıda ürünlerinin tanım ve kapsamı uluslararası ölçekte tartışılmıştır. Çalışma, Türkçe ve İngilizce yayınlardan yararlanılarak hazırlanan bir literatür araştırmasıdır.

## 2. YÖRESEL/YEREL, BÖLGESEL VE GELENEKSEL TARIM VE GIDA ÜRÜNLERİ: TANIMLAR VE KAPSAMLAR

### 2.1. Yöresel/Yerel Tarım ve Gıda Ürünlerinin Kapsamı ve Bölgesel Ürünlerle İlişkisi

Yöresel/yerel gıda, coğrafi açıdan bir bölge veya yöreye özgü olan, ün ve kalitelerini üretildikleri yörenin doğal koşulları ve bölgesel özelliklerinin oluşturduğu bilgi ve geleneklerden alan ürünler olarak tanımlanmaktadır (Schneider ve Ceritoğlu, 2010). Yerel yiyecek ve içecekler arasında taze "çiftlik kapısı" satış ürünleri, bölgesel markalı ve yerel olarak üretilen ürünler ve bir şekilde bölgeye özgü veya benzersiz olan yerel lezzetler yer almaktadır (Bilge ve ark., 2019: 128). Bu ürünler üretildikleri coğrafya parçasının hammadde, üretim girdileri ve işleme yöntemlerini kullanarak, bu alandaki ekonomik gelişme ile istihdamı teşvik etmektedir (Demirbaş ve ark., 2006:49).

Yöresel ürünlerden söz edildiğinde, yöreyi neyin belirlediğinin dikkate alınması önemlidir. Bu kapsamda ilginç ve öncelikli soru, yöre sınırlarının nasıl belirleneceğidir. Yöre terimi çok açık ve net bir kavram olarak görülebilir, ancak, yöresel ürünlerden söz edildiğinde, yöre terimi geniş bir karakteristikler yelpazesini kapsayabilir. Nitekim, bazılarına göre yöre çok küçük bir alan, örneğin, bir belediye ve onun çevresi olarak anlaşılmaktadır. Diğer yandan, bazıları yöreyi ülke sınırları çerçevesinde daha geniş bir perspektiften dikkate alabilmektedir. Bu bölge bir belediye, şehir ya da ekonomik bir alan olabilir. Bu tanım araziye dayalı durumu yansıtmaktadır ki buna göre, yöresel bir ürünün hem üretimi hem de tüketimi aynı alanda gerçekleşmektedir. Ancak, bu tanım "belirli alanın" ne kadar geniş olabileceğini net bir şekilde ortaya koyamamaktadır. İşte bu nedenle, yöresel gıdaların tanımı konusunda bir fikir birliği bulunmamaktadır. Kavram karmaşıktır ve amaca, coğrafyaya ve veri mevcudiyetine göre değişmektedir (Hughes et al., 2007:4; Martinez et al., 2010:3; Donkers, 2013:182; Donkers, 2015:106; Deller et al., 2017:4).

"Yöresel ve bölgesel gıda sistemleri", tarımsal üreticilerin, balıkçılar ve gıda üretimi, işlemesi, dağıtımı ve satışıyla uğraşan paydaşların, tüketiciler ve kurumların bulunduğu yere özgü ekonomik faaliyet gruplarını ifade etmektedir. Her iki kavram da iyi tanımlanmadığından, yöresel ve bölgesel gıda sistemleri arasındaki ayrım da net değildir; bu nedenle, yöresel ve bölgesel gıdalar kavramları genellikle birbirinin yerine kullanılmaktadır (Low et al., 2015:1).

Coğrafi bir perspektiften yöresel ürün, ürünün spesifik bir yörede üretildiğini, aynı yörede aracıya ve tüketiciye ulaştırıldığını kabul etmektedir. Yani bu ürünler kısa arz zincirlerine konu olmaktadır (Donkers, 2013:182; Thilmany et al., 2020:2-3). Yöresel ürün üretimi belli bölgeleri oluşturmaya ve bu bölgelerin kimliğini belirlemeye daima sıkı bir şekilde bağlı olan tarım ve gıda gelenekleri ve kültürü kadar, belli hammaddeler, yemekler ve lezzetler gibi yöresel karakteristiklerin gerçeği ışığında desteklenmektedir. Bu nedenle, AB'de "Orijinin Korunmuş İsmi" (Protected Designation of Origin-PDO) ile işaretlenen ürünler (Official Journal(a), 1992) ve AB'ye uyum çerçevesinde Türkiye'de uygulanan "Menşe Adı" yöresel/yerel tarım ve gıda ürünlerini, AB'de "Korunmuş Coğrafi İşaret" (Protected Geographical Indication – PGI) ile anılan ürünler ve Türkiye'de uygulanan "Mahreç İşareti" ise bölgesel tarım ve gıda ürünleri için kullanılmaktadır (www.ci.gov.tr, 2021).

Guptill ve Wilkins (2002)'ye göre, iki çeşit yöresel ürün tanımlanabilmektedir. Bunlar; yöresel olarak üretilen ve sadece belirli spesifik bir alanda bulunabilenler, dolayısıyla tüketilebilenler ve sadece belli bir alanda işlenebilen ancak ulusal bir şekilde dağıtımı yapılan ürünlerdir. Bu tanıma göre yöresel ürünler ve bölgesel ürünler kapsamı birbirine çok yaklaştırılmış olmaktadır.

Yöresel ürünlerle ilgili bir diğer yaklaşım mesafe ile ilgili değildir. Buna göre yöresel ürün üç özelliğe sahiptir. Bunlar;

*Farklı ürün karakteristikleri;*

Ürün karakteristikleri yöresel ürünlerin tadı, görünüşü ve onları yöresel olmayan ürünlerden ayıran diğer duyusal niteliklerini ifade etmektedir.

*Ekolojik olarak taşınan özellikler;*

Bu özellikler ürünün hammaddeleri ve üretim yöntemlerinin orijinini ifade etmektedir.

*Sosyolojik açıdan taşınan özellikler;*

Bu özellikler yöresel dağıtım ve kısa arz zincirleri ve üretim ölçeğine bağlı olmaktadır.

Yöresel ürünlerin üretimi özellikle küçük ölçekli gıda işleme firmalarına iş fırsatları sunmaktadır. Çiftçileri ise yeni gelir kaynakları için çiftlikte gıda işlemeye teşvik etmektedir. Çiftçiler işletme düzeyinde işlemenin derecesini artırmak suretiyle ürettikleri tarımsal ürünleri, gıda ürünleri formuna döndürerek, geleneksel dağıtım kanalları yerine daha endüstrileşmiş olanlara satarak ürünlerine daha iyi fiyat elde edebilmektedir. Bundan dolayı, yöresel hammadde üretimi ve gıda işleme, çiftçilere ve diğer küçük ölçekli gıda işleme firmalarına üretim ve pazarlama faaliyetlerinden daha fazla avantaj elde edilebildikleri stratejik bir değer durumunu da ifade etmektedir. Üstelik küçük ölçekli gıda işleme firmaları genellikle kırsal alanlarda lokalize olmaktadır (Donkers, 2014: 98). Belki de bu nedenle, yöresel ürün veya diğer alternatif tarım ve gıda maddelerine özel önem kazandıran unsur açık bir şekilde sosyolojik özellikler olabilmektedir. Bu yaklaşıma göre, yöresel ve bölgesel ürün ayrımı yapılamamaktadır. Oysa, bir gıda ürününün *"Bölgesel"* olarak adlandırılması için üretiminin belli bir bölgeyi işaret etmesi ve fakat, tüketiminin herhangi bir yerde gerçekleştirilebiliyor olması gerekmektedir.

Yöresel tarım ve gıda ürünlerinin tanım ve kapsamı ile ilgili yaklaşımların ve kriterlerin farklılığı nedeniyle üzerinde görüş birliğine varılmış tek bir tanıma ulaşılamamaktadır. Bunun yerine, yöresel ürün kavramının coğrafik, ekonomik, ekolojik ve sosyolojik gibi çoklu nitelikleri içine alabildiği ve gıda zincirlerindeki farklı aktörler tarafından farklı şekilde tanımlanabildiği görülmektedir. İngilizce literatürde yer verilen "Local" kelimesinin Türkçe karşılığının "Yerel" ya da "Yöresel" olarak kullanılabilmesi nedeniyle, bu iki kavramın birbiri yerine kullanılabildiği de belirtilmelidir.

## 2.2. Etnik Gıdalar Yöresel Gıda Kapsamında Değerlendirilebilir Mi?

Etnik gıda, etnik bir topluluğun sahip olduğu gelenek, örf ve adetlerini, buna bağlı olarak ürettikleri gıdalarda kullandıkları hammaddeleri ve bu gıdalara ekledikleri çeşni maddelerini, ilk ürettikleri şekle bağlı kalarak üretmeleridir. Etnik topluluklar tarafından üretilen bu gıdaların tümünün sadece bu topluluğu oluşturan bireyler arasında bilindiği ve üretiminin diğer nesillere iletilebilmesi için, toplulukta bulunan tecrübeli kişilerin bu gıdaların üretim yöntemlerini kendisinden sonra gelen kişilere öğretmesinin gerekli olduğu bildirilmektedir. İşte bu noktada, yöresel gıda ile etnik gıda kavramı benzerlikler göstermektedir. Çünkü etnik kökene sahip kişilerin genellikle aynı yörede yaşaması, söz konusu bölgelerde üretilen yöresel gıdaların bir anlamda etnik kökenli olduğunu da ifade etmektedir (Kavas, 2000:70).

## 2.3. Geleneksel Gıda Ürünleri ile Yöresel ve Bölgesel Gıda Ürünleri Kavram ve Kapsamlarının Karşılaştırması

Geleneksel ürünlerin neden ve neye göre geleneksel sayıldığı Türkiye'nin uyum yükümlülüğünün bulunduğu AB'de, geleneksel tarım ürünleri ve gıdalar mevzuatıyla belirlenmiştir (Official Journal (b), 1992).

Buna göre; geleneksel tarım veya gıda ürünleri;

-geleneksel hammaddeler kullanılarak üretilen veya

-geleneksel bir kompozisyonla karakterize edilen veya

-bir üretim şekliyle ve/veya bir işleme yöntemiyle ve/veya geleneksel bir üretim tipini yansıtan işleme yöntemiyle karakterize edilen ürünlerden oluşmaktadır (Weichselbaum et al, 2009: 72-73). Buna göre,

mevzuat ürünün orijini yerine, geleneksel karakterini ya içerik ya da üretim yöntemi açısından vurgulamaktadır.

Diğer tarım ve gıda ürünlerinin tüketimi orijinal olarak üretildikleri coğrafi alanlarla sınırlı kalırken, geleneksel ürünlerin bazıları yaygın bir şekilde kabul görmüş ve popülariteleri ülkeden ülkeye yayılmıştır. Yöresel geleneklerin ve kültürel mirasın bir parçasını oluşturan geleneksel ürünler, küçük ve orta boy işletmelerde istihdam fırsatı yaratarak yöre ekonomisini teşvik etmektedir.

Geleneksel ürün açık ve tanımlanmış bir izlenebilirlikle, çiftlikte veya el emeğiyle üretilmiş, bazen sertifikalı bir üründür. Geleneksel ürünler kendilerine özgü niteliklere sahiptir ve pazardaki yeri diğer rekabetçi ürünler karşısındaki farklılığına bağlıdır. Geleneksel bir tarım ve gıda ürününün üretici oryantasyonlu olduğu ve üretildiği bölgenin dışına çok fazla gönderilmediği (Giraud, 2005:4) ancak, bu tür ürünlerden bazılarının yaygın bir şekilde kabul gördüğü ve popülaritelerinin uluslararası ticaretlerini motive ettiği belirtilmektedir (Weichselbaum et al, 2009: 71). Dikkat edilirse, tanımlarda coğrafik alan sınırlaması ve yöre/bölge esasına dayandırmaya sıkça rastlanmaktadır. Örneğin, yerel yönetim tarafından desteklenen yerel bir çiftçi pazarına vurgu yapılıyorsa, neyin yerel olduğunu belirlemek için ilçe uygun bir birim olabilmektedir (Hughes et al., 2007:5). İşte bu noktada yöresel ürünlerin tanımı da diğer tanım ve kapsamlara yaklaşmaktadır. Bu açıdan ele alındığında, "Bölgesel Özellikli Ürünler" in yöresel ürün kapsamına alınması önerilmektedir. Ancak, yöresel gıdaların, sadece yasa ve kurallarla düzenlenmekten uzak, karmaşık bir kavram olduğu da belirtilmektedir (Holt and Virginie, 2007). Örneğin, Türk Baklavası geleneksel gıda ürünlerinin en tipik örneklerinden biridir. Ancak, Antep Baklavası sadece geleneksel bir gıda ürünü değil, aynı zamanda AB nezdinde Coğrafi İşareti (Mahreç İşareti) tescillenmiş bölgesel bir gıda ürünüdür.

Aslında geleneksel gıdaların yöresel, bölgesel ve etnik gıdaları da kapsamına alan daha geniş bir yelpazeye sahip olduğu söylenebilir. Bununla birlikte, özel isimlerle adlandırılan bu ürünlerin her biri için literatürde üzerinde uzlaşmaya varılmış tek bir tanım da bulunmamaktadır. Nitekim, bazı özellikleri itibariyle etnik ürünler, yöresel ve yöresel ürünlerin çoğu bölgesel özellikli ürün ve bunların tümü geleneksel ürün olabilmektedir.

## 3. SONUÇ VE ÖNERİLER

İnsan beslenmesinde kullanılan tarım ve gıda ürünlerinin ülkelere ve dolayısıyla bölgelere göre farklılık göstermesinde doğa koşulları, ekonomik koşullar ve toplumda yerleşik örf, adet ve gelenekler etkili olabilmektedir. Çeşitliliğin fazla oluşu ve sayılan faktörlerin etkisiyle tarım ve gıda ürünleri farklı gruplar altında sınıflandırılabilmektedir. Literatür araştırması sonucu göstermiştir ki, tarım ve gıda ürünleri farklı isimlerle tanımlanabilmekte ve hukuki açıdan mevzuatla sınırları belirlenenler dışında kapsamlarını belirlemek karmaşaya neden olabilmektedir.

"Yöresel/yerel" ve hatta "bölgesel" olarak tanımlanan ürünlere ilişkin kesin tanımların olmaması, bu ürünlere ilişkin gıda sistemlerinin titiz nicel analizini zorlaştırmaktadır. Söz konusu ürünler coğrafik, ekolojik, sosyolojik ve ürün özelliklerine bağlı olarak farklı şekilde tanımlanabildiği gibi, yine benzer karakteristikleri nedeniyle ortak bir payda altında da toplanabilmektedir. Söz konusu ürünlerin tanımlanmasındaki belirsizliğin, araştırıcıların ve uygulayıcıların çalışmalarının ana odağına uyarlanmış birçok farklı tanım kullanmalarına yol açmaktadır. Teknik hazırlıkları yapılarak etiketlenen ürünler konusunda üretici, tüketici ve bu konuda çalışan araştırmacılar için çoğu zaman gölgede bir alan bulunmamaktadır. Bununla birlikte, bu kapsam dışında kalan tarım ve gıda ürünleri için de teknik çalışmaların yapılmalı ve Cİ uygulamalarının avantajlarından yararlanmalarını sağlayacak süreçler desteklenmelidir. Böylece, söz konusu ürünlerin üretim ve tüketim boyutlarında rol alan tüm paydaşların denetlenebilir, izlenebilir ve sürdürülebilir bir değer artışından yararlanabilmeleri ve ortaya çıkan değerin de adil bir şekilde paylaşılması sağlanabilecektir.

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# CSR for Employees' and e-WOM Relationship: A Case Study in a Maritime Business Organization in Turkey

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**Abstract:** In today's competitive environment, Corporate Social Responsibility (CSR) is very crucial for businesses both for a more ethical management and business understanding and for marketing activities. Developments in information and internet technologies have changed the way businesses communicate, provide information and connect. It's an undeniable fact that the current COVID-19 outbreak has further affected this situation. CSR and positive communication between employees are seen as an important factor for the success and sustainability of organizations. For this reason, in this study, it is aimed to examine the relationship between CSR and the Electronic Word of Mouth Communication (e-WOM) intention of employees and to determine whether the employment term has a significant effect on the e-WOM intention of the employees. The data were obtained from 246 employees of a maritime management organization in Turkey. As a result of this research, it was determined that there is a positive significant relationship between CSR activities for employees and e-WOM intention of employees. In addition, it was concluded that the duration of working on the e-WOM intention of the employees caused a significant difference.

**Keywords:** Maritime Business, Corporate Social Responsibility (CSR), Electronic Word of Mouth Communication (e-WOM),

## 1. INTRODUCTION

CSR, which is defined as a management concept, is defined as the process that includes the interactions of a company with all stakeholders, especially social and environmental concerns in commercial activities. Therefore, CSR is expressed as a concept that companies voluntarily integrate their social and environmental concerns into their business activities, together with their connections with their stakeholders (Ishak et al., 2016: 3). CSR includes economic, legal, ethical and charitable responsibilities of the corporate organizations. Economic responsibilities require satisfying consumers and stakeholders with values, and obeying laws while fulfilling legal responsibilities. Ethical responsibilities include behaviors that a business should comply with even if they are not included in the law, and charity includes material and moral contributions to society (Chang and Lee, 2020: 345). It is stated that businesses should adopt a holistic approach rather than a material approach in CSR activities and have a corporate strategic vision and management (Kim, 2013: 6). Also, it is underlined that CSR, which is a strategic management concept, can provide opportunities to businesses by using social, environmental or sustainability factors to create new products, services, processes and methods. Accordingly, it is advocated that companies should provide quality services and maximize stakeholder benefits in order to fulfill their social responsibilities (Chang and Lee, 2020: 343).

On the other hand, it is identified that WOM, which is perhaps one of the oldest informal ways of sharing ideas and experiences about products or services (Westbrook, 1987: 261), is highly effective on behaviors (Goyette et al., 2010: 6). Sharing ideas and experiences about products, services or companies via web-based platforms in the internet environment is defined as e-WOM (Hennig-Thurau et al., 2004: 38). With the technological developments, the importance of social media has increased. People communicate and interact in virtual environments. This situation increases the effectiveness of WOM and facilitates it (Vo et al., 2017: 525). As a result of developments in information and internet technologies, online social networks have substantially changed the way individuals or organizations communicate, provide information and connect with each other. Therefore, online social networks play a key role in managing the relationship between the organization and stakeholders. Realizing this, organizations have adopted virtual environments and online social networks as a tool to use them for various purposes such as strategic management and marketing, as in many areas (Cortado and

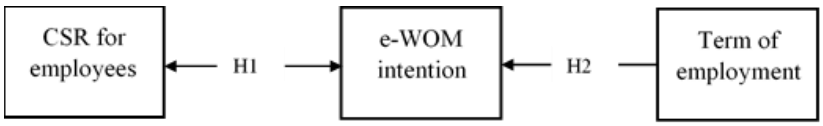
Chalmeta, 2016: 2). CSR is important to entities that create value in connection with social issues through products or services. Therefore, e-WOM, which is an effective source of information about service efficiency and innovation, attitude and behavior with new working methods, makes positive contributions to behavior. (Chang and Lee, 2020: 346). Considered as an important source of information in consumer behavior, WOM enables companies to spread their CSR activities from the most reliable sources to a wider audience as a result of technological possibilities. As a result of its dual communication capability, CSR activities on social platforms offer new communication opportunities to involve stakeholders in business organizations (Choi et al., 2019: 29).

Organizations are involved in CSR activities for various reasons. The philanthropy component, which is at the top level of Carroll's (1991) CSR Pyramid conceptual framework, expresses the contributions and activities of organizations in increasing the welfare of the society as corporate citizens (Türker and Altuntaş Vural, 2016: 149). Another reason for these activities is to promote the WOM intention (Vo et al., 2017: 52). There are studies regarding WOM of an organization's CSR activities (Skarmeas and Leonidou 2013; Xie et al., 2015) and examining its effects on e-WOM. (Vo et al., 2017) in the literature. However, while CSR research includes activities related to prevention of environmental pollution, energy saving and green production / service, generally focuses on the institutional and organizational level, it seems that CSR does not attract much attention for employees (Hu et al., 2019: 129). In addition, maritime businesses consist of businesses that supply innovative products and services as well as traditional maritime activities. (Ishak et al., 2016: 3). Therefore, CSR activities of organizations have started to gain importance in the maritime sector in today's economic and social environment. For this reason, it is thought that the results of this research will contribute to both the maritime sector and the literature.

## 2. THE PURPOSE, MODEL AND HYPOTHESES OF THE RESEARCH

CSR and positive communication between employees are very important for the success and sustainability of organizations. It is also known in the literature that satisfaction and commitment have a positive effect on WOM intention. For this reason, in this research it was aimed to examine the relationship between CSR for employees and e-WOM intention of employees and to determine whether working time has a significant effect on employees' e-WOM intention or not. The model created in line with the purpose of the research is shown in Figure 1.

Figure 1: Research Model




In parallel with technological developments, organizations were carrying out some of their activities through digital channels. However, due to the COVID-19 epidemic experienced today, communication between most of the business activities and employees has started to take place through virtual environments. For those who work on social networking sites, it is stated that CSR communication helps employees increase their e-WOM intentions. Managers need to communicate about CSR engagement on digital platforms to positively influence employees' e-WOM behavior (Mobin et al., 2020: 941). Vo et al. (2017) found that a company improves the corporate image of CSR activities and this positively affects WOM. In this study, it is thought that CSR activities for employees may be related to positive e-WOM intention of employees. It is also expected that term of employment will cause a significant difference on the e-WOM intention of the employees. In this context, the following hypotheses have been determined.

**H1:** There is a significant positive correlation between CSR for employees and e-WOM intention of employees.

**H2:** Term of employment causes a significant difference on the e-WOM intention.

## 2. METHOD

In this research, a survey was conducted as a data collection tool. In order to ensure the validity and reliability of the study, firstly the literature was searched, and resources related to the subject were used in the design of the questionnaire form. As a result of the literature review, the CSR scale for employees was adapted from academic studies of Brown and Dacin, (1997), Klein and Dawar (2004) and the eWOM intention scale Zeithaml et al. (1996), Mobin et al., (2020). For organizations and businesses, the subject of CSR is getting more and more important gradually. In addition, WOM, which is the subject of a lot of research in the marketing literature and is extremely important for businesses, continues to increase its importance day by day as a result of technological developments. Although studies on both CSR and e-WOM have been carried out in the literature, it is seen that the studies on maritime management, which are vital in the economies of the countries, are extremely limited. For this reason, the sample of the study is an organization operating in the maritime sector in Turkey, and the main population is the employees of the concerned organization. Since it would be difficult and costly to reach the main population, the convenience sampling method was preferred in the study. The research data were obtained as a result of the electronic questionnaire applied to 246 employees with a 5-point Likert Scale between 28/02/2021 - 30/03/2021. The demographic characteristics of the participants are shown in Table 1.

Table 1: Demographic Information About Participants

| **Gender** | **F** | **%** | **Educational Status** | **F** | **%** |
|---|---|---|---|---|---|
| Female | 83 | 33.7 | Elementary education | 5 | 2.1 |
| Male | 163 | 66.3 | High school | 29 | 11.8 |
| **Term of employment (year)** | **F** | **%** | College/University | 175 | 71.1 |
| 1-5 | 98 | 39.8 | Postgraduate | 37 | 15 |
| 6-10 | 43 | 17.5 | **Age** | **F** | **%** |
| 11-15 | 50 | 20.3 | 18-26 | 40 | 16.3 |
| 16-19 | 44 | 17.9 | 27-35 | 104 | 42.3 |
| 20 and older | 11 | 4.5 | 36-44 | 80 | 32.5 |
| **Marital Status** | **F** | **%** | 45 and older | 22 | 8.9 |
| Married | 125 | 50.8 | Total | 246 | 100 |
| Single | 121 | 49.2 | | | |

As it is seen in Table 1, approximately 34% of the participants are women and 66% are men, and their marital status rates are close to each other. It is seen that 71% of the participants in the study are university graduates and the majority of the participants are between the ages of 27-44.

## 3. RESULTS

The research data were analyzed in IBM SPSS 24 package program and the reliability of the survey questions was tested with the Cronbach's Alpha coefficient. Cronbach's Alpha coefficients of CSR and e-WOM scales for the employees in the study were found to be 0.851 and 0.943, respectively. The fact that the alpha coefficient is in the range of 81% -100% indicates that the research is very reliable (Nakip, 2013: 205). Therefore, it is possible to say that this research is quite reliable. Principal components analysis and varimax transformation were used in factor analysis. The results are shown in Table 2.

Table 2: Results of Factor Analysis

| **Variable** | **Question** | **Factor Load** | **Eigenvalue** | **Total Variance%** |
|---|---|---|---|---|
| CSR for employees | CSR1 | 0.768 | 5.695 | 56.945 |
| | CSR2 | 0.842 | | |
| | CSR3 | 0.843 | | |
| | CSR4 | 0.640 | | |
| | CSR5 | 0.713 | | |
| e-WOM intention | eWOM1 | 0.855 | 1.603 | 72.976 |
| | eWOM2 | 0.876 | | |
| | eWOM3 | 0.909 | | |
| | eWOM4 | 0.853 | | |

| | | |
|---|---|---|
| | eWOM5 | 0.804 |
| Kaiser Meyer Olkin (KMO) | 0.884 | |
| Bartlett's Test of Sphericity | Approx. Chi-Square:1855.194<br>df 45<br>Sig: 0.000 | |

Bartlett's sphericity test results in Table 2 show that there is a sufficient level of relationship between variables for factor analysis ($p < 0.05$). The KMO Sampling Adequacy Test is an index that compares the size of the partial correlation coefficients with the observed correlation coefficients and shows the suitability of the data set for factor analysis. Since the KMO value is 0.884, it is considered to be good (Kaiser, 1974:35). The total Eigen value of each variable used in the study is greater than 1 and is grouped under a single factor. Cumulative variance is over 70%. It is also seen that the factor load in each scale in the study is 0.50 and above.

### 3.1. Hypothesis Test Results

In the study, the relationships between CSR for employees, which is the independent variable, and the e-WOM intention of the employees with the dependent variable, and the direction of the relationships (H1) were examined by correlation analysis. In addition, the determination of whether the working time causes a significant difference on the e-WOM intention of the employees (H2) was tested with one-way ANOVA analysis. Analysis results are given in tables below.

Table 3: Results of Correlation Analysis

| Mean | Standard Deviation | | CSR for employees | e-WOM intention |
|---|---|---|---|---|
| 4.33 | 0.704 | CSR for employees | 1 | 0.557* |
| 4.30 | 0.750 | e-WOM intention | | 1 |

* Correlation is significant at the 0.01 level

As it is seen in Table 3, a positive correlation at the level of 1% (0.557) was found between the variables as a result of the correlation analysis. Therefore, it can be said that the H1 hypothesis is accepted since there is a positive relationship between CSR for employees and e-WOM intention of employees.

Table 4: Results of Anova Test

| Scale | Operation Time | N | Mean | Std. Deviation | Source | Sum of Squares | DF | Mean Square | F | p |
|---|---|---|---|---|---|---|---|---|---|---|
| e-WOM | 1-5 | 98 | 4.4571 | .85723 | Between Groups | 5.593 | 4 | 1.398 | 2.549 | 0.040 |
| | 6-10 | 43 | 4.2000 | .56061 | | | | | | |
| | 11-15 | 50 | 4.2080 | .73508 | Within Groups | 132.210 | 241 | .549 | | |
| | 16-19 | 44 | 4.0773 | .65870 | | | | | | |
| | 20 and over | 11 | 4.4182 | .50955 | Total | 137.804 | 245 | | | |
| | Total | 246 | 4.2919 | .74998 | | | | | | |

*Homogeneity of Variances = **p: 0.135***

In Table 4, it is seen that the p value in the variance homogeneity test is 0.135 (p> 0.05). The p value that indicates whether the difference between the working hours of the participants and the e-WOM intention is significant, was found to be 0.040 (p<0.05). Therefore, it can be said that there is a significant difference between the employment term of the employees participating in the study and the e-WOM intention. Tukey test was conducted in order to indicate between which groups this significant difference was found and the results in Table 5 were obtained.

Table 5: Result of Tukey Test

| Employment Term | Groups | | Mean Difference | p | Difference Between Groups |
|---|---|---|---|---|---|
| 1) 1-5 | 2 | 6-10 | .25714 | .321 | (1-4) |
| | 3 | 11-15 | .24914 | .301 | |
| | 4 | 16-19 | .37987**(*)** | **.040** | |
| | 5 | 20 and over | .03896 | 1.000 | |
| 4) 16-19 | 1 | 1-5 | -.37987**(*)** | **.040** | (4-1) |
| | 2 | 6-10 | -.12273 | .938 | |
| | 3 | 11-15 | -.13073 | .913 | |
| | 5 | 20 and over | -.34091 | .650 | |

*. The mean difference is significant at the 0.05 level.

In Table 5, the results of the Tukey test, in which significant difference between term of employment of the participants and the e-WOM intention, are found. According to the p value (p <0.05), which indicates whether the difference between the two working periods is significant or not, it can be said that there is a significant difference between 1-5 years and 16-19 years of employment term in the relevant organization. The average difference between 1-5 years and 16-19 years of employment term is 0.380.

## 4. CONCLUSION

Findings obtained in this study showed that there is a positive significant relationship between CSR activities for employees and e-WOM intention of employees. In addition, in this study, it was concluded that the term of the employment on the e-WOM intention of the employees caused a significant difference. As a result of the Tukey test conducted to determine between which groups there is a difference between the working time of the participants and the e-WOM intention is significant, it was found that there is a significant difference between 1-5 years and 16-19 years of working time. The effect of satisfaction and commitment variables on WOM intention is acknowledged in the literature (Godes and Mayzlin 2009; Akbari et al., 2016). In addition, it is also stated that there is a significant relationship between WOM behavior and interpersonal relationships between employees and customers (Gremler et al., 2001: 44). Therefore, in parallel with term of the employment, the relationship between organizational commitment and WOM intention helps to support the H2 hypothesis of this research.

In today's competitive environment CSR for employees, which is the most important resource of businesses and organizations, is of vital importance in terms of both more ethical management and trade understanding and its relationship with e-WOM, one of the basic variables of the marketing discipline. As a result of technological developments and changes in today's world, the maritime sector also benefits from digital technology devices and tries to continue certain activities through these technologies and channels. It can be said that communication and interaction between managers and employees in the business world also take place through virtual and digital environments. In this context, it is thought that the results of this research will provide information to managers in the maritime sector and contribute to future studies.

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# Coğrafi İşaretli Ürünlerin Pazarlama Karması (4P) Analizi: Gümüşhane İli Kürtün Araköy Ekmeği Örneği

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**Özet:** Türkiye'de coğrafi işaret tescili ile korunan yöresel ürün sayısı giderek artmaktadır. Bununla birlikte, yöresel ürünlere coğrafi işaret tescili alındıktan sonra işletmelerin pazarlama karması stratejilerini nasıl yönettiği konusunda yeterli bir bilgi söz konusu değildir. Bunun yanında, bu tescilli ürünlerin coğrafi işaret aldıktan sonra il ekonomisine sağladıkları katkı noktasında yeterince araştırma bulunmamaktadır. Bu çalışma ile bu sorulara yanıt verilmesi amaçlanmıştır. Bu amaçla Gümüşhane ilindeki coğrafi işaret tescilli ürünlerden birisi olan ve 2019 yılında tescil alan Kürtün Araköy Ekmeği örneği incelenmiştir. Bu çalışmanın birincil verileri Gümüşhane ili Kürtün ilçesi Araköy köyünde Kürtün Araköy Ekmeği üretimi yapan dokuz işletme ile gerçekleştirilen anket çalışmasından elde edilmiştir. Kürtün Araköy Ekmeği üreticilerinin ürün ile ilgili stratejileri Cİ almadan önceki durumdan pek farklılık göstermemektedir. Ürünün kalitesi ve Cİ'li olma avantajı markalaşma fırsatına dönüştürülememiştir. Cİ etiketli Kürtün Araköy Ekmeğinin fiyatı Cİ'li olmayan klasik bir ekmeğe göre %14.29 daha fazladır. Ürünün kalitesi ve yüksek maliyeti göz önüne alındığında bu fiyat primi oldukça yetersizdir. Üreticilerin Kürtün Araköy Ekmeği satışında farklı dağıtım kanallarına yönelmediği, bunun yerine çoğunlukla semt pazarlarında veya kendi satış noktalarında doğrudan satış yaptığı saptanmıştır. Üreticilerin dar bir dağıtım kanalını tercih etmesi ürünleri için daha yüksek fiyat elde etme olasılığını oldukça azaltmaktadır. Üreticiler Kürtün Araköy Ekmeği satışlarında tutundurma aracı olarak sadece doğrudan pazarlamayı tercih etmektedir. Ürünü müşterilere tattırarak ekmeğin lezzet kalitesinin viral olarak yayılma beklentisi tutundurmada üreticilerin pek çaba göstermediğini ortaya koymaktadır. Kürtün Araköy Ekmeği üreticilerinin pazarlama karması unsurlarına yönelik analizler üreticilerin pazarlama noktasında desteklenmeleri gerektiği konusunda bir mesaj vermektedir.

**Anahtar Kelimeler:** Coğrafi İşaretli Ürün, Pazarlama Karması, Gümüşhane, Kürtün Araköy Ekmeği

# Marketing Mix (4p's) Analysis of Geographically Indicated Products: The Case of Gümüşhane Kürtün Araköy Bread

**Abstract:** The number of local products protected by geographical indication is gradually increasing in Turkey. However, there is not enough information about how businesses manage their marketing mix strategies after the geographical indication. In addition, there is not enough study about the contribution of these registered products to the provincial economy after obtaining a geographical indication. This study has aimed to answer these questions. For this purpose, the sample of Kürtün Araköy Bread, which is one of the registered products in the province of Gümüşhane and registered in 2019, was examined. The primary data of this study were obtained from a survey conducted with nine producers who produce Kürtün Araköy Bread in the village of Araköy, in the district of Kürtün in Gümüşhane. The product-related strategies of the Kürtün Araköy Bread producers do not differ much from the situation before they received GI labelled. The quality of the product and the advantage of having a GI could not be transformed into a brand opportunity. The price of Kürtün Araköy Bread with CI is 14.29% higher than traditional bread. Considering the quality and high cost of the product, this price premium is quite insufficient. It has been determined that the producers do not use different distribution channels in the sale of Kürtün Araköy Bread, instead they mostly sell directly in the near markets or at their own sales points. The fact that producers prefer a narrow distribution channel considerably reduces the possibility of obtaining a higher price for their products. Producers prefer only direct marketing as a promotion tool in their sales of Kürtün Araköy Bread. The expectation that the flavor quality of the bread will spread virally by tasting the product to the customers reveals that the producers do not make much effort in promoting it. The analysis of the marketing mix elements of the Kürtün Araköy Bread producers gives a message that the producers should be supported at the point of marketing.

**Key Words:** Geographically Indicated Product, Marketing Mix, Gümüşhane, Kürtün Araköy Bread

## 1. GİRİŞ

Yöresel ürünlerin küçük işletmeler tarafından yoğun teknoloji kullanmadan üretilmesi; tarım alanlarının korunması bakımından gerekli olduğu kadar tüketicilerin daha sağlıklı ve doğal olan bu ürünleri tüketme istekliliğinde son derece etkili olduğu bilinmektedir (Kupke ve Page, 2015: 62). Yöresel ürünlere ilginin artması kırsal turizmin gelişmesinde itici bir güç olarak değerlendirilmektedir (Bahar vd., 2019:2). Nitekim yerel değerler turistler için gidilecek yer seçiminde etkili bir unsur olarak görülmektedir (Şen ve Ekinci, 2020: 33). Günümüzde turizm bölgelerinin kalkınmasında olduğu gibi şehirlerin kimliklerini oluşturan unsurların pazarlanmasında da tescilli yöresel ürünler etkin bir araç olarak kullanılmaktadır (Sarıipek ve Çevik, 2020: 4909).

Ürünün sahip olduğu karakteristik özelliklerin ve kalitenin üretildiği bölgeye has olması coğrafi işaretlerin (Cİ) temel özelliğini oluşturmaktadır. Sınai Mülkiyet Kanunun 34. maddesi gereğince coğrafi işaret; belirgin bir niteliği, ünü veya diğer özellikleri bakımından kökenin bulunduğu yöre, alan, bölge veya ülke ile özdeşleşmiş ürünü gösteren işarettir ve bu işaretler, menşe ya da mahreç işareti olarak tescil edilmektedir. Gıda, tarım, maden, el sanatları, sanayi ürünleri coğrafi işaret tesciline konu olabilmektedir (Türk Patent ve Marka Kurumu, 2021). Coğrafi işaretlerin ürünün hukuksal olarak mülkiyet hakkının korunmasını sağlayarak hem üretici hem de tüketici açısından bazı avantajlar sağladığı bilinmektedir. Üretilen ürün üzerinde Cİ bulunması kısmen de olsa, değişen küresel pazar koşullarında; ürünün rekabet gücü, bilinirliği, özgünlüğü artırılarak üreticiye gelir kazancı tüketici için de ürünün belli standartlarda üretildiği garanti edilmiş olunur. Özellikle küresel rekabette ekonominin dinamiğini oluşturan fiziksel sermaye yatırımları kadar bilgiye yapılan yatırımlarda önem arz etmektedir. Bu bağlamda gerek ulusal gerekse uluslararası ekonomilerde yöresel ürünler hakkında bilgi veren coğrafi işaretlerin önemi günden güne artmaktadır. Coğrafi işaretli yöresel ürünlerin üretiminde kullanılan girdilerin, üretimin yapıldığı yerel kaynaklardan sağlanması, ürün kalitesinde istenilen standardın yakalanabilmesi için ilgili kamu otoriteleri tarafından kontrol edilmesi şüphesiz ki üretici ve tüketici nezdinde güven esaslı bir iletişim sağlamaktadır.

Cİ, tüketiciler için ürün güvenliği sağlarken, üreticiler için de bir pazarlama aracıdır. Cİ aynı zamanda kırsal kalkınma kullanılan etkili bir araç olarak görülmektedir (Dogan ve Gokovali, 2012: 762). Vorotnikov ve ark. (2017:97), coğrafi işaretli ürünlerin ticari olarak yöre ekonomisine kazandırılmasını ve pazarının yaygınlaştırılmasını vurgulayarak, tescilli ürün üreten üreticilerin coğrafi işaretleri fırsat aracı olarak nitelendirmeleri gerektiğini belirtmektedir. Türkiye'nin konumu, iklimi, nüfusu, kültür zenginliği, yöresel ürün çeşitliği gibi avantajları ve kırsal kalkınmada bu avantajların kullanılma imkânı bölgelerin güçlü yanlarını işaret etmektedir. Fakat sağlanan avantajlı koşullara rağmen Türkiye'de 477 ürüne Cİ tescili alınmış ve 164 ürünün tescil işlemi devam etmektedir. Tescil ettirilen yöresel ürünlerin %26.5'ini işlenmiş ve işlenmemiş meyve ve sebzeler, %20.3'ünü yemekler ve çorbalar ve %15.2'sini ise fırıncılık ve pastacılık ürünleri oluşturmaktadır (Türk Patent ve Marka Kurumu, 2021).

Yukarıda da belirtildiği gibi, Türkiye'de coğrafi işaret tescili ile korunan yöresel ürün sayısı giderek artmaktadır. Bununla birlikte, yöresel ürünlere coğrafi işaret tescili alındıktan sonra işletmelerin pazarlama karması stratejilerini nasıl yönettiği konusunda yeterli bir bilgi söz konusu değildir. Bunun yanında, bu tescilli ürünlerin coğrafi işaret aldıktan sonra il ekonomisine sağladıkları katkı noktasında yeterince araştırma bulunmamaktadır. Bu çalışma ile bu sorulara yanıt verilmesi amaçlanmıştır. Bu amaçla Gümüşhane ilindeki coğrafi işaret tescilli ürünlerden birisi olan ve 2019 yılında tescil alan Kürtün Araköy Ekmeği örneği incelenmiştir. Kürtün Araköy ekmeği, Gümüşhane ili Kürtün ilçesi Araköy köyünde yüzlerce yıldır üretilen, geleneksel bir ekmektir. Gümüşhane Ticaret ve Sanayi Odası tarafından tescil ettirilen Kürtün Araköy ekmeğinin üretiminde un, su, ekşi maya ve kaya tuzu kullanılmaktadır. Türk Patent ve Marka Kurumu (2019), Kürtün Araköy ekmeğini 3,5- 5 kg ağırlığında, 13-18 cm yüksekliğinde ve yuvarlak şekilde olarak tanımlamaktadır. Ekmeğin en önemli özelliği; maya olarak bir önceki hamurdan ayrılarak saklanan ekşi hamurdur. Bunun haricinde hiçbir katkı maddesi kullanılmamaktadır. Ekmeğin diğer bir ayırt edici özelliği de üretim sürecinin uzun olmasıdır. Fermantasyon süresi dört saat olup, odun ateşi ile yakılan fırınlarda dört saatte pişirilmektedir. Fırından çıkan ekmekler dört saat dinlendirildikten sonra pazara sunulmaktadır. Uzun zaman alan üretim süreci nedeni ile taze raf ömrü iki ay, donmuş olarak ise altı aydır. Yöresel ürün pazarlanmasında avantaj ve üstünlük konusu olabilecek Kürtün Araköy Ekmeği bu durumda özel bir statü kazanmaktadır. Ekmeğin coğrafi işaret almış olması ile

yerel bilgi ve kültür de aynı zamanda korunmuş olmaktadır. Gümüşhane'de Kürtün Araköy Ekmeği, ürettiğini kendisi satan mikro işletmeler tarafından gerçekleştirilme olup, bu sınıflamadaki işletmeler için en önemli sorun pazarlama olarak görülmektedir (Gelibolu, 2009:155).

## 2. MATERYAL VE YÖNTEM

Bu çalışmanın birincil verileri Gümüşhane ili Kürtün ilçesi Araköy köyünde Kürtün Araköy Ekmeği üretimi yapan dokuz işletme ile gerçekleştirilen anket çalışmasından elde edilmiştir. Bu işletmelerden altısı sadece Araköy köyünde faaliyet gösteren üreticilerdir. Geri kalan işletmeler ise hem Araköy köyünde hem de Gümüşhane il merkezinde veya Kürtün ilçesinde satış noktası bulunan üreticilerden oluşmaktadır. Üreticilerin tamamı doğrudan tüketiciye satış seçeneğini kullanmaktadır. Anket çalışması 2021 yılı Mayıs ayında yapılmıştır. Üreticiler ile görüşmeler sosyal mesafe kuralına uyularak yüz yüze gerçekleştirilmiştir. Üretici sayısının sınırlı olmasından dolayı örneklem büyüklüğü belirlenmemiş ve tüm üreticilerle görüşülerek "tam sayım" yöntemi uygulanmıştır. Araştırmada, "yapılandırılmış anket yöntemi" kullanılmıştır. Bu çalışmanın verilerinin elde edilmesinde kullanılan anket formu beş bölümden oluşmaktadır. Birinci bölümde, Kürtün Araköy Ekmeği üretimi ile ilgili genel sorular yer alırken, diğer bölümlerde ise ürün, fiyatlandırma, dağıtım ve tutundurma olmak üzere dört pazarlaması karması unsuru ile ilgili sorulara yer verilmiştir.

Kürtün Araköy Ekmeği üreticilerinin pazarlama karması stratejileri her bir pazarlama karması unsuru kapsamında yöneltilen önermeler ile ortaya konulmuştur. Katılımcıların önermelere verdiği yanıtlarda 5'li likert ölçeği kullanılmıştır. Pazarlama karması analizi pazarlama bileşenleri olarak da ifade edilen ürün, fiyat, dağıtım ve tutundurma kapsamında gerçekleştirilmiştir. İşletmelerin ürün stratejileri hammadde temini ve maliyeti, ürün kalitesi, ambalajlama, ürün farklılaştırması ve markalaşma çerçevesinde analiz edilmiştir. İşletmelerin fiyat ile ilgili stratejileri ise Kürtün Araköy Ekmeğinde üreticilerin Cİ'li olmayan klasik tarzda üretilen bir ekmeğe göre (1 kg için) elde ettiği fiyat primi hesaplanarak değerlendirilmiştir. Fiyat primi aşağıda gösterilen formül (1) kullanılarak hesaplanmıştır (Jantyik ve Török, 2020: 4).

$$Fiyat\ primi\ (\%) = \frac{\text{Ürün}\ Fiyatı_{ci'li} - \text{Ürün}\ Fiyatı_{ci'siz}}{\text{Ürün}\ Fiyatı_{ci'siz}} \times 100 \qquad (1)$$

İşletmelerin dağıtım ile ilgili stratejileri, Kürtün Araköy Ekmeğinin olası dağıtım kanalları çerçevesinde incelenmiştir. Bu kapsamda; semt pazarları, üreticilerin kendi perakende satış yerleri, küçük perakendeciler (bakkal, yöresel mağaza, vb.), büyük perakendeciler (zincir marketler, vb.), distribütörler ve e-ticaret seçenekleri göz önüne alınmıştır. İşletmelerin Kürtün Araköy Ekmeği için uyguladıkları tutundurma stratejileri ise reklam, satışta özendirme, halkla ilişkiler, kişisel satış ve doğrudan pazarlama gibi çeşitli araçları kullanım durumuna göre analiz edilmiştir.

## 3. ARAŞTIRMA BULGULARI

### 3.1. Ürüne Yönelik Stratejiler

Kürtün Araköy Ekmeği üretimi yapan işletmelerin ürüne yönelik stratejileri tüm ürün kavramı kapsamında incelenmiştir. Nakip ve ark. (2012), tüm ürün kavramını bir ürünün fiziksel ve fiziksel olmayan işlevlerinin birlikte olması olarak tanımlamaktadır. Mucuk (2010) ise mamulün fiziksel varlığına üretici veya perakendeci tarafından sağlanan teslim, kredi, satış sonrası hizmet, montaj, garanti, marka adı, özellikler, kalite düzeyi, tasarım ve ambalajlama gibi çeşitli özellikler eklendiğinde tüm ürün kavramının elde edildiğini belirtmektedir. Tüm ürün kavramının içeriği göz önüne alınarak Kürtün Araköy Ekmeğine yönelik işletmelerin ürün stratejileri hammadde temini ve maliyeti, ürün kalitesi, ambalajlama, ürün farklılaştırması ve markalaşma çerçevesinde analiz edilmiştir. Bu amaçla üreticilere çeşitli önermeler yöneltilmiştir. Önermelere verilen yanıtların likert ölçek ortalamaları Tablo 1'de gösterilmiştir.

Üreticilerin, "hammadde temininde sorun yaşanmaktadır" önermesine "çok az" düzeyde katıldıkları belirlenmiştir. Ürünün üretilmesinde kullanılan tam buğday ununun arzının diğer buğday unlarına göre biraz daha az olmasından kaynaklı belirli dönemlerde az da olsa üreticilerin sorun yaşadıkları gözlemlenmiştir. Üreticiler "hammadde maliyeti diğer yöresel ekmeklere göre yüksektir" önermesine ise "kısmen (orta düzeye yakın)" katıldıklarını bildirmiştir. Ekmek yapımında birinci sınıf tam buğday unu kullanılması ve ekmeğin en az dört saat gibi uzun bir süre taş fırında pişirilmesinden dolayı odun masrafının biraz yüksek olması bunun nedeni olarak belirtilmiştir.

Üreticilerin ürün kalitesi ile ilgili önermelere verdiği yanıtlar, üretilen Kürtün Araköy Ekmeğinin kalitesine dair bir güven problemi yaşanmadığını göstermektedir. Üreticiler Cİ'li Kürtün Araköy Ekmeğinin kalite açısından hem diğer yöresel ekmeklerden hem de Cİ'li (mahreç işaretli) Gümüşhane ekmeğinden farklı olduğu konusunda neredeyse hem fikirdir. Gümüşhane ilinde Kürtün Araköy Ekmeği yanında Gümüşhane ekmeği olarak ifade edilen ikinci bir Cİ'li ekmek daha vardır. Gümüşhane ekmeği, Gümüşhane İl Özel İdaresi tarafından 2017 yılında tescil ettirilmiştir. Türk Patent ve Marka Kurumu (2017), Gümüşhane ekmeğini; ekmeklik buğday ununun, su, yaş ekmek mayası ve %15-30 ekşi hamurla karıştırılmasıyla yapılan bir ekmek olarak tanımlamaktadır. Üreticilere göre, kalite açısından Kürtün Araköy Ekmeği, Cİ almış Gümüşhane ekmeği ile yüksek derecede (4.89) rekabet edebilecek düzeydedir. Cİ'li Kürtün Araköy Ekmeği üreticileri, ürünün kalitesinin yapım sürecinde kullanılan ekşi mayadan, yüksek kaliteli tam buğday ununun, uzun bir pişirme süresinden ve pişirildikten sonra uzun bir bekleme süresinden kaynaklandığını ifade etmişlerdir. Bununla birlikte, Araköy'de yapılan ekmek üretiminde sadece kaynak suyu kullandıklarını ve bunun da ekmek kalitesini iyi yönde etkilediğini belirtmişlerdir.

Üreticilerin ürünlerini Cİ etiketi ile ambalajlı olarak piyasaya sunmadıklarına dair önermeye önemli ölçüde katıldıkları (4.33) anlaşılmaktadır. Üreticiler fırından çıkan ekmekleri en az dört saat olmak şartıyla fırının başka bir bölümünde dinlendirmektedirler. Üreticilerin ifadelerine göre ürünü uzun süre ambalajda tutmak ürünün kalitesini etkileyebilmektedir. Bu nedenle ürün sadece streç filmlere sarılarak satılmaktadır.

Cİ'li Kürtün Araköy Ekmeği üreticilerinin rakiplerine karşı üstünlük elde etmek için ürünlerinde çok az derecede farklılaştırma yaptıkları gözlemlenmiştir. Ürün pazara 3-6 kg arasında sunulmaktadır. Üretici ifadelerine göre; ilgili ağırlık haricinde ürün satışı yapmak ürünün ayırt edici özellikleri ile uyuşmamaktadır. Bu yüzden, ürün kalitesine duyulan güvenden dolayı, ürünü farklı gramajlarda piyasaya sürmek ya da paketlemek gibi çeşitlendirmelere ihtiyaç duymadıkları görülmektedir. Bir ürünün üretildiği yeri gösteren etiketler üretici ile tüketici arasında güveni sağlayabilmektedir. Bu bağlamda, coğrafi işaret etiketinin ürüne özel bir statü sağladığı düşünülmektedir. Her ne kadar üreticiler, yöresel ürünlerin farklılaşmasına Cİ işaretinin önemli katkı sağladığı önermesine orta derecede katıldıklarını (2.67) belirtmiş olsalar da Kürtün Araköy Ekmeği için Cİ tescili alınmasının ürünün markalaşmasına ve satış miktarını artırmasına yönelik önermelere çok az katıldıkları görülmüştür. Bu bulgulardan yola çıkarak; Cİ tescili almış Kürtün Araköy Ekmeği'nin üretici nezdinde özel bir statü kazanmadığı anlaşılmaktadır. Oysaki, bir ürünün yöresel kaynağını gösteren işaretler, ürünün marka değerini artırmada etkin olarak kullanılabilen bir araçtır. Araştırma kapsamına alınan üreticiler, ürettikleri ürünün ayırt edici özelliklerini benimsemiş olsalar dahi Cİ etiketini nasıl etkin bir şekilde pazarlamaya yönelik kullanabileceklerini bilmedikleri anlaşılmaktadır. Hâlbuki ürünün, yöresel olarak Cİ aracılığı ile farklılaştırılması, bir tekel gücü oluşturabilmekte ve bu ürünü üreten işletmeleri büyütebilmektedir (Köksal, 2014: 162).

Tablo 1: Kürtün Araköy Ekmeği Üretimi Yapan İşletmelerin Ürünle İlgili Önermelere Katılma Düzeyi

| Önermeler | $\bar{x}$ | Std. Sapma |
|---|---|---|
| Hammadde temininde sorun yaşanmaktadır. | 2.11 | .7817 |
| Hammadde maliyeti diğer yöresel ekmeklere göre yüksektir. | 2.67 | .8660 |
| Cİ'li Kürtün Araköy Ekmeği kalite açısından diğer yöresel ekmeklerden farklıdır. | 4.78 | .4410 |
| Cİ'li Kürtün Araköy Ekmeği kalite açısından Cİ almış Gümüşhane ekmeğinden farklıdır. | 4.78 | .4410 |
| Kalite açısından Kürtün Araköy Ekmeği, Cİ almış Gümüşhane ekmeği ile rekabet edebilir. | 4.89 | .3333 |
| Kürtün Araköy Ekmeği üreticileri ürünlerini Cİ etiketi ile ambalajlı olarak | 4.33 | 1.0000 |

| | | |
|---|---|---|
| piyasaya sürmemektedir. | | |
| Rakiplere karşı ürün farklılaştırılması yapılmaktadır. | 1.56 | .7265 |
| Yöresel ürünlerin farklılaşmasına Cİ işareti önemli katkı sağlamaktadır. | 2.67 | .5000 |
| Kürtün Araköy Ekmeği için Cİ tescili alınması, ürünün markalaşmasına katkıda bulunmuştur. | 2.44 | .8819 |
| Marka değeri satış miktarını artırmıştır. | 1.89 | 1.0541 |

$\bar{x}$: likert ölçek ortalaması: 1) hiç katılmıyorum; 5)kesinlikle katılıyorum

### 3.2. Fiyata Yönelik Stratejiler

Üreticilerin net gelirini artırmak coğrafi işaretli ürün politikasının önemli bir amacıdır. Üreticilerin net gelirini artırmak için de Cİ'li ürünler için yüksek fiyat elde etmek gerekmektedir. Bu ürünlerin kalitesinin yüksek olması ise yüksek fiyat elde etmek için önemli bir fırsat sunmaktadır. Bununla birlikte, Cİ'li ürünlerde yüksek kaliteyi sağlamak için katlanılan maliyetler oldukça yüksektir. Bu nedenle Cİ'li ürünlerde ikamesi olan benzer nitelikteki Cİ'li olmayan ürünlere göre daha yüksek fiyat elde etmesi oldukça önemli görülmektedir. Macaristan'da yapılan bir çalışmada Cİ'li gıdaların fiyatının Cİ'li olmayanlara göre ortalama %43 daha yüksek olduğu belirlenmiştir. Diğer bazı ülkelerde Cİ'li gıda ürünlerin ortalama fiyat primi sırasıyla; Yunanistan'da %55, Almanya'da %47 ve İtalya'da %19 bulunmuştur (Jantyik ve Török, 2020: 11).

Kürtün Araköy Ekmeğinde üreticilerin Cİ'li olmayan klasik tarzda üretilen bir ekmeğe göre elde ettiği fiyat primini belirlemek için Tablo 2 hazırlanmıştır. Tablo 2'de Kürtün Araköy ekmeği yanında diğer ikame ürünlerin fiyatları sunulmuştur. İkame ürünler Cİ'li Gümüşhane ekmeği ile Cİ'li olmayan benzer ağırlıktaki klasik bir ekmeği içermektedir. Elde edilen veriler incelendiğinde; 1 kg ekmeğin fiyatı Cİ etiketli Kürtün Araköy Ekmeği için 8 TL, Cİ etiketli Gümüşhane Ekmeği için 7.50 TL ve Cİ etiketli olmayan klasik tipteki bir ekmek için 7 TL'dir. Bu veriler çerçevesinde, Cİ etiketli Kürtün Araköy Ekmeğinin fiyatı Cİ'li olmayan klasik bir ekmeğe göre %14.29 daha fazladır. Cİ etiketli Gümüşhane Ekmeği ise Cİ'li olmayan klasik bir ekmeğe göre %7.14 oranında fiyat olarak daha yüksektir. Gerek Kürtün Araköy gerekse de Gümüşhane ekmeği için hesaplanan fiyat primleri ürünlerin Cİ'li olmasının fiyat açısından üreticilere pek avantaj sağlamadığını göstermektedir. Nitekim, ürünlerin Cİ'li olması nedeniyle üretim maliyetleri klasik ekmeklere göre daha yüksektir. Kürtün Araköy Ekmeği üreticileri Esnaf ve Sanatkârlar Odasının maliyete göre belirlediği fiyattan ürünlerini pazara sunduklarını belirtmişlerdir. Ayrıca, üreticiler, Kürtün Araköy Ekmeği imalatının diğer ekmeklere göre az da olsa daha maliyetli olduğunu ifade etmişlerdir. Ekmeğin hazırlanış, pişme ve bekleme süresinin diğer ekmeklere göre çok daha uzun olmasının maliyetleri artıran bir faktör olduğuna dikkat çekilmiştir.

Tablo 2: Kürtün Araköy Ekmeği ile Diğer İkame Ürünlerin Satış Fiyatları (2021)

| Ürünler | Ortalama Satış Fiyatı (TL/kg) | Cİ'li Olmayan Ekmeğe Göre Fiyat Primi (%) |
|---|---|---|
| Kürtün Araköy Ekmeği (Cİ etiketli) | 8.00 | 14.29 |
| Gümüşhane Ekmeği (Cİ etiketli) | 7.50 | 7.14 |
| Bölgede üretilen klasik tipteki bir ekmek (Cİ etiketli değil) | 7.00 | - |

Kaynak: Kürtün Araköy Ekmeği ve Gümüşhane Ekmeği üreticileri ile yapılan görüşmelerden elde edilmiştir.

### 3.3. Dağıtıma Yönelik Stratejiler

Dağıtım kanalı, üreticiler tarafından üretilen ve tüketiciler tarafından talep edilen mal ve hizmetlerin, üreticiler tarafından doğrudan veya toptancılar ve perakendeciler gibi çeşitli aracılar yoluyla tüketicilere istedikleri yer, zaman, miktar ve kalitede ulaştırılması için yapılan tüm faaliyetleri kapsayan bir yapı olarak tanımlanmaktadır (Nakip vd., 2012:178). Önceki çalışmalar Cİ'li ürünlerin farklı ülkelerde farklı dağıtım kanalları ile pazarlandığını göstermektedir. Cİ'li ürünler yüksek yoğunluklu tedarik zincirlerine sahip ülkelerde (örn. Birleşik Krallık) perakendeciler ve süpermarketler aracılığıyla pazara arz edilmektedir. Cİ'li ürünlerin ağırlıklı olduğu ülkelerde (örn. İtalya, Fransa'nın bazı kısımları) ise, bu ürünler

yerel pazarlar, doğrudan satışlar ve özel satış mağazaları (veya noktaları) ile pazarlanmaktadır (Rangnekar, 2004:7).

Tablo 3'te Kürtün Araköy Ekmeği üreticilerinin dağıtım kanalları gösterilmiştir. Üreticilerin Kürtün Araköy Ekmeği satışında en sık kullandığı dağıtım kanalının semt pazarları olduğu görülmektedir. Üreticilerin tamamının Kürtün Araköy Ekmeği satışında semt pazarlarında sürekli satış yaptıkları ortaya konulmuştur. Üreticilerin bu kanalı tercih etme nedeni semt pazarlarının tüketiciler için kolay ulaşılabilir olmasıdır. Üreticiler, Kürtün Araköy Ekmeği ile ilgili yeterli bilgiye sahip tüketicilere ulaşmada semt pazarlarının önemli bir kolaylık sağladığını vurgulamıştır. Ayrıca, üreticiler semt pazarlarında tüketiciler ile birebir iletişimin ürün tanıtımında çok etkili olduğunu ve tüketicilerin ürünü tatma imkânları ile satışta özendirme yöntemini etkili kullanabildiklerini belirtmişlerdir.

Söz konusu üreticiler içerisinde sadece üç tanesinin kendi perakende satış noktalarından doğrudan tüketicilere satış yaptıkları saptanmıştır. Tablo 3'te verilen bulgulara istinaden, üreticilerin mevcut geleneksel dağıtım kanalından ziyade pazarda büyümelerini sağlayacak diğer alternatif dağıtım kanallarını kullanmasının önemli olduğu düşünülmektedir. Nitekim, üreticilerin dağıtım kanalı olarak önemli düzeyde semt pazarlarını kullanmaları yeni pazar alanları (örn. e-ticaret) ile ilgili yeterli bilgi düzeyine sahip olmadıklarını göstermektedir.

Tablo 3: Kürtün Araköy Ekmeği Üreticilerinin Dağıtım Kanalları

| Dağıtım Kanalları | $\bar{x}$ | Std. Sapma |
|---|---|---|
| Semt pazarlarına satış | 5,00 | 0,0000 |
| Kendi perakende satış yerlerinden satış doğrudan tüketicilere satış | 2,56 | 1,5899 |
| Küçük perakendecilere satış (bakkal, yöresel mağaza, vb.) | 2,00 | 1,5811 |
| İnternet üzerinden kendi web sistesi üzerinden satış | 1,67 | 1,4142 |
| Anlaştığı distribütörler kanalı ile satış | 1,22 | 0,6667 |
| Büyük e-ticaret siteleri kanalı ile satış | 1,22 | 0,6667 |
| Büyük perakendecilere satış (zincir marketler, vb.) | 1,00 | 0,0000 |

$\bar{x}$: likert ölçek ortalaması: 1) hiç satış yapmıyor; 5)Sürekli veya çok sık düzeyde satış yapıyor.

### 3.4. Tutundurmaya Yönelik Stratejiler

Pazarlama iletişimi olarak da ifade edilen tutundurma faaliyetlerinin tamamı pazarlamanın satış arttırıcı birer çabası olarak tanımlanmaktadır. Tutundurma faaliyetleri işletmenin kontrol edebildiği bir çevre olarak nitelendirilmektedir (Nakip vd., 2012:34). Başlıca tutundurma araçları kişisel satış, reklam, halkla ilişkiler satış geliştirme ve doğrudan pazarlama şeklinde belirtilmektedir (Mucuk, 2010: 184). Cİ'li ürünlere yönelik tutundurma faaliyetlerinde üreticilerin ürünleri ile yerel kalkınma, çevre, vb. unsurlar arasındaki bağlantıyı vurgulayacak mesajlar oluşturması gerektiği ileri sürülmektedir (Rangnekar, 2004:7).

Kürtün Araköy Ekmeği üreticilerinin çeşitli tutundurma araçlarını kullanım durumu incelendiğinde, sadece doğrudan pazarlamanın tercih edildiği görülmektedir. Doğrudan pazarlama, nihai tüketicilere perakendeci kullanmadan, endüstriyel alıcılara da geleneksel yol olan satışçıların satış ziyaretlerine başvurmadan yapılan satış şekli olarak tanımlanmaktadır (Mucuk, 2010: 241). Yukarıda da belirtildiği gibi, araştırma kapsamına alınan üreticilerin ürünlerini pazara sunmada en çok kullandıkları dağıtım kanalı semt pazarlarıdır. Üreticiler Kürtün Araköy Ekmeği satışlarını artırmak için tüketicilerle doğrudan iletişim kurmanın daha etkili olduğunu düşünmekte olup, bu noktada semt pazarları önemli bir fırsat olarak görülmektedir.

Üreticilerin Kürtün Araköy Ekmeği satışlarında tutundurma aracı olarak teknolojiyi pek kullanmadığı belirlenmiştir. Oysaki günümüz rekabet koşullarında ürünün hem iç hem de dış piyasada bilinirliğini ve satış miktarını artırmada kullanılabilecek en etkin yollardan biri e-ticaret olarak görülmelidir. Üreticilerin mikro işletme olmaları nedeni ile de pazarlama faaliyetleri kendi bireysel ve geleneksel çabalardan ileriye gidememiştir. Kürtün Araköy Ekmeği üreticilerinin gelişen ve değişen pazar şartları içerisinde ülke

genelinde ürünü daha iyi tanıtacak girişimlere pek girmedikleri anlaşılmaktadır. Hiçbir üretici tutundurma açısından çok daha büyük müşteri kitlelerine ulaşmalarını sağlamada önemli bir araç olan reklamı kullanmamaktadır. Sadece semt pazarları kanalı ile ürünü müşterilere tattırarak ekmeğin lezzet kalitesinin viral olarak yayılma beklentisi içerisine girmişlerdir. Yine hiçbir üretici tutundurma faaliyetleri kapsamında örnek ürün dağıtımı ya da promosyonlu satış kampanyası yapmamıştır. Haliyle söz konusu üreticilerin pazarlama faaliyetlerini profesyonelce ele alma imkânlarının sınırlı olduğu görülmüştür.

## 4. SONUÇ

Bu çalışma coğrafi işaret almış yöresel ürünlerde pazarlama karmasının yönetiminin nasıl yapıldığı konusunda bir fikir vermektedir. Yöresel ürünlere coğrafi işaret tescili alarak hem bu ürünlerin korunması hem de üretici gelirlerinin arttırılarak yöre ekonomisini güçlendirilmesi amaçlanmaktadır. Türkiye'de yöresel ürünlere coğrafi işaret tescili almak için yoğun bir çaba sarfedildiği görülmektedir. Bu çabalar takdirle karşılanmakla birlikte, ürünlere coğrafi işaret tescili aldıktan sonraki aşamalarda önemli bir boşluk görülmektedir. Coğrafi işaret tescili sonrası yöresel ürünlerin üreticileri coğrafi işaretin ürünlerine sağladığı marka değerini fırsata çevirememektedir. Karşılaşılan bu durumu Kürtün Araköy Ekmeği üreticilerinin pazarlama karması unsurlarına yönelik analizlerden anlamak mümkündür.

Kürtün Araköy Ekmeği üreticilerinin ürün ile stratejileri Cİ almadan önceki durumdan pek farklılık göstermemektedir. Ürünün kalitesi ve Cİ'li olma avantajı markalaşma fırsatına dönüştürülememiştir. Kürtün Araköy Ekmeği Cİ etiketi ile ambalajlı olarak piyasa sunulmamakta, bunun yerine basit streç filmlere sarılarak satış yapılmaktadır. Cİ'li Kürtün Araköy Ekmeği üreticilerinin rekabet avantajı sağlamak için ürünlerinde farklılaştırma yapma noktasında yetersiz oldukları belirlenmiştir.

Cİ'li ürünlerin kalitesinin yüksek olması, yüksek fiyat elde etmek için önemli bir fırsat sunmaktadır. Bununla birlikte, Kürtün Araköy ekmeğinin Cİ'li olmasının fiyat açısından üreticilere pek avantaj sağlamamaktadır. Cİ etiketli Kürtün Araköy Ekmeğinin fiyatı Cİ'li olmayan klasik bir ekmeğe göre %14.29 daha fazladır. Ürünün kalitesi ve yüksek maliyeti göz önüne alındığında bu fiyat primi oldukça yetersizdir.

Üreticilerin Kürtün Araköy Ekmeği satışında farklı dağıtım kanallarına yönelmediği, bunun yerine çoğunlukla semt pazarlarında veya kendi satış noktalarında doğrudan satış yaptığı saptanmıştır. Üreticilerin dar bir dağıtım kanalını tercih etmesi ürünleri için daha yüksek fiyat elde etme olasılığını oldukça azaltmaktadır. Büyük bir e-ticaret sitesinde Kürtün Araköy Ekmeğinin yöreye göre yaklaşık üç kat yüksek fiyattan satılması bu durumun en iyi kanıtıdır.

Üreticilerin Kürtün Araköy Ekmeği satışlarında tutundurma aracı olarak sadece doğrudan pazarlamanın tercih edildiği görülmekte olup, bunun için de çoğunlukla semt pazarları kullanılmaktadır. Ürünü müşterilere tattırarak ekmeğin lezzet kalitesinin viral olarak yayılma beklentisi tutundurmada üreticilerin pek çaba göstermediğini ortaya koymaktadır. Yüksek kaliteli ve Cİ'li bir ürünün pazarlanmasında özellikle de dijital pazarlama araçlarından yararlanılmaması önemli bir eksiklik olarak görülmektedir.

Kürtün Araköy Ekmeği üreticilerinin pazarlama karması unsurlarına yönelik analizler üreticilerin pazarlama noktasında desteklenmeleri gerektiği konusunda bir mesaj vermektedir. Üreticilerin pazarlama bilgisinin zayıf olması ve pazarlama harcamaları için yeterli finansman imkanlarının olmaması nedeniyle böyle bir desteğe ihtiyaç vardır. Bu desteklerin Kürtün Araköy Ekmeği için Cİ alınmasına katkıda bulunan kurum ve kuruluşlar tarafından sağlanması önemlidir. Özellikle de Kürtün Araköy Ekmeğinin dijital pazarlama ile satışının yapılarak geniş kitlelere ulaştırılması açısından üreticilerin pazarlama harcamalarının kısmen de olsa finanse edilmesi hem üreticilere hem de yöre ekonomisine büyük bir katkı sağlayacaktır.

## TEŞEKKÜR

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# The Effect of Education Taken by Highly Talented Students in Science and Art Centers on Science Courses

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**Abstract:** Science and Art Centers have undertaken this task in our country in order to reveal the potential of gifted individuals. Gifted children can show a higher level in their interests than children of their own age and their environment. These children show outstanding performance in creativity, art, and intellectual fields. Sometimes these abilities are seen in private academic fields. The competence of teachers, parents and professionals in discovering gifted children is important for their correct orientation in the future. During the implementation of the special skills development program, students are provided with in-depth or advanced knowledge, skills and behaviors in any discipline, taking into account the interdisciplinary and interdisciplinary relationships. Trainings that will enable students to be aware of their individual interests and abilities, to develop their capacities and to use them at the highest level are given in this period. It has been stated that the interaction of gifted children with the environment contributes to the development of their skills. The use of laboratories in the science lesson has a distinct importance as it transforms soft information into concrete, enables learning by doing, and increases the permanence of the information. Since Physics / Chemistry / Biology activities in Science and Art centers constitute the sub-sections of the Science course, the activities to be held in the center will also affect the Science courses of gifted students. In this study, Science and Art Centers and their effect on science education were examined.

**Key Words:** Science and Art Center, Gifted Children, Science Teaching

## 1. INTRODUCTION

Efficient use of a country's resources and being strong in every field is related to the education that country provides to its individuals. How much information can be used in the 21st century has gained importance. The ability of generations to grow up with knowledge is one of the most important factors that determine the development level of a country. The development levels of the countries are directly proportional to the importance they give to education. For development, it is essential to support the education of creative individuals who will work in their own universities, factories, laboratories, research and development units, and who can produce and develop science and technology (MEB Strateji Planı, 2019-2023).

More important than the education given to individuals is to provide the education that the individual needs. Science and Art Centers (BİLSEM) undertook this task in our country in order to reveal the potential of gifted individuals.

The importance of science and technology education is obvious in today's society, where technological developments are clearly seen in every aspect of our lives. It has been observed that the importance given to science education has increased in recent years. The term gifted person is a broad term that encompasses different skills and creativity. Gifted individuals are of great importance not only for their own advancement but also for their societies. The importance to be given to the science education of gifted individuals will benefit both individuals and societies (Et, 2013).

It is known that gifted and talented children exist in every society. Therefore, making these individuals known to be active and educable individuals in every society is of great importance for that society. In addition, the role of gifted people in the creation of civilization is of great importance (Coşkun, 2007: 18). For many years, various countries have been closely interested in the education and training of gifted and talented children, and many studies have been conducted by various scientists. The reason for this interest shown to gifted and talented children is that individuals who determine the agenda of societies, direct societies, and make their names heard in the world are generally gifted and talented individuals. For this reason, from the beginning of the twentieth century, in many developed countries, gifted and talented students, in private educational institutions; It has been realized that they need

education in learning environments designed to be effective / rich in terms of teaching materials and environment (Keskin, 2006: 1).

Kulaksızoğlu (2004) stated that gifted students, who are the most productive segment in education with their fast learning and ability to use what they learn in life, play a leading role in many economic, political, military and technological fields. It has been observed that the students are interested in science and BİLSEMs. Students participate in the activities with pleasure and interest. Students think that they will use the skills, knowledge and experience they have gained in BİLSEM during their university years and this situation will be very beneficial for them.

It has been one of the responsibilities of today's education system to consciously educate gifted children, who are the most important human resource of the future, to contribute to social development (Şenol, 2011: 1). A special importance has been given to the education of these individuals, whom human beings consider as gifted and talented, in order to benefit from their talents (Sezginsoy, 2007: 14).

**1.1. Definition of the Science and Art Center (BİLSEM)**

Due to the advanced individual characteristics of gifted and talented students, their expectations from education are quite different from other individuals. Because, routine educational approaches that appeal to the general are inadequate to meet the needs of gifted and talented students (Levent, 2014). It cannot be ignored that gifted people who contribute to the advancement of a society in the field of science and arts are a national treasure for their country (Tozlu, 2004). The importance given to the education of the gifted is proportional to the number of future scientists, artists and leadership (Sisk, 1990). For this reason, the education of gifted and talented students in our country is carried out in Science and Art Centers (BİLSEM).

BİLSEM are centers opened by the Ministry of National Education, General Directorate of Special Education Guidance and Counseling Services. It continues in a way that does not disrupt the education of gifted or talented students attending pre-school, primary and secondary education institutions in formal education institutions. In line with this purpose, they are independent private education institutions that have been opened to ensure that they are aware of their individual talents and that they use their capacities at the highest level (MEB, 2001).

MEB (2016) BİLSEM; “Pre-school education works in a way that does not disrupt the education of specially talented students (painting, music and general mental ability) in primary school, secondary school and high school age in formal education institutions. They are independent private educational institutions that have been established to ensure that they are aware of their individual talents and use their capacities at the highest level. In these centers, students are admitted to training programs organized in the fields of adaptation, support training, realizing individual abilities, developing special skills and project production / management. It is defined as a differentiated education program beyond the education given in regular schools so that gifted students can understand their potential and contribute to themselves and society.

The education of gifted and talented students continues in BİLSEM during the time remaining from their school education. BİLSEMs are institutions that aim to realize and develop the special abilities of selected students (Gökdere, 2004). Students who are accepted to BİLSEM are supported by giving education in five different fields. These; adaptation, support training, realizing individual abilities, special skills development and project production.

**1.2. The Concept of Giftedness**

Gifted individuals are defined as children who perform at a higher level than their peers in intelligence, creativity, art, leadership capacity or special academic fields and need additional services or activities to develop such abilities (Coşkun, 2007: 8). Gifted and talented children differ from their peers with their high potential, endless desire to learn, producing many solutions to questions and problems, being interested in many areas, creativity, high motivation, and liking the difficulties of pursuits that require intelligence (Çağlar, 2004).

Considering the studies on gifted and talented students, there is no common definition of the concept of gifted in the literature. However, different definitions have been made for gifted children. Winner (1996) stated that gifted children have three characteristics that distinguish them from others: Firstly, they defined it as having high learning skills in a certain field (music, mathematics, athletics, etc.), secondly as their passion for learning, and thirdly as offering a different solution to events than others.

The first step in the education of gifted individuals is identification (Şahin and Kargın, 2013). The biggest task in the education of gifted children falls first to parents and then to educators as the children's first teacher. This plays an important role not only during education but also in determining them (Davis and Rimm, 2004).

Gifted children can show a higher level in their interests than children of their own age and their environment. These children show outstanding performance in the fields of creativity, art, and intellectual. Sometimes these abilities are seen in private academic fields (Çatalbaş, 1998). Normal formal education programs do not meet the needs of gifted children that are sufficient to maximize their potential. Education programs prepared for gifted children should be prepared in a way to support their cognitive development and in accordance with their developmental levels (Dönmez and Kurt, 2004).

It is known that gifted and talented children exhibit different emotional characteristics compared to their peers. These differences must be known and accepted by the environment in which they live. Both society and individuals will win when these children are contacted while respecting their differences. Great duties fall on educators, researchers, scientists and more broadly the whole society, especially families. A great job falls on families, teachers and other adults for gifted children to express themselves and to turn their talents into advantage (Oğurlu and Yaman, 2010: 220). Teachers, parents and experts are of great importance in the discovery of gifted children and in the correct guidance of these children (Sezginsoy, 2007: 35).

**1.3. Student Identification Process in Science and Art Centers**

The competence of teachers, parents and experts in discovering gifted children is important in terms of guiding them correctly in the future (Sezginsoy, 2007). Observation forms are sent to schools every academic year for student selection at BİLSEM. The processes are managed by the classroom teachers for the primary school and the branch teachers for the secondary school. The forms of the nominated students are sent to the commission. Provincial diagnosis examination commission creates and announces the exam date according to the grade level. Determines the students to be included in the group assessment and the evaluation criteria according to the observation forms. Group screening test is done on the specified date. It forms the visual arts talent / skill evaluation commission and the musical talent / skill evaluation commission. Visual arts talent / skill evaluation commission and musical talent / skill evaluation commission make individual evaluations of the applicants in terms of the determined criteria (Karaduman and Ceviz, 2017).

**1.4. Science and Art Centers (BİLSEM) and Science Education**

Due to the nature of science, information is structured by questioning the accuracy of information. The vision of the Science Curriculum; It has been defined as “raising all students as science literate individuals”. Science literate; It can be carried out with individuals who investigate and question individuals, can make effective decisions, solve problems, be self-confident, open to cooperation, communicate effectively, and learn throughout life. The learning process in the Science Curriculum updated in 2018; It covers exploration, questioning, argumentation and product design. In the learning-teaching process, the teacher; to be encouraging, directing, the student; They are expected to be individuals who can research the source of knowledge, question, explain, discuss and turn it into a product (MEB, 2018).

The use of laboratories in the science lesson has a special importance as it transforms abstract information into concrete, enables learning by doing and increases the permanence of the information. Since Physics / Chemistry / Biology activities in Science and Art centers constitute the sub-sections of the Science course, activities to be held in the center will also affect the Science courses of gifted students.

In the education of gifted individuals, the effects of Science and Technology as well as educational technologies should be utilized.

Science lesson is of great importance today, when the reflections of the effects of science and technology are seen in every field (Kahyaoğlu, 2009: 28-29). It can be said that Science and Technology courses play an important role, depending on the necessity of every citizen to be educated as Science and Technology literate in order to create a strong future for countries. In the vision of the Science course in primary education, it is stated that students must be science literate in order to create a self-confident society that attaches importance to nature and can think healthily. Science and technology literacy; It is defined as a combination of skills, attitudes, values, understanding and knowledge about science that require individuals to develop creative thinking, critical thinking, problem solving and decision-making skills, and be open to life-long learning and be sensitive to their environment (MEB, 2005: 5).

In our country, it is seen that the total number of postgraduate theses about gifted students in Ankara and Istanbul is higher than the total of other provinces in Anatolia (Özenç and Özenç, 2013). The article titled "An Overview of Postgraduate Theses Concerning the Education of Gifted Students in Turkey" published in 2017, an overview of 113 (74 master's and 39 doctoral dissertations) graduate theses conducted with gifted students between 2010 and 2016 provides. In the study, it is seen that there are few studies on BİLSEMs and in the field of science, and especially in the field of chemistry education (Kadıoğlu Ateş and Mazı, 2017).

Geçkil (2012) researched what kind of activities the Science Group teachers included in their lessons in Science and Art Centers and was shown with a table. When the table is examined, it is seen that the most preferred method is student experiments and the least preferred is drama and role playing. While 28.8% of the participating teachers say "I always" use the "student experiments" method, 62.5% of them say use it "often" (Table 1). Experimental work of the students; It enables students to develop their decision-making ability, to love science and to develop their scientific literacy skills (Çepni, 2007).

Geçkil (2012) included the opinions of teachers about students' laboratory use and experimental studies in her study. The majority of teachers; They stated that motivation increases students' self-confidence and ensures permanent and effective learning.

Table 1: Frequency and Percentage Values of the Scale of Frequency of Use of Activity Types in Courses.

| Number | Matter | No | | Hardly ever | | Sometimes | | Often | | Always | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | f | % | f | % | f | % | f | % | f | % |
| 1 | Video shows | 3 | 3,8 | 5 | 6,3 | 46 | 57,5 | 22 | 27,5 | 4 | 5,0 |
| 2 | Slide shows | 1 | 1,3 | 10 | 12,5 | 42 | 52,5 | 22 | 27,5 | 5 | 6,3 |
| 3 | Preparing a poster | 7 | 8,8 | 13 | 16,3 | 39 | 48,8 | 15 | 18,8 | 6 | 7,5 |
| 4 | Teacher demonstration experiments | 0 | 0 | 13 | 16,3 | 39 | 48,8 | 23 | 28,8 | 5 | 6,3 |
| 5 | Puzzle-type word activities | 7 | 8,8 | 17 | 21,3 | 33 | 41,3 | 21 | 26,3 | 2 | 2,5 |
| 6 | Research projects | 0 | 0 | 2 | 2,5 | 25 | 31,3 | 35 | 43,8 | 18 | 22,5 |
| 7 | Graphics and diagrams | 7 | 8,8 | 10 | 12,5 | 35 | 43,8 | 19 | 23,8 | 9 | 11,3 |
| 8 | Drama and role play | 10 | 12,5 | 18 | 22,5 | 31 | 38,5 | 21 | 26,3 | 0 | 0 |
| 9 | Student experiments | 2 | 2,5 | 1 | 1,3 | 4 | 5,0 | 50 | 62,5 | 23 | 28,8 |
| 10 | Preparing concept maps | 6 | 7,5 | 10 | 12,5 | 33 | 41,3 | 19 | 23,8 | 12 | 15,0 |
| 11 | Scientific discussions on the topic | 0 | 0 | 3 | 3,8 | 24 | 30,0 | 34 | 42,5 | 19 | 23,8 |
| 12 | Scientific games | 5 | 6,3 | 15 | 18,8 | 28 | 35,0 | 26 | 32,5 | 6 | 7,5 |
| 13 | Application trips | 7 | 8,8 | 14 | 17,5 | 43 | 53,8 | 8 | 10,0 | 8 | 10,0 |

Kaymakçı (2018) examined the motivations of BİLSEM students towards learning science. While motivation and desire in his study were high in 5th grade, it decreased towards 8th grade. The students' inclination to science is at a medium level and their participation in the project did not change this situation.

It was found by Bilen (2011) that students who have assimilated and discriminated learning style have higher attitudes towards science. It has been determined that female students whose parents' education level is high school-university have higher attitudes towards science classes.

It has been suggested by Koç (2016) that BİLSEM's work is admired and appreciated, physical conditions should be improved for a better educational environment, and social activities should be increased.

According to Su, Sağlam and Mutlu (2017), the majority of students are BİLSEM; They defined it as a happy, fun, informative learning environment. The school is; They defined it as a boring training environment.

## 2. RESULT

The students stated that they are generally satisfied with the education in BİLSEM, they meet their expectations and do not think of a different education program. They emphasized that the most favorite aspect of the science education they received was experiment-based education. They expressed their expectations about the training in question as eliminating the lack of tools and equipment in the laboratories and creating the conditions for individual experiments.

If gifted and talented students are diagnosed at an early age and a suitable education and training environment is provided, if they can be intervened early in the negativities they experience, their talents will be able to develop in a healthy way. Therefore, it is very important to determine the attitudes of the students attending the Science and Art Center towards the Science course and to determine their expectations. At this point, it is stated that studies that are thought to achieve results that will contribute to the field are important.

Some of the studies have revealed that some teachers find themselves competent in providing science education to gifted students and some find themselves inadequate. It has been observed that teachers do not make a special practice for gifted students (Et, 2013). Studies have shown that teachers cannot find the time and material to be offered to gifted students. It has been determined that gifted students have no negative effects on the classroom. It has been determined that students who do not receive support education from BİLSEM are generally satisfied with studying in the same class as gifted students. However, it has been observed that gifted students asking too many questions and taking a lot of words may affect some of the other students negatively. It has been understood that gifted students should be educated together with other gifted students. It has emerged that gifted students need more supportive education outside of school to meet their individual educational needs.

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# An Overview of Environmental Education in Preschool Children

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**Abstract:** Our world is deteriorating day by day due to human effects, and young generations are needed to find solutions to the problems experienced and to be experienced. It is necessary to raise individuals who are sensitive to the environment in order to ensure that future generations live in healthy and reliable conditions. Children are the future of our world. One of the most important tasks for society is to equip children with the attitudes, values, knowledge and skills necessary to ensure a healthy, fair and sustainable future for all. Studies indicate that environmental knowledge and attitude towards the environment have begun to take shape in the preschool period, and the environmental awareness gained in the preschool period has an important place in developing a positive attitude towards the environment in the future. Pre-school teachers have important duties in order to gain positive behaviors related to the environment in pre-school period. Considering that environmental awareness of children is important at early ages and that children's perceptions are limited to what they see and experience in their environment, we can express that it should be enriched both at home and at school during education. For all these, adults around the child should have knowledge about the personality and educational approaches of children in early childhood. Today, environmental education gains importance, prepares an environment for children to learn about nature at school and their immediate surroundings, and supports the development of children's ecological literacy. In this study, researches on environmental education of preschool children were examined and evaluated.

**Key Words:** Preschool Children, Environmental Education, the Importance of the Environment

## 1. INTRODUCTION

One of the most important issues today is environmental problems. Changes in living conditions, technological advances, population growth, industrialization, urbanization and so on. increases environmental problems. For this reason, providing people with environmental awareness is very important at national and international level. The increase in environmental problems and the consequences they cause reveal the importance of environmental education. In this context, examining existing educational practices and programs will enable environmental education studies to be shaped realistically and according to needs. The importance of environmental education in the preschool period is that children grow away from the natural environment in the phenomenon of urbanization, environmental problems increase day by day, and gaining skills such as observation and classification through studies on environmental issues (Buhan, 2006). Researchers state that environmental knowledge and attitude towards the environment have begun to take shape in preschool children, and environmental awareness gained in preschool period has an important place in developing a positive attitude towards the environment in the following years (Smith, 2001; Taşkın and Şahin, 2008).

Being sensitive to the environment and the need to explore nature unconditionally is a feature found in all children. Nature offers a variety of materials to children in many settings. In this respect, nature is a school that ensures the development of children. The preschool period is considered as an important step that will form the basis for the child to acquire positive attitudes towards the environment and transfer these attitudes to the next years of her life (Alisinanoğlu and Kesicioğlu, 2009). Children's attitudes and habits towards the environment are shaped in these early years (Poyraz and Dere, 2003; Aral, Kandır and Yaşar, 2001; Kınık, Okyay and Aydoğan, 2016). It is seen that these attitudes and behaviors acquired in the first years of life are permanent in later ages and affect other stages of life. In this direction, it is emphasized by many researchers (Palmer, 1995; Horwitz, 1996; Smith, 2001; Domka, 2004; Taşkın and Şahin, 2008) that attitudes and behaviors towards the environment and nature were also shaped during these critical years. The environment is thought to be a natural class that supports the cognitive, physical and social development of the child with various stimulants (Dinçer, 2005). Considering the influence of the family on the child in the preschool period and the acceptance of the family as the child's first teachers, it is important to support the child's interest in the environment at home and to give responsibilities (Flannagan and Hardee, 1994; Kınık, Okyay and Aydoğan, 2016).

Studies have shown the existence of various studies to determine the perceptions and attitudes of preschool children towards environmental and environmental problems (Cohen and Horm-Wingerd, 1993; Malkus and Musser, 1997; Musser and Malkus, 1994; Palmer, 1994). It is thought that the inclusion of environmental and environmental issues more in the preschool education program may enable teachers to give more space to the subject.

Despite the fact that environmental issue is given more place abroad, another development that makes environmental education gain importance in the pre-school education program is the changes in living conditions. For example, the majority of our country's population lives in cities and this rate has increased over the years. Children living in urban areas do not have as many opportunities to interact with nature as children living in rural areas. They spend most of their time working in schools, traveling in cars or at home with modern gaming tools such as televisions and computer games. They learn about nature-related concepts from press media such as plastic toys, cartoons, documentaries, encyclopedias and newspapers and by spending time in playgrounds in limited areas. This situation is considered as an important risk factor in the development of environmental values and attitudes in children living today. Preschool education has an important role in the development of environmental attitudes and behaviors in children. Whether this happens depends on many factors. One of them is the applied training program. This program should have a flexible content that does not target subject teaching and takes into account the developmental characteristics of students. Focusing on the principles on which the curriculum is based and making its applications accordingly are essential for the realization of educational objectives (Oluk, 2008).

An important point in the pre-school education program is the purpose, achievements, concepts, activities carried out in line with certain days and weeks. Although the selection of activities is shaped by children's interests, desires, age, needs, environmental conditions and cultural factors, teachers are not limited to any element such as unit or subject. Likewise, teachers have the opportunity to diversify the purpose, acquisition and concepts with the needs arising in the education process. Increasing the environmental awareness of teacher candidates and teachers will not only enable the effective use of environmental education elements in the program, but also support its enrichment with new goals, achievements and concepts.

Early childhood is the fastest years of development and learning. In these years, children can actively interact with the environment and gain many skills in the field of cognitive, emotional and social development. In addition, these new skills acquired form the basis of the development processes in the following years (Abbak, 2008). Therefore, parents who want to give their children a good education want to benefit from pre-school education institutions (Poyraz and Dere, 2003). By starting kindergarten, the child takes the first step into education life. However, the educational and developmental responsibilities of parents whose children start school do not end. On the contrary, they start to work with teachers in this process. Thus, parents and teachers cooperate, contributing to the educational, social, emotional and academic development of children.

Environmental education that can be given to preschool children is becoming compulsory day by day. Migration from villages and towns to cities has increased significantly in the last 60 years. Therefore, it causes the increase in construction in big cities and the gradual destruction of fertile agricultural lands, destruction of forests, decrease in agricultural production, pollution of natural resources and the environment (Ceritli, 1995; Güngördü, 2002).

In environmental education to give behavior to children; There are many factors such as teaching environmental education well, taking the inevitable steps to protect the environment and solving environmental problems, teaching and sharing environmental education according to age, and the quality of teachers (Bayar, 2013; Bayar, 2014).

Teachers can be effective in developing children by supporting their attitudes and awareness towards the environment. Only teachers who are sensitive to the environment and have a positive attitude can be effective in providing children with positive behaviors related to the environment (Malone and Tranter, 2003; Phenice and Griffore, 2003). Environmental education should start at the home and close environment of the preschool child and then it should be developed with the education given in educational institutions (Çabuk, 2001: 40). In this context, the responsibilities of teachers become very

important. It is thought that by providing pre-school students with a good environmental awareness, damages and destruction in the environment can be prevented and prevented (Kunt and Geçgel, 2013).

It is seen that the legal measures taken by the governments and the information obtained in family and social environments are unfortunately insufficient in solving the environmental problems that arise in global dimensions today. For this reason, it is inevitable for our children, who are our future, to be educated about environment and environmental problems. The people who can give this training are primarily our teachers. The ecological knowledge, attitudes and behaviors of our teachers and their environmental awareness are of great importance for an effective environmental education. Having a good environmental education in pre-school period is a very important step in raising sensitive and conscious generations. Preschool teachers are the people who will give this education.

If deprivation against nature occurs in children, it will cause deficiencies in the experiences children can have outside, in open spaces. This situation will bring together health problems, inability to develop environmental literacy skills, and unwillingness to be in nature. Environmental psychologists describe the negative physical, social and psychological effects of children's nature deprivation as nature deficit disorder (Larson, Green and Castleberry, 2011). Nature deprivation syndrome essentially reveals the negative effects of "life away from nature". According to Louv (2005) who first used this term, lack of routine communication with nature; It may result in developmental failure in growth and academic failure. One of the unwanted side effects of the electronic age is nature deprivation syndrome. Çabuk et al. (2019) emphasizes that this is not a medical disorder, but describes an increasingly widening gap between humans and nature.

In the education systems of only a few countries in the world, it is mentioned that every child must spend one or a few hours outside / outdoors in a day. In these countries, this is recognized as the "right of children to be outside". In the United Nations Convention on the Rights of the Child, the necessity of children to play freely outdoors and to explore the local nature through play is clearly stated (Björklid, 2004). Unfortunately, in many other countries, children cannot sufficiently enjoy these rights. For example; In recent years, an increasing number of applications emphasizing the importance of learning outside the classroom have been implemented. However, in education systems in Turkey and many other countries, it is not necessary for children to be outside / outdoors for a certain period of time during the day.

As stated by Sax (2007, 29), “for the healthy development of children, they need a rich, interactive and sensual piece of nature that they can touch, smell, see and hear in the real world”. However, in some cases, deprivation of nature, which appears as a necessity of living conditions, can cause sensory development disorders in children. In order to prevent such disorders from occurring, it is necessary to support children to be in nature at certain times, at least at certain times.

The most important feature that distinguishes environmental education from other education disciplines and enables it to work together with other disciplines is that the place where learning takes place is matchless and unique. In environmental education, it should be ensured that learning takes place mostly in nature. This situation is explained by the fact that, as in education in general, comprehensive and meaningful learning can only be possible in places where subject-specific situations occur. Because environmental education is the "teaching of the world" (Brody, 2005). Learning in nature; It is gained through direct experiences that include the principles of thinking, feeling and acting, where an effective development is achieved, mental and social learning takes place. In addition to learning in nature, interesting and appropriate experiences can be provided to learners in museums, science centers and botanical gardens (Dillon, 2003).

Hart (2002), in his research, involves much more than children's public playgrounds; It reveals that they want to explore and experience more diverse and natural environments, and they prefer nature as the environments chosen for their training. Hart, emphasizes that children who express their views in different ways are indicators that they prefer natural environments, have a say in environmental issues and want to participate in environmental movements. Hart, states that children's participation can be evaluated in issues such as environmental protection, as well as having a say in the natural playgrounds they want to play, and their participation in the environment. In an example given by the children to support the cleaning of the environment, he states that the active participation of children voluntarily

has been successfully provided for years in the sweeping and garbage collection studies developed with the "Green Thumb" program of the New York Parks Department to ensure the cleaning of public parks. The important thing here is that the children start and continue this cleaning work themselves. Hart, emphasizes that active participation of children in environmental issues can be easily achieved after the necessary infrastructure is established.

Nature offers many different natural materials to children. Meanwhile, it becomes a feature that supports the development of their children. Children can find the opportunity to learn many things, just by being in nature, using all their senses and examining nature (Dinçer, 1999). The main task of teachers is to provide opportunities to integrate children with nature.

“Why are children happier in nature? Because trees are their friends. How Does? Because the trees are alive, because the swing can be set up, because the ladybugs give us good luck ... There are many other reasons. For example, because there is a place to play, it is possible to breathe deeply, you can play snowballs and make a snowman, and the most important reason is because the toys in the house are lifeless but most of the things in nature are alive… ”(Çabuk et al., 2019).

## 2. RESULT

Due to developmental, social and environmental reasons, it is important to spread environmental education practices that will be given to children at an early age. The age of starting environmental education in Korea, America and England is three (Chu et al., 2007; Maynards and Waters, 2007). In Turkey, we see that environmental education studies for preschool children have been increasing in recent years (Buhan, 2006; Gülay, 2011). On the other hand, an important part of environmental education studies are carried out for primary and secondary school students and adults (Uzun et al., 2008; Yüksel, 2009; Gülay, 2011). It has been observed that the purpose, gain, certain days and weeks related to the environment within the Education Program are not at a sufficient level (Gülay and Ekici, 2010; Gülay, 2011). Considering the general situation, it is necessary to regularly implement programs that introduce the environment to children in pre-school education institutions in Turkey, to love, protect and beautify the environment. Thanks to the environmental education programs implemented regularly and systematically, environmental education will be widespread in parallel with the schooling rates in pre-school education. In addition to these, teachers and families should seize every opportunity for children to be in touch with nature and to get to know nature. They should set a positive example for children with their own actions. They should prioritize experience and observational learning. Children who are intertwined with the environment in the first years of their lives, who know and love the environment, will form conscious generations in the future.

Children who do not interact with nature regularly and grow up living away from the natural environment are at risk in terms of developing environmental literacy skills. In this respect, children's interaction with animals, plants, and soil will enable them to both recognize the environment and gain sensitivity in terms of protecting the environment. Environmental education practices will cause children to interact regularly and frequently with the environment.

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# Savunma Sanayisinde Arge Yaklaşımları: Yivli/Yivsiz Tüfek/Tabanca Üreten Firmalar Örneği*

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**Özet:** Ülkelerin bağımsız olmasının temel kriterlerinden bir tanesi de kendi ulusal savunma sanayilerinin varlığıdır. Stratejik öneme sahip olan savunma sanayisinde dışa bağımlılığı minimum seviyede olması gereklidir. Savunma sanayi ülkelerin ulusal güvenliği yanında teknoloji geliştirme ve yüksek teknolojileri ürünlerin ihracatı açısından da önemli bir sektör olarak görülmektedir. Türk savunma sanayi az zamanda oldukça büyük bir ilerlemeler kaydetmiştir. Bugün, özgün ürünleri başarıyla geliştirme aşamasında olan savunma sanayimiz bu gelişmelerin gölgesinde birçok sorunu da bünyesinde barındırmaktadır. Öncü, özgün ve yenilikçi olmak, günümüzde küresel rekabette var olabilmek için Ar-Ge'nin varlığı kilit öneme sahiptir. Tehditlerin her yönden beklendiği ve savunma ihtiyaçlarının buna paralel olarak sürekli değişkenlik gösterdiği için bulunduğumuz coğrafyada savunma sanayi Ar-Ge gerek ticari gerek ulusal menfaatler üzerindeki yüksek etkisi olması açısından çok önem arz etmektedir. Bu çalışmada özel sektörden önemli farklılıklar gösteren savunma sanayisinde Ar-Ge kavramı incelenecektir. Türk savunma sanayi cari açık sorunumuz sebebiyle yerli ve teknoloji geliştirme stratejisi sebebi ile ise milli olması beklenmektedir. Aynı zamanda ulusal ve uluslararası etkinliklerden faydalanıp bu kuruluşların çalışmalarını göz önünde bulundurarak, teknoloji öngörüleri takip edilmektedir. Bu çalışmada temel ve ileri teknolojilerin milli imkânlarla sağlanması amacıyla ürün odaklı Ar-Ge ve bilimsel tasarım, özgün ve milli tasarım, teknoloji ve tasarım odaklı insan kaynağının geliştirilmesi amaçlanmaktadır. Yerli savunma sanayisinde Ar-Ge ile ilgili olarak çok fazla araştırma olmadığından bu çalışma Ar-Ge adına fayda sağlaması beklenmektedir. Çalışmada verileri birebir görüşme, anket ve mülakat yöntemi ile yivli/yivsiz tabanca tüfek üreten yerli firmalardan elde edilecektir. Firmaların bu bilgileri stratejik olarak gördüklerinden dolayı firma isimleri ise çalışmada yer almayacaktır.

**Anahtar Kelimeler:** savunma sanayi, Ar-Ge, özgün

## 1.GİRİŞ

Son yıllarda Ar-Ge faaliyetlerine verilen önem artış göstermektedir. Uluslararası kuruluşlar, devletler, bölgesel otoriteler, şirketler gibi faklı kesimler Ar-Ge faaliyetlerinde kendilerini geliştirme yoluna koyulmuşlardır. Devletler politikalar üretip uygulamaya koymak ve sivil kuruluşları teşvik ederek vatandaşlarına daha iyi şartlarda bağımsız bir gelecek miras bırakmayı hedef edinmişlerdir. Firmalar ise karlarını ve rekabetçiliklerini arttırarak geleceğin ekonomisinde kendi adlarından söz etmek istemeyi amaçlamışlardır. Türkiye iktisadi büyüme motivasyonu yüksek olan bir ülkedir. Dolayısıyla Türkiye'deki Ar-Ge çalışmaları uluslararası rekabetçiliğe katkı sağlaması için performansının yüksek olması gerekmektedir. Ancak sektörden bağımsız olarak ilkelere sahip yöntem bulunmadığından uzun vadede başarılı olmak güçleşmektedir. Ar-Ge projeleri belirsizlik ve risk altında olan projelerdir. Bu yüzden ürün ve süreç gerçekleşse bile uygulama aşamasında sıkıntılar yaşanabilmektedir. Ar-Ge projelerinin dışında bir de Ar-Ge birimlerinin de etkin yönetilmesi gerekmektedir. Gerekli yönetim yapılmazsa üretim ve kaynaklardan yeterli verim sağlanmazsa sorunlar yaşanabilmektedir. Türkiye'de kısıtlı kaynak sorunu bulunmaktadır. Bu konuda akademisyenler, araştırmacılar ve tecrübelerini paylaşacak deneyim

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sahiplerine büyük bir görev düşmektedir. Kaynaklardaki artış sadece nicelik değil nitelik konusunda da olmalıdır (Özdinç, 2019: 9).

Ar-Ge bir ülkenin ekonomik büyümesini gerekli kılabilecek, alternatifi olmayan en önemli araçların başında gelmektedir. Ar-Ge'yi doğru anlayıp yönetmek ve sonuçlarını ekonomiye aktarmak ülkenin gelişimine atılan önemli bir adımdır. Türkiye'nin uluslararası arenada geri planda kaldığı göze çarpmaktadır. Teknoloji yeteneğinin bir ölçüsü olarak Ar-Ge küreselleşen dünyanın ekonomik koordinatlarını oluşturmaktadır. Bir ülkenin ekonomik problemlerinin çözümünde para ve maliye politikaları yeterli olmadığından daha sürdürülebilir araçlara ihtiyaç duyulmaktadır (Işık, 2019: 3).

Artan rekabet koşulları altında küreselleşen dünyada istikrarlı bir ekonomik büyüme sağlayabilmek ve refah artışı kazanabilme adına ülke ekonomilerinde verimlilik düzeyleri ve üretim yapıları da istikrarlı olmalıdır. Gelişmiş ülkeler ve hızla büyüyen gelişmekte olan Ar-Ge yatırımlarına özen göstermektedirler. Ar-Ge harcamaları için girdiler, üretimde verimliliği arttırma ve maliyetin düşmesine olanak sağlamıştır (Dam, 2017: 1).

Tarih boyunca toplumlar her zaman varlıklarını ve vatandaşlarını koruma gereği duymuşlardır. Savunma ihtiyacı insanın yaşadığı her dönemde gerekli görülmüştür. Savunma, ülkeye yönelik yapılacak saldırının vazgeçirilebilmesi ve saldırının meydana gelmesi durumunda karşı koyabilme gücünün olmasıdır. Bir ülkenin savunmasını iyi olması savunma sanayisinin gelişmiş olması demektir. Bir ülkenin savunma sanayisi gelişmiş ülkelerde ekonomisi ve istihdamı artarken, gelişmekte olan ülkelerde savunma sanayi araçlarının dışarıdan aldıkları için ekonomik yük oluşturmaktadır. Ulusal güvenlik nedeniyle yüke katlanmak zorunda kalınmaktadır. Bu durum yaşanmaması için ülkelerin kendi milli sermayesini kullanabilmesi gerekmektedir (Bayraktar,2020:1).

Savunma sanayi, askeri ve endüstriyel faaliyetler için gerekli ihtiyaçların giderilmesi amacıyla firmalarca ticari faaliyetlerin aynı zamanda savunma sanayisinin sitemine katkı sağlayacak Ar-Ge faaliyetleri, silah, silah alt sistemlerinin ve parçalarının üretildiği endüstrisi olduğu bilinmektedir (Zengin, 2010: 11).

Ekonomik açıdan bakıldığında savunma sanayi ekonomiyi canlandıran, hızlandıran etki yaratmakta olup diğer sanayi kolları arasında önemli bir düzeye sahiptir. Savunma sanayi; sanayileşmeyi, Ar-Ge yaparak teknolojik gelişmeyi arttırmayı, savunma araçlarının üretimini, emek-yoğun tercih edilmesini, nitelikli iş gücünün sağlanmasını ve bu nitelikli iş gücünün kaybının önlenmesini, yerli üretim yaparak savunmaya ayrılan harcamaları azaltmayı, enflasyonun düşmesine katkı sağlamayı en önemlisi de toplumsal refah artışını sağlamayı hedeflemektedir (Zengin, 2010: 13).

## 2. AR-GE'NİN GENEL DURUMU

### 2.1. Ar-Ge'nin Tanımı

Araştırma, herhangi bir konu hakkında bilgi edinmek, sorun teşkil eden durumları ortadan kaldırarak planlı ve sistemli yapılan çalışmalar bütünüdür (Ünal ve Seçilmiş, 2013: 13). Araştırma kavramı, en genel tanımıyla yeni bir teknoloji, ürün veya bilgiyi elde etmek amacıyla sorun teşkil etmeyen durumlarda da bu konuları tespit edip uygulamaya koyma anlamı taşımaktadır. Araştırma, üretim ve üretim tekniği ile alakalı olduğu söylenmektedir, fakat her türlü ekonomik faaliyete hitap eden araştırma ve geliştirme çabalarını kapsamaktadır (Sabuncuoğlu, 2001: 336).

Geliştirme kavramı ise, var olan teknoloji ya da mevcut bilgiyi yeni ürün veya üretim teknikleriyle alakalı olanlara yönelme ve mevcut olan teknoloji ile bilgiyi kullanma biçimidir. Geliştirme, teknoloji ve bilgileri daha kaliteli sonuçlara ulaşmayı ve metotları değerlendirmeyi hedeflemektedir (Sönmez, 2006: 25).

### 2.2. Ar-Ge'nin Önemi

Araştırma ve geliştirme, sistemli bir temel oluşturmak için toplum ve insan bilgisinden yola çıkarak, bilgi birikimini arttırarak ve bu birikime katma değer ekleyerek yeni çalışmalara imza atmaktadır (Aydın ve Soylu, 2018: 3).

Geniş anlamda araştırma ve geliştirme, bilimsel ve teknik anlamda içeriğini geliştirmek amacıyla doğru stratejiyle yaratıcı bir çaba ve bilgi sağlayarak yeni yürütmelerin kullanımı olarak tanımı yapılabilir. Dar anlamda araştırma ve geliştirme, üretim aşamasının ve yeni mamullerin oluşmasına yönelik düzenli ve doğru çalışma alanıdır. Teknik anlamda araştırma ve geliştirme kavramı, yeni bir bilgiye ulaşmak veya var olan bilgileri meydana getirmek amacıyla bilginin disiplinli bir şekilde tespit edilmesi, incelenmesi, irdelenmesi ve yorumu gerekli kılan çalışmalardır. Bu çaba, sorunun karmaşık olma durumuna, mekâna, zamana ve aynı zamanda bütçeye göre farklılıklar gösterebilmektedir (Sabuncuoğlu, 2001: 336).

Bir gruba ya da kitleye değer vermek ve hizmet etmek amacıyla işletme, kamu kurumu veya sivil kuruluşların kilit noktası değişim olduğundan Ar-Ge aktif rol oynamaktadır. Dolayısıyla rekabetçilik ön plana çıkmaktadır. İşletmeler, kamu kuruluşları veya ilgili kuruluşlar varlığını sürdürebilmek için kendilerini yenilemek durumundadırlar. Rekabetçilik yenilik için olmazsa olmazdır. Aksi takdirde firmaların hayatta kalması çok zor olacaktır. En güncel örneği 20. Yüzyılda çok büyük olan firmaların 21. Yüzyılda pek azının çalışmaya devam ediyor olmasıdır. Böylece değişime ayak uyduramayan firmalar yıkıcı bir etkiyle yok olmuşlardır (Narayanan ve O'Connor, 2010: 3-4).

**2.3. Ar-Ge Çalışmalarının Amacı**

Rekabetçi piyasalarda varlıklarını sürdürebilmek, yeni ürün geliştirme ve ürünleri iyileştirmek amacı ile farklılaşan müşterilerin ihtiyaçlarına uygun süreci iyi takip edip istenileni yapabilmek, müşterileri tanıyıp değişiklik sergileyip ihtiyaca uygun yeni metotlarla müşterinin ilgisini çekebilmek, maliyetleri azaltmak, kaliteyi iyileştirmek, rakibin gelişmeyi başardığı bir alanda ün kazanmak, ürün portföyünü tamamlamak, yenilikçi firma imajını edinerek marka değerini arttırmak, kamu nezdinde saygınlık kazanmak, çalışanların motivasyonunu sürekli diri tutmaktır (Özdinç, 2019: 26).

**2.4. Ar-Ge Harcamaları**

Ar-Ge harcamaları, bilim ve teknolojide rekabet yarışını kaçırmamak amacıyla özel ve kamu sektörünün faaliyetlerini ve harcanan çabalarını gösteren verilerdir. Ar-Ge'ye yönelik yapılan harcamalar toplamının GSYH içindeki payı uluslararası karşılaştırmalar için gereklidir. Ar-Ge harcamaları; yerli ve yabancı şirketler, devlet üniversiteleri ve özel üniversiteler, laboratuvarlar, araştırma enstitüleri gibi kurumlarda yapılan toplam Ar-Ge harcamalarında meydana gelmektedir (Işık ve Kılıç, 2011: 118)

Firmalar Ar-Ge harcamalarını yapmadan önce fayda ve maliyet karşılaştırması yapmaktadırlar. Böylece gelecekteki karlılığın artacağını düşünmektedirler. Ar-Ge harcamalarına ayrılacak paydan ziyade yapılacak araştırmanın verimliliği ve sonuçların uygulanabilir olması daha çok önem arz etmektedir. Araştırma verimli ise firmalar Ar-Ge harcamalarını arttırmak isteyeceklerdir. Çünkü yapılan her harcama yeni fikirlere ve yeni ürünlere dönüşmektedir. Burada önemli olan yeni ürünlerin korunma derecesi ve taklidinin kolay olmamasıdır. Temel araştırma, uygulamalı araştırma ve geliştirme aşamaları birbirine bağımlı bir zincirdir denilebilir. Temel araştırma aşaması bitmiş olmalıdır ki uygulamalı araştırma yapılabilsin. Dolayısıyla araştırmanın gerçekleşebilmesi için bu aşamada eğitim sisteminin katkısı büyük olmalıdır çünkü yetenekli öğrencilere ihtiyaç duyulmaktadır. Araştırma sonuçlarının uygulanabilirliği, firmaların Ar-Ge sonuçlarından elde ettiği fayda miktarına bakmak gerekmektedir. Firmalar yeni geliştirme ürünlerinden kar sağlamıyorsa Ar-Ge harcaması yapmayı bırakırlar ( Yıldırım ve Karaman ve Taşdemir, 2014: 524-525).

Küresel rekabette Ar-Ge yatırımlarına önem veren firmalar ve ülkeler önemli üstünlük sağlamaktadırlar. Dolayısıyla Ar-Ge harcamaları hizmete, üretime, dış ticarete, eğitime ve milli gelir gibi birçok alanın yapıtaşını oluşturmaktadır. Ar-Ge harcamalarının GSYH içerisindeki payı yüksek olan ülkenin gelişmişlik düzeyi arasında doğrusal bir ilişki bulunmaktadır (Dam, 2017: 37)

**2.5. Ar-Ge Harcamalarının Amaçları**

Ar-Ge harcamalarının en büyük hedefi, globalleşen dünyaya ayak uydurabilmek için faaliyette bulunan özel sektör ve kamu sektörünün bu değişimi kaçırmamak, kamu sektörü ve özel sektörün gelişmesini ve

büyümesini sağlamak ve sektörlerin devamlılığını yakalamaya çalışmaktır. Temel amaçtan kopmamak üzere Ar-Ge harcamalarının bir diğer önem arz eden amaçları da şu şekildedir: (Zerenler vd., 2007: 657).

Ortak bir eylemi gerçekleştirmeyi hedef edinen Ar-Ge'nin asıl amacı, yeni ürünler geliştirmek ve bu üretimin maliyetlerinin minimum düzeyde olmasını sağlamak aynı zamanda kaliteyi arttırarak rekabet gücünü kaybetmeden ekonomik yarar elde etmek olacaktır. Ülke kaynaklarını verimli kullanmak, bilgi üretimini arttırmak ulusal bazda teknolojiler oluşturma ve ekonomik kalkınma ve refahı sağlamaktır. Ar-Ge faaliyetlerinde bulunan firmalar verimliliklerini, pazar paylarını arttırıp rekabet sağlamak olacaktır (Eker, 2011: 24; Tezcan, 2013: 834).

**2.6. Türkiye'de Ar-Ge'nin Gelişimi**

Dünyada modern anlamda sistematik Ar-Ge çalışmalarının başlangıcını 19. yüzyıl sonu olarak alınabilmektedir. Türkiye' de çok ender örnekler dışında bunun tarihi 20. Yüzyıl ortalarında ancak başlamaktadır. Fakat bilimsel çalışmaların ve teknoloji geliştirmenin tarihi daha çok eskidir. Hatta denilebilir ki 16. Yüzyıla kadar Çin ve Hindistan gibi Osmanlı Devleti de sanayi bakımından Avrupa'dan daha öndedir (Emmioğlu, 2010: 131).

Osmanlı Devleti o dönemde özellikle tekstil, sanayi ve top dökümü gibi savunma sanayi alanında çağının diğer ülkelerine göre oldukça ileri düzeydedir. Örneğin Bursa dünya ipek dokumacılığında liderliğini birkaç asır sürdürmüş, ancak onunla Hindistan rekabet halinde olmuş daha sonra Sanayi Devrimi sonrası Lyon'a kaptırmıştır(Emmioğlu, 2010: 137).

Binlerce yıldır silah üretiminde ihtiyaç duyulduğu için teknolojik yarışın örneğini en iyi göreceğimiz yerlerden biri de metal döküm teknolojisidir. Süreçle ilgili Ar-Ge çalışmalarına ihtiyaç duyulan döküm teknolojisinde bugünkü anlamda olmasa da sürekli araştırma ve geliştirme çalışmaları devam etmiştir. Örneğin İstanbul'un fethinin bir top döküm yönteminin iyileştirilerek daha büyük toplar dökülmesi gibi bir Ar-Ge çalışması sonunda mümkün olabileceğini veya en azından çok daha kısa sürede gerçekleşeceğini tarihçiler söylemektedir (Aydüz,2006:477).

Osmanlı'da farklı coğrafyalarla temasları arttıran bir imparatorluk olarak bilime ve bilim adamlarına ilgi özellikle 15. Yüzyılın ortalarından itibaren fazlalaşmış ve 16. Yüzyılda zirveye ulaşmıştır.17. yüzyıldan itibaren ise çeşitli iç ve dış koşullar sebebiyle önceki iki yüzyıla göre özellikle tabiat bilimlerine teşvik edici ilkim azalmıştır (İhsanoğlu, 2010: 251).

Bu dönemde batıyla açılan farkın kapatılması için öncelikle askeri sahada başlayan bilim ve teknoloji ithal çabası 1800'lü yıllarda, özellikle de Tanzimat Fermanı'nın ilanıyla (1839) birlikte, devlet eliyle sivil alanda da bir sanayileşme hamlesine dönüşmüş, bu hamle Cumhuriyet Döneminde de artarak sürdürülmüştür. Özellikle Cumhuriyet'in ilk on yılında 1923 İktisat Kongresi ile birlikte radikal düzenlemelere gidilmiştir. Özel sektörün kısıtlı imkânlarından dolayı onun yerine kamunu sanayi yatırımları yapmasını amaçlayan devletçilik ilkesi ikinci dünya savaşı sonuna kadar uygulanmıştır (Dervişoğlu, 2010: 35).

**2.7. Türkiye' de Ar-Ge Merkezleri**

Türkiye'de Ar-Ge Merkezleri ve başvuru koşulları;

Türkiye'de Ar-Ge Merkezleri 5746 sayılı Ar-Ge Faaliyetleri Desteklenmesi Hakkında Kanun kapsamında, merkezi Türkiye'de bulunuyor ise firmanın en az 30 tam zamanlı Ar-Ge personeli çalıştırıyor olması gerekmektedir. Ar-Ge Merkezi belgesi alabilmek için, faaliyetlerini yurt içinde gösterilmeli, yeterli düzeyde Ar-Ge alt yapısı, personelin fiziki kontrol yapabilecek mekanizmasının bulunması, bütçe-çalışma kapasitesi-süresi-personel sayısı ve hangi türde projelerin yapılacağının planlandığı çizelgesinin olması, firma içerisinde ayrı bir organizasyon birimi olarak yer almalı ve aynı kampüs içerisinde bulunmalı, Ar-Ge Merkezleri teknoloji geliştirme bölgeleri dışında yer almalıdır (Dam, 2017: 40).

Tablo 1: Türkiye'de Ar-Ge Merkezleri İstatistikleri (31 Aralık 2020 )

| | |
|---|---|
| Faaliyette Olan Ar-Ge Merkezi Sayısı | 1.240 |
| Toplam Personel Sayısı (Destek personeli dahil | 66.469 |
| Lisans | 38.645 |
| Yükseklisans | 12.166 |
| Doktora ve Üstü | 1.103 |
| Proje Sayısı (Tamamlanan + Devam Eden) | 53.863 |
| Patent Sayısı | 24.454 |
| Tescil | 7.041 |
| Başvuru | 17.413 |
| Ar-Ge Merkezi Olan Yabancı/ Yabancı Ortaklı Firma Sayısı | 207 |

Kaynak : https://www.sanayi.gov.tr (Erişim Tarihi: 29. 01. 2021)

Tablo 1 ayrıntılı olarak incelendiğinde Aralık 2020 itibariyle Türkiye genelinde aktif Ar-Ge merkezi olan firma sayısı 1240 olup, bu merkezlerde toplamda 66.469 kişi istihdam edilmektedir. İstihdam edilen kişilerin yaklaşık %58'i lisans mezunu, %19'u yüksek lisans mezunu ve %2 'lik kısmını doktora ve üstü eğitim seviyesine sahiptir.

Ar-Ge merkezleri tarafından tamamlanan veya devam etmekte olan proje sayısı 34.239'dur. Proje sonrası tescil edilmiş patent sayısı 7.041 iken, başvurusu yapılmış patent sayısı 24.454'dür. Ar-Ge merkezi olan yabancı sermayeli firma sayısı 207'dir

**2.8. Dünya' da Ar-Ge**

Sanayi devriminin ilk yıllarında, yeni teknolojileri vizyon sahipleri yönetmişlerdir. Bu sebeple 19. Ve 20. Yüzyılın ilk başlarına kadar yeni türetilen teknolojiler, yapan kişinin yani mucidin adıyla anılmıştır. Bu tarihlerden sonra teknolojiler karmaşık bir hal almış bireysel olarak icat edilmeler azalma göstermiştir. Büyük şirketler bu karmaşıklığa son vermek adına, yeni teknolojileri Ar-Ge merkezinde üretmeye adım atmışlardır. Nitekim ülkelerde kamu araştırma merkezleri, özel sektöre ait araştırma birimleri ve üniversitelere mali destekte bulunmuş yeni teknolojileri daha kaliteli ve daha verimli olması için büyük adım atmışlardır (Chang, 2016:223).

Ülkelerin, globalleşen dünyaya ayak uydurabilmesi için teknolojik gelişimlerini arttırmaları şarttır. Bu da ancak araştırma ve geliştirme çalışmalarına önem vermekle ve istikrarlı olmakla sağlanabilmektedir. Son elli yıllık süreçte Ar-Ge yatırımlarına büyük önem vermişlerdir. Bu zincirin ise Ar-Ge verimliliğinin sağlanmasıyla birlikte ekonomik büyümenin de yapı taşını oluşturmaktadır. Aynı zamanda bu gelişmeler sonucunda Ar-Ge harcamaları fazla olan ülke diğer ülkelerle kıyaslandığında en gelişmiş ülke konumunda olmaları şans değildir. Dolayısıyla Ar-Ge harcamalarının GSYH içindeki oranı yüksek olan ülkeler bilim ve teknoloji de rekabeti fark yaratan ülkeler olmuşlardır. Bununla birlikte sürdürülebilir kalkınma ve daha iyi yaşam koşullarında yaşayabilmek Ar-Ge' nin önemini bir kez daha göstermektedir. Nitekim Ar-Ge çalışmalarına ciddi kaynak ayırmak geleceğe yapılan en önemli adım olacaktır (Karagöl ve Karahan, 2014: 9).

**3. SAVUNMA SANAYİ SEKTÖRÜ VE AR-GE**

Ülkeler jeopolitik konum ve stratejik sebepler itibariyle kendilerini koruma durumunda hissetmektedir. Bu anlamda ülkeler güvenlik amacıyla savunmaya ihtiyaç duymaktadır. Savunma harcamalarına ve savunma sanayiye yapılan yatırımlar yıllar itibariyle büyük bir önem kazanmıştır. Ülkelerin savunma alanında başarılı olabilmesi savunma sanayi sektörünün güçlü ve bağımsız bir şekilde oluşturulmasını gerekli kılmaktadır. Savunma sanayi ülkenin ekonomik, askeri, siyasi, bilimsel araştırma, işgücü yapıları ve diğer sanayi sektörleri ile ilişkilidir (Türk, 2007: 33).

Savunma sanayi tanımı genel olarak, genel sanayi alanına bağımlı bir şekilde ülkenin savunma alanında ihtiyaç duyulan silah, mühimmat, teçhizat ve araç-gereç üretimi, gelişimi ve bakımını yaparak diğer ekonomik faaliyetlerin de içerisinde bulunan kamu ve özel sektöre ait firmalardan oluşan sanayi koludur (Alnıak, 2001: 4; Şimşek, 1989: 5).

Savunma sanayi teknolojik gelişme, Ar-Ge, üretim, yetişmiş insan gücü ve ekonomik güç ile bağlantılı olarak ilerlemektedir. İleri teknoloji kullanımı ülkenin bilgi birikimi ve teknolojinin ilerlemesine katkı sağlamaktadır. Bu anlamda savunma sanayinin genel sanayi ile bütünleşik olması bu alanda ilerleyen teknolojik seviyenin diğer sektörlere de olumlu bir şekilde yansımasına olanak sağlamaktadır (Güneş, 2007: 106). Savunma sanayi alanına ayrılan bütçe ile teknoloji kullanımı, Ar-Ge faaliyetleri, üretim yöntemleri, ihtiyaç duyulan ürünler sektörün yapısını şekillendirmektedir. Özellikle yüksek teknoloji kullanımı nedeniyle devletin sağladığı destek ve teşvikler, üniversite ile şirketlerin yaptığı iş birlikleri ile yeni bilgi ve teknoloji üretimi savunma sanayi sektörünün yapısını büyük ölçüde etkilemektedir (Ziylan, 2004: 4).

Savunma sanayi sektörü özellikleri bakımından diğer sektörlere göre farklılıklar göstermektedir. Yüksek teknoloji dayalı hassas üretim yöntemleri ile yüksek kalite standartları içerir. İleri teknoloji kullanımı büyük ölçüde Ar-Ge faaliyetlerini de gerekli kılmaktadır. Bu anlamda Ar-Ge faaliyetlerine ayrılan bütçe oranı oldukça yüksektir. Dolayısıyla yüksek oranda yatırımlar yapılmaktadır. Savunma sanayi özellikleri itibariyle nitelikli iş gücüne ihtiyaç duymaktadır. Eğitim büyük bir öneme sahiptir. Savunma sanayi genel anlamda tek alıcı olan devletin ihtiyacına yönelik üretim yapmaktadır. Sürekliliğin sağlanması için dış pazarlara açılmak zorunluluk gerektirir. Ayrıca güvenlik ve gizlilik hususları temel prensiptir. Bu anlamda devlet müdahalesi zorunludur (Şimşek, 1989: 31; Hartley, 2012: 7).

Savunma sanayi, ticari antlaşmalar ve ilişkilerin dışında tutulan bu anlamda yurt içinde gelişim göstererek, yatırım ve harcamaların belirlenmesinde stratejik sebeplerin etkili olduğu bir sektördür (Uysal ve Kök, 2013: 3).

Savunma sanayi sektörü kendi içerisinde belli sınıflara ayrılmaktadır, Osman Gür'ün yaptığı sınıflandırma da;

• Uzay ve Havacılık sanayi,

• Gemi inşa sanayi,

• Zırhlı araçlar, Tanklar ve aksamı,

• Askeri elektromekanik ve elektronik sanayi,

• Motorlu araç sanayi,

• Elektro optik ve Optik sanayi,

• Ağır ve Hafif silah sanayi,

• Patlayıcı maddeler, Mühimmat ve Kimya sanayi,

• Füze ve Roket sistemleri

Savunma sanayi de Ar-Ge'nin payı ne kadar yüksek olursa teknolojik ve bilimsel gelişme de o kadar iyiye gidecektir. Bu bağlamda yeni istihdam alanları da ortaya çıkacaktır. Bu gelişmeler ışığında ülkenin rekabet gücü artarak ekonomik olarak gelişme sağlanacaktır (Öztürk, 2001; 46).

### 3.1. Savunma Sanayisinde Ar-Ge Projelerinin Önemi

Dünya'nın hemen hemen her yerinde stratejik ve taktik ihtiyaçlardan dolayı her an çatışmaların çıkabilmesi mümkündür. Ülkeler küresel tehditlere karşı savunma teknolojilerinin alt yapılarını en iyi düzeyde tutmak zorundadırlar (Ziylan, 1997: 59).

Modern dünyanın savunma sistemlerine ayak uydurabilmek ve ihtiyaçlarımızı giderebilmek için Ar-Ge projelerini geliştirmek gerekmektedir. Savunma sanayi Ar-Ge projeleri ülkelerin savunma ve güvenlikten sorumlu karar mekanizmaları, kurum ve kuruluşlar, devlet kontrolünde özel sektör, silahlı kuvvetler,

konsorsiyumlar, üniversite-savunma sanayi, organize sanayi bölgeleri, laboratuvar gibi birimler savunma sanayi projelerinin oluşum aşamalarını yürütmektedirler. Ar-Ge projelerinin özgün savunma sistemleri ulusal savunma gücü ile ekonomilerine büyük katkı sağlamaktadır. Başarılı olan Ar-Ge projelerinin ihracata olumlu etki sağlarken aynı zamanda GSMH artış göstermektedir. Savunma harcamaları ülke ekonomisine Ar-Ge, eğitim, üretim olarak geri dönüş sağlar. Yazılım ve donanım ülkede geliştirilirse sistem güvenliği oluşmaktadır. Savunma sanayi Ar-Ge projeleri nitelikli iş gücünü istihdam ettiğinden beyin göçünü ve işsizliği azaltacaktır. Bu bağlamda Ar-Ge projeleri savunma ve güvenlik dışında, ekonomik, teknolojik katkı aynı zamanda daha huzurlu yaşam sağlamaktadır. Dünya'da ve Türkiye'de savunma sanayi Ar-Ge projeleri her geçen gün artmasının sebebi aşikârdır (Ziylan, 1997: 59).

### 3.2. Savunma Sanayisinde Dünya'da Ar-Ge

Dünya kendi bilgisini üreten, üretirken de kendine ait olan bilgileri istedikleri ülkeye istedikleri zaman ve kendilerinin belirlediği bir fiyattan bilgi satan bir savunma sanayi ile muhatap olmak durumundadırlar. Ülkelerin Ar-Ge anlayışları farklıdır. Bazı ülkeler eğitim için Ar-Ge yaparken bazı ülkeler ise savunma sanayi alanında Ar-Ge yapmayı tercih etmiştir tabi bu durum ihtiyaç dâhilinde değişebilmektedir. Hükümetler Ar-Ge' ye kaynak ayırmak dışında vergi indirimi de uygulamayı politika edinmişlerdir. Örneğin; ABD Savunma Bakanlığı silah üreten Ar-Ge firmalarının masraflarının birçoğunu üstlenirken, Japonya yeni ürün üreten ve bu ürünlerin katma değerli olduğuna inandıkları firmalarından kazancından 3 yıla kadar vergi almadıkları görülmüştür. Bu bağlamda tüm dünyada rekabet uzun yıllar boyunca süregelmiştir ve bu durum böyle devam edecektir (Öner, 2006: 68).

### 3.3. Savunma Sanayisinde Türkiye'de Ar-Ge

Türkiye jeopolitik konumu itibariyle dünyanın en kritik bölgelerinden birinde yer almaktadır. Jeopolitik açıdan zor olan bir bölge olduğu için Türkiye Savunma Sanayi Ar-Ge harcamalarında milli önemli bilgileri alt yapılarına uygulamayı zorlaştırmaktadır. Savunma sanayi Ar-Ge'nin önemi Türkiye'de acı tecrübeler edinerek öğrenilmiştir. Türkiye'de GSMH' dan Ar-Ge'ye ayrılan ciddi bir kaynak olmalıdır ki Ar-Ge kültürü oluşturulabilsin. Ar-Ge lüks değil bir zorunluluktur savunma sanayiyi diğer sanayi kollarından ayıran durum ise hayati önem taşımasıdır (Baran, 2018: 59).

Türk Savunma Sanayi açısından hedefler bulunmaktadır. Bu hedeflere ulaşabilmek için önerilerde bulunmak doğru bir seçim olacaktır. Öneriler ise şöyledir; Ar-Ge projeleri sonucunda oluşacak karın sürekli olabilmesi için ürün kalitesinde birinci olmak hedeflenmelidir. Ürün kategorisinin katma değeri net olarak ifade edilmeli ve Ar-Ge çalışmaları bu katma değeri projelere yansıtabilmelidir. Ürün tabanlı proje geliştirme modeli için teknoloji yol haritası belirlenmeli sözleşmeli projelerden yana seçim yapılmamalı. Ar-Ge projeleri birbirinden bağımsız olmamalıdır, kopukluk yaşanmamalıdır ve düşünsel sermaye birikimini de sağlamalıdır (Öner, 2006: 69).

Türk Savunma Sanayisinin Ar-Ge'ye önem vermesinin sebebi bölgesel güç gösteren BRICS ülkeleri listesinden girmekten ziyade özgün savunma alt yapılarını gerçekleştirip olası bir kriz veya tehdit durumuna karşı kendi gardını almaktadırlar. Osmanlı imparatorluğunun yükselme döneminde savunma sanayi çalışmalarına başlamışlardır ancak teknoloji ve sanayileşme konusunda batılı ülkelerin çok fazla gerisinde kalınmıştır. Cumhuriyet döneminde kısıtlı kaynaklar olmasına rağmen hızlı bir yol kat edilmiş ihracata da büyük katkılar sağlanmış ancak yanlış hükümet politikaları ile ülke dışa bağımlı gale gelmiştir. Daha sonra ise 1974 Kıbrıs Barış Harekâtı sonrasında döviz darboğazları ve politik istikrarsızlıklar hedeflenen başarıyı engellemiştir. Yunanistan'daki ekonomik ve politik sorunlar, İran'ın nükleer yarışı, Suriye'deki iç savaş, Irak'ta yıllardır var olan istikrarsızlıklar, Ermeni-Azerbaycan'ın süregelen husumeti, Rusya'nın hakimiyet kurma isteği bir yandan PKK terör örgütü diğer yandan FETÖ, YPG DEAŞ-KPC gibi çok fazla dış etmen olan terör örgütleri Türkiye'nin özgün savunma sanayisi gerekli kılmıştır bu da Ar-Ge ihtiyacımızı arttırmayı gerekli kılmaktadır. Dolayısıyla Türkiye'nin Ar-Ge' ye verdiği önem savunma harcamalarının artışını gerekli kılmaktadır ve öyle de olması gerekir (Çelikkol Erbaş ve Erbaş, 2006: 687).

## 4. LİTERATÜR

Sümer (2005), çalışmasında savunma harcamaları ve ekonomik büyüme arasındaki ilişkiyi incelemiştir. Yapılan araştırma sonucunda savunma harcamalarının büyüme üzerindeki etkisi pozitif yönlü iken özellikle gelişmekte olan ülkelerde bu etki oldukça fazladır.

Dritsakis (2004), çalışmasında 1960-2001 yılları baz alınarak Johansen eş bütünleşme yöntemi ile Türkiye ve Yunanistan'ın askeri harcamaları karşılaştırması yapılmıştır. Sonuç olarak 10 uzun dönemde iki ülkenin harcamaları ekonomik büyüme ile ilişkili olmadığı ortaya çıkmıştır.

Karagöl (2006), çalışmasında 1960-2000 yılları arasında savunma harcamaları ile dış borç ilişkisi incelenmiştir. Bulgulara göre savunma harcamaları dış borçları arttırdığı sonucu ortaya çıkmıştır.

Şenel (2006), Dünya ve Türkiye ekonomisi açısından Araştırma ve Geliştirme (Ar-Ge) faaliyetlerinin yerini inceleyen çalışmasında, Ar-Ge'nin savunma harcamalarında ki payı analiz edilmiştir. Çalışmaya göre, Ar-Ge faaliyetleri savunma sanayi açısından önemli bir yere sahiptir. Bunun en önemli nedeni ise dışsal etkiler olarak açıklanmıştır.

Soyyiğit Kaya (2013), Türkiye'nin 1970-2010 yıları itibariyle savunma harcamaları ile ekonomik etkileri Toda-Yamamoto yaklaşımı ve Granger nedensellik testi ile incelenmiştir. Granger nedensellik testine göre savunma harcamaları ve istihdam arasında nedensellik ilişkisi olduğu sonucuna ulaşılmıştır. Toda-Yamamoto yönteminin sonucunda ise istihdam, savunma harcamaları ve ekonomik büyüme arasında nedensellik olduğu sonucuna ulaşılmıştır.

Yıldız ve Akbulut Yıldız (2019), beş Orta Doğu ülkesi (İran, İsrail, Suudi Arabistan, Umman ve Türkiye) 1990-2015 yılları itibariyle ekonomik büyüme ve askeri harcama ilişkisi incelenmiştir. Bu ilişki Panel Bootstrap Nedensellik analizi ile test edilmiştir. Çalışmanın sonucunda sadece İran için çift yönlü bir nedensellik ilişkisi ortaya çıkmıştır. Genel olarak ise tek yönlü nedensellik ilişkisi olduğu tespit edilmiştir.

## 5. AR-GE YAPAN FİRMALARDAN ELDE EDİLEN VERİLER

Trabzon TİSAŞ ve Giresun GİRSAN firmaları ile yüz yüze görüşme sağlanmış olup Konya Grafen Biotech Nanoteknoloji Mühendislik Sanayi ve Ticaret Ltd. Şti. ile de e-mail yoluyla anket sorularımızı yönelttiğimizde bu görüşmeler neticesinde savunma sanayisinde Ar-Ge gelişimi için aşağıda ki verilere ulaşılmıştır;

Firmamızda çalışan Ar-Ge personelleri yüksek lisans mezunu, doktora mezunu ve doktora eğitimi devam eden aynı zamanda tam zamanlı çalışan ve dışarıdan destek sağlanan personellerden oluşmaktadır. Ar-Ge personellerinin kendilerini geliştirebilmeleri için internet üzerinden workshop gibi toplantılara katılım sağlanmaktadır. Eğitimlere önem verilmektedir. Yurt dışı eğitimlerine şuan için pandemi sebebiyle online katılım sağlanmaktadır. Eğitime katılım sağlandığında zorlanarak yapılan ürün geliştirme aşamasında daha kolay rastladıklarından bahsedilmiştir. Tedarik aşamasında sıkıntı yaşandığı belirtilmiştir. Tedarik sıkıntısından dolayı yapmak isteyip yapılamayan projeler olmuştur. Dış kurum ve kuruluşlarla iş birliği halinde çalışmalar gerçekleşmiştir. Çalışanlarının Ar-Ge alanlarındaki personel gelişimi için üniversitelerin deneyimlerinden aktif oranda faydalandıkları söylenmiştir. Ar-Ge süreç ve çıktılarını iyileştirmek için yapmış oldukları sentezlerin belirli standartları karşılayıp karşılanmadığı karakterizasyonlar sonucunda doğrulamışlardır. Ar-Ge faaliyetleri kapsamında özgün üründen ziyade geliştirmeye çalıştıkları teknikler olmuştur. Bu tekniklerin hizmet olarak sunulup toplam satış içerisindeki payının ciddi oranda katkı sağlayacağını savunmuşlardır. Kurum veya kuruluşlarda bulunan ve başvurulan projeler ile uyumlu ve bu öneride gerçekleştirilmesi öngörülen Ar-Ge etkinliklerinde kullanılması planlanan cihaz ve ekipman teknik özelliklerinin geliştirilmesi gereken özelliğin ele alınan ürüne fonksiyonelleştirilmesi neticesinde katkı sağlayacak altyapıya uygun hale getirilmesi amaçlanmıştır. Ellerindeki temel cihaz ve ekipmanın yaptıkları Ar-Ge projeleri için yeterli olmadığını, geliştirilmeye ihtiyaç duyulduğunu belirtmişlerdir. Bunun yanı sıra Ar-Ge boyutuyla elde edilen kazanımların endüstriyel boyuta dönüşümü için ek yatırımlara ihtiyaç duyulmaktadır.

Proje başvurularında kullanılması planlanan temel cihaz ve ekipmanı kullanacak olan personelin deneyim birikiminde yetkinlik belgesi mevcut olmayıp, gerek lisans gerekse lisansüstü düzeyde almış oldukları derslerin pratiklerini hem şirket bünyesinde hem de staj şeklinde gerçekleştirebilen personellerin mevcut oldukları söylenmiştir. Ar-Ge etkinlikleri yürütülürken karakterizasyon, sektöre göre reaktör gibi hizmetler aldıklarını belirtmişlerdir. Konferanslara katılım oranlarının pandemi sürecinden ötürü fiziksel katılım sağlanamamıştır. Nitelikli iş gücü denilince akla gelen, bilgi birikimini pratiğe dökebilen donanımlı bireyler veya çalışan olduğunu savunmuşlardır. Firmalarına iş gücü istihdam ederken uzmanlık alanı, staj tecrübesi ve yetkinlik kriterlerine önem verdiklerini açıklamışlardır. Türkiye'de yüzbinlerce işsiz varken işletmelerin bünyelerinde çalıştıracak nitelikli iş gücünün bulunmamasının sebeplerini yanlış yönlendirmeler neticesinde öğretilen bilgilerin pratiğe dönüştürülmesine yönelik imkânların sağlanmaması ve sınava dayalı bir test sürecinin uygulanmasına dayalı olduğunu belirtmişlerdir. Personellerini nitelikli, mesleki ve teknik eğitim almış olmak şartıyla firma bünyelerine dâhil etmişlerdir. Mesleki eğitim sistemine ağırlıklı önem verilmesi gereken bir konu olduğu, çünkü üniversitelerde yetişen öğrencilerin mesleki eğitim sisteminden beslenerek gelmemesi neticesinde ciddi ara eleman sıkıntısı yaşandığından mesleki eğitim sisteminden mezun olacak öğrencilerin ilgili mühendislik ve uygulamalı bölümlerde rahatlıkla uygun pozisyon bulmaları teşvik edilmesi gerektiği dolayısıyla iyi bir altyapıya sahip mühendis adayların yetişmesine imkan tanınmış olacağını savunmuşlardır. Yakın sektörlerle iş birliği yapabilecek menfaatleri de göz önünde bulundurulması gerekmektedir. Firmaların yer seçimlerinde güvenli bölge olması aynı zamanda ulaşım ve tedarik aşamalarının kolay olması oldukça önemlidir.

Ar-Ge merkezi, yeni personeliyle eski personelinin birlikte hareket etmesiyle gelişir. Pazar çok fazla gelişmediğinden Ar-Ge silah teknolojisi için mekaniği değiştirmek yerine iyileştirmeye bakılmaktadır. Yeni bir ürünün Ar-Ge merkezinde işlenmesinin kemik yapısı eski jenarasyonun, dış yapısı ise yeni jenarasyonun yaptığı söylenmektedir. Nedeni ise eski serilerin daha kaliteli olmasıdır. Malzeme ve balistiğe karar verirken üniversiteye danışıldığı, yeni ürün üretirken ise Kolluk kuvvetlerinin görüşü alınmaktadır ve saha araştırmasıyla birlikte hareket edilmektedir. Bakanlıklardan istenen prosödürlerin tam olarak ne istediklerini anlamak için yanlış yapmamak adına başka firmalar ile de görüşmeler sağlanmıştır. Fabrikalar, birkaç ilde sıkıştırıldığı için tedarik aşamasında sıkıntı yaşanmaktadır ve bu durum maliyeti de arttırmaktadır aynı zamanda ürün geliştirme aşamasında süreci uzatmaktadır. Savunma Sanayisinde Ar-Ge fason olmamak için marka yapmak zorunda. Hava şartlarına uyumun kontrolü, gövdenin kırılmaması, kapağın çatlamaması, darbeye dayanıklı olması gibi birçok etken kontrol edilmelidir. Ar-Ge merkezi olan firmanın kendi tasarımını yapması firmaya fayda sağlamaktadır. Ar-Ge'nin gelişmesi hem maliyet hem rekabet açısından uzun bir süreç oluşturur. Savunma Sanayinin diğer sanayilerden en önemli farkı hayati değer taşımasıdır.

## 6.SONUÇ

Ulusal güvenliğin en önemli unsurlarından biri stratejik bilgilerin dış güçlerden gizli tutulmasıdır. Dünyadaki ülkelerin açık veya gizli nedenlerle diğer ülke toprakları üzerindeki stratejik hedeflerinden dolayı oluşan tehlikeye karşı her ülke egemenliğini korumak ve vatandaşların güvenliğini sağlamak zorundadır. Tam da bu noktada güvenli bir ortamın sağlanması ekonomik kalkınma için oldukça önemlidir. Savunma sanayinin özelliği gereği, tasarım ve temel üretim teknolojilerinin gizli, güvenilir ve yurt dışına bağımlılığın az olması bizim ülke olarak ayaklarımızın üzerine sağlam bastığımızın bir göstergesi olacaktır. Özellikle dışa bağımlılığımız olan noktalarda yaşanan aksamalar bizlerin üretimde daha aktif rol alıp, diğer ülkelerden izin almadan kullanılabilecek vurucu gücü yüksek, ileri teknolojiye dayalı savunma sistem ve teçhizatına sahip olmak ülkemizin uzun vadeli ulusal stratejik çıkarlarına askeri, politik ve ekonomik yönden de olumlu katkısı olacaktır. Türkiye'nin küresel rekabet içerisinde bulunduğu coğrafi konumunun etkileri de göz önüne alındığında, ülkemizin milli olarak güçlü bir savunma sanayi tesis etmesine, mevcut ve gelecekteki küresel ortamda ayakta kalabilmek adına ihtiyacı daha da fazla olacaktır. Türkiye'nin gelişmiş ülkeler grubuna dâhil olabilmesi ve sürdürülebilir ekonomik büyüme performansını yakalayabilmesi Ar-Ge yatırımlarına önem vermekle gerçekleşecektir. Türkiye'nin teknolojiye yatırım yaparak uzun dönemli planlamalar yapması ve üniversite-sanayi iş birliğini etkin bir biçimde kullanması gerekmektedir. Kamunun yanı sıra özel sektöründe uzun dönemde Ar-Ge yatırımlarına ağırlık vermesi rekabet açısından gereklidir. Türkiye'nin yüksek teknolojili ihracatını arttırmasının yolu Ar-Ge'den geçmektedir. Ekonomik büyümenin lokomotifi olan teknolojik ilerleme Ar-

Ge yatırımlarına bağlıdır. Çalışmalarımızı Trabzon TİSAŞ ve Giresun GİRSAN firmaları ile yüz yüze görüşme sağlanmış olup Konya Grafen Biotech Nanoteknoloji Mühendislik Sanayi ve Ticaret Ltd. Şti. ile de e-mail aracılığıyla firmaların Ar-Ge merkezleriyle ilgili çalışmaların yapıldığı tespitler sonucunda genel değerlendirme yapılmıştır. Şuan sadece durum tespiti yapılmış olup daha sonra ise firmalara ve ilgili kuruluşlara önerilerde bulunulacaktır. Öneri kısmında ise savunma sanayinin karar mekanizmalarının incelenmesi ve bu karar mekanizmalarının karar alma modellerinin sanayileşmeye olan etkileri incelenecektir. Böylelikle yenilik faaliyetleri nasıl gerçekleştirilmeli, süreçte mi, üründe mi, teknolojide mi yenilik yapmamız gerekecek bunlara bakılacaktır. Türkiye için savunma sanayi cari açık sorunumuz sebebiyle yerli, teknoloji açığımız sebebiyle de milli üretim bizim için oldukça önemlidir. Yani bizim özgün ürün üretmemiz gerekiyor ki farkımız olsun. Çalışmamın amacı Türkiye'de ki Ar-Ge merkezleriyle görüşülüp Ar-Ge ile ilgili yaşanılan sıkıntıları tespit edip daha sonraki çalışmaları iyileştirmek adına öneride bulunulacaktır. Birinci başlıkta Ar-Ge'nin genel durumu, Türkiye'deki Ar-Ge'nin Gelişimi, Türkiye'de Ar-Ge Merkezleri, Türkiye ve Dünyadaki Ar-Ge faaliyetlerinden, ikinci başlıkta Savunma Sanayi, Savunma Sanayi Ar-Ge Projelerinden, Dünya'daki ve Türkiye'de ki Savunma Sanayi Ar-Ge'den bahsedilmiştir. Üçüncü başlık ise Ar-Ge yapan firmalardan elde edilen veriler paylaşılmıştır.

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# Hastaların Hekim Memnuniyetinin Hastane Bağlılığına ve Hastaneyi Tavsiye Etme Niyetine Etkisinde Hastaneden Memnuniyetin Aracı Rolü

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**Özet:** Günümüzde sağlık hizmetlerinden memnuniyet kavramı sağlık işletmeleri için son derece önemli hale gelmiştir. Buna karşılık hastaların hissettikleri memnuniyet hizmet sunandan memnuniyet ve genel olarak hastaneden memnuniyet şeklinde ayrışmaktadır. Bu çalışma hastaların hizmet aldıkları hekimlerden memnuniyetlerinin hastane bağlılıklarını ve hastaneyi tavsiye etme niyetlerini etkileyip etkilemediğini belirlemek; olası etkide hastaneden memnuniyetin bir aracı rolünün olup olmadığını ortaya koymak amacıyla gerçekleştirilmiştir.

Araştırmanın örneklemi Sakarya İlinde ikamet eden 350 katılımcı oluşturmaktadır. Çalışmaya katılım için katılımcıların aynı hastaneden ve aynı doktordan en az iki kere hizmet almış olması ve 18 yaşını doldurmuş olması kriterleri aranmıştır. Araştırmada veri toplama aracı olarak beş bölümden oluşan anket formu kullanılmıştır. Araştırmada kullanılan anket formu (1) Sosyo-Demografik Bilgi Formu, (2) Doktordan Memnuniyet Ölçeği (Torres vd., 2009), (3) Hastaneden memnuniyet Ölçeği (Chang vd., 2013), (4) Hasta Bağlılığı Ölçeği (Price ve Arnould 1999) ve (5) Tavsiye etme Niyeti Ölçeği (Söderlund, 2006)'nden oluşmaktadır. Verilerin analizinde SPSS Version 22 programı ile tanımlayıcı istatistiksel yöntemlerden; Smart PLS programı ile yapısal eşitlik modellemesinden yararlanılmıştır.

Araştırma sonuçlarına göre hastaların hekimlerinden memnuniyetleri hastaneden memnuniyetlerini (β=0,808, p=0,000), hasta bağlılığını (β=0,482, p=0,000) ve hastaneyi tavsiye etme niyetlerini (β=0,165, p=0,010) etkilemektedir. Bununla birlikte hastaların hastaneden memnuniyetleri hekim memnuniyetinin hasta bağlılığına etkisinde aracı rol oynamaktadır (β=0,314, p=0,000) ve bu etkiyi güçlendirmektedir. Benzer şekilde hastaların hastaneden memnuniyetleri hekim memnuniyetinin hastaneyi tavsiye niyetine etkisinde aracı rol oynamaktadır (β=0,532, p=0,000) ve bu etkiyi güçlendirmektedir.

Çalışma sonuçları hastaların hekim memnuniyetlerinin ve hastane memnuniyetlerinin hasta bağlılığı ve hastanın tavsiye niyetinin gelişmesinde önemli faktörler olduğunu göstermektedir. Hekimden memnuniyetin ve hastaneden memnuniyetin birlikte daha sadık hastalar oluşturmada ve hastanenin hastalar tarafından daha fazla kişiye önerilmesinde anahtar rol oynayacağı açıktır. Bu nedenle sağlık yöneticilerin hasta memnuniyetinin hem kişilerarası ilişkiler hem de genel sağlık hizmeti bağlamında değerlendirmeleri ve geliştirmeleri önerilmektedir.

**Anahtar Kelimeler:** Hekimden memnuniyet, hastaneden memnuniyet, hasta bağlılığı, tavsiye niyeti, WOM

## 1. GİRİŞ

Davranışsal niyeti, "kişinin gelecekteki davranışlarını yerine getirmeyi ya da getirmemeyi planladığı davranış derecesi olarak" tanımlamaktadır (Liu ve Jang, 2009). Davranışsal niyetler, "aynı kurumdan başka bir ürün veya aynı hizmeti satın alması, kuruluşa geri dönme niyeti veya müşterinin bir ürün veya hizmeti kullandıktan sonra başkalarına tavsiye etmesi olarak" da tanımlanmaktadır (Richins, 2011). Bu tanımlardan anlaşılacağı üzere bireylerin aynı kurumdan tekrar hizmet alması veya hizmet aldığı kurumu başka insanlara önermesi davranışsal niyetlerin boyutları olarak ele alınmaktadır. Günümüzde artan rekabet nedeniyle sağlık kuruluşları mevcut hastalarını korumanın yanı sıra yeni hastalar edinmeye de odaklanmak durumundadırlar. Bu nedenle sağlık kuruluşları için hasta bağlılığı ve hastanın tavsiye niyeti önemli faktörler olarak değerlendirilmektedir. Bu bağlamda hastaların davranışsal niyetlerinin incelenmesi ve olumlu yönde geliştirilmesi sağlık kuruluşları için önem arz etmektedir.

Hastane bağlılığı hastanın hizmet aldığı kuruma duyduğu bağlılıktır (Ünal, 2016). Bir başka tanıma göre ise hasta bağlılığı, "hastanın hastane ile ilişkilerini devam ettirip, diğer yandan hastanenin hizmetlerini potansiyel hastalara tavsiye etmesi" olarak da tanımlamaktadır (Engiz, 2017 Akt. Erdem vd., 2008). Bu tanıma göre hastanın hastane bağlılığı ile tavsiye niyeti iç içe girmiş kavramlardır ve birbirine bağlıdırlar. Tavsiye niyeti ise bireylerin almış olduğu hizmetten çevresindeki insanlara bahsederek o hizmetin benimsenmesine veya benimsenmemesine katkıda bulunulması veya alınacak olan hizmete ilişkin riskleri

azaltmak için sosyal destek arayışı olarak tanımlanmaktadır (Söderlund, 2006; Arndt, 1967). Sağlık hizmetlerinde tavsiye niyeti ise hastanın almış olduğu hizmetten veya hizmet sunucusundan memnun kalması, bağlılık ve güven duygusunun gelişmesi sonucunda, aile üyelerine ve çevresindeki bireylere sağlık kuruluşu, sağlık hizmeti veya hekimi hakkında bilgi vermesi ve yardımcı olma isteği olarak ifade edilebilir (Durmuş, 2017:55). Bu tanımlar dikkate hem hasta bağlılığının hem de tavsiye niyetinin sağlık kuruluşunun mevcut hastalarını korumaları ve yeni hastalar kazanmaları için hayati önem arz eden faktörlerdir.

Hasta memnuniyeti ise genel olarak "hastanın istek ve beklentilerinin karşılanması veya bu istek ve beklentilerin üstünde hizmet verilmesi" olarak tanımlanmaktadır (Kavuncubaşı ve Yıldırım, 2010). Hastaların daha önce hizmet aldıkları bir sağlık kuruluşundan tekrar hizmet almaları aldığı hizmetten duydukları memnuniyet düzeyine bağlıdır (Ünal, 2016). Heskett ve arkadaşları (1997) hizmet sektörü kuruluşlarında memnuniyet ile bağlılık arasında güçlü bir ilişki olduğunu ifade etmektedirler. Bu ilişki müşterinin memnuniyeti ne kadar güçlü olursa o kadar güçlü olmaktadır. Hasta bağlılığına benzer olarak bireylerin tavsiye niyetlerinin de memnuniyet düzeylerine bağlı olarak geliştiğini ifade eden çalışmalar literatürde mevcuttur (Juhana et al., 2015; Garman et. al., 2004; Homburg et. al., 2005). Literatürde yer alan bu bilgilerden yola çıkarak bu çalışmada bireylerin hizmet aldıkları hekimlerden memnuniyetlerinin hastane bağlılıklarını ve hastaneyi tavsiye etme niyetlerini etkileyip etkilemediğini belirlemek; olası etkide hastaneden memnuniyetin aracı rolünün olup olmadığını ortaya koymak amaçlanmıştır.

## 2. YÖNTEM

### 2.1. Evren ve Örneklem

Araştırmanın evrenini Sakarya ilinde ikamet eden, aynı hastaneden en az iki kere aynı doktordan hizmet almış olan 18 yaş üstü bireyler oluşturmaktadır. Çalışma hastane sınırları içerisinde yapılmadığı için araştırma süresince hastaneden hizmet alan kişi sayısı tam olarak belirlenememiştir. Buna karşılık anket formunda ilgili tarihler arasında hastaneden hizmet alıp almadıkları sorularak kriterlere uyan katılımcılar çalışmaya dâhil edilmiştir. İlgili tarihler arasında araştırmaya katılmayı kabul eden 249 kişi araştırmanın örneklemini oluşturmaktadır. Araştırma yapıldığı sırada yaşanan COVID-19 pandemisi sebebiyle yüz yüze anket uygulamasının yapılamaması ve hastane bünyesinde çalışmanın yürütülememiş olması araştırmanın kısıtlarını oluşturmaktadır.

### 2.2. Veri Toplama Araçları

Araştırmada veri toplama aracı olarak beş bölümden oluşan bir anket formu kullanılmıştır.

Sosyo-Demografik Bilgi Formu; katılımcıların cinsiyet, yaş, medeni durum, eğitim durumu, aylık gelir durumu gibi sorulardan oluşmaktadır.

Hekim Memnuniyeti Ölçeği; Torres, Vasquez-Parraga ve Barra (2009) tarafından Sharma ve Patterson (1999), Brockman (1998) ve Smith ve Barclay (1997)'nin çeşitli ölçeklerinden uyarlanan 5 maddelik hekimden memnuniyet ölçeği kullanılmıştır. Ölçek 5'li Likert yapıda olup; 1 Hiçbir zaman- 5 Her zaman arasında ölçeklendirilmiştir. Ölçeğin Türkçe uyarlanması Ünal ve arkadaşları (2018) tarafından yapılmıştır.

Hastane Memnuniyeti Ölçeği: Hasta memnuniyetini ölçmek amacıyla Chang ve diğerleri (2013) tarafından geliştirilen ve 4 maddeden oluşan ölçek kullanılmıştır. Ölçeğin Türkçe'ye uyarlanması Durmuş, (2017) tarafından yapılmıştır. Ölçek 5'likert şeklinde dizayn edilmiş olup 1 Kesinlikle Katılmıyorum ile 5 Kesinlikle Katılıyorum arasında puanlanmıştır.

Hastane Bağlılığı; Hastane bağlılığını ölçmek amacıyla Price ve Arnould (1999) tarafından hizmet sektörü için geliştirilen ve Wang ve arkadaşları tarafından sağlık hizmetlerine uyarlanan Hastane Bağlılığı Ölçeği kullanılmıştır. Ölçeğin Türkçe geçerlilik ve güvenilirlik çalışmaları Ünal (2016) tarafından yapılmıştır. Ölçek 5'li likert yapıda olup 1= Tamamen Katılmıyorum, 5= Tamamen Katılıyorum şeklinde kodlanmaktadır.

Tavsiye Niyeti Ölçeği: Söderlund (2006) tarafından geliştirilen ve üç maddeden oluşan ağızdan ağıza pazarlama niyeti ölçeği kullanılmıştır. Ölçeğin Türkçe geçerlilik ve güvenilirlik çalışmaları Akbolat ve arkadaşları (2020) tarafından yapılmıştır. Ölçek 5'li likert yapıda olup 1= Tamamen Katılmıyorum, 5= Tamamen Katılıyorum şeklinde kodlanmaktadır.

## 2.3. Veri Analizi

Elde edilen veriler SPSS ve Smart PLS 3 programları ile analiz edilmiştir. SPSS programında tanımlayıcı istatistiksel yöntemler ve güvenilirlik analizleri gerçekleştirilmiş olup, Smart PLS programında ise yapısal eşitlik modeli analizi yapılmıştır.

## 3. BULGULAR

Katılımcıların 92'si erkek 257'si kadındır ve 302'si bekâr 48'i evlidir. Katılımcıların çoğunluğu 30 yaş ve altındadır. Katılımcıların gelir düzeyleri incelendiğinde genel olarak 5000TL altında gelire sahip bireylerden oluştukları görülmektedir ve katılımcıların büyük kısmının ön lisans veya daha yüksek seviyede eğitime sahip oldukları görülmektedir.

Tablo 1: Sosyo-Demografik Bulgular

| | | Frekans | Yüzde |
|---|---|---|---|
| Cinsiyet | Erkek | 92 | 26,3 |
| | Kadın | 257 | 73,4 |
| Medeni durum | Bekar | 302 | 86,3 |
| | Evli | 48 | 13,7 |
| Yaş | 25 Yaş ve Altı | 155 | 44,3 |
| | 26-30 Yaş Arası | 116 | 33,1 |
| | 31-35 Yaş Arası | 32 | 9,1 |
| | 36 Yaş ve Üzeri | 47 | 13,4 |
| Aylık ortalama gelir | Asgari Ücret ve Altı | 135 | 38,6 |
| | 3000-5000 | 117 | 33,4 |
| | 5001-10000 | 66 | 18,9 |
| | 10001 ve Üzeri | 32 | 9,1 |
| Eğitim durumu | Ortaokul ve altı | 25 | 7,1 |
| | Lise | 93 | 26,6 |
| | Ön Lisans | 104 | 29,7 |
| | Lisans ve üstü | 128 | 36,6 |

Çalışmada kullanılan ölçeklerin tamamının geçerlilik ve güvenilirlik çalışmaları daha önce gerçekleştirildiğinden bu çalışamda ayrıca keşfedici faktör analizi yapılmamıştır. Çalışma kapsamında ölçeklerin doğrulayıcı faktör analizleri ve güvenilirlik analizleri gerçekleştirilmiştir. Çalışmada kullanılan ölçeklerin güvenilirlik katsayıları tablo 2'de görülmektedir. Ayrıntısı tabloda görüldüğü üzere ölçeklerin güvenilirlik katsayıları 0,799 ile 0,945 arasında değişmektedir. Bu değerlere göre çalışmada kullanılan ölçeklerin güvenilirlik seviyelerinin genel olarak yüksek olduğu söylenebilir (Uzunsakal ve Yıldız, 2018).

Araştırma hipotezlerini test etmek için Smart PLS 3 programı aracılığıyla yapısal eşitlik modeli kurulmuştur. Smart PLS 3 programının yapısal eşitlik modeline ek olarak doğrulayıcı faktör analizi amacıyla da kullanılabildiği literatürde görülmektedir (Değerli ve Tolon, 2016; Bollen, 2002). Bu kapsamda bu araştırmada kullanılan ölçeklerin doğrulayıcı faktör analizleri Smart PLS 3 programı aracılığıyla gerçekleştirilmiştir.

Araştırmada öncelikle araştırma hipotezleri kapsamında kurulan model incelenmiştir. Araştırma modeli Şekil 1'de ve modelin yapı geçerliğine ilişkin bilgiler Tablo 2'de yer almaktadır. Ayrıntısı Şekil 1'de görüldüğü üzere kurulan modelde ölçeklerin ifadelerinin tamamının faktör yükleri 0,70'in üzerindedir. Smart PLS programında faktör yüklerinin 0,70'in üzerinde olması beklenmektedir (Wong, 2013). Bu nedenle modelde yer alan ifadelerden faktör yüklerinin beklenen seviyenin üzerinde olduğu ifade edilebilir.

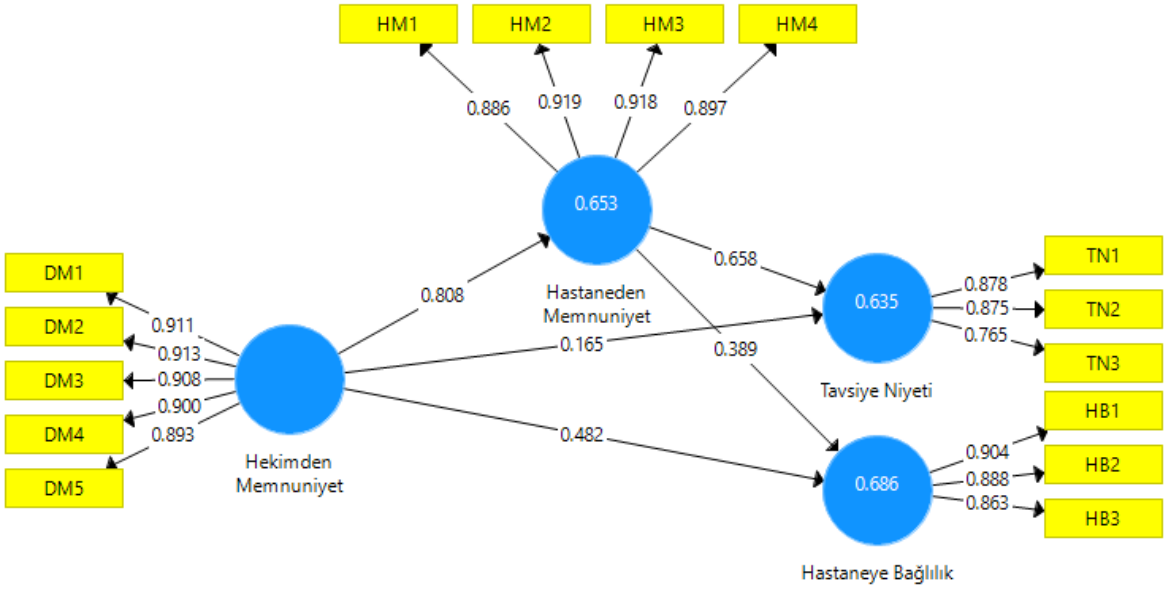
Tablo 2'de görüldüğü üzere ölçeklerin kompozit güvenilirlik (CR≥70) ve çıkarılan ortalama varyans (AVE≥50) değerleri eşik değerlerin üzerindedir. Bu sonuçlara göre ölçeklerin gerekli güvenilirlik değerlerini taşıdığı söylenebilir.

Araştırma kapsamında modelin yapı geçerliliğini test etmek amacıyla incelenen bir diğer geçerlilik ayrışma geçerliliğidir. Bu geçerliliğinin sağlanabilmesi için araştırmada kullanılan değişkenlerin hesaplanan AVE değerlerinin kareköklerinin, o değişkenin diğer değişkenlerle olan korelasyon değerlerinden büyük olması gerekmektedir (Cengiz ve Özkara, 2016). Ayrıntısı Tablo 2'de görüldüğü üzere araştırma ölçeklerini ayrışma geçerliliğini sağladığı söylenebilir.

Tablo 2: Ölçeklerin Cronbach Alpha, Ortalama Açıklanan Varyans, Birleşik Güvenilirlik Değerleri ve Ayrışma Geçerlilikleri

| | **1** | **2** | **3** | **4** | **α** | **CR ≥70** | **AVE ≥50** |
|---|---|---|---|---|---|---|---|
| $\sqrt{AVE}$ | **0,905** | **0,885** | **0,905** | **0,841** | | | |
| 1. Hastaneden Memnuniyet | **1** | | | | 0,926 | 0,948 | 0,819 |
| 2. Hastaneye Bağlılık | 0,778 | **1** | | | 0,861 | 0,915 | 0,783 |
| 3. Hekimden Memnuniyet | 0,808 | 0,796 | **1** | | 0,945 | 0,958 | 0,819 |
| 4. Tavsiye Niyeti | 0,791 | 0,672 | 0,696 | **1** | 0,799 | 0,878 | 0,707 |

Şekil 1: Yapısal Eşitlik Modellemesi Çıktısı




Araştırma modelinin geçerliliğini gösteren uyum indeksleri Tablo 3'de görülmektedir. Smart PLS programında SRMR değerinin 0,10'dan düşük olması, NFI değerinin ise 0-1 aralığında olması beklenmektedir (www.smartpls.com). Tabloda yer alan sonuçlar modelin kullanılabilir olduğunu doğrulamaktadır.

Tablo 3: Araştırma Model Uyum İndeksleri

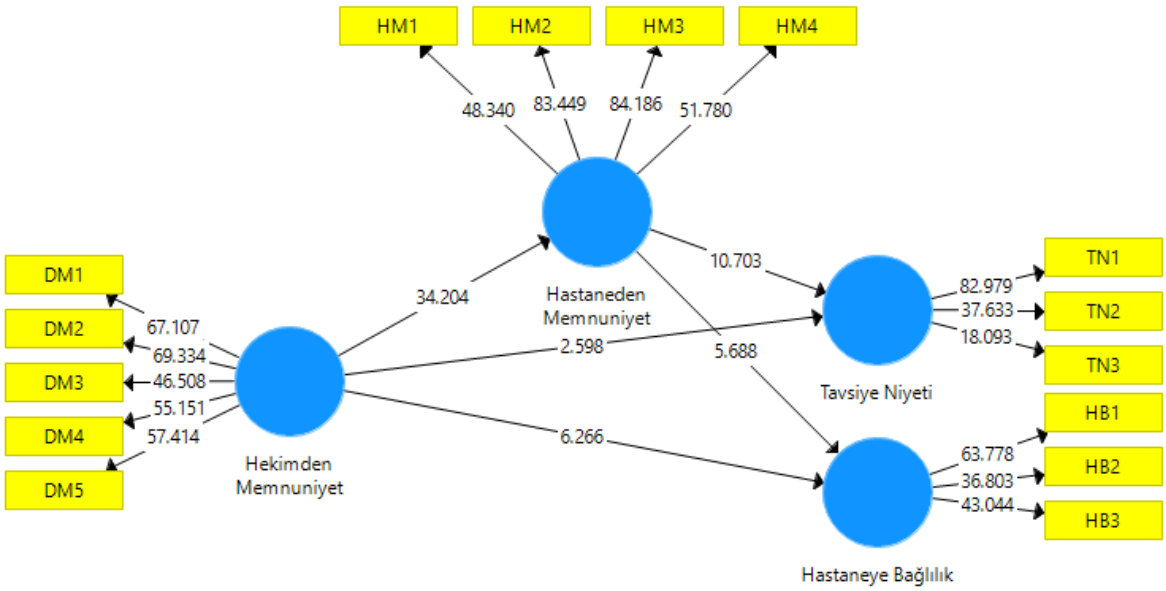
| | Değerler |
|---|---|
| SRMR | 0,066 |
| NFI | 0,875 |

Araştırma modelinin geçerliliği araştırmanın önceki bölümlerinde ortaya konulmuştur. Bu kapsamda araştırmanın hipotezleri yapısal eşitlik modeli (YEM) ile test edilmiştir. YEM sonucunda elde edilen T değerleri Şekil 2'de; T değerlerine bağlı olarak elde edilen p değerleri ve etki değerleri (β) Tablo 4'te yer almaktadır. Tabloda görüldüğü üzere hastaların hekimden memnuniyetleri hastaneden memnuniyetlerini (β=0,808, t=34,204, p=0,000), hastaneye bağlılıklarını (β=0,482, t=6,266, p=0,000) ve tavsiye niyetlerini (β=0,165, t=2,598, p=0,010) pozitif yönlü ve anlamlı etkilemektedir. Hastaların hastaneden memnuniyetleri ise hastaneye bağlılıklarını (β=0,389, t=5,688, p=0,000) ve tavsiye niyetlerini (β=0,658, t=10,703, p=0,000) pozitif yönlü ve anlamlı etkilemektedir. Bu sonuçlar hastaların hekimlerinden ve hastanelerinden duydukları memnuniyetin davranışlarını etkilediğini göstermektedir.

Tablo 4: T ve p değerleri

| | β | T Değerleri | p Değerleri |
|---|---|---|---|
| Hastaneden Memnuniyet -> Hastaneye Bağlılık | 0,389 | 5,688 | 0,000 |
| Hastaneden Memnuniyet -> Tavsiye Niyeti | 0,658 | 10,703 | 0,000 |
| Hekimden Memnuniyet -> Hastaneden Memnuniyet | 0,808 | 34,204 | 0,000 |
| Hekimden Memnuniyet -> Hastaneye Bağlılık | 0,482 | 6,266 | 0,000 |
| Hekimden Memnuniyet -> Tavsiye Niyeti | 0,165 | 2,598 | 0,010 |

Şekil 2:Yapısal Eşitlik Modeli T Değerleri




Tablo 5'de araştırma hipotezlerini test etmek amacıyla kurulan YEM'nin aracı etki sonuçları yer almaktadır. Tabloda görüldüğü üzere p değerleri istatistiksel açıdan anlamlıdır. Buna göre hastaların hekimlerinden memnuniyetlerinin hastaneyi tavsiye etme niyetlerine etkisinde hastaneden memnuniyetlerinin aracı rolü bulunmaktadır (β=0,532, t=10,169, p=0,000). Buna göre hastaların hekimlerinden memnuniyetlerinin hastaneye bağlılıklarına etkisinde hastaneden memnuniyetlerinin

aracı rolü bulunmaktadır (β=0,314, t=5,625, p=0,000). Bu sonuçlar hastaların hekimlerinden memnuniyetlerinin hasta davranışlarına olan etkisinin hastaneden memnuniyet aracılığında çok daha fazla güçlendiğini göstermektedir.

Tablo 5: Spesifik İndirekt Etkiler

| | β | T Değerleri | p Değerleri |
|---|---|---|---|
| Hekimden Memnuniyet -> Hastaneden Memnuniyet -> Tavsiye Niyeti | 0,532 | 10,169 | 0,000 |
| Hekimden Memnuniyet -> Hastaneden Memnuniyet -> Hastaneye Bağlılık | 0,314 | 5,625 | 0,000 |

## 2. TARTIŞMA VE SONUÇ

Bu çalışma bireylerin hizmet aldıkları hekimlerden memnuniyetlerinin hastane bağlılıklarını ve hastaneyi tavsiye etme niyetlerini etkileyip etkilemediğini belirlemek; olası etkide hastaneden memnuniyetin aracı rolünün olup olmadığını ortaya koymak amacıyla gerçekleştirilmiştir. Çalışma sonuçlarına göre bireylerin hastaneden memnuniyetleri ve hekimden memnuniyetleri hastane bağlılıklarını ve hastaneyi tavsiye etme niyetlerini etkilemektedir. Bu çalışmaya benzer olarak Durmuş (2017) hasta davranışlarının (bağlılık ve tavsiye niyeti) hasta memnuniyetinden etkilendiğini ifade etmektedir. Literatürde yer alan diğer çalışmalarda ise hasta memnuniyeti ile hasta bağlılığının güçlü bir ilişkiye sahip olduğu ifade edilmektedir (Ramli, 2019; Juhana et. al., 2015; Kessler & Mylod, 2009). Hem bu çalışmadan elde edilen sonuçlar hem de literatürde yer alan sonuçlar dikkate alındığından hizmet aldıkları sağlık kuruluşuna ilişkin tutum ve davranışlarının memnuniyetlerinden etkilendiğini göstermesi bakımından önemlidir.

Çalışmadan elde edilen bir diğer sonuca göre hastaların hekimlerinden memnuniyetlerinin hem hasta bağlılığına etkisinde hem de tavsiye niyetlerine etkisinde hastaneden memnuniyetin aracı rolü olduğu sonucudur. Hekimden memnuniyetin hasta bağlılığına ve tavsiye niyetine etkisi hastaneden memnuniyet aracılığında oldukça güçlenmektedir. Bu nedenle hastaneye ilişkin hastaların olumlu davranışlar sergilemesi için hem sağlık hizmeti sunucusundan hem de genel olarak hastaneden memnuniyetin bir arada sağlanmasının önemli olduğu ifade edilebilir.

Çalışma sonuçları dikkate alındığında sağlık yöneticilerine hasta memnuniyetine önem vermeleri ve hasta memnuniyetini geliştirecek önlemler almaları önerilebilir. Bu yolla sağlık kuruluşları hem daha sadık hastalar edinebilirler hem de yeni hastaları kuruluşa çekerek yoğun rekabet ortamında ciddi rekabet avantajı sağlayabilirler.

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# Green Bonds in the World and Turkey

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**Abstract:** A recent development in capital market instruments is the green bonds. Structurally, green bonds are similar to traditional bonds, but they provide finance to the environmental and climate-friendly projects. This article investigates the issuance of green bonds in the World. Special attention is given to the growth of green bond market in Turkey. Literature review reveals that reputational benefits and market signal are the main reasons for issuing a green bond providing of the constraining nature of green bonds. Although green bond market has been growing remarkably, the lack of eligible assets is identified as the major barrier to the expansion of green bonds market.

**Keywords:** Low-carbon Economy, Green Bonds, Turkey

## 1. INTRODUCTION

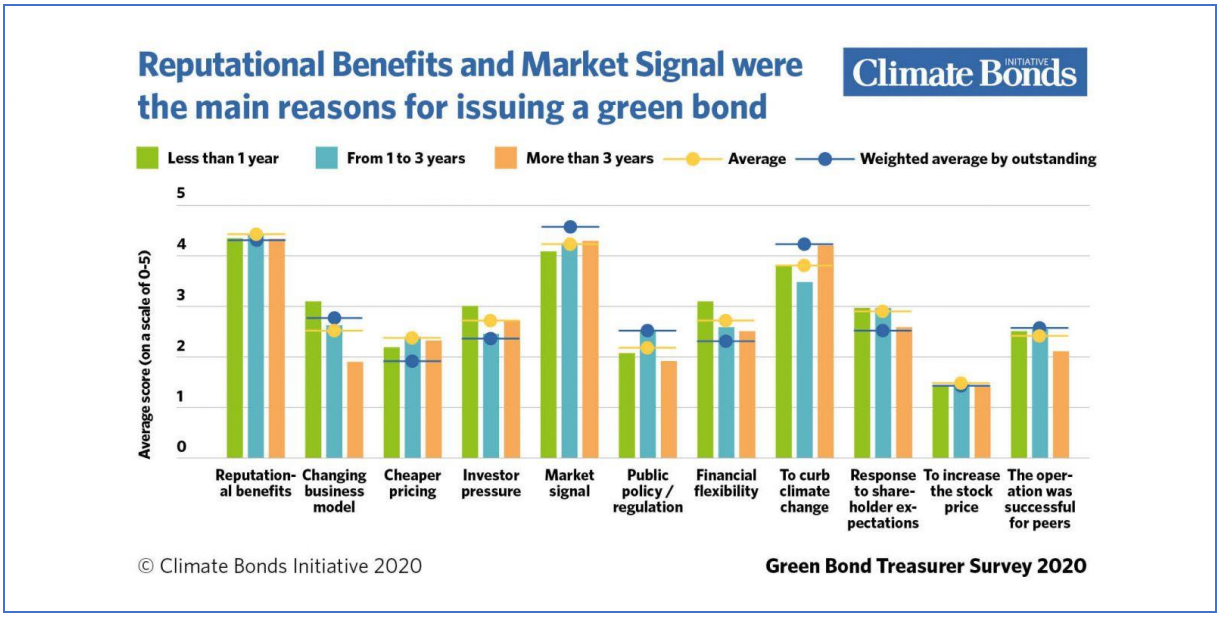
Climate change is identified as one of the main treats to economic development. It is estimated that climate change could give rise to an additional 100 million people living in extreme poverty by 2030 if precautions aren't taken to reduce emissions (IFC, 2016).

A recent development in capital market instruments is the green bonds. Structurally, green bonds are similar to traditional bonds, but they provide finance to the environmental and climate-friendly projects (Flammer, 2021). Contrary to traditional bonds, issuers have to certificate their bonds whereby issuers need third-party verification which verifies compliance with the Green Bond Principles (GBPs) published by the International Capital Markets Association (ICMA) to receive the green label for their bonds. According to GBPs, the issuer needs to certify where and how the proceeds are spent, the process for project evaluation and selection, and the effectiveness of these investments in meeting their decarbonization goals. The GBPs do not require cash to be held in segregated bank accounts or that the assets financed be subject to separate security (Zhan, 2020).

Green bonds seem to have disadvantages for the issuers compared to traditional bonds. First, the proceeds from green bonds should be directed to green project. Hence, it limits investment policies of issuers. Second, the issuance of green bonds leads to the additional costs to issuers due to certification process. As argued by Flammer (2021), given the constraining nature of green bonds, a seemingly superior strategy would be to issue conventional bonds and then invest the proceeds in green projects if they are deemed to be financially more viable than other projects.

However, increasing popularity of green calls for overcoming potential advantages of green bonds to issuers. Reputational benefits, changing business model, cheaper pricing, investor pressure, market signal, public policy/regulation, financial flexibility, curbing climate change, response to shareholder expectation, and increasing the stock price are identified as potential rationales for issuing green bonds (Harrison et al., 2020).

Figure 1: The Main Reasons for Issuing a Green Bond




Source: Harrison et al., 2020.

Researches (Harrison et al., 2020; Flammer, 2021) indicate that reputational benefits and market signal are the main reasons for issuing a green bond. According to the signaling argument, green bonds may serve as a credible signal of the company's commitment toward the environment to the investors who often lack sufficient information about the company's environmental commitment (Flammer, 2021).

According to the Green Bond Treasurer Survey 2020, 98% of respondents replied that their green bond attracted new investors. A more diverse pool of investors, offering greater flexibility to reopen or issue new bonds, a stickier investor base, and greater visibility are the most frequently stated benefits of respondents (Harrison et al., 2020).

Manuscripts should be prepared using Microsoft Word format, Calibri 10-point font, single-spaced, 3 cm margin all around, and 8.5”x11” (A4) page setting. Starting from the introduction all the titles in the article should be numbered using Arabic numerals (1,2,3, etc.) and subheadings should be numbered as 1., 1.1., 1.1.2. They should be written in bold and adjacent to the left. Always use endnotes instead of footnotes. Endnotes to the text should be numbered consecutively. Footnotes should be written in Calibri 10 font size and should be placed before the refences. IBANESS follows APA format as citation system.

## 2. GREEN BOND PRINCIPLES

The Green Bond Principles (GBP) are voluntary process guidelines that recommend transparency and disclosure and promote integrity in the development of the Green Bond market by clarifying the approach for issuance of a Green Bond. The GBP emphasize the required transparency, accuracy and integrity of information that will be disclosed and reported by issuers to stakeholders. The GBP have four core components (ICMA, 2018):

1) Use of Proceeds: All designated Green Projects should provide clear environmental benefits, which will be assessed and, where feasible, quantified by the issuer. The GBP explicitly recognize several broad categories of eligibility for Green Projects, which contribute to environmental objectives such as: climate change mitigation, climate change adaptation, natural resource conservation, biodiversity conservation, and pollution prevention and control.

2) Process for Project Evaluation and Selection: This principle covers the items that Green Bond issuers should clearly communicate to investors. These elements include the environmental sustainability

objectives of the issuer, the determination of the related Green Projects categories, and the eligibility criteria to be applied to identify and manage potentially material environmental and social risks associated with the projects.

3) Management of Proceeds: The net proceeds of the Green Bond, or an amount equal to these net proceeds, should be credited to a sub-account, moved to a sub-portfolio or otherwise tracked by the issuer in an appropriate manner.

4) Reporting: Issuers should make, and keep, readily available up to date information on the use of proceeds to be renewed annually until full allocation, and on a timely basis in case of material developments. The annual report should include a list of the projects to which Green Bond proceeds have been allocated, as well as a brief description of the projects and the amounts allocated, and their expected impact.

The eligible Green Project categories are listed below (ICMA, 2018):

• renewable energy (including production, transmission, appliances and products);

• energy efficiency (such as in new and refurbished buildings, energy storage, district heating, smart grids, appliances and products);

• pollution prevention and control (including reduction of air emissions, greenhouse gas control, soil remediation, waste prevention, waste reduction, waste recycling and energy/ emission-efficient waste to energy);

• environmentally sustainable management of living natural resources and land use (including environmentally sustainable agriculture; environmentally sustainable animal husbandry; climate smart farm inputs such as biological crop protection or drip-irrigation; environmentally sustainable fishery and aquaculture; environmentally-sustainable forestry, including afforestation or reforestation, and preservation or restoration of natural landscapes);

• terrestrial and aquatic biodiversity conservation (including the protection of coastal, marine and watershed environments);

• clean transportation (such as electric, hybrid, public, rail, non-motorised, multi-modal transportation, infrastructure for clean energy vehicles and reduction of harmful emissions);

• sustainable water and wastewater management (including sustainable infrastructure for clean and/or drinking water, wastewater treatment, sustainable urban drainage systems and river training and other forms of flooding mitigation);

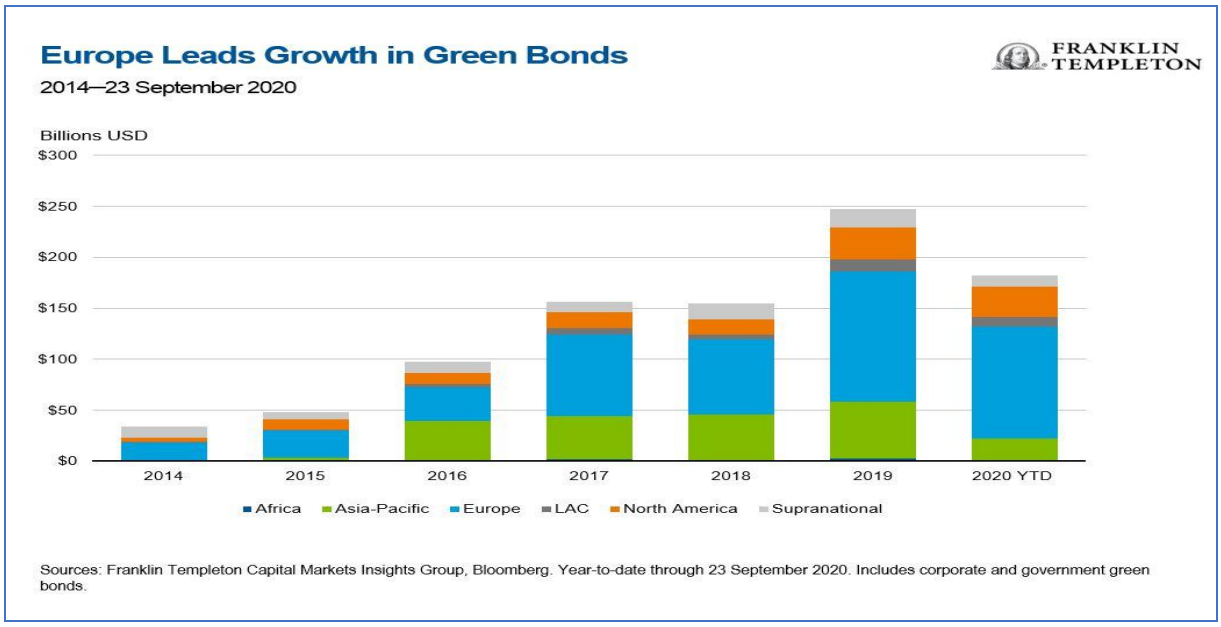
• climate change adaptation (including information support systems, such as climate observation and early warning systems);

• eco-efficient and/or circular economy adapted products, production technologies and processes (such as development and introduction of environmentally sustainable products, with an eco-label or environmental certification, resource-efficient packaging and distribution).

## 3. GROWTH OF GREEN BOND MARKET

The first green bond was issued by the World Bank in 2008 with the demand of a group of Swedish pension funds desiring to invest in projects that help the climate (Reichelt, 2018). The total issuance of green bonds reached 25 billion USD in 2014. Since then, rising concerns about greenhouse gas emissions and climate change have triggered the issuance of green bonds. Within 5 years span from 2014 to 2019, global green bonds issuance surged 10 times. Global green bond and green loan issuance increased to 257.7 billion USD in 2019 from 25 billion USD in 2014. Expansion of green bond market is leaded by European countries, followed by Europe and North America.

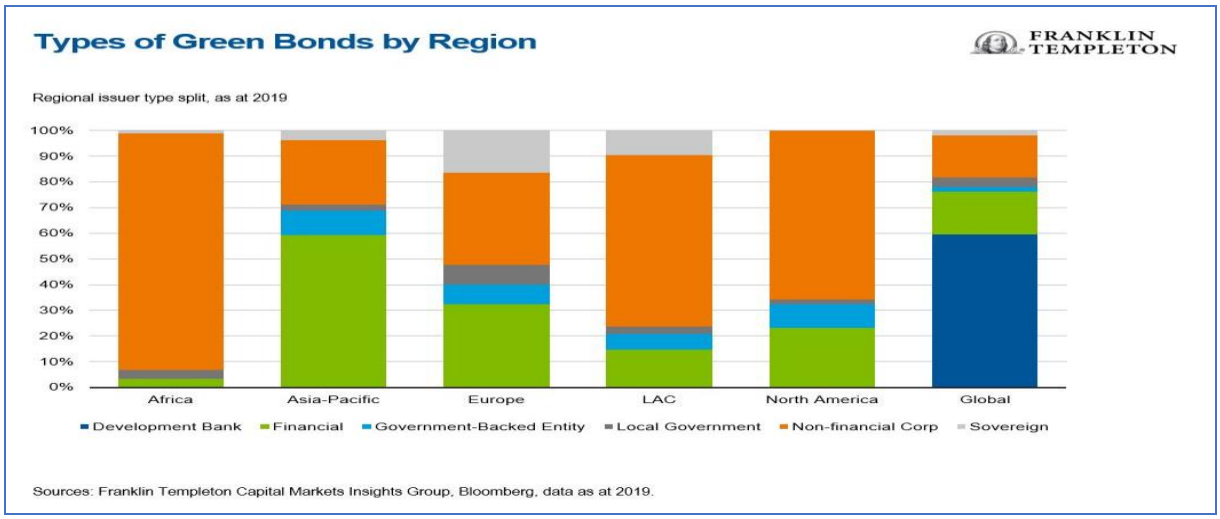
Figure 2: The Expansion of Green Bond Market




Source: (Flammer, 2020)

In the global context, development banks (EIB, EBRD, World Bank and IFC) constitute 60% of total bond issuance in 2019. New entrants to the market are mainly national development banks (Olsen-Rong, 2015).

Figure 3: Types of Green Bonds by Region




Source: (Flammer, 2020)

## 4. THE FUTURE OF GREEN BOND MARKET

It is expected that the green bond market will continue to grow as long as investors receive the same yield. Moreover, governments involving in green bonds has been increasing with the leadership of European countries. The issuance of the EU green bonds will expand the Euro green bond market significantly. The European Commission announced its vision of zero net greenhouse gas emissions by 2050 and achieving a 55% reduction in emissions compared to the year 1990 by 2030. The European

Central Bank (ECB) has also been supportive of the green bond market. As of the end of 2019, the ECB possessed nearly a quarter (24%) of eligible euro-area public sector green bonds and 20% of eligible euro-area corporate green bonds (Flammer, 2020). However, the lack of eligible assets is identified as the major barrier to the expansion of green bonds market by the respondents of the Green Bond Treasurer Survey 2020 (Harrison et al., 2020).

## 5. GREEN BONDS MARKET IN TURKEY

The first green bond from Turkey in international debt capital markets was issued by the Industrial Development Bank of Turkey in 2016. The issue size of the bond is $300 million while proceeds were used for private sector investments in renewable energy, energy efficiency, and other areas that reduce greenhouse gas emissions. IFC of the World Bank Group invested USD 50 million in this green bond issue in Turkey (IFC, 2016). In the following years privately owned commercial banks in Turkey such as Yapı Kredi, Akbank, Garanti BBVA also started issuing green bonds.

Turkey's first green sukuk amounted to 450 million TL was issued in 2020 by Industrial Development Bank of Turkey (TSKB) on behalf of Zorlu Enerji. Sukuk are Islamic bonds structured to generate returns in compliance with Islamic finance principles. Thus, green sukuks are in compliance with both Islamic finance principles and environmental issues (GIFIIP, 2020).

Green bonds not only help reduce carbon emissions of Turkey but also help reduce current account deficit of Turkey. The growth of Turkish economy calls for energy imports. Hence, energy and resource efficiency investments and renewable energy investments financed by green bonds leads to economic growth consuming less energy and resources and low-carbon economy.

Recently, Turkish government have taken actions to increase investments in clean energy, electric and hybrid vehicles, clean water and thus reduce carbon emissions. The first action is to prepare a legal framework. The second is to form a Bonds Guarantee Fund to encourage companies in the real sector to issue bonds at lower costs (Kaya, 2021).

## 6. CONCLUSION

Climate change is identified as one of the main treats to economic development. It is estimated that climate change could give rise to an additional 100 million people living in extreme poverty by 2030 if precautions aren't taken to reduce emissions. A recent development in capital market instruments called green bonds may help fight against climate change. Structurally, green bonds are similar to traditional bonds, but they provide finance to the environmental and climate-friendly projects.

Special attention is given to the growth of green bond market in Turkey. Literature review reveals that reputational benefits and market signal are the main reasons for issuing a green bond providing of the constraining nature of green bonds. Although green bond market has been growing remarkably, the lack of eligible assets is identified as the major barrier to the expansion of green bonds market.

Green bonds not only help reduce carbon emissions of Turkey but also help reduce current account deficit of Turkey. The growth of Turkish economy calls for energy imports. Hence, energy and resource efficiency investments and renewable energy investments financed by green bonds leads to economic growth consuming less energy and resources and low-carbon economy.

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# Sustainable Finance and Banking

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**Abstract***:* This study analyzes a recent phenomenon of sustainable finance and sustainable banking. Sustainable finance is defined as the process of taking environmental, social and governance (ESG) considerations into account when making investment decisions in the financial sector. The UN 2030 Agenda for Sustainable Development and its 17 Sustainable Development Goals (SDGs) aimed at attaining global economic growth through environmentally and socially sustainable investments and the European Union's commitment to sustainable development have given substantial momentum to sustainable finance. Sustainable development and sustainable finance goals of Europe is very supportive for the sustainable bond market. Sustainable bond market includes green, social and sustainability bonds. Recently, under the organization of international institutions such as the World Bank and the UN, banks in the world have also formed organizations such as the Sustainable Banking Network (SBN) and Net-Zero Banking Alliance to facilitate national policies, guidelines, and principles focused on sustainable banking.

**Keywords:** Sustainable Bonds, Sustainable Finance, Sustainable Banking, Turkey

## 1. INTRODUCTION

European Commission (2021) defines sustainable finance as the process of taking environmental, social and governance (ESG) considerations into account when making investment decisions in the financial sector, leading to more long-term investments in sustainable economic activities and projects.

Thus, sustainable finance supports economic growth while reducing pressures on the environment and taking into account social and governance aspects.

Environmental considerations might include climate change mitigation and adaptation, as well as the environment more broadly, for instance the preservation of biodiversity, pollution prevention and the circular economy. Social considerations could refer to issues of inequality, inclusiveness, labour relations, investment in human capital and communities, as well as human rights issues. The governance of public and private institutions – including management structures, employee relations and executive remuneration – plays a fundamental role in ensuring the inclusion of social and environmental considerations in the decision-making process.

The UN 2030 Agenda for Sustainable Development and its 17 Sustainable Development Goals (SDGs) aimed at reaching global economic growth through environmentally and socially sustainable investments and the European Union's commitment to sustainable development have given substantial momentum to sustainable finance.

## 2. THE EUROPEAN UNION AND SUSTAINABLE DEVELOPMENT

The European Union strongly supports the transition to a low-carbon, more resource-efficient and sustainable economy. The European Union calls for sustainable finance for sustainable development. It encourages the efforts to build a financial system that supports sustainable growth.

In 2015, the European Commission agreed on the UN 2030 Agenda for Sustainable Development and its 17 Sustainable Development Goals (SDGs) and approved the Paris climate agreement. The Paris climate agreement includes the commitment to align financial flows with a pathway towards low-carbon and climate-resilient development.

On 11 December 2019, the Commission made a clear commitment to decarbonise the economy and presented the European Green Deal as such it aims to reach zero net greenhouse gas emissions by 2050 and hence to make Europe the first climate-neutral continent.

As part of the Green Deal, the Commission presented on 14 January 2020 the European green deal investment plan, which will mobilise at least €1 trillion of sustainable investments over the next decade. It will create the right environment – or 'enabling framework' – to facilitate and stimulate the public and private investments needed for the transition to a climate-neutral, green, competitive and inclusive economy.

On 17 September 2020, the Commission proposed a new target of 2030 as such it is aimed to achieve a 55% reduction in emissions by 2030 as compared to 1990. The EU needs to invest approximately 350 billion Euro more every year during the 2021-30 decade than it did during the previous decade, in order to meet these 2030 climate and energy targets. It is suggested that €225 billion euros in green bonds should be issued to raise money for the 30% of the EU's coronavirus recovery fund directed toward green initiatives. The issuance of the EU green bonds will expand the Euro green bond market significantly and allow Europe to increase its lead as the place to issue green bonds.

Sustainable finance has a key role to play in delivering on the policy objectives under the European Green Deal as well as the EU's international commitments on climate and sustainability objectives. It does this by channelling private investment into the transition to a climate-neutral, climate-resilient, resource-efficient and fair economy, as a complement to public money. Sustainable finance will help ensure that investments support a resilient economy and a sustainable recovery from the impacts of the COVID-19 pandemic.

However, the scale of the investment challenge is beyond the capacity of the public sector alone. The financial costs of these efforts require the government to work with the private sector to meet their goals. The European Union (EU) recognises the crucial role of financial sector in capital raising and reaching those goals. Financial sector can

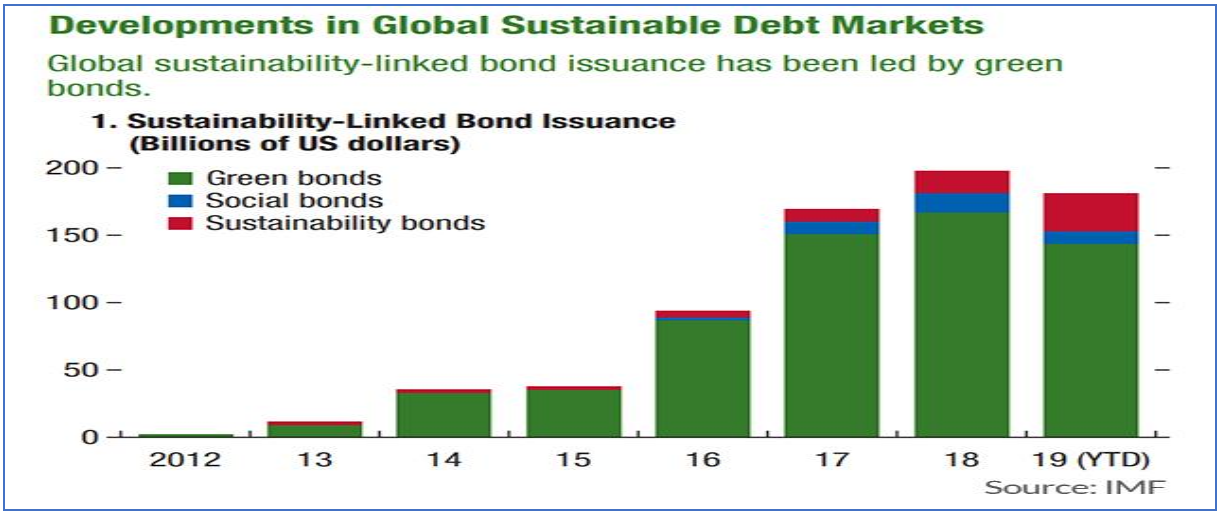
- re-orient investments towards more sustainable technologies and businesses,
- finance growth in a sustainable manner over the long-term,
- contribute to the creation of a low-carbon, climate resilient and circular economy.

## 3. SUSTAINABILITY-LINKED BOND MARKET

Sustainable development and sustainable finance goals of Europe is very supportive for the sustainable bond market. Sustainable bond market includes green, social and sustainability bonds. Total sustainability-linked bond issuance is estimated to be around 1.2 trillion dollar. Global sustainability-linked bond issuance has been led by green bonds, followed by sustainability bonds and social bonds. Majority of sustainability-linked bonds are green bonds as such green bonds compromise about 75% of total sustainability-linked bonds. The annual issuance of sustainability-linked bond issuance is about 200 billion dollar (Buchwald, 2019).

The first sustainability-linked bond was a green bond issued by the World Bank in 2008 with the demand of a group of Swedish pension funds desiring to invest in projects that help the climate (Reichelt, 2018). Since then, the issuance of bonds related to environment and social factors have accelerated. Annual issuance of sustainability-linked bond reached to 100 billion in 2016 and surpassed 200 billion dollar in the year 2018.

Figure 1: Sustainability-Linked Bond Issuance




Source: Buchwald (2019).

## 4. SUSTAINABILITY-LINKED BOND MARKET IN TURKEY

The first green bond from Turkey in international debt capital markets was issued by the Industrial Development Bank of Turkey in 2016. The issue size of the bond is $300 million while proceeds were used for private sector investments in renewable energy, energy efficiency, and other areas that reduce greenhouse gas emissions. IFC of the World Bank Group invested USD 50 million in this green bond issue in Turkey (IFC, 2016). In the following years privately owned commercial banks in Turkey such as Yapı Kredi, Akbank, Garanti BBVA also started issuing sustainability-linked bonds. In 2019, Garanti BBVA issued its first social bond in conjunction with IFC, to support women entrepreneurs and to retain women in the job force.

Table 1: Sustainability-linked Bond Issuance by in Turkey

| Year | Issuer | Amount | Maturity |
|---|---|---|---|
| 2016 | Türkiye Sınai Kalkınma Bankası | 300 million dollar | 5 years |
| 2017 | Türkiye Sınai Kalkınma Bankası | 300 million dollar | 10 years |
| 2017 | Garanti BBVA | 150 million dollar | 5 years |
| 2019 | Garanti BBVA | 50 million dollar | 5 years |
| 2020 | Yapı Kredi Bankası | 50 million dollar | 5 years |
| 2020 | Akbank | 50 million dollar | 4 years |
| 2021 | Türkiye Sınai Kalkınma Bankası | 350 million dollar | 5 years |

## 5. SUSTAINABLE BANKING AND PRINCIPLES OF SUSTAINABLE BANKING

Although the nature of the banking sector requires fewer natural resources, carbon dioxide emissions, and waste management activities in comparison with the manufacturing companies, banks as an intermediary institutions expedite the sustainable development (Nosratabadi et al., 2020).

Leveraging of the business reputation, brand differentiation, cost reduction through the management of energy and water consumption, increasing employee satisfaction and retention, directing the industry toward best practices, responding the needs of customers with eco-preferences are determined as benefits of applying sustainability principles in the service sector including banking (Nosratabadi et al., 2020). Nájera-Sánchez (2020) argue that financial entities intensify their efforts in what had become known as sustainable banking with the goal of counteracting the negative effects of their loss of reputation after the 2008 financial crisis.

In 2012, International Finance Cooperation (IFC) has formed the Sustainable Banking Network (SBN) which is a voluntary community of financial sector regulatory agencies and banking associations from emerging markets committed to advancing sustainable finance in line with international good practice. SBN members are committed to moving their financial sectors towards sustainability, with the twin goals of improved ESG risk management (including disclosure of climate risks) and increased capital flows to activities with positive climate impact. It is a platform for knowledge sharing and capacity building that facilitates the mobilization of practical support for members to design and implement national initiatives. The SBN provides the institutions a space to exchange experiences, gain knowledge, and collectively drive the sustainable finance agenda (IFC, 2021).

Under the leadership of IFC, 25 countries have launched national policies, guidelines, principles, or roadmaps focused on sustainable banking. They include Bangladesh, Brazil, Cambodia, China, Colombia, Ecuador, Georgia, Ghana, Indonesia, Kenya, Mexico, Mongolia, Morocco, Nepal, Nigeria, Pakistan, Panama, Paraguay, Peru, Philippines, South Africa, Sri Lanka, Thailand, Turkey, and Vietnam (IFC, 2021).

IFC proposes the following six best practices for developing sustainable finance in developing and underdeveloped countries. The first four practices are designing steps while the remaining two are implementing steps (IFC, 2021).

1) Assess banks' sustainable finance capacity: Assess bank's existing awareness and capacity for sustainable finance to inform strategies for sustainable fiancé development.

2) Develop appropriate sustainable finance strategies: Tailor approaches to developing and implementing sustainable finance framework to local market conditions.

3) Draft frameworks jointly with stakeholders: Collaborate and engage with key stakeholders in the financial sector to raise awareness and encourage ownership.

4) Support finance sector to implement framework: Address capacity constraints through awareness raising and training activities, together with tool development and resources.

5) Promote knowledge sharing and peer learning: Support knowledge-sharing among banks through forums or working groups of sustainable finance champions.

6) Implement appropriate monitoring practices: Level the playing field through appropriate reporting and enforcement measures such as integrating sustainability measures in regulator ratings.

On 22 September 2019, the Principles for Responsible Banking (PRB) was signed at the United Nations General Assembly in New York. The Principles for Responsible Banking are a framework for ensuring that signatory banks' strategy and practice are compatible with the Sustainable Development Goals and the Paris Climate Agreement. As of 2021, 2029 banks representing more than a third of the global banking industry signed the agreement (UNEPFI, 2021a).

The Principles for Responsible Banking provide the framework for a sustainable banking system and help the industry to demonstrate how it makes a positive contribution to society. They embed sustainability at the strategic, portfolio and transactional levels, and across all business areas. The Principles for Responsible Banking are as follows (UNEPFI, 2021a):

1) Alignment: We will align our business strategy to be consistent with and contribute to individuals' needs and society's goals, as expressed in the Sustainable Development Goals, the Paris Climate Agreement and relevant national and regional frameworks.

2) Impact & Target Setting: We will continuously increase our positive impacts while reducing the negative impacts on, and managing the risks to, people and environment resulting from our activities, products and services. To this end, we will set and publish targets where we can have the most significant impacts.

3) Clients & Customers: We will work responsibly with our clients and our customers to encourage sustainable practices and enable economic activities that create shared prosperity for current and future generations.

4) Stakeholders: We will proactively and responsibly consult, engage and partner with relevant stakeholders to achieve society's goals.

5) Governance & Culture: We will implement our commitment to these Principles through effective governance and a culture of responsible banking.

6) Transparency & Accountability: We will periodically review our individual and collective implementation of these Principles and be transparent about and accountable for our positive and negative impacts and our contribution to society's goals.

On the 21st April 2021, Net-Zero Banking Alliance was formed by 43 banks from 23 countries with US$28.5 trillion in assets, which are committed to aligning their lending and investment portfolios with net-zero emissions by 2050. The Alliance will reinforce, accelerate and support the implementation of decarbonisation strategies, providing an internationally coherent framework and guidelines in which to operate, supported by peer-learning from pioneering banks. It recognizes the vital role of banks in supporting the global transition of the real economy to net-zero emissions (UNEPFI, 2021b).

The UN-convened Net-Zero Banking Alliance outlined the Guidelines for Climate Targets Setting for Banks. The Guidelines for Climate Targets Setting for Banks outline key principles to underpin the setting of credible, robust, impactful and ambitious targets in line with achieving the objectives of the Paris Agreement. The guidelines outline the following four principles for target-setting (UNEPFI, 2021c):

1) Banks shall set and publicly disclose long-term and intermediate targets to support meeting the temperature goals of the Paris Agreement.

2) Banks shall establish an emissions baseline and annually measure and report the emissions profile of their lending portfolios and investment activities.

3) Banks shall use widely accepted science-based decarbonisation scenarios to set both long-term and intermediate targets that are aligned with the temperature goals of the Paris Agreement.

4) Banks shall regularly review targets to ensure consistency with current climate science.

## 6. CONCLUSION

This study analyzes a recent phenomenon of sustainable finance and sustainable banking. Sustainable finance is defined as the process of taking environmental, social and governance (ESG) considerations into account when making investment decisions in the financial sector. The UN 2030 Agenda for Sustainable Development and its 17 Sustainable Development Goals (SDGs) aimed at attaining global economic growth through environmentally and socially sustainable investments and the European Union’s commitment to sustainable development have given substantial momentum to sustainable finance. Sustainable development and sustainable finance goals of Europe is very supportive for the sustainable bond market. Sustainable bond market includes green, social and sustainability bonds. Recently, under the organization of international institutions such as the World Bank and the UN, banks in the world have also formed organizations such as the Sustainable Banking Network (SBN) and Net-Zero Banking Alliance to facilitate national policies, guidelines, and principles focused on sustainable banking.

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# Paris Climate Agreement and Turkey

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**Abstract:** Although industrial revolution has brought massive improvements in living standards to industrialized and industrializing countries, it leads to an accelerated growth in carbon dioxide emissions which is acknowledged as the primary driver of global climate change. Even though all parties agree on the fact that carbon dioxide emissions need to be reduced urgently in order to avoid the negative impacts of climate change, how this responsibility is shared between regions and countries are at the core of international discussions.

This article analyzes why Turkey refrain ratifying the Paris Climate Agreement although Turkey is among the first signatories of the Agreement. In the annex of the agreement, Turkey is categorized as developed country while China, Singapore, South Korea, India, Brazil, Argentina, Chile, Mexico, Saudi Arabia, Qatar and oil-rich Gulf states are categorized as developing country. As a low contributor to CO2 emission both historically and currently, Turkey argues that it is not fair to be classified as developing country. Under this categorization, Turkey will not benefit from the financial support that would be given to countries that are categorized as developing countries, but also it will provide financial resources to assist developing countries in implementing the objectives of the climate convention. Turkey with a 21% reduction target in emissions compared to business as usual level by 2030 argues that it's a developing country and needs financial assistance to stick to the agreement.

**Keywords:** Paris Climate Agreement, Developed Countries, Developing Countries, Turkey

## 1. INTRODUCTION

Although industrial revolution has brought massive improvements in living standards to industrialized and industrializing countries, it leads to an accelerated growth in carbon dioxide emissions which is acknowledged as the primary driver of global climate change.

The Paris Agreement is a legally binding international treaty on climate change. It was adopted by 196 countries at COP 21 in Paris, on 12 December 2015 and entered into force on 4 November 2016. Its goal is to limit global warming to well below 2, preferably to 1.5 degrees Celsius, compared to pre-industrial levels. To achieve this long-term temperature goal, countries aim to reach global peaking of greenhouse gas emissions as soon as possible to achieve a climate neutral world by mid-century. The Paris Agreement is a landmark in the multilateral climate change process because, for the first time, a binding agreement brings all nations into a common cause to undertake ambitious efforts to combat climate change and adapt to its effects (UNCC, 2021).

The Paris Agreement provides a framework for financial, technical and capacity building support to those countries who need it. The Paris Agreement reaffirms that developed countries should take the lead in providing financial assistance to countries that are less endowed and more vulnerable (developing), while for the first time also encouraging voluntary contributions by other countries. Climate finance is needed for mitigation, because large-scale investments are required to significantly reduce emissions. Climate finance is equally important for adaptation, as significant financial resources are needed to adapt to the adverse effects and reduce the impacts of a changing climate (UNCC, 2021).

Even though all parties agree on the fact that carbon dioxide emissions need to be reduced urgently in order to avoid the negative impacts of climate change, how this responsibility is shared between regions and countries are at the core of international discussions (Ritchie and Roser, 2021).

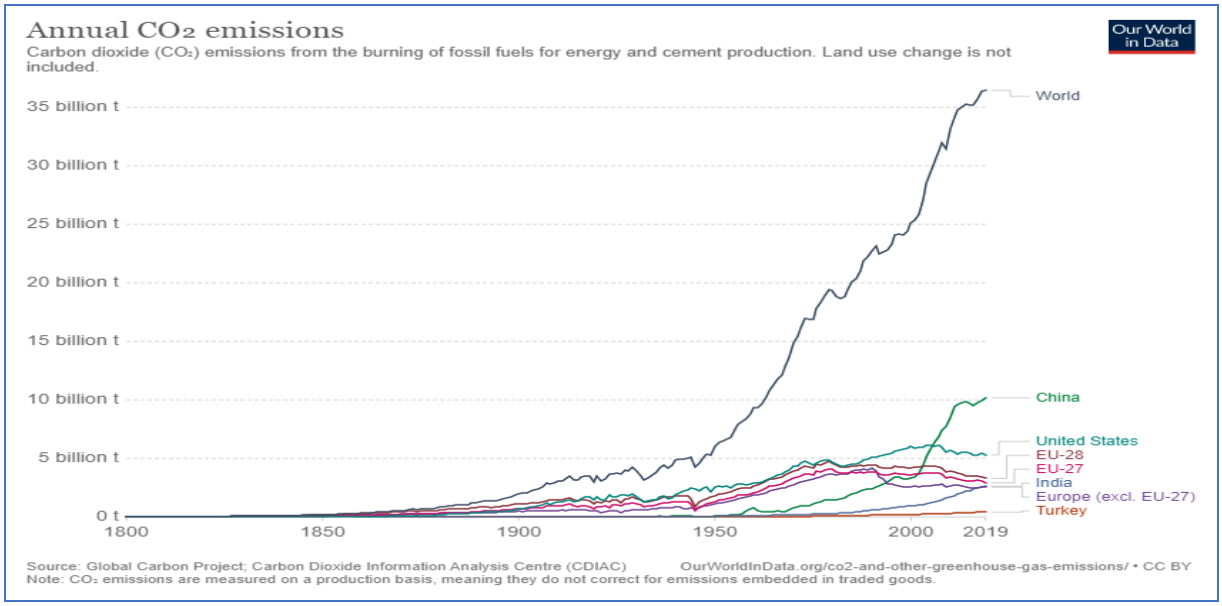
## 2. CO2 EMISSIONS

As of 2019, the annual CO2 emission of the world economies is 35 billion tonnes of CO2. The growth of global emission started to increase with the Industrial Revolution in the mid-18th century through to today. It can be observed that growth in emissions was still relatively slow until the mid-20th century.

The annual global CO2 emission reached 5 billion tones in 1950, skyrocketed to 25 billion tones in 2000, and reached 35 billion tones in 2019.

Historically, the world's largest emitter was the UK as a first country to industrialize until 1888. After 1888, the USA became the world's largest emitter until 2000. After the year 2000, the China turned out to be the largest emitter in the world. Until the 20th century, global emissions were dominated by Europe and the United States. More than 90% of emissions were produced in Europe or the US in 1990 while they accounted for more than 85% of emissions each year in 1950. The USA is responsible for 25% of historical emissions while European countries account for 22% of historical emissions. The US and Europe now account for about one-third of emissions. Asian countries leaded by China and India has become significant emitters in the second half of the 20th century. Currently, Asia comprises 53% of global emissions. Many of the large annual emitters today such as India and Brazil are not large contributors in a historical context. When we look at Turkey's annual CO2 emission, it can be seen that Turkey's historical contribution to the annual CO2 emission is very low compared to major emitters and never accelerated as seen in the case of China and India.

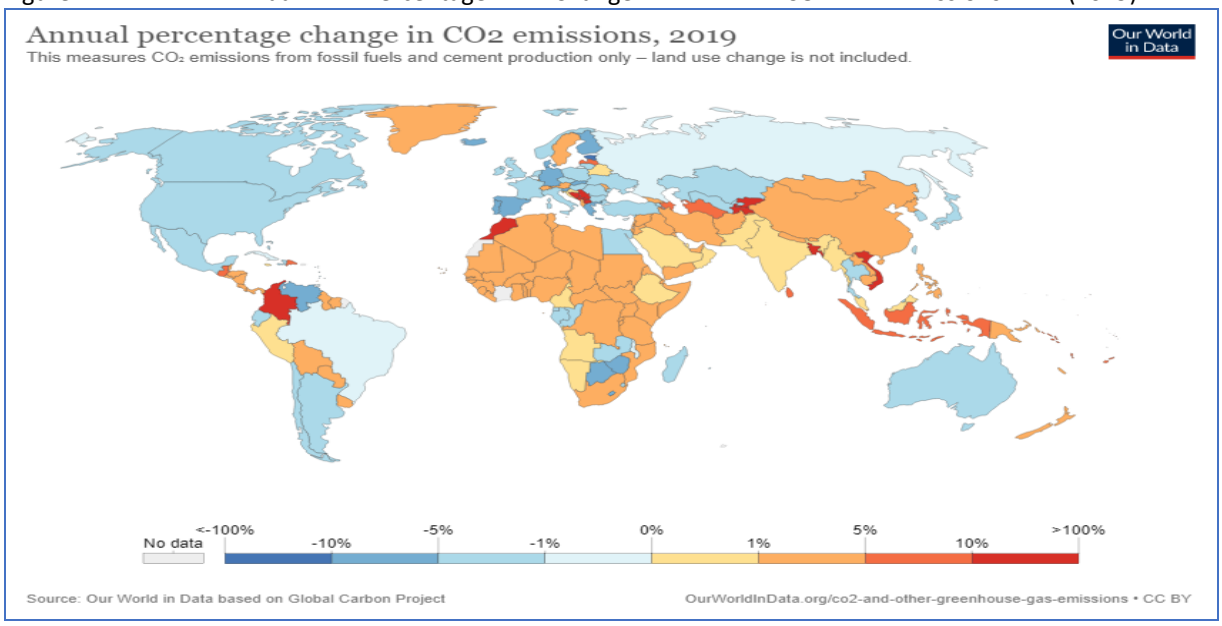
Figure 1: Annual Global CO2 Emissions




Source: https://ourworldindata.org/co2-emissions

Thanks to global awareness, emissions growth has slowed down over the last few years. Annual percentage change in CO2 emissions is lower than the year before for most of the countries leaded by the USA and European countries. However, emissions are still rising in Asia. When we look at Turkey, it can be observed that Turkey is among the regions where emissions are falling in the range between -1% and -5%.

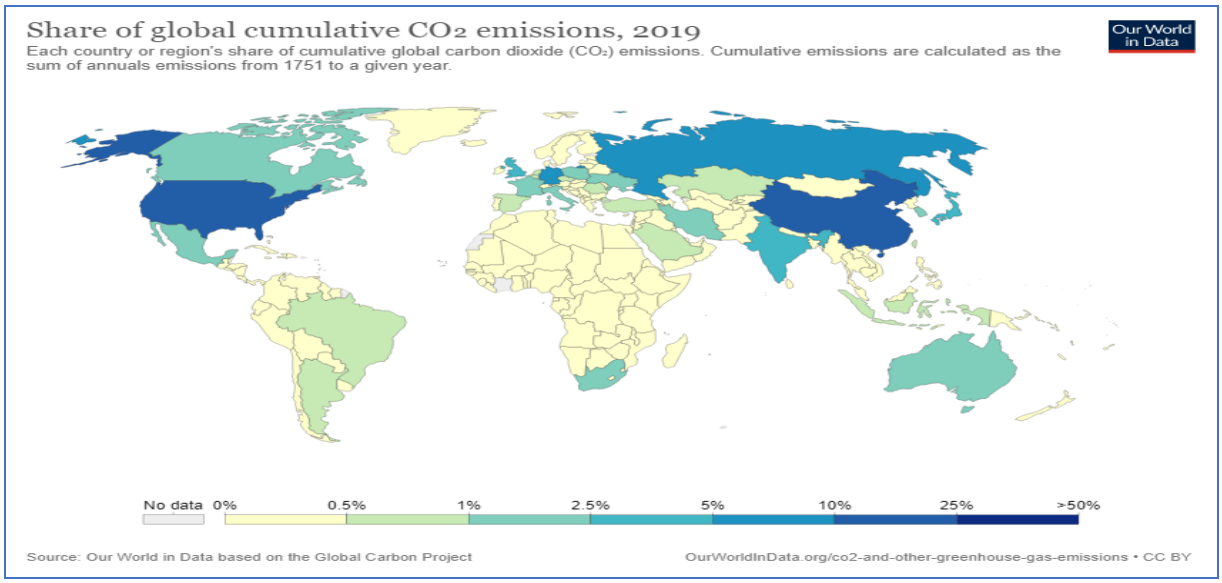
Figure 2: Annual Percentage Change in CO2 Emissions (2019)




Source: https://ourworldindata.org/co2-emissions

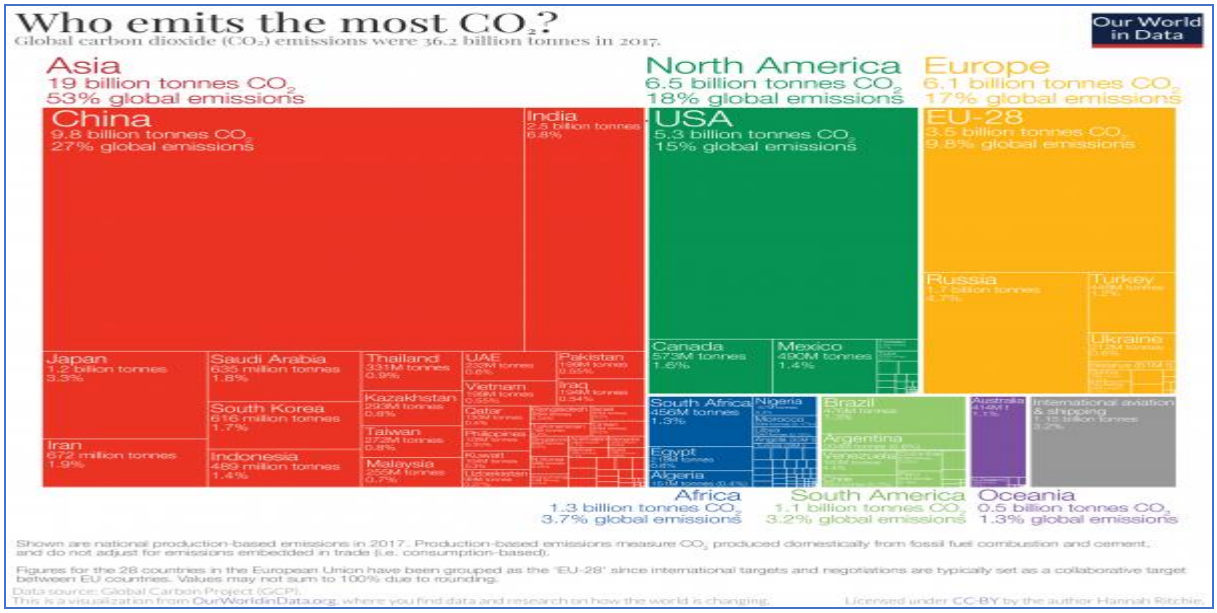
When we look at the share of global CO2 emissions by country it can be seen that Turkey accounts for 1.11% of global CO2 in 2019 while China and the USA are responsible for 27.9% and 14.5% of global CO2 in 2019, respectively. China, the USA and the 28 countries of the EU account for more than half of global emissions. Without commitment from these largest emitters, the world will not come close to meeting its global targets.

Figure 3: Share of Global Cumulative CO2 Emissions (2019)




Source: https://ourworldindata.org/co2-emissions

Figure 4: Major Emitters




Source: https://ourworldindata.org/co2-emissions

## 3. THE POSITIONING OF TURKEY TO PARIS CLIMATE AGREEMENT

Based on projections, the average temperature in Turkey is estimated to be set to rise by up to 5 degrees Celsius by 2100. According to the Global Climate Risk Index 2019, disasters caused by climate change in Turkey led to an economic loss worth nearly 2 billion USD in 2017. Thus, Turkey faces huge economic losses in key sectors such as energy, transport, urbanization, agriculture, industry, trade and tourism (Demirtaş, 2019).

197 countries in the World signed the Paris Agreement. Turkey signed the agreement on April 22, 2016. Although Turkey is among the first signatories of the Agreement, Turkey refrain ratifying the Paris Climate Agreement. Currently, Turkey is one of the six countries in the world, including Eritrea, Iraq, Iran, Libya and Yemen, and the only G20 country that has not yet ratified the agreement.

The agreement categorizes countries as developed and developing, as such it obliges the developed countries to financially support the efforts of developing countries. In the annex of the agreement, Turkey is categorized as developed country while China, Singapore, South Korea, India, Brazil, Argentina, Chile, Mexico, Saudi Arabia, Qatar and oil-rich Gulf states are categorized as developing country. As a low contributor to CO2 emission both historically and currently, Turkey argues that it is not fair to be classified as developing country. Under this categorization, Turkey will not benefit from the financial support that would be given to countries that are categorized as developing countries, but also it will provide financial resources to assist developing countries in implementing the objectives of the climate convention. Turkey with a 21% reduction target in emissions compared to business as usual level by 2030 argues that it's a developing country and needs financial assistance to stick to the agreement (Demirtaş, 2019; Kaya, 2021).

Turkey announced that Turkey will not ratify the agreement unless financial supports are given to Turkey. Recently, European Union along with the United Nations and the World Bank have proposed a special "financial package" to Turkey in return for its ratification of the 2015 Paris Agreement on climate change (Demirtaş, 2019; Kaya, 2021).

## 4. CONCLUSION

Although industrial revolution has brought massive improvements in living standards to industrialized and industrializing countries, it leads to an accelerated growth in carbon dioxide emissions which is acknowledged as the primary driver of global climate change. Even though all parties agree on the fact that carbon dioxide emissions need to be reduced urgently in order to avoid the negative impacts of climate change, how this responsibility is shared between regions and countries are at the core of international discussions.

Turkey signed the Paris Climate Agreement on April 22, 2016. Although Turkey is among the first signatories of the Agreement, Turkey refrain ratifying the Paris Climate Agreement. The agreement categorizes countries as developed and developing, as such it obliges the developed countries to financially support the efforts of developing countries. In the annex of the agreement, Turkey is categorized as developed country while China, Singapore, South Korea, India, Brazil, Argentina, Chile, Mexico, Saudi Arabia, Qatar and oil-rich Gulf states are categorized as developing country. As a low contributor to CO2 emission both historically and currently, Turkey argues that it is not fair to be classified as developing country. Under this categorization, Turkey will not benefit from the financial support that would be given to countries that are categorized as developing countries, but also it will provide financial resources to assist developing countries in implementing the objectives of the climate convention. Turkey with a 21% reduction target in emissions compared to business as usual level by 2030 argues that it's a developing country and needs financial assistance to stick to the agreement.

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# Green Economy and Sustainable Cities

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***Abstract:*** The concepts of sustainable development, green economy, green growth and sustainable cities have become popular during the past years among governments, international institutions and public. Especially, this attention has been accelerated after the 2008 financial crisis. Initially, green economy and green growth concepts have emerged as a tool to tackle the 2008 financial crisis. These concepts subsequently led to rise the concept of sustainable development in popularity, especially with the 2012 United Nations Conference on Sustainable Development. The concept of sustainable cities has gained popularity after being counted among 17 sustainable development goals. This article investigates their interconnection and the way they create a new ecosystem.

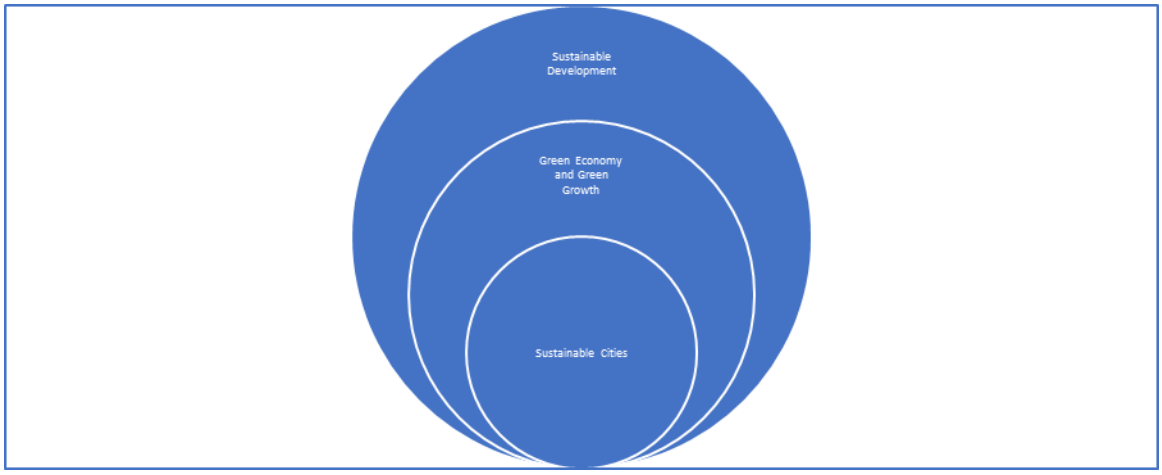
**Keywords:** Green Economy, Green Growth, Sustainable Development, Sustainable Cities

## 1. INTRODUCTION

The concepts of sustainable development, green economy, green growth and sustainable cities have become popular during the past years among governments, international institutions and public. Especially, this attention has been accelerated after the 2008 financial crisis. Initially, green economy and green growth concepts have emerged as a tool to tackle the 2008 financial crisis. These concepts subsequently led to rise the concept of sustainable development in popularity, especially with the 2012 United Nations Conference on Sustainable Development. The concept of sustainable cities has gained popularity after being counted among 17 sustainable development goals. This article investigates their interconnection and the way they create a new ecosystem.

The notions of green economy-green growth and sustainable cities are subset of sustainable development. All of them creates an ecosystem as such all parts are interconnected (see Figure 1).

Figure 1: Interconnection of Sustainable Development Related Concepts




In the following sections, concepts of green economy, green growth and sustainable cities are investigated.

## 2. GREEN ECONOMY

According to the UN Environment Programme, a green economy is low carbon, resource efficient and socially inclusive. Thus, it leads to human well-being and social equality, while significantly reducing

environmental risks and ecological scarcities. In a green economy, growth in employment and income are driven by public and private investment into such economic activities, infrastructure and assets that allow reduced carbon emissions and pollution, enhanced energy and resource efficiency, and prevention of the loss of biodiversity and ecosystem services. The Green Economy provides a macro-economic approach to sustainable economic growth with a central focus on investments, employment and skills (UNEP, 2021).

These green investments need to be enabled and supported through targeted public expenditure, policy reforms and changes in taxation and regulation. UN Environment promotes a development path that understands natural capital as a critical economic asset and a source of public benefits, especially for poor people whose livelihoods depend on natural resources (UNEP, 2021).

Sustainable consumption and production and resource efficiency are main ingredients of green economy. Sustainable Consumption and Production aims to improve production processes and consumption practices to reduce resource consumption, waste generation and emissions across the full life cycle of processes and products – while Resource Efficiency refers to the ways in which resources are used to deliver value to society and aims to reduce the amount of resources needed, and emissions and waste generated, per unit of product or service (UNEP, 2021).

The three main areas for the current work on Green Economy are (UNEP, 2021):

1) Advocacy of macro-economic approach to sustainable economic growth through regional, sub-regional and national fora

2) Demonstration of Green Economy approaches with a central focus on access to green finance, technology and investments

3) Support to countries in terms of development and mainstreaming of macro-economic policies to support the transition to a Green Economy

Multi-stakeholder partnerships for the promotion of a Green Economy are supported to accelerate and consolidate sustainable changes in both consumption and production patterns. In addition to Governments and not-for-profit organizations, UN Environment has increased its engagement with the private sector – which is a very important actor in promoting resource efficiency and green economy (UNEP, 2021).

## 3. PRINCIPLES OF A GREEN ECONOMY

The Green Economy Coalition is a diverse set of organisations including NGOs, research institutes, UN organisations, businesses and trade unions working to accelerate the transition to a green economy. (UNDESA, 2012). The Green Economy Coalition envisage that our economies in their current form incentivize overconsumption, degrade communal bonds, and destroy natural wealth. But this is not inevitable or unavoidable; it is simply how our economies have evolved to operate. To solve these problems, a new economic vision is required. This new vision should be a fair and green. Their vision of a green economy is one that provides prosperity for all within the ecological limits of the planet (GEC, 2020).

The Green Economy Coalition attempts to determine principles of a green economy. Initially, the Green Economy Coalition drafted nine principles of a green economy in 2012:

1. It delivers sustainable development

2. It delivers equity – The Justice Principle

3. It creates genuine prosperity and wellbeing for all – The Dignity Principle

4. It improves the natural world – The Earth Integrity, Planetary Boundaries and Precautionary Principle

5. It is inclusive and participatory in decision making – The Inclusion Principle

6. It is accountable – The Governance Principle

7. It builds economic, social and environmental resilience – The Resilience Principle

8. It delivers sustainable consumption and production – The Efficiency Principle

9. It invests for the future – The Intergenerational Principle (UNDESA, 2012).

Then, the Green Economy Coalition determined 5 key principles of a green economy in 2020 (GEC, 2020).

1. The Wellbeing Principle

A green economy enables all people to create and enjoy prosperity. The green economy is people centered. Its purpose is to create genuine, shared prosperity. It focuses on growing wealth that will support wellbeing. This wealth is not merely financial, but includes the full range of human, social, physical and natural capitals. It prioritizes investment and access to the sustainable natural systems, infrastructure, knowledge and education needed for all people to prosper. It offers opportunities for green and decent livelihoods, enterprises and jobs. It is built on collective action for public goods, yet is based on individual choices

2. The Justice Principle

The green economy promotes equity within and between generations. The green economy is inclusive and non-discriminatory. It shares decision-making, benefits and costs fairly; avoids elite capture; and especially supports women's empowerment. It promotes the equitable distribution of opportunity and outcome, reducing disparities between people, while also giving sufficient space for wildlife and wilderness. It takes a long-term perspective on the economy, creating wealth and resilience that serve the interests of future citizens, while also acting urgently to tackle today's multi-dimensional poverty and injustice. It is based on solidarity and social justice, strengthening trust and social ties, and supporting human rights, the rights of workers, indigenous peoples and minorities, and the right to sustainable development. It promotes empowerment of MSMEs, social enterprises, and sustainable livelihoods. It seeks a fast and fair transition and covers its costs – leaving no-one behind, enabling vulnerable groups to be agents of transition, and innovating in social protection and reskilling.

3. The Planetary Boundaries Principle

The green economy safeguards, restores and invests in nature. An inclusive green economy recognizes and nurtures nature's diverse values – functional values of providing goods and services that underpin the economy, nature's cultural values that underpin societies, and nature's ecological values that underpin all of life itself. It acknowledges the limited substitutability of natural capital with other capitals, employing the precautionary principle to avoid loss of critical natural capital and breaching ecological limits. It invests in protecting, growing and restoring biodiversity, soil, water, air, and natural systems. It is innovative in managing natural systems, informed by their properties such as circularity, and aligning with local community livelihoods based on biodiversity and natural systems.

4. The Efficiency and Sufficiency Principle

The green economy is geared to support sustainable consumption and production. An inclusive green economy is low-carbon, resource-conserving, diverse and circular. It embraces new models of economic development that address the challenge of creating prosperity within planetary boundaries. It recognises there must be a significant global shift to limit consumption of natural resources to physically sustainable levels if we are to remain within planetary boundaries. It recognizes a 'social floor' of basic goods and services consumption that is essential to meet people's wellbeing and dignity, as well as unacceptable 'peaks' of consumption. It aligns prices, subsidies and incentives with true costs to society, through mechanisms where the 'polluter pays' and/or where benefits accrue to those who deliver inclusive green outcomes.

5. The Good Governance Principle

The green economy is guided by integrated, accountable and resilient institutions. An inclusive green economy is evidence-based – its norms and institutions are interdisciplinary, deploying both sound science and economics along with local knowledge for adaptive strategy. It is supported by institutions

that are integrated, collaborative and coherent – horizontally across sectors and vertically across governance levels – and with adequate capacity to meet their respective roles in effective, efficient and accountable ways. It requires public participation, prior informed consent, transparency, social dialogue, democratic accountability, and freedom from vested interests in all institutions – public, private and civil society – so that enlightened leadership is complemented by societal demand. It promotes devolved decision-making for local economies and management of natural systems while maintaining strong common, centralized standards, procedures, and compliance systems. It builds a financial system with the purpose of delivering wellbeing and sustainability, set up in ways that safely serve the interests of society.

## 4. GREEN GROWTH

Although the roots of green growth concepts went to the Club of Rome's report entitled "The Limits to Growth" in 1972, it became popular after the 2008 financial crisis. As a part of their responses to the crisis, 34 members of OECD Ministerial Council signed a Green Growth Declaration in 2009. It is envisaged that a return to 'business as usual' would be unwise and ultimately unsustainable, involving risks that could impose human costs and constraints on economic growth and development. It could result in increased water scarcity, resource bottlenecks, air and water pollution, climate change and biodiversity loss which would be irreversible. Ministerial Council agreed that green growth tools and indicators can help expand economic growth and job creation through sustainable use of natural resources, efficiencies in the use of energy, and valuation of ecosystem services. Ministers noted that innovation, supported by a strong intellectual property rights system, is a key to countries' abilities to achieve economic growth, create green jobs, and protect the environment. This strategy provides a practical framework for governments in developed and developing countries to seize opportunities that arise when the economy and the environment work together (OECD, 2011).

Green growth means fostering economic growth and development while ensuring that natural assets continue to provide the resources and environmental services. It focuses on fostering the necessary conditions for innovation, investment and competition that can give rise to new sources of economic growth – consistent with resilient ecosystems (OECD, 2011).

Green growth has the potential to address economic and environmental challenges and open up new sources of growth through the following channels (OECD, 2011):

• Productivity. Incentives for greater efficiency in the use of resources and natural assets: enhancing productivity, reducing waste and energy consumption and making resources available to highest value use.

• Innovation. Opportunities for innovation, spurred by policies and framework conditions that allow for new ways of addressing environmental problems.

• New markets. Creation of new markets by stimulating demand for green technologies, goods, and services; creating potential for new job opportunities.

• Confidence. Boosting investor confidence through greater predictability and stability around how governments are going to deal with major environmental issues.

• Stability. More balanced macroeconomic conditions, reduced resource price volatility and supporting fiscal consolidation through, for instance, reviewing the composition and efficiency of public spending and increasing revenues through the pricing of pollution.

It can also reduce risks of negative shocks to growth from (OECD, 2011):

• Resource bottlenecks which make investment more costly, such as the need for capital intensive infrastructure when water supplies become scarce or their quality decreases (e.g. desalinisation equipment). In this regard, the loss of natural capital can exceed the gains generated by economic activity, undermining the ability to sustain future growth.

• Imbalances in natural systems also raise the risk of more profound, abrupt, highly damaging, and potentially irreversible, effects – as has happened to some fish stocks and as could happen with damage

to biodiversity under unabated climate change. Attempts to identify potential thresholds suggest that in some cases – climate change, global nitrogen cycles and biodiversity loss – these have already been exceeded.

## 5. SUSTAINABLE CITIES

Sustainable cities and communities are among the 17 sustainable development goals (SDG), which were adopted by United Nations Member States in 2015 as a universal call to action to end poverty, protect the planet and ensure that all people enjoy peace and prosperity by 2030.

More than half of the world population live in cities. By 2050, two-thirds of all humanity—6.5 billion people—will be urban. Sustainable development cannot be achieved without sustainable cities and communities. The rapid growth of cities—a result of rising populations and increasing migration—has led to a boom in mega-cities, especially in the developing world, and slums are becoming a more significant feature of urban life (UN, 2021).

Sustainable cities mean a city or urban area that respects principles of sustainable development (Le Thiez, 2018). Making cities sustainable involve creating career and business opportunities, safe and affordable housing, and building resilient societies and economies. It involves investment in public transport, creating green public spaces, and improving urban planning and management in participatory and inclusive ways (UN, 2021).

Based on the Pact of Amsterdam, the urban agenda for the European Union, launched in May 2016 by the Commission, the Member States and cities, aims to strengthen cooperation among stakeholders to enhance growth, quality of life and innovation in European cities and to identify societal challenges. In the energy-environment field, key themes include the energy transition and energy consumption, air quality, urban mobility, adaptation to climate change, waste recycling, and sustainable use of soil and natural resources in cities, keeping in mind the omnipresent digital transition. Other issues related to sustainable cities remain applicable, including housing, employment and skills within the local economy (Le Thiez, 2018).

## 6. CONCLUSION

The concepts of sustainable development, green economy, green growth and sustainable cities have become popular during the past years among governments, international institutions and public. Especially, this attention has been accelerated after the 2008 financial crisis. Initially, green economy and green growth concepts have emerged as a tool to tackle the 2008 financial crisis. These concepts subsequently led to rise the concept of sustainable development in popularity, especially with the 2012 United Nations Conference on Sustainable Development. The concept of sustainable cities has gained popularity after being counted among 17 sustainable development goals. This article investigates their interconnection and the way they create a new ecosystem.

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# Gümrük Mevzuatında Mücbir Sebepler ve Covid-19 Pandemisinin Etkileri

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**Özet:** Tarih boyunca gümrükler politika, ekonomi, kamu maliyesi ve kamu güvenliği yönüyle önemli görülmüş ve hukukun geçirdiği evrime uygun şekilde çeşitli düzenlemelere konu olmuştur. Gümrük işlemlerinin gümrük mevzuatını oluşturan bu düzenlemelere göre yerine getirilmesi öngörülmüş olsa da bazı hallerde bu mümkün olmayabilmektedir. Kişilerin kusurunu ortadan kaldıran, mağdur olmasını engelleyen ve ödevlerini sonradan yerine getirmesini sağlayan bu haller arasında mücbir sebepler de bulunmaktadır. Covid-19'dan kaynaklanan pandemi de gümrük işlemleri sırasında geçerlilik bulan mücbir sebepler arasındadır. Mücbir sebepler, gümrük vergileri ve gümrük işlemleri dahil hukukun birçok alanında uygulama bulsa ve koruyucu etkileri kabul edilse de ortak bir tanıma ve koşullara sahip değildir. Bu çalışmada gümrük mevzuatında düzenlenen mücbir sebepler incelenmiş ve kişilerin haklarını koruması ve ödevlerini yerine getirmesi açısından etkileri değerlendirilmiştir. Bu amaçla gümrük mevzuatının temel düzenlemeleri ile gümrük idaresinin kamuya yansıyan çeşitli uygulamaları üzerinde durulmuştur. Çalışma neticesinde gümrük mevzuatında mücbir sebeplere ilişkin düzenlemelerin çerçeve bir kanun hükmüne dayanmadığı, sistematik olmadığı, anlaşılabilmesi ve uygulanabilmesi için kapsamlı ve karmaşık bir mevzuat yığınının dikkate alınmasının gerekli olduğu sonucuna ulaşılmıştır. Pandeminin neden olabileceği mağduriyetin önlenmesi amacıyla gümrük idaresinin sık sık dağıtımlı yazılarla talimatlandırılmasının nedenlerinden biri de bu durum görülmektedir. Gümrük mevzuatı ve yorumu bakımından mücbir sebeplere ilişkin tanımın, koşulların ve etkilerin Gümrük Kanununda çerçeve bir düzenlemede yer alması, iyi niyetli kişilerin haklarının korunması ve mağdur olmalarının önlenmesi ile uygulamada istikrar sağlanabilmesi açısından önemli bir eksikliği giderecektir.

**Anahtar Kelimeler:** Gümrük, Gümrük Mevzuatı, Gümrük İşlemleri, Mücbir Sebep, Pandemi

**Abstract:** Throughout history, customs have been regarded as important in terms of politics, economy, public finance and public security and have been subject to various regulations in accordance with the evolution of law. Although it is envisaged that customs procedures will be carried out in accordance with these regulations, which constitute the customs legislation, in some cases this may not be possible. There are force majeure among these situations that eliminate the flaws of people, prevent them from becoming victims and enable them to fulfill their duties later. The pandemic caused by Covid-19 is also among the force majeure reasons that are valid for customs procedures. Although force majeure are applied in many areas of law including customs duties and customs procedures and their protective effects are accepted, they do not have a common definition and conditions. In this study, the force majeure regulated in the customs legislation and its effects have been examined and it has been evaluated whether it has sufficient effect in protecting the rights of individuals and fulfilling their duties. For this purpose, the basic regulations of the customs legislation and customs practices were examined. As a result of the study, it was concluded that the regulations on force majeure in the customs legislation are not based on a framework law, are not systematic, and that a comprehensive and complex legislature must be taken into account in order to be understood and implemented. This is one of the reasons why the customs administration is instructed with frequent orders to prevent the victimization caused by the pandemic. In terms of customs legislation and interpretation, including the definition, conditions and effects of force majeure in a framework regulation in the Customs Law will eliminate an important deficiency in terms of protecting the rights of well-intentioned persons and preventing them from being victims and ensuring stability in practice.

**Key Words:** Customs, Customs Legislation, Customs Procedures, Force Majeure, Pandemic

## 1. GİRİŞ

Türk Dil Kurumu Genel Türkçe Sözlükte salgın, "*kısa zamanda çevredeki insan, hayvan veya bitkilerin büyük bir bölümüne bulaşan, müstevli* (sıfat)" ve "*bir hastalığın veya başka bir durumun yaygınlaşması ve birçok kimseye birden bulaşması, epidemi* (isim)" olarak tanımlanmıştır (Türk Dil Kurumu [TDK], 2021). Pandemi ise, "*dünyada birden fazla ülkede veya kıtada, çok geniş bir alanda yayılan ve etkisini gösteren salgın hastalıklara verilen genel isim*" anlamına gelmektedir (Türkiye Bilimler Akademisi [TÜBA], 2020: 19).

Dünya Sağlık Örgütüne göre yeni bir hastalığın dünya çapında yayılmasına pandemi adı verilmektedir ve bir hastalığın pandemi sayılması, "*yeni bir virüs veya mutasyona uğramış bir etken olması*", "*insanlara*

*kolayca geçebilmesi*" ve "*insandan insana kolay ve sürekli bir şekilde bulaşması*" şartlarına bağlıdır. Pandeminin ilanı da şartlar gerçekleştiğinde, Dünya Sağlık Örgütü tarafından yapılmaktadır (World Health Organization [WHO], 2010; Çınar ve Özkaya, 2020: 37; TÜBA, 2020: 19). Tarihte çeşitli örnekleri olmakla birlikte, en son Çin'in Hubei eyaletinin Vuhan şehrinde 5/1/2020 tarihinde, daha önce insanlarda tespit edilmemiş yeni bir koronavirüsün tespiti, ilk olarak "*2019-nCoV*" ve sonra da "*Covid-19*" olarak adlandırılan hastalığın ortaya çıkması ve üç ay gibi kısa bir sürede tüm dünyayı etkilemesi üzerine, Türkiye'de de ilk vakanın görüldüğü tarih olan 11/3/2020'de pandemi ilan edilmiştir (WHO, 2020; Budak ve Korkmaz, 2020: 66).

Covid-19 pandemisinin (kısaca pandeminin), tüm dünyada, başta sağlık olmak üzere ekonomi, maliye, eğitim, ulaşım, turizm ve kültürel etkinlikler dahil hemen hemen her alanda etkisi olmuştur. Bu nedenle pandemiyle mücadelede edebilmek ve özellikle ekonomiye olan olumsuz etkilerini en aza indirebilmek amacıyla bütün ülkeler çeşitli içerikte para ve maliye politikası tedbirlerini hızla yürürlüğe koymuştur. Bu tedbirler; finansal piyasalara likidite sağlanması, faiz indirimi, açık piyasa işlemleri, zorunlu karşılıkların düşürülmesi, kredi temini, vergi indirimleri, vergi/borç ertelemeleri veya yapılandırmaları, transfer ödemelerini artırma/gelir desteği sağlama, işsizliği önleme, fiyat denetimleri, borçlulara anapara veya faiz moratoryumu verilmesi ve çeşitli sektörlere yönelik teşvik paketleri olarak şekillenmiştir (Ozili ve Arun, 2020: 15; Duran ve Acar, 2020: 62; Eğilmez, 2020; Arabacı ve Yücel, 2020: 93). Türkiye'de de pandeminin ilanıyla birlikte 27/4/2020 tarihine kadar olan dönemde vergi alanında 19, sosyal güvenlik alanında 12, araştırma alanında 4, çeşitli hukuk dallarında 15 ve gümrük alanında 33 olmak üzere toplam 83 konuda düzenleme yapılmıştır (Çalıkoğlu, 2020). Genel hatlarıyla oran indirimleri, vergi beyannamesi verme sürelerinin uzatılması, vergi ödeme sürelerinin uzatılması gibi vergi destekleri ve teşvik paketleri olmak üzere iki gruba ayrılan bu önlemler arasında sürelerin uzatılması ön plandadır (Ekmekçi vd., 2020: 1073). Ayrıca pandemi sürecinde vergi iadelerinin hızlandırılması, vergi ve sosyal güvenlik primlerinin ertelenmesi, borçların yapılandırması, devlet kredisi ve kredi garantisi verilmesi, işletmelerin vergi yükünün azaltılması gibi önlemler de uygulanmıştır (OECD, 2020; Ekmekçi vd., 2020: 1073).

Pandemiyle ilgili hukuk alanında üzerinde en fazla durulan konulardan biri ise, mücbir sebep halleridir (Karakoç, 2020). Konunun gümrük ve dış ticaret alanına yansıması ise, pandeminin mücbir sebep oluşturup oluşturmadığı ve oluşturması halinde gümrük yükümlülüklerine etkisinin ne olacağı yönündedir.

Çalışmanın konusunu gümrük mevzuatında mücbir sebep düzenlemeleri ve pandeminin etkisi oluşturmaktadır. Konunun irdelenmesi amacıyla çalışmanın birinci bölümünde vergi hukuku ve teorisi temelinde mücbir sebep kavramı, koşulları ve pandeminin mücbir sebep niteliği; ikinci bölümünde mücbir sebeplere ilişkin düzenlemeler ve son bölümünde de mücbir sebeplerin gümrük işlemlerine etkisi incelenecektir. Belirtilmelidir ki dahilde alınan vergilere ilişkin mücbir sebepler konusundaki akademik eser yoğunluğundan ne yazık ki gümrük vergileri ve gümrük işlemleri alanında da olduğunu söyleyebilmek oldukça güçtür. Bu nedenle çalışmada yapılan açıklamalarda dahilde alınan vergilere ilişkin temel düzenleme ve görüşlerden sıklıkla yararlanılmıştır.

## 2. MÜCBİR SEBEP KAVRAMI, KOŞULLARI VE PANDEMİNİN NİTELİĞİ

Mücbir sebep kavramı, farklı hukuk alanlarında kullanılmakla birlikte açık bir tanıma sahip değildir. Bu bölümde mücbir sebeplere ilişkin tanımlar, mücbir sebep olmanın koşulları ve pandeminin mücbir sebep olması açısından niteliği üzerinde durulacaktır.

### 2.1. Mücbir Sebep Kavramı

Türk Dil Kurumu Genel Türkçe Sözlükte mücbir sebep kavramı, *"herhangi bir kimse tarafından alınacak önlemlere karşı, önüne geçilmesi olanaksız, borcun yerine getirilmesine engel, borçlunun iradesi dışında beklenmedik olaylar"* şeklinde tanımlanmıştır (TDK, 2021). Arapça, "*zorla iş yaptıran, icbar eden, zorlayan*" anlamına gelen "*cebr*" kökünden türeyen kavram, Roma Hukuku dönemiyle birlikte "*mücbir haller ve olaylar*" olarak modern hukukta yerini almış ve Türkçeye "*mücbir sebep*" olarak yerleşmiştir (Ekmekçi vd., 2020: 1076). Kavram tekil veya çoğul şekliyle ve özellikle de hukuk alanında sıklıkla kullanılmaktadır.

Mücbir sebepler hukukun birçok alanını ilgilendirse de ilgili düzenlemelerde açıkça tanımlanması yerine, bir sınırlandırılmaya tabi tutulmadan örneklenmesi tercih edilen bir kavramdır. Bununla birlikte teoride, mücbir sebeple ilgili, aynı veya benzer ifadeleri içeren, birçok tanım bulunmaktadır. Bu tanımlara göre mücbir sebepler;

- *"Kapsamına giren olaylar ve durumlar itibariyle, nedeni bilinse önlem alınabilmekle ve zararın önüne geçilebilmekle birlikte, çoğunlukla doğadan kaynaklanan ve insanların elindeki araçlarla karşı koyamayacağı olaylardır*" (Evren, 2010: 272).
- "*İlliyet bağını kesen, zarar vereni, borçluyu veya mükellefi doğan zarardan/cezadan kurtaran, bir hakkın kullanımını süresi geçtikten sonra da mümkün kılan durumlardır"* (Karadağ ve Organ, 2011: 151).
- "*Tarafların belirli bir süreye bağlı olarak yerine getirmesi gereken ödev, yükümlülük veya borçlarını yerine getirme sırasında iradesini geçici olarak ortadan kaldıran ve dıştan gelen fiili bir durumdur*; *yani gerçek dünyada meydana gelen bir olayın hukuk aleminde söz konusu olan bir ödev, yükümlülük veya borcun yerine getirilmesini ya da bir hakkın kullanılmasını geçici olarak durdurmasıdır*" (Yerlikaya, 2012: 43; Erol, 2012: 200).
- *"Vergi mükelleflerinin, vergi sorumlularının ve ceza muhataplarının isteseler dahi hiçbir biçimde kendi çabaları ve iradeleriyle önüne geçemeyecekleri, oluşunu ve sonuçlarını engelleyemeyecekleri doğal veya yapay durumlardır"* (Erol, 2012: 201).
- "*Bir hakkın kullanılmasını, bir borcun ya da ödevin yerine getirilmesini engelleyen, önceden bilinmesi ve önlenmesi mümkün olmayan her türlü olaydır*" ve *"kişilerin önceden tahmin etmeleri mümkün olmayan, iradelerine dayanmayan dış etkiler sonucu meydana gelen ve etkilerini bertaraf edemedikleri olaylardır"* (Karakoç, 2017: 274; Karakoç, 2020).
- Özel hukukta, "*bir borcun veya genel bir davranış yükümlülüğünün yerine getirilmesini engelleyen, borçlunun işletme faaliyetiyle ilgisi olmayan, öngörülemez ve kaçınılamaz olaydır*"; idare hukukunda idarenin sorumluluğunu kaldıran hallerle ilgili olarak, "*idarenin faaliyetinin dışında gelişen öngörülemeyen ve önlenemeyen olaylardır*" ve aynı zamanda "*idareye karşı bir taahhüdün veya yükümlülüğün yerine getirilmesini engelleyen, idarenin muhatabı kişilerin kusurundan kaynaklanmayan ve kişilerin ortadan kaldırmaya gücünün yetemeyeceği maddi veya hukuki olaylar"* olup "*idarenin engelleyici tutumu*" bile mücbir sebep sayılmalıdır (Yıldırım, 2019: 1521-1529).
- "*Kişilerin işlem ve işletmesi dışında gelişen, genel bir davranış normunun veya borcun zedelenmesine mutlak ve kaçınılmaz bir biçimde yol açan ve karşı konulmasına olanak bulunmayan olağanüstü olayladır*" (Emre ve Yılmazer, 2020).
- *"Meydana gelmesi ve önlenmesi insan iradesine bağlı olmayan dış güç olarak karşı konamayacak ve önlenemeyecek haller*" ve *"vergi ödevlerinin yapılmasına engel olacak şekilde, mükellef iradesi dışında meydana gelen ve katlanılması gereken dışsal zorunluluklardır"* (Şenyüz, 2020: 302-303).

Yargı organlarının kararlarında da mücbir sebeplerin tanımlarına rastlanmaktadır. Örneğin Danıştay'a göre mücbir sebepler, "*insanın iradesi ve ihtiyarı dışında meydana gelen tesadüfi…*" ve "*kökeni, doğal, sosyal ve hukuki olması itibariyle failin dışında kalan, fail tarafından önlenme olanağı bulunmayan, önceden takdir ve tahmin edilemeyen olaylardır.*" (Ekmekçi vd., 2020: 1076). Yine Danıştay'a göre, "*bir yükümlülüğün, bir borcun zamanında yerine getirilmesini veya ödenmesini engelleyen; önceden görülüp, üstesinden gelinmesi olanağı bulunmayan her türlü olay*" mücbir sebeptir (Kılıç ve Şekerci, 2015: 846).

Gümrük mevzuatında mücbir sebepler tanımlanmamış; bir sınırlandırma yapılmadan örneklendirilmiştir. Anacak yukarıda belirtilen tanımlar göstermektedir ki gümrük vergileri ve gümrük işlemleri açısından da mücbir sebep kavramından, kişilerin iradesi dışında meydana gelen, kaçınılamaz ve karşı konulamaz niteliği olan ve kişilerin mevzuattan kaynaklanan emir ve yasaklara uygun hareket etmesini kusuru olmaksızın engellemesi nedeniyle ilgili mercilerce re'sen ya da başvuru üzerine dikkate alınması gereken hallerin anlaşılması gerekmektedir.

## 2.2. Mücbir Sebep Olmanın Koşulları

Mücbir sebep kavramına ilişkin tanımlar, bu sebeplerin ilgili olduğu alana göre koşullarını ortaya koymaktadır. Dolayısıyla mücbir sebepler, belirli koşullardan hareketle tanımlanmakta, özellikleri ve koşulları sıralanmaktadır.

- Mücbir sebepler, *"Vergilendirmeyi engelleyen, kişinin iradesi dışında mevcut bir kuvveti ve meydana gelen olayın da kişinin bilinç ve iradesi içinde olmamasını"* gerektirmektir (Mutluer, 2008: 152).
- Bir durumun mücbir sebep olması, *"onun sadece doğaüstü olması değil, aynı zamanda öngörülmez (sezilemez) ve önlenemez (karşı konulamaz) nitelikte olmasına bağlıdır"* ve koşulları arasında; "*dışsallık, öngörülmezlik, önlenemezlik ve özel hukuk kapsamında kusursuzluk*" vardır (Evren, 2010: 276; 281).
- *"Kişilerin vergi ödevlerini yerine getirmesini engelleyecek nitelikte ve ağırlıkta olması"* gereken mücbir sebeplerin en belirgin özellikleri, *"kişinin iradesi ve ihtiyarı dışında meydana gelen tesadüfi, kaçınılmaz ve karşı konulmaz bir olay olmasıdır"* ve bu olayların *"meydana gelmelerinden önce bilinmeleri mümkün değildir; meydana geldiklerinde giderilmeleri de ilgili kişilerin iradesine bağlı değildir"* (Karakoç, 2017: 275; Karakoç, 2020).
- Bir durumun mücbir sebep oluşturmasının temel koşulları, *"haricilik", "kaçınılamazlık", öngörülemezlik" ve "nedensellik/illiyet bağı"* şeklindedir (Yıldırım, 2019: 1521; Ekmekçi vd., 2020: 1079-182; Balcı, 2020).
- Mücbir sebepler, *"dışarıdan gelen karşı konulmaz, öngörülemez ve öngörülse bile önlemez niteliktedir", "kişilerin iradesini etkiler ve vergi ödevlerini yetirmelerini engelleyecek kuvvettedir. İradi hareket etme olanağını ortadan kaldırır"* ve *"kişinin kusurundan söz edilemez"* (Şenyüz, 2020: 302-303).
- Bir olayın veya durumun mücbir sebep oluşturması; "*tarafların kontrolleri dışında gerçekleşmiş olması, hukuki ilişkinin kurulduğu esnada böyle bir olayın öngörülemeyecek olması, öngörülse dahi sonuçlarının bu denli ağır olacağının öngörülememesi, tüm önlemler alınmasına rağmen yine de mücbir sebebin etkilerinin ortadan kaldırılamaması"* koşullarına bağlıdır (Emre ve Yılmazer, 2020).
- Danıştay'a göre mücbir sebepler, öngörülemez ve önlenemez olmanın yanında, kullanılamayan hak ya da yerine getirilmeyen yükümlülükler ile uygun bir illiyet bağına sahip olmalıdır (Kılıç ve Şekerci, 2015: 846).

Mücbir sebeplerin koşullarıyla ilgili olarak üzerinde durulması gereken bir konu da mücbir sebeplerin ispatıdır. Bu bağlamda mücbir sebebin varlığı (gerçekleşmiş olması ve herkesçe bilinmesi) belirleyici kabul edilmektedir. Bir mücbir sebebin uygulanması ve sonuç doğurması açısından toplumun tamamını ya da bir kesimini ilgilendirmesi halinde ispatı gerekmezken; bir kişi ve grubu ilgilendirmesi halinde ilgilisince ispatı şarttır. Ayrıca bir mücbir sebebin vergi ödevleri veya işlemleri üzerinde etkili olup olmadığının ve mevcut etkisin derecesinin tespiti de adaletsiz sonuçların önlenmesi açısından gereklidir (Karakoç, 2020).

Vergi hukuku alanında yapılan değerlendirmelerde, ayrıca, mücbir sebeplerin kişiye ve olaya bağlı olduğu kabul edilmekte ve Vergi Usul Kanununda sınırlama yapılmaması nedeniyle, mücbir sebeplere benzeyen ancak yeni bir tür olmamakla birlikte aynı tür içinde kalan farklı durumlar da bu kapsamda kabul edilmektedir (Şenyüz, 2020: 304). Ayrıca bir olayın önceden mutlak bir şekilde mücbir sebep oluşturması mümkün görülmemekte; her olayın kendi koşul ve özellikleri içerisinde değerlendirilmesi gerektiği de vurgulanmaktadır (Öncel, Kumrulu ve Çağan, 2008: 118; Mutluer, 2008: 152; Nas, 2011: 104). Bu bakımdan mücbir sebepler nispi olup, bir olay; oluştuğu yere, koşullara ve zamanın özelliklerine göre mücbir sebep olabilir ya da olmaz (Evren, 2010: 277).

## 2.3. Pandeminin Mücbir Sebep Niteliği

Pandemi herkesçe bilinen ve öngörülemeyen bir olaydır. Dolayısıyla pandeminin, insandan insana bulaşması, geniş bir coğrafi alana yayılması ve alınan önlemlerin ticaret hayatına çeşitli derecede

kısıtlamalar getirmesine bağlı olarak mücbir sebep oluşturması konusunda şüphe yoktur (Oğuz, 2020). Ancak vergi ödevlilerinin pandemiye bağlı mücbir sebepten yararlanmaları farklı esaslara tabi tutulmuştur.

Pandeminin mücbir sebep oluşturmasına yönelik koşullar, dahilde alınan vergiler ve vergi ödevleri açısından mevcut olduğu kabul edilmektedir. İlk olarak, dünya çapındaki etkisi, kısıtlamaların ve zorunlu koruma tedbirlerinin kişilerin vergi ödevlerini yerine getirmesini ve dava açma haklarını engelleyecek boyuta ulaşması gibi etkenler, pandemiyi, "*ağır hastalık*" ya da "*gibi haller*" kapsamında ve "*geniş anlamda bir mücbir sebep*" oluşturmaktadır. İkincisi, "*tabii afetlerden kaynaklanan mücbir sebepler*", "*şahsa özgü sonuç doğuran mücbir sebepler*" ve "*toplumu etkileyen olaylarla ilgili mücbir sebepler"* ayrımında pandemi, tabii afetlerin sınırlandırılmamış olması ve kişilerin vergi ödevlerini yerine getirmesine engelleyecek derecede olması koşullarını taşıması nedeniyle "*genel nitelikte bir afet"* oluşturmaktadır. Üçüncü olarak, kişilerin pandemi nedeniyle karantinaya alınmaları, o kişiler için "*mecburi gaybubet"* de oluşturmaktadır. Bu durum o kişilerin vergi ödevlerini yerine getirmeyi engellediğinden "*şahsa özgü sonuç doğuran mücbir sebep*" de oluşturmaktadır (Ekmekçi vd., 2020: 1089; Karakoç, 2020; Karadağ, 2020: 403-407).

Pandeminin, "*öngörülemeyen bir olay*" niteliği olmakla birlikte, mücbir sebep oluşturmanın koşullarını taşıması bakımından hangi aşamada öngörülemediği veya bu öngörülemezliğin ölçüsünün ne olduğu belirsizdir. Bu nedenler pandemi önlemleri kapsamında yayımlanan 518 Sıra No'lu Vergi Usul Kanunu Genel Tebliğinde (RG, 24/3/2020, 31078), genel mücbir sebep hali veya olağanüstü hal ilanı düzenlenmediğinden, kişilerin pandemiyle ilişkili durumlarının "*olayın özelliklerine göre*" münferit olarak değerlendirilmesi gerekli görülmektedir (Yıldırım, 2019: 1522; Doksat, 2020; Emre ve Yılmazer, 2020). Hazine ve Maliye Bakanlığı, bu Tebliğ ile pandemi önlemlerinden etkilenen bir grup mükellef için mücbir sebep ilan edilmiştir (Karadağ, 2020: 403-404). Dolayısıyla pandemiden etkilenen kişilerin bu olayı ispatı gerekmese de pandemi nedeniyle vergi ödevlerini yerine getiremediklerini ispat etmeleri gerekmektedir. Örneğin pandemi nedeniyle hastanede tedavi altına alınan veya karantinaya alınan kişiler, bu nedenlerle vergi ödevlerini yerine getiremediklerini ispat etmelidirler (Ekmekçi vd., 2020: 1092).

Gümrük mevzuatı açısında da pandemi mücbir sebep oluşturmaktadır. 4458 sayılı Gümrük Kanununda (RG, 4/11/1999, 23866) bir düzenleme olmamakla birlikte Gümrük Yönetmeliğinde (RG, 7/10/2009, 27369) mücbir sebepler, *"…a) Doğal afetler (yangın, yer sarsıntısı, su basması, don, fırtına, kasırga vb.) b) Kanuni grev ve lokavtlar, c) Genel salgın hastalık, ç) Kısmi veya genel seferberlik ilanı, d) Devletçe konulan yasaklar, abluka veya savaş hali, terör, e) Ağır kaza, ağır hastalık ve tutukluluk, f) Yükümlü firmanın iflası veya şahıs firmalarında firma sahibinin ölümü, g) Yükümlü firmanın faaliyetinin kamu otoritelerince durdurulması, ğ) Yükümlünün iradesi dışında meydana gelen ve müdahalesiyle önlenemeyecek diğer durumlar…"* (m.34) şeklinde düzenlenmiştir. Gümrü Yönetmeliğinde mücbir sebep kavramı tanımlanmamış; ancak, herhangi bir sınırlandırma yapılmadan örneklendirilmiştir. Bunlardan, "*doğal afetler*", "*genel salgın hastalıklar*", "*ağır hastalıklar*" ve "*yükümlünün iradesi dışında meydana gelen ve müdahalesiyle önlenemeyecek diğer durumlar*" pandemi kapsamında değerlendirilebilecek mücbir sebeplerdir ve bunlar arasında pandemi (salgın hastalıklar) ismen de yer almaktadır (Kaya, 2020). Dolayısıyla pandemi hem içeriği olan hastalığa yakalananlar hem de pandemiyle mücadele kapsamında alınan önlemlerinden olumsuz etkilenenler için mücbir sebep oluşturmaktadır. Gümrük idaresinin dağıtımlı yazılarından da pandeminin hem genel ve hem de kişilere özgü sonuçlar doğurabilen mücbir sebep olarak değerlendirildiği görülmektedir. Örneğin yetkilendirilmiş yükümlü statüsüyle ilişkili sürelerin bir talimata kadar durdurulması, özel taşıtların veya bazı antrepo işlem sürelerinin re'sen uzatılması uygulamalarında pandemi genel mücbir sebep kabul edildiği; anca, daha sonra re'sen süre uzatımı işlemlerinden vazgeçilerek bunun için başvuru ve ispat koşulu aranması hallerinde ise, pandeminin kişilere özgü sonuçlar doğurabilen mücbir sebep olarak kabul edildiği görülmektedir.

## 3. MÜCBİR SEBEPLERE İLİŞKİN TEMEL DÜZENLEMELER

Türkiye'de dahilde alınan vergiler ve gümrük vergileri bakımından iki ayrı mevzuat ve vergilendirme rejimi bulunmaktadır. Dahilde alınan vergilere ilişkin vergilendirme (usul) işlemleri 213 sayılı Vergi Usul Kanununda (RG,10-12/1/1961, 10703-10705); gümrük vergilerine ilişkin vergilendirme işlemleri ise, Gümrük Kanununda düzenlenmiştir. Bu bakımdan bir verginin dahilde uygulaması olsa bile gümrük

vergileri kapsamında girmesi halinde Gümrük Kanununa göre işlemler yerine getirilmektedir. Vergi Usul Kanunu düzenlemesi de bu yöndedir (m.2). Diğer taraftan kamu alacaklarının takibatı ve tahsil işlemleri 6183 sayılı Amme Alacaklarının Tahsil Usulü Hakkında Kanuna (RG, 28/7/1953, 8469) ve vergi davaları da 2577 sayılı İdari Yargılama Usulü Kanununa (RG, 20/1/1982, 17580) göre yerine getirilmektedir. Bu bölümde, gümrük mevzuatında düzenleniş şeklinin incelenebilmesi için öncelikle Vergi Usul Kanunu açısından sonrasında ise, gümrük mevzuatı açısından mücbir sebepler ve pandeminin etkisi üzerinde durulacaktır.

### 3.1. Dahilde Alınan Vergiler ile Vergilendirme İşlemlerinde Mücbir Sebep Düzenlemeleri

Vergi Usul Kanununda yer alan düzenlemelerde mücbir sebeplere ilişkin bir tanım yapılmamış; ancak, mücbir sebep oluşturan haller koşullarıyla birlikte örneklendirilmiş (Kılıç ve Şekerci, 2015: 844) ve "*gibi haller*" ifadesiyle de kavram daha geniş bir zemine yayılmıştır (Yerlikaya, 2012: 46; Ekmekçi vd., 2020: 1088). Bu düzenlemeler, dahilde alınan vergilere ilişkin usul işlemleri bakımından geçerli olan mücbir sebeplerin türlerini, koşullarını ve etkili olduğu alanları ortaya koymaktadır. Ancak belirtilmelidir ki anılan düzenlemelerin uygulaması açısından yorum birliği yoktur ve vergi idaresinin geniş bir takdir yetkisi bulunmaktadır.

Vergi Usul Kanununda mücbir sebepler, "*1. Vergi ödevlerinden her hangi birinin yerine getirilmesine engel olacak derecede ağır kaza, ağır hastalık ve tutukluluk; 2. Vergi ödevlerinin yerine getirilmesine engel olacak yangın, yer sarsıntısı ve su basması gibi afetler; 3. Kişinin iradesi dışında vukua gelen mecburi gaybubetler; 4. Sahibinin iradesi dışındaki sebepler dolayısıyla defter ve vesikalarının elinden çıkmış bulunması; gibi hallerdir"* (VUK, m.13) şeklinde örneklendirilmiştir. Yine Vergi Usul Kanununa göre, "*13 üncü maddede yazılı mücbir sebeplerden her hangi birinin bulunması halinde bu sebep ortadan kalkıncaya kadar süreler işlemez. Bu takdirde tarh zamanaşımı işlemiyen süreler kadar uzar. Bu hükmün uygulanması için mücbir sebebin malüm olması veya ilgililer tarafından ispat veya tevsik edilmesi lazımdır. Maliye Bakanlığı, mücbir sebep sayılan haller nedeniyle; bölge, il, ilçe, mahal veya afete maruz kalanlar itibarıyla mücbir sebep hali ilan etmeye ve bu sürede vergi ödevlerinden yerine getirilemeyecek olanları tespit etmeye yetkilidir. Bu yetki vergi türleri ve işyerleri itibarıyla; beyannamelerin toplulaştırılması, yeni beyanname verme süreleri belirlenmesi ve beyanname verme zorunluluğunun kaldırılması şeklinde de kullanılabilir*" (VUK, m.15). Bu düzenlemede mücbir sebeplerin sürelere etkisi, ispatı ile Hazine ve Maliye Bakanlığının yetkisine açıklık getirilmiştir. Hazine ve Maliye Bakanlığına verilen yetki kapsamında yayımlanan 518 Sıra No'lu Vergi Usul Kanunu Genel Tebliğinde, *"ticari, zirai ve mesleki kazanç yönünden gelir vergisi mükellefiyeti bulunan veya salgından doğrudan etkilenen ya da İçişleri Bakanlığınca alınan tedbirler kapsamında geçici süreliğine faaliyetlerine ara verilmesine karar verilen işyerlerinin bulunduğu sektörlerde faaliyette bulunan mükellefler"* ile *"65 yaş ve üstünde olması veya kronik rahatsızlığı bulunması nedeniyle sokağa çıkma yasağı kapsamına giren mükellefler ve meslek mensupları ile beyanname/bildirimleri bu meslek mensuplarınca verilenler"* itibarıyla mücbir sebep hali ve koşulları ve 524 Sıra No'lu Vergi Usul Kanunu Genel Tebliğinde (RG, 25/1/2021, 31375), "*İçişleri Bakanlığınca alınan tedbirler kapsamında geçici süreliğine faaliyetlerine tamamen ara verilmesine/faaliyetlerinin tamamen durdurulmasına karar verilen işyerlerinin bulunduğu sektörlerde faaliyette bulunan mükellefler"* itibarıyla mücbir sebep hali ve koşulları açıklanmıştır. Kapsamı ve yürürlük süresi sınırlı olan her iki Tebliğ de temelde sürelerle ilgilidir. Pandemiden kaynaklanan mağduriyetlere Vergi Usul Kanununda yer alan düzenlemelerin cevap vermemesi nedeniyle yürürlüğe konulan bu Tebliğlerde kapsam dışı bırakılanların, vergi idaresine başvurması ve pandemi nedeniyle oluşan mücbir sebepten etkilendiklerini kanıtlaması gerekmektedir (Ekmekçi vd., 2020: 1109).

Vergi Usul Kanunundaki diğer bir düzenlemeye göre, "*Vergi, kanunlarında gösterilen süreler içinde ödenir. Ödeme süresinin son günü verginin vadesi tarihidir. Bu kanunun 15, 17 ve 342 nci maddelerinin uygulanması dolayısiyle sürenin uzaması halinde vade uzayan sürenin bittiği gündür. .... Maliye Bakanlığı; mücbir sebep hali ilan edilen yerlerdeki mükelleflerin, bu Kanun kapsamında olup, ödeme süresi afet tarihinden sonraya rastlayan her türlü vergi, ceza ve gecikme faizleri ile bu Kanunun 15 inci maddesinin üçüncü fıkrası uyarınca verecekleri beyannamelere istinaden tahakkuk ettirilen vergilerin ödeme sürelerini, vadelerinin bitim tarihinden itibaren azami bir yıl süreyle uzatmaya yetkilidir. Bu yetki; bölge, il, ilçe, mahal ve afetten zarar görenler ile afetten zarar görme derecesi veya vergi türleri itibarıyla*

*farklı süreler tespit etmek suretiyle de kullanılabilir. Bu suretle belli edilen günler verginin vadesi yerine geçer.*" (VUK, m.111). Bu düzenleme, mücbir sebeplerin ödeme süresi üzerine olan etkisine açıklık getirmektedir.

Vergi Usul Kanunundaki başka bir düzenleme, "*Bu kanunda yazılı mücbir sebeplerden her hangi birinin vukua geldiği malüm ise veya tevsik ve ispat olunursa vergi cezası kesilmez*" (VUK, m.373) şeklindedir. Bu düzenleme ise, mücbir sebeplerin vergi cezalarına etkisine açıklık getirmektedir.

### 3.2. Gümrük Vergileri ile Gümrük İşlemlerinde Mücbir Sebep Düzenlemeleri

Gümrük işlemleri, Revize Kyoto Sözleşmesi Genel Ekte, "gümrük mevzuatına uygun olarak gümrük idareleri ve bu idarelerle muhatap olanlar tarafından yerine getirilmek zorunda olan bütün işlemler" olarak tanımlanmıştır (World Customs Organization [WCO], 2018: 10). Dolayısıyla gümrük işlemleri, gümrük idaresince ve ilgili kişilerin katılımıyla veya doğrudan gümrük idaresince yerine getirilen işlemler olup, gümrük idareleriyle muhatap olan kişiler açısından yerine getirmesi gereken maddi ve şekli ödevleri kapsamaktadır. Maddi ödevler, gümrük yükümlülüğü bağlamında gümrük vergilerini ödeme zorunluluğunu; şekli ödevler ise, maddi ödevler dışında kalan ve gümrük işlemlerinin tamamlanması için yerine getirilmesi zorunlu olan bütün usul işlemlerini kapsamaktadır (Gültekin, 2020: 797). Türk hukukunda gümrük işlemleri hem vergi hem de usul kanunu niteliğine sahip Gümrük Kanunu ile Gümrük Yönetmeliği ve çeşitli ikincil mevzuatla düzenlenmiştir. Vergi Usul Kanunu düzenlemeleri ise, gümrük vergileri bakımından uygulama alanı bulmamaktadır (m.2).

Gümrük Kanununda süreler düzenlenmekle birlikte (GK, m.14) mücbir sebeplere ilişkin genel bir düzenlemeye yer verilmemiş; ancak, bazı gümrük işlemleriyle ilgili olarak mücbir sebepler "*beklenmeyen haller*" kavramı ile birlikte belirtilmiştir. Mücbir sebeplere ilişkin genel düzenleme ise, hukuka aykırı bir yöntem olmakla birlikte (Ekmekçi vd., 2020: 1100), Gümrük Yönetmeliğinde yer almaktadır. Gümrük Yönetmeliğinde mücbir sebepler, *"…mücbir sebep ve beklenmeyen hallerden herhangi birinin bulunması halinde bu sebep ortadan kalkıncaya kadar … süreler işlemez. Süresi dışında yapılan müracaatlarda, mücbir sebep ve beklenmeyen hallerin süresi içerisinde meydana geldiğini kanıtlayan belge ibrazı halinde ilgili gümrük idaresince mücbir sebep ve beklenmeyen hallere ilişkin olarak ibraz edilen belgelere göre ek süre verilir. Mücbir sebep ve beklenmeyen haller şunlardır; a) Doğal afetler (yangın, yer sarsıntısı, su basması, don, fırtına, kasırga vb.) b) Kanuni grev ve lokavtlar, c) Genel salgın hastalık, ç) Kısmi veya genel seferberlik ilanı, d) Devletçe konulan yasaklar, abluka veya savaş hali, terör, e) Ağır kaza, ağır hastalık ve tutukluluk, f) Yükümlü firmanın iflası veya şahıs firmalarında firma sahibinin ölümü, g) Yükümlü firmanın faaliyetinin kamu otoritelerince durdurulması, ğ) Yükümlünün iradesi dışında meydana gelen ve müdahalesiyle önlenemeyecek diğer durumlar."* (GY, m.31) şeklinde düzenlenmiştir. Buna göre mücbir sebep ve beklenmeyen hallerden herhangi birinin bulunması halinde bu sebep ortadan kalkıncaya kadar Gümrük Kanununda belirtilen süreler işlememekte; süresi içerisinde gümrük idaresine başvurup ispat yükümlülüğünü karşılayan kişilere ise, ek süre verilmektedir. Ancak daha önce belirtildiği üzere, pandemi nedeniyle gümrük antrepo rejimi ve geçici ithalat rejimine ilişkin gümrük işlemlerinde re'sen ek süre uzatımına da gidilmiştir.

Gümrük Kanunu ve Gümrük Yönetmeliği dışında; Gümrük İşlemlerinin Kolaylaştırılması Yönetmeliğinde (RG, 21/5/2014, 29006), Gümrüksüz Satış Mağazaları Yönetmeliğinde (RG, 8/8/2017, 30148), Hariçte İşleme ve Geçici İhracat Tebliğinde (Seri No: 1, RG, 30/5/2009, 27243), TIR İşlemleri Tebliğinde (Seri No: 1, RG, 31/12/2010, 27802), Geçici İthal Edilen Kara Taşıtları Tebliğinde (Seri No: 1, RG, 22/4/2011, 27913), Geçici İthalat Tebliğinde (Seri No: 4, RG, 21/3/2005, 25762) ve Yetkilendirilmiş Gümrük Müşavirliği Tebliğinde (RG, 10.9.2020, 31240) de mücbir sebepler e ilişkin düzenlemeler bulunmaktadır. Bu noktada mücbir sebeplerin gümrük mevzuatı içerisinde dağınık bir görünüme sahip olduğu ve mücbir sebeplerin anlaşılması ve etkilerinin açıklanabilmesi için yoğun bir mevzuat yığınının dikkate alınması gerektiğinin belirtilmesinde fayda vardır.

## 4. MÜCBİR SEBEPLERİN GÜMRÜK İŞLEMLERİNE ETKİLERİ

Mücbir sebeplerin temel etkisi, hukukun doğal bir sonucu olarak, süresi içerisinde haklarını kullanamayan veya ödevlerini yerine getiremeyen vergi mükelleflerine, vergi sorumlularına ve ceza

muhataplarına bunları yerine getirmek ve mağdur olmalarını önlemek için bazı haklar sağlamaktır (Mutluer, 2008: 152; Kılıç ve Şekerci, 2015: 845). Bu açıdan mücbir sebeplerin; süreler ve vergi cezaları olmak üzere temelde iki etki alanı bulunmaktadır (Şenyüz, 2020: 304). Geniş bir bakış açısıyla mücbir sebepler, kişilerin Vergi Usul Kanununda yer alan ödevleri ile verginin/kamu borcunun ödenmesi açısından uygulama alanı bulmaktadır (Karakoç, 2020). Gümrük mevzuatı kapsamına giren düzenlemeler açısından da mücbir sebepler koruyucu etkisi olan kurumlar arasındadır.

Tablo 1'de mücbir sebeplerin etkili olduğu gümrük işlemleri ve ilgili düzenlemeler yer almaktadır.

Tablo 1: Bazı Gümrük İşlemleri ve Mücbir Sebeplerin Etkisi

| Gümrük İşlemi | Ekili Olduğu Alan | Açıklama |
|---|---|---|
| • Özet Beyan İşlemleri | • Süre<br>• İdari Yaptırım | • Noksan çıkan kapların "*kaza veya avarya sonucunda yok olmuş veya çalınmış olduğunun*" verilen sürede ispatı; özet beyan verme sürelerinin mücbir sebep ve beklenmeyen hallerde uygulanmaması; aksi hallerin gümrük kabahati oluşturması (GK, m.237/1; GY, m.68/1.c). |
| • Taşıt Giriş/Çıkışı İşlemleri<br>• Gümrük Gözetimi | • Gümrük İşlemi<br>• İdari Yaptırım | • Yetkili gümrük kapılarından işlemlerinin yapma, belirli güzergahın takibi, gümrük denetimi bitmeden veya izin alınmadan yük/yolcu almama/vermeme, yola devam etmemesi; gemilerin mutad rotasını değiştirmemesi, durmaması, başka gemilerle temas etmemesi ve gümrük idaresi olmayan yerlere yanaşmaması; "*beklenmeyen hal veya mücbir sebeple*" bu yasaklara uyulmaması halinde durum ve eşya hakkında bilgi verme; aksi hallerin gümrük kabahati oluşturması (GK, m.33-34; m.38; m.241). |
| • Gümrük Beyanı<br>• Gümrük Gözetimi<br>• Ayniyet Tespiti | • Adli Yaptırım | • Ayniyet tespiti amacıyla uygulanan etiket, mühür ve benzeri araçların "*beklenmeyen hal veya mücbir sebeple"* sökülmesi (GK, m.68/2; GY, m.195); aksi durumun Türk Ceza Kanununa göre suç oluşturması (TCK, m.203). |
| • Gümrük Beyanı<br>• Menşe Belgesi İbrazı Geri Verme İşlemleri | • Süre | • Geçerli menşe şahadetnamesinin ibrazı ve tahsil edilen mali yükümlülüklerin geri verilmesi için öngörülen altı aylık sürelerin "*mücbir sebep veya beklenmeyen haller*" nedeniyle uzatılması (GY, m.38). |
| • Gümrük Beyanı<br>• İptal İşlemleri | • Süre | • Başka bir gümrük rejimi veya eşyanın beyanı nedeniyle beyannamelerin iptali için başvuru süresi olan üç aylık sürenin "*mücbir sebep ve beklenmeyen hallerin*" varlığı ve ispatı halinde aşılması (GY, m.124/2; m.125/2). |
| • Gümrük Rejimleri<br>• Transit Rejimi<br>• Gümrük Yükümlülüğü | • Gümrük Vergileri | • Taşıtın "*beklenmeyen haller veya mücbir sebeplerle*" yoluna devam edememesi halinde eşyanın başka taşıta aktarılması; eşyasının "*telef veya kaybı"* halinde gümrük vergilerinin aranmaması (GK, m.92/1-2; GY, m.228). |
| • Gümrük Rejimleri<br>• Transit Rejimi<br>• TIR İşlemleri | • İdari Yaptırım<br>• Adli Yaptırım | • "*Beklenmeyen hal veya mücbir sebeplerle*" süresinde çıkarılamayan ve teslimi mümkün olmayan eşya için bilgi verilmesi ve uygun olması halinde sonlandırma gerekçesi yazılması; başka bir kapıdan çıkışa, güzergah takibine ve boşaltmaya izin verilmesi (TIR Tebliği, m.57; m.62). Aksi hallerin gümrük kabahati (GK, m.241) veya Kaçakçılıkla Mücadele Kanununa göre suç oluşturması (KMK, m.3/3). |
| • Gümrük Rejimleri<br>• Hariçte İşleme Rejimi<br>• Geri Gelen Eşya İşlemleri | • Süre | • Geçici olarak çıkarılan taşıtların ve ticari nitelikte olmayan eşyanın "*ağır hasar görme, resmi makamlarca getirilen yasaklara tabi tutulma veya el konulma, abluka veya savaş hali, arıza, sürücünün tutuklanması veya hastalanması ya da doğal afet, iç karışıklık gibi beklenmeyen haller veya mücbir* |

| | | |
|---|---|---|
| | | *sebeplerle*" üç yıllık kanuni süresi içerisinde geri getirilememesi ve başvuru üzerine süre uzatımı yapılması (HİR Tebliği, m.6-7). Süre uzatımı düzenlenmesi olmasa da üç yıl bitmeden başvurulması ve "*mücbir sebep veya beklenmeyen hallere*" ilişkin belge sunulması halinde yeteri kadar ek süre verilmesi (HİR Tebliği, m.17). |
| • Gümrük Rejimleri<br>• Antrepo Rejimi<br>• Rafineri Yıl Sonu Muvazene İşlemleri | • İdari Yaptırım | • Stoklarda muhasebeleştirilen miktarın vergileri ödenmiş olan miktardan az olması halinde on beş gün içinde bu farkın mükerrer vergilendirmeden veya "*sair mücbir bir sebebe*" dayandığının kanıtlanması (GY, m.550). Aksi halin gümrük kabahati oluşturması (GY 82 No'lu Ek, m.18) |
| • Gümrük Rejimleri<br>• Antrepo Rejimi<br>• Gümrüksüz Satış Mağazaları İşlemleri | • Süre<br>• İdari Yaptırım | • Mağaza/depo açma izni verilenlerin faaliyete geçmeleri gereken altı ay ve teknik eksikliklerinin giderilmesi için verilen on iş günü uzunluğundaki sürenin "*mücbir sebep ve beklenmeyen haller*" nedeniyle uzaması ve aksi hallerde iznin iptali ve teminatın iadesi; faaliyetlerin geçici olarak durdurulması; yıllık sayımda işletmecilerin kusurlarından kaynaklanmayan "*telef, kayıp ve çalıntıların*" tevsiki; kusurlu hallerde vergilerinin tahsili ancak idari yaptırım uygulanmaması (GSM Yönetmeliği, m.8/2; m.28; m.36). |
| • Gümrük Rejimleri<br>• Dahilde İşleme Rejimi<br>• İzin işlemleri | • Süre | • İzin süresinin "*mücbir sebep ve beklenmeyen haller*" veya izin sahibi tarafından ileri sürülen "*haklı gerekçelere"* bağlı olarak uzatılması (GY, m.353). |
| • Gümrük Rejimleri<br>• Gümrük Kontrolü Altında İşleme Rejimi<br>• İzin işlemleri | • Süre | • Azami iki yıl olan sürenin "*mücbir sebep ve beklenmeyen haller*" veya "*izin sahibi tarafından ileri sürülen haklı gerekçelere*" bağlı olarak üç aya kadar uzatılması (GY, m.372). |
| • Gümrük Rejimleri<br>• Geçici İthalat Rejimi<br>• Taşıt İşlemleri | • Süre<br>• İdari Yaptırım | • Kara taşıtları için "*kaza, yangın gibi beklenmeyen haller, herkesçe bilinen olağan dışı durumlar, hastalık ve tutukluluk hali*" gibi olayların yurtta kalma süresi içinde gerçekleştiğinin; ihracatta yüklemenin eşyanın zamanında tedarik edilememesinden kaynaklandığının ispatı üzerine sürelerin uzatılması; aksi hallerin gümrük kabahati oluşturması (GK, m.238; m.241; Taşıt Tebliği, m.17). |
| • Gümrük Rejimleri<br>• Geçici İthalat Rejimi<br>• ATA Karnesi İşlemleri | • Gümrük Vergileri | • Eşyanın "*kaza veya mücbir sebeple*" tümüyle kullanılamaz hale geldiğinin veya tamamen kaybolduğunun ispatı halinde ithalat vergileri tahsil edilmez ve geçici ithalat rejiminin sonlandırılması (Geçici İthalat Tebliği, m.5). |
| • Gümrük Muafiyeti<br>• Nihai Kullanım | • Süre<br>• İdari Yaptırım | • Nihai kullanıma ilişkin beyannamenin tescili itibariyle başlayan sürenin, "*mücbir sebep ve beklenmeyen hallerle*" uzaması; bu sebeplere dayanmayan süre aşımının gümrük kabahati oluşturması (GY, m.363/2, GY 82 No'lu Ek, m.37). |
| • Gümrü Rejimleri<br>• Hariçte İşleme Rejimi<br>• Gümrük Muafiyeti<br>• Geri Gelen Eşya İşlemleri | • Süre<br>• Gümrük Vergileri<br>• İdari Yaptırım | • Eşyanın yeniden serbest dolaşıma girmesi için öngörülen üç yıllık sürenin "*doğal afet, getirildiği ülkelerdeki ya da geçiş ülkelerindeki iç karışıklık, abluka veya savaş hali, resmi makamlarca getirilen yasaklar veya eşyanın alıkonulması gibi beklenmeyen hal veya mücbir sebeple*" uzaması; mücbir sebep belgesine istinaden süre uzatımı talebi olmaksızın bu sürenin aşılarak getirilmesi halinde gümrük vergilerinin tahsil edilmesi ve usulsüzlük cezası uygulanması (GK, m.168/1; GY, m.452-453). |

| | | |
|---|---|---|
| • Gümrük Yükümlülüğü<br>• Tahsilat İşlemleri | • Gümrük Vergileri | • Eşyanın tahrip veya kaybının "*beklenmeyen hal veya mücbir sebepten*" kaynaklandığının ispatı halinde ithalatta gümrük yükümlülüğünün doğmaması veya sona ermesi (GK, m.186/1; m.208). |
| • Geri Verme ve Kaldırma İşlemleri | • Süre | • Gümrük vergilerinin geri verilmesi veya kaldırılması için öngörülen üç yıl; kusurlu/sözleşmeye aykırılık nedeniyle eşyanın kabul edilmemesi ve uluslararası anlaşmalara göre Cumhurbaşkanı tarafından belirlenen hallerde gümrük vergilerinin geri verilmesi veya kaldırılması için öngörülen bir yıl olan başvuru sürelerinin "*mücbir sebep veya beklenmeyen haller*" nedeniyle uzaması; başvuruya ilişkin eksikliklerin giderilmesi için verilen sürenin "*mücbir sebep veya beklenmeyen haller*" nedeniyle aşılması halinde ek süre verilmesi (GK, m.211-213; GY, m.502). |
| • İhracatta Yerinde Gümrükleme, İzinli Gönderici, İzinli Alıcı, Mühür Kırma | • Süre | • Muayene ve kontrol sürelerinin "*mücbir sebep*" nedeniyle "***gümrük idaresi lehine***" uzatılması, kişilerin işlemlere ve eşyaya müdahale edebilmesi (GİK Yönetmeliği, m.67/6-8; m.84/10; m.110/5; m.111/3; m.112/4; m.113/3; m.115/5; m.133/5; m.134/3-10; m.135/4; m.136/3; m.138/5). |
| • Yetkilendirilmiş Gümrük Müşavirliği<br>• Vekalet İşlemleri | • Süre<br>• İdari Yaptırım | • Mesleki faaliyetlere "*izin, hastalık ve benzeri durumlar*" nedeniyle geçici olarak ara verilmesi halinde vekilin tespit işlemlerine devamı için verilen otuz günlük sürenin "*mücbir sebepler*" nedeniyle uzaması; tespit raporlarının süresinde sunulmamasının gümrük kabahati oluşturması (YGM Tebliği, m.21/2; GY 82 No'lu Ek, m.40; m.53). |

Kaynak: Yazar tarafından gümrük mevzuatına ilişkin çeşitli düzenlemelerden derlenmiştir.

Tablo 1'deki açıklamalara göre gümrük mevzuatında, sıklıkla "*beklenmeyen haller*" kavramıyla birlikte ve doğal afet, kaza, hastalık, tutukluluk, savaş gibi çeşitli örnekleri tamamlamak amacıyla kullanılan mücbir sebepler, sistematikten uzak ve dağınık bir görünüme sahiptir. Bununla birlikte; gümrük işlemleri ve vergileri açısından mücbir sebeplerin de genel olarak, "*süreler*", "*gümrük ihlalleri*" ve "*gümrük yükümlülüğü*" alanlarında etkisi vardır. Ayrıca mücbir sebepler, bazı şekli ödevler sırasında da uygulama alanı bulmaktadır.

## 4.1. Gümrük İşlemleri Sürelerine Etkisi

Gümrük işlemlerinin yerine getirilmesi ile bu işlemlerle bağlantılı hak ve yükümlülüklerin doğması veya sona ermesi bakımından süreler, gümrük idaresi ve bu idareyle muhatap olan kişiler için önem taşımaktadır (Ertaş, 2002: 10). Gümrük işlemleri sırasında esas itibariyle Gümrük Kanunuyla belirlenen süreler ve kurallar geçerlidir; ancak, Türk Ceza Kanunu, Kabahatler Kanunu ve Amme Alacaklarının Tahsil Usulü Hakkında Kanunda yer alan sürelere atıfta bulunulduğu durumlar da bulunmaktadır.

Gümrük işlemleri süreleri, ilgili oldukları düzenlemede yer alması nedeniyle, dağınık bir görünüme sahiptir. Bununla birlikte bu sürelerin, tüketici olmamak üzere, belirli başlıklar altında sınıflandırılması mümkündür. Buna göre sürelerin bir kısmı Gümrük Kanununda açıkça yer almakta; ancak, bazı sürelerin düzenlemesi ikincil düzenlemelere ya da gümrük idaresine bırakılmaktadır. Bir kısım süre için ise, uluslararası düzenlemeler esas alınmaktadır. Buna göre Gümrük Kanununda; sürelere ilişkin genel esaslar (GK, m.14); karar verme süresi (GK, m.6/2), bağlayıcı tarife ve menşe bilgisi geçerlilik süreleri (GK, m.9/4), belge ve bilgi saklama süreleri (GK, m.13), gümrükçe onaylanmış işlem veya kullanım belirleme süresi (GK, m.46/2), yolcu beraberinde getirilip bir gümrük ambarına konulan eşyanın kalabileceği süre (GK, m.48/2), fikri mülkiyet haklarının korunmasına ilişkin süreler (GK, m.57), gümrük antrepolarında bulunan eşya için gümrük işlemlerinin tamamlanması süresi (GK, m.70/2), eşyanın antrepo rejimi altında kalış süresi (GK, m.101/1), kısmi muafiyette vergilendirme dönemi süresi (GK, m.133/1), dahilde işleme rejiminde geçici ihracat eşyasının ihraç süresi (GK, m.146), eşyanın serbest bölgelerde kalabileceği süre (GK, m.156), geri gelen eşyaya ilişkin muafiyet süresi (GK, m.168), tasfiye işlemleri süreleri (GK, m.177),

gümrük vergilerinin tahakkukunu izleme defterine kayıt süresi (GK, m.196), zamanaşımı süreleri (GK, m.197/2-5; m.231), gümrük vergilerini ödeme süresi (m.198), geri verme ve kaldırılma başvuru süreleri (GK, m.211-214, m.217), mahrece iade ve transit süreleri (GK, m.235), gümrük kabahatlerine ilişkin süreler (GK, m.238; m.241), itiraz ve uzlaşma başvuru süreleri (GK, m.242; m.244) açıkça düzenlenmiştir. Posta yoluyla gelen veya giden eşyanın bekleme süresi, Türkiye'nin taraf olduğu uluslararası posta anlaşmaları hükümlerine tabidir (GK, m.174). Dahilde işleme rejimine ilişkin süreler ile geçici ithalat rejimine ilişkin yerleşik kişi sayılma ve taşıtlarla ilgili özel durumlar Cumhurbaşkanı Kararıyla belirlenmektedir (GK, m.111/2-3; m.121/3; m.131). Yabancı limanlardan gelen veya Türkiye'den yabancı limanlara giden gemilerin geliş ve gidişlerine ilişkin bilgi verme süreleri (GK, m.34/3), özet beyan verme süreleri (GK, m.35/A), gümrük kontrolü altında işleme rejimine ilişkin süreler (GK, m.125) ve geçici ithalat rejimine ilişkin süreler (GK, m.130/3) ile muafiyetlere ilişkin süreler (GK, m.167/son) yönetmelikle veya Cumhurbaşkanı kararıyla belirlenmektedir. Gümrükçe onaylanmış bir işlem veya kullanım süresinin kısaltılması/uzatılması (GK, m.46/3), transit süreleri (GK, m.91), antrepo rejimine tabi tarım ürünlerine ilişkin özel süreler (GK, m.101/2), hariçte işleme rejimi süreleri (GK, m.139; m.146), ihracatta gümrük yükümlülüğü süresi (GK, m.190/2.b), tamamlayıcı beyan verme süresi (GK, m.199), geri verme veya kaldırmada ilave süreler (GK, m.213/4), bazı gümrük kabahatlerine ilişkin süreler (GK, m.235/1.e; m.235/2.c) ve özet beyan takibatına ilişkin süreler (GK, m.237) Gümrük Kanununda belirtilen esaslar çerçevesinde gümrük idaresince belirlenmektedir.

Gümrük işlemleri süreleri gümrük idaresine veya kişilere yönelik de olabilmektedir. Buna göre; beyan ve bildirimde bulunma süreleri (özet beyan, beyan, varış ve çıkış bildirimleri), eşyaya gümrükçe onaylanmış bir işlem veya kullanım belirlenmesi süreleri, gümrük rejimlerine ilişkin süreler, başvuru süreleri (karar isteme, bağlayıcı tarife ve menşe bilgisi, fikri mülkiyet haklarının korunması, itiraz, uzlaşma, geri verme/kaldırma, taksitlendirme vs.) ile belge saklama süreleri kişilere yönelik sürelerdir. Buna karşın karar verme süreleri, başvuruları sonuçlandırma süreleri, tasfiye işlemleri süreleri, gümrük yükümlüğüne ilişkin süreler (ek tahakkuk, tebligat ve tahsilat vs.) ile zamanaşımı süreleri ise, duruma göre kişilere ve/veya gümrük idaresine yöneliktir.

Daha önce belirtildiği üzere, sürelere ilişkin genel esaslar Gümrük Kanununda düzenlenmiştir. Buna göre; "*Bu Kanunda ve bu Kanuna dayanılarak çıkarılan mevzuatta yer alan; izin süreleri, teminat uygulamaları, gümrük vergilerinden muafiyet ve istisna uygulamaları ile beyanın düzeltilmesine ilişkin ortaya çıkan sorunları ve tereddütleri incelemek suretiyle gidermeye Müsteşarlığın önerisi ile bağlı bulunduğu Bakan yetkilidir….*" (GK, m.10/1.a) denilerek süreler konusunda Ticaret Bakanlığının (değişmeden önce Gümrük Müsteşarlığının bağlı olduğu Bakanın) yetkili oluğu vurgulanmıştır. Ayrıca; *"… Kanunda belirtilen süreler, tarih veya vadeler, aksine özel bir hüküm bulunmadıkça uzatılamaz veya ertelenemez. Süre, tarih veya vadelerin bitim tarihinin resmi tatil gününe rastlaması halinde, bu süreler ilk işgününün resmi çalışma saatleri sonunda biter. Süre hafta veya ay olarak belli edilmiş ise; başladığı güne son hafta veya ayda tekabül eden günün mesai saati bitiminde sona erer. Sürenin bittiği ayda tekabül eden bir gün yoksa süre o ayın son gününün mesai saati bitiminde sona erer. Bu Kanuna göre gümrük idaresine yapılacak yazılı başvurular posta ile taahhütlü olarak gönderilebilir. Bu takdirde başvurunun postaya verildiği tarih gümrük idaresine verilme tarihi yerine geçer."* (GK, m.14) denilerek sürelerin başlangıcına ve bitişine ilişkin hususlar açıklanmıştır.

Bu noktada mücbir sebeplerin gümrük işlemleri sürelerine etkisinin anlaşılabilmesi için vergi hukukunda yapılan değerlendirmelere bakılması yerinde olacaktır. Öncelikle Vergi Usul Kanunu uyarınca mücbir sebeplerin, vergi ödevlerine ilişkin süreleri "*durdurucu*" etkisi bulunmaktadır. Bu durumda mücbir sebeplerin varlığı halinde ortadan kalkıncaya kadar vergi ödevlerine ilişkin süreler işlememekte; ancak tarh zamanaşımı süresi işlemeyen süreler kadar uzamaktadır. Diğer bir ifadeyle, mücbir sebep nedeniyle işlemeyen süreler bu durum ortadan kalktıktan sonra işlemeye başlayan süreye eklenmektedir (Nas, 2011: 108; Kılıç ve Şekerci, 2015: 847). Mücbir sebeplerin süreleri durdurucu etkisini sağlanabilmesi ise, bu sebeplerin "*malum olması*" veya "*ilgililerce ispat ve tevsik edilmesi*" koşullarına bağlıdır (Yerlikaya, 2021: 46-47). Gümrük Yönetmeliğinde de mücbir sebep ve beklenmeyen hallerin birinin varlığı halinde bu sebep ortadan kalkıncaya kadar Gümrük Kanununda belirtilen sürelerin işlemeyeceği belirtilmiştir. Bu durumda süresi dolmadan gümrük idaresine başvurup ispat yükümlülüğünü karşılayan kişilere ek süre verilmekte veya aradan geçen süreye bakılmaksızın işlemler süresinde başvurmuş gibi tamamlanmaktadır. Ayrıca, pandemi nedeniyle bazı gümrük işlemleri için re'sen ek süre verilmiş veya

süre uzatımı yapılmıştır. Gümrük İşlemlerinin Kolaylaştırılması Yönetmeliğinde ise, gümrük idarelerinin mücbir sebepler nedeniyle sürelere uygun hareket edememesi hallerine de yer verilmiştir.

Mücbir sebeplerin etkisinin kabul edildiği ve süre düzenlemesi içeren birçok gümrük işlemi bulunmaktadır. Özet beyan işlemleri, menşe ve dolaşım belgelerinin ibrazı, fikri mülkiyet haklarının korunması (*haklı bir mazeret hali bakımından*), beyanname iptali, nihai kullanım, transit rejimi, dahilde işleme rejimi, gümrük kontrolü altında işleme rejimi, geçici ithalat rejimi, antrepo rejimi çerçevesinde rafineri muvazene işlemleri ve gümrüksüz satış mağazaları işlemleri, geri gelen eşya, geri verme/kaldırma başvurusu, itiraz ve uzlaşma başvurusu gibi gümrük işlemlerine ilişkin süreler, bunlar arasında yer almaktadır. Ayrıca pandemiye bağlı hak kayıplarının önlenmesi amacıyla yayımlanan 7226 sayılı Bazı Kanunlarda Değişiklik Yapılmasına Dair Kanunla (RG, 25/3/2020, 31080); "*dava açma, icra takibi başlatma, başvuru, şikayet, itiraz, ihtar, bildirim, ibraz ve zamanaşımı süreleri, hak düşürücü süreler ve zorunlu idari başvuru süreleri"* de dahil olmak üzere "*bir hakkın doğumu, kullanımı veya sona ermesine ilişkin tüm süreler"* 13/3/2020 tarihinden 30/4/2020 tarihine kadar durdurulmuştur (geçici m.1). Bu süreler, 2480 sayılı Cumhurbaşkanı Kararıyla (RG, 30/4/2020, 31114) tekrar 15/6/2020 tarihine kadar uzatılmıştır. Bu düzenleme uzlaşma ve itiraz süreleri için de sonuç doğurmuştur.

### 4.2. Gümrük İhlallerine Etkisi

Hukuk kuralları içeriğindeki emir ve yasakların ihlali, öngörülen yaptırımın türüne göre, kabahat veya suç oluşturmaktadır. Ancak bazı hallerde hareket gerçekleşse de kabahat veya suç oluşmamakta ya da oluşmuş olsa da faile yaptırım uygulanmamaktadır. Mücbir sebepler sorumluluk hukuku açısından kabahatlerde kusurluluğu ortadan kaldıran bir etkiye sahiptir. Diğer bir ifadeyle mücbir sebepler kabahatin manevi unsurunu etkilemekte ve sağladıkları korunma sayesinde kişileri ceza almaktan kurtarmaktadırlar. Mücbir sebeplerin bu etkisi, tüm vergisel ödevleri, hatta verginin ödenmesi de kapsamaktadır. Ancak ceza kesilmesini gerektiren fiil herkesçe bilinmeyen bir mücbir sebepten kaynaklanıyorsa ispatı gerekmektedir. Ayrıca mücbir sebep ile cezayı gerektiren fiil arasında illiyet bağı yoksa korunma ve cezayı önleme etkisi oluşmamaktadır. Mücbir sebepler ortadan kalktıktan sonra yapılan işlemler ise, zamanında yapılmış kabul edilmektedir. Bu nedenle mücbir sebepler kişilerin iyi niyetini korumakta; ancak vergi ödevlerini değiştirmemektedir (Mutluer, 2008: 322; Öncel, Kumrulu ve Çağan, 2008: 120; Yerlikaya, 2012: 47-49 Erol, 2012: 217-220; Kılıç ve Şekerci, 2015: 862; Şenyüz, 2020: 305; Ekmekçi vd., 2020: 1089; Karakoç, 2020).

Gümrük mevzuatıyla belirlenen emir ve yasakların ihlali, öngörülen yaptırımların türüne göre usulsüzlük ya da vergi kaybı türünde gümrük kabahati (GK, m.239-241) veya kaçakçılık suçu (KMK, m.3) oluşturmaktadır. Bunlardan; özet beyan takibatının süresinde olumlu sonuçlanmaması (GK, m.237), dahilde işleme, gümrük kontrolü altında işleme ve geçici ithalat rejimlerine ilişkin sürelerin usulsüzlükler için öngörülen sürelerin üzerinde aşılması, taşıt haricindeki eşyanın süresinde veya tebligat tarihinden itibaren altmış gün içinde gümrükçe onaylanmış bir işlem veya kullanıma tabi tutulmaması (GK, m.238), sürelere ilişkin düzenlemelerin ihlali nedeniyle oluşan vergi kaybı türünde gümrük kabahatidir. Özet beyanın süresinde verilmemesi (GK, m.241/3.d); karayoluyla transit eşya taşıyan taşıtların süreleri aşması (GK, m.241/3.e; m.241/4.d; m.241/5.a; m.241/6.c), antrepo rejimine tabi eşyanın antrepoya konulduğu tarihte kayıtlara geçirilmemesi (GK, m.241/3.g), dahilde işleme, gümrük kontrolü altında işleme ve geçici ithalat rejimlerine ilişkin süresinin bitimini takiben bir ila üç ay içerisinde rejimin gerektirdiği işlemlerinin bitirilmesi, yeniden ihracı veya gümrükçe onaylanmış bir işlem veya kullanıma tabi tutulması (GK, m.241/3.h; m.241/3.l; m.241/4.g; m.241/4.h; m.241/5.b), gümrük antrepolarında bulunan eşyanın devredilme sürelerinin aşılması (GY, m.333; 82 No'lu Ek, m.49); geçici olarak yurt dışına çıkarılan eşyanın süreyi aştıktan sonra getirilmesi (GK, m.241/3.l), gümrük beyannamesine eklenmesi gereken belgelerin süresi içerisinde ibraz edilmemesi (GY 82 No'lu Ek, m.5; m.9), geçici ihracat eşyasının, üç yıllık süre ile varsa ek süreler bitiminde geri getirilmemesi veya geçici ihracatın süresi aşılarak kesin ihracata dönüştürülmesi (GY 82 No'lu Ek, m.26; m.27), yetkilendirilmiş gümrük müşavirlerinin raporlarını süresinde sunmaması, gümrük kontrolü altında işleme rejiminin ibrasına yönelik tespit raporunu süresini aşarak gümrük idaresine sunmaları (GY 82 No'lu Ek, m.40; m.53) ve nihai kullanım izin belgesi süresinin bitiminden itibaren otuz günlük sürenin geçirilerek müracaat edilmesi (GY 82 Nolu Ek, m.37), sürelere ilişkin düzenlemelerin ihlali nedeniyle oluşan usulsüzlük türünde gümrük kabahatidir. Bu gibi hallerde

mücbir sebeplerin varlığı ve ispat yükümlülüğünün yerine getirilmesi durumunda gümrük kabahatleri oluşmamakta ve idari yaptırımlar uygulanmamaktadır. Ayrıca pandemi nedeniyle süre şartlarına uyulamayan bazı durumlarda re'sen süre uzatımı yapılmış ve idari yaptırım uygulanmamıştır.

Gümrük mevzuatında süreler dışında da mücbir sebeplerin varlığı ve kabulü halinde gümrük kabahatlerinin oluşmadığı ve idari yaptırım uygulanmadığı başka durumlar da bulunmaktadır. Örneğin; rafineri işlemlerinde stok kayıtlarında muhasebeleştirilen miktarın vergileri ödenmiş olan miktardan az olması halinde on beş gün içerisinde farkın mücbir bir sebebe dayandığının kanıtlanması halinde usulsüzlük niteliğinde gümrük kabahati (GY 82 No'lu EK, m.18) oluşmaz ve idari yaptırım uygulanmaz. Transit rejimine tabi eşyanın mücbir sebeplere veya beklenmeyen haller nedeniyle çıkış veya varış gümrük idaresi dışında başka bir gümrük idaresine gitmesi (GY 82 No'lu EK, m.15) veya öngörülen güzergahının dışına çıkması GK, m.241/6.a), gümrük denetimi bitmeden ve izin alınmadan taşıtlara yük/yolcu alınması/verilmesi, gemilerin yoluna devam etmesi (GK, m.241/4.b), gemilerin mutad rotasını değiştirmesi, durması, başka gemilerle temas etmesi ve gümrük idaresi bulunmayan yerlere yanaşması (GK, m.241/6.a) şeklinde usulsüzlük türünde gümrük kabahatleri oluşmamaktadır.

Gümrük mevzuatında yer alan mücbir sebeplerin suç oluşumunu önleme etkisi de bulunmaktadır. 5237 sayılı Türk Ceza Kanununa göre (RG, 12/10/2004, 25611) "*Kanun veya yetkili makamların emri uyarınca bir şeyin saklanmasını veya varlığının aynen korunmasını sağlamak için konulan mührü kaldıran veya konuluş amacına aykırı hareket eden kişi, altı aydan üç yıla kadar hapis veya adlî para cezası ile cezalandırılır*" (m.203). Ancak gümrük idarelerince uygulanan gümrük mühürlerinin mücbir sebep etkisinde açılması ve bunun da ilgili kurum veya kuruluşlardan alınacak mücbir sebep belgesi ile gümrük idaresine bildirilmesi halinde bu suç (mühür fekki/mühür kırma) oluşmamaktadır (GK, m.68/2; GY, m.195/2).

### 4.3. Mücbir Sebeplerin Gümrük Yükümlülüğüne Etkisi

Gümrük Kanununda, gümrük yükümlülüğünü yerine getirmekle sorumlu olan bütün kişiler, "yükümlü" ve bu yükümlülerin gümrük vergilerini ödemesi zorunluluğunu, "gümrük yükümlülüğü" kavramıyla ifade edilmiştir (GK, m.3/8.b; m.3/11). Ayrıca Kanunda gümrük yükümlülüğünü doğmasına (GK, m.182-194) ve sona ermesine ilişkin haller ayrıntılı bir şekilde düzenlenmiştir (GK, m.208-209). Ayrıca bu düzenlemelerde mücbir sebeplere bağlı olarak gümrük yükümlülüğünün doğmadığı veya sona erdiği durumlara da yer verilmiştir.

Buna göre, eşyanın sevki ve gümrüğe sunulması, serbest bölgeye konulması, geçici depolanması veya bir gümrük rejimine tabi tutulmasına ilişkin yükümlülüklerin yerine getirememesinin, "*eşyanın tahrip olması, tekrar yerine konulamaması şeklinde kaybı, eşyanın özelliklerine bağlı bir nedenden veya beklenmeyen hal veya mücbir sebepten*" ya da gümrük idarelerinin izninden kaynaklandığını kanıtlaması halinde ithalat nedeniyle gümrük yükümlülüğü doğmamaktadır (GK, m.186). Bu hallerden; eşyanın telef olmasının veya kaybının mahkeme kararıyla, suçüstü şeklindeki hırsızlıkların Cumhuriyet Savcılığınca verilen belgeyle ve hasar, telef veya kayıp herkesçe bilinen ve duyulan başka olaylar yüzünden olmuşsa o yerin en büyük mülki idare amirince verilecek belgeyle kanıtlanması gerekmektedir (GY, m.487/4). Benzer şekilde "*kaza veya mücbir sebep*" nedeniyle tümüyle eşyanın kullanılamaz hale geldiğinin veya tamamen kaybolduğunun kanıtlanması halinde, ithalat vergileri tahsil edilmeksizin geçici ithalat rejimi sona erdirilmektedir (Geçici İthalat Tebliği, m.5/son). Bu durumda Gümrük Kanununa göre ithalat nedeniyle gümrük yükümlülüğü doğmamış sayılmaktadır (GK, m.186).

Diğer bir duruma göre Türkiye Gümrük Bölgesinde transit halindeki eşyanın "*beklenmeyen hal veya mücbir sebeplerle telef veya kaybı hallerinde*" gümrük vergileri aranmamaktadır (GK, m.92/2). Ancak; eşyanın telef veya kaybının mahkeme kararıyla, suçüstü şeklindeki hırsızlığın Cumhuriyet Savcılığınca verilen belgeyle, hasar ile telef veya kayıp herkesçe bilinen ve duyulan başka olaylar yüzünden olmuşsa o yerin en büyük mülki idare amirince verilecek belgeyle ve trafik kazaları, trafik kaza raporuna göre ve en yakın gümrük idaresince yapılan tespit sonucunda gümrük idare amirinin vereceği kararla kanıtlanması gerekmektedir (GY, m.228/1).

Gümrük yükümlüğünü sona erdiren haller arasında; vergilerin ödenmesi, vergilerin kaldırılmasına karar verilmesi, gümrük beyannamesinin iptal edilmesi, eşyanın bir gümrük rejimi kapsamında tesliminden

önce zaptı, müsadere edilmesi, imha veya terk edilmesi ile birlikte doğal özellikleri veya "*beklenmeyen haller yahut mücbir sebep nedeniyle telef veya kaybı*" da bulunmaktadır. Bu durumda da ispat yükümlülüğü kişilere aittir.

### 4.4. Takibat İşlemlerine ve Yargı Yoluna Başvurmaya Etkisi

Amme Alacaklarının Tahsil Usulü Hakkında Kanundaki, "*Hilafına bir hüküm bulunmadıkça bu kanunda yazılı müddetlerin hesaplanmasında ve tebliğlerin yapılmasında Vergi Usul Kanunu hükümleri tatbik olunur.*" (AATUHK, m.8) şeklinde yer alan düzenlemeye göre mücbir sebeplerin varlığı halinde Kanunda yer alan sürelerin işlemeyeceği görüşü ağırlıktadır; ancak, aksi yönde de görüşler de bulunmaktadır (Balcı, 2020). Ağırlıkta olan görüşe göre Amme Alacaklarının Tahsil Usulü Hakkında Kanunda mücbir sebeplerle ilgili bir düzenleme olmasa da mücbir sebeplerin varlığı halinde süreler kural olarak işlemez. Ayrıca koşulların sağlanması halinde kişilerin afet durumu oluşturan pandemiye bağlı olarak terkin talebinde bulunması mümkündür (Karakoç, 2020). Aynı şekilde mücbir sebeplere ilişkin İdari Yargılama Usulü Kanununda bir düzenleme olmasa da mücbir sebeplerin varlığı halinde süreler işlememelidir (Öncel, Kumrulu ve Çağan, 2008: 117-118; Kırbaş, 2012: 146; Yerlikaya, 2012:47-50; Erol, 2012: 214; Kılıç ve Şekerci, 2015: 857-858).

Yukarıda belirtildiği üzere 7226 sayılı Bazı Kanunlarda Değişiklik Yapılmasına Dair Kanunda "*dava açma, icra takibi başlatma, başvuru, şikayet, itiraz, ihtar, bildirim, ibraz ve zamanaşımı süreleri, hak düşürücü süreler ve zorunlu idari başvuru süreleri de dahil olmak üzere bir hakkın doğumu, kullanımı veya sona ermesine ilişkin tüm süreler*"; *"taraflar bakımından belirlenen süreler ve bu kapsamda hakim tarafından tayin edilen süreler ile arabuluculuk ve uzlaştırma kurumlarındaki süreler"* 30/4/2020 tarihine kadar durdurulmuş, sonrasında da 2480 sayılı Cumhurbaşkanı Kararıyla da bu tarih, Kamu İhale Kanunu'nda öngörülen zorunlu idari başvuru yoluna ilişkin süreler hariç, 15/6/2020 tarihine kadar uzatılmıştır. Bu düzenleme, pandemiye bağlı mücbir sebeplerin dava açma ve kanun yollarına başvuru sürelerini etkileyip etkilemediği tartışmasına açıklık getirmiştir. Ayrıca genel mücbir sebep hali dışında, kişilerin virüs kapmaları nedeniyle dava açma sürelerini geçirmeleri halinde, kişiye özgü mücbir sebep koşullarının etkisini göstermesi öngörülmektedir (Ekmekçi vd., 2020: 1124).

Gümrük idarelerince genel bütçeye gelir olarak tahsil edilen vergiler ile idari para cezalarına ilişkin takibat işlemleri ve yargı yoluna mücbir sebeplerin etkileri bakımından yukarıdaki açıklamalar aynı şekilde geçerlidir.

### 4.5. Pandeminin Bazı Gümrük İşlemlerine Etkisi

Pandemi özelinde mücbir sebeplerin gümrük işlemleri üzerindeki etkisi, belirli eşyanın ithaline ve ihracına yönelik ilave düzenlemeler, varış öncesi gümrükleme imkanı ve elektronik hizmetler alanlarında da olmuştur. Bu bağlamda; geri gelen eşyanın gümrük işlemlerine öncelik tanınması, A.TR ve menşe ispat belgelerinin sonradan ve mücbir sebep kapsamında teyidinin mümkün olması şartıyla elektronik ortamda ibrazına imkan verilmesi, gümrük işlemlerinin tek pencere sistemleri, konteyner ve liman takip sistemleri, serbest bölgeler sistemi gibi elektronik ortamlarda yürütülmesi ve kağıt ortamda aranmaması, tahlil raporlarının emsal olarak kullanılabilmesi süresinin uzatılması, MEDOS (Menşe ve Dolaşım Belgeleri Otomasyon Sistemi) üzerinden düzenlenen A.TR ve tüm menşe ispat belgelerinin gümrük personelince imzalanmaması, yükümlülere uzlaşma erteleme imkanı verilmesi ile geri verme, itiraz, tecil-taksitlendirme gibi başvuruların kağıt ortamda ibrazı yerine Kayıtlı Elektronik Posta (KEP) üzerinden yapılabilmesi bu alanlar arasında yer almaktadır (Çalıkoğlu, 2020)

## 4. SONUÇ

Hukuk kuralları, diğer bir ifadeyle mevzuat düzenlemeleri içeriğinde, kişilere emir ve yasak şekilde uyulması zorunlu ödevler ile birlikte onların mağdur olmalarını önleyen, kurtarıcı ve koruyucu nitelikte bazı kurumlar da bulunmaktadır. Bunlardan biri vergi hukuku da dahil hukukun hemen hemen her alanında uygulama alanı bulan ve tek bir tanımı olmamakla birlikte örnekleri sınırlandırılmamış olan mücbir sebeplerdir. Bu çalışmada gümrük mevzuatında yer alan mücbir sebep düzenlemeleri ile etkileri

incelenmiş ve kişilerin haklarını korumada ve ödevlerini yerine getirmede yeterli bir etkiye sahip olup olmadığı değerlendirilmiştir.

Gümrük mevzuatında mücbir sebeplere ilişkin genel düzenleme Gümrük Kanununda yapılmak yerine Gümrük Yönetmeliğiyle yapılmış ve birçok ikincil düzenlemede mücbir sebeplerin geçerli kabul edildiği durumlara yer verilmiştir. Bu durum ise, hem Gümrük Kanununda hem de ikinci düzenlemelerde yer alan mücbir sebeplere ilişkin düzenlemelerin sistematikten uzak ve dağınık bir görünümde olmalarına neden olmuştur. Ayrıca mücbir sebeplerin etkili olduğu alanların başında gümrük işlemleri süreleri yer almaktadır ve bu sebeplerle uzayan/uzatılan süreler, kaldığı yerden işlemeye devam etmediğinden "durmaya" ve aynı süreler tekrar verilmediğinden "kesilmeye" benzememekte; tamamen dolmadan veya aşılmasına rağmen ek süre verilmesi nedeniyle *sui generis* bir özellik taşımaktadır. Mücbir sebepler nedeniyle verilen sürenin uzunluğu ise, belirsizdir. Bu bakımdan Gümrük Kanununda mücbir sebeplerle ilgili çerçeve bir düzenleme yapılması ve sistematik bir bütünlük sağlanması bu alandaki büyük bir eksikliği giderecektir.

Gümrük mevzuatında yer alan mücbir sebepler başta gümrük işlemlerinin süreleri olmak üzere gümrük ihlallerine ve gümrük yükümlülüğüne ilişkin etkileri bulunmaktadır. Ancak mücbir sebepler bu etkilerini bütün gümrük işlemleri bakımından sağlamamakta; Gümrük Kanununda ve Kanunun imkan verdiği ölçüde ikincil düzenlemelerde yer alan gümrük işlemleri bakımından ve öngörülen koşullara göre bu etki mümkün olmaktadır. Bu bakımdan çoğu durumda kişilere ispat/kanıtlama yükümlülüğü getirilmesi ve gümrük idaresinin kabul şartının getirilmiş olması da mücbir sebepler açısından sorunlu bir alan oluşturmaktadır. Gümrük idarelerine mücbir sebepleri kabul etme yetkisinin verilmesi, aynı durum için yorum ve buna bağlı uygulama farklılığı tehlikesini taşımaktadır.

Gümrük işlemleri sırasında genel ekonominin, ticaret erbabının, tüketicilerin, çevrenin, kültürel mirasın ve canlı türlerinin ve fikri mülkiyet haklarının korunmasına yönelik çaba, mücbir sebeplere yönelik başvuru haklarının kötüye kullanılmasına yönelik idari tedbirlerinin varlığını gerektirdiği de dikkate alınmalıdır. Bu nedenle gümrük idarelerine meşru hakların kullanılmasının sağlanması ile bu hakların suistimal edilmesinin önlenmesi arasında hassas dengeleri gözetmesi bakımından önemli sorumluluklar yüklemektedir.

Covid-19'a bağlı pandemi genel salgın hastalık, ağır hastalık veya yükümlünün iradesi dışında meydana gelen ve müdahalesiyle önlenemeyecek diğer durumlar kapsamında mücbir sebep oluşturmaktadır. Pandemi hem içeriği olan hastalıktan kişilerin etkilenmesi nedeniyle hem de pandemiyle mücadele kapsamında alınan önlemlerden olumsuz etkilenen kişiler için mücbir sebeptir. Ancak pandemi, bütün gümrük işlemleri bakımından genel bir mücbir sebep hali olarak değerlendirilmemiş ve buna yönelik genel bir düzenleme yapılmamış; belirli gümrük işlemleri bazında ve sınırlı bir zaman dilimi için genel geçerlilik kazanmıştır. Diğer taraftan bazı durumlarda kişiler pandemiden etkilendiklerini ortaya koyacak bir ispat yükümlülüğüne tabi tutulmamış, süre uzatımı ve idari yaptırım uygulanmaması gibi hususlar gümrük idaresince re'sen yerine getirilmiştir. Bununla birlikte pandeminin seyri içerisinde kişilerden pandemiden kendileri için mücbir sebep oluşturduğunun ispatının istendiği durumlar da olmuştur. Dolayısıyla pandemiye bağlı mücbir sebep bağlamında gümrük işlemlerinde bir süreklilik ve istikrar bulunmamakta; alınan önlemler pandeminin seyrine göre esneklik göstermektedir.

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# Örgütsel Farkındalık ve Örgütsel Politik Davranış Algılamalarının Davranışsal Bağlanma Göstergeleri Üzerindeki Etkileri: Konaklama İşletmeleri Örneği[1]

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**Özet:** Konaklama işletmelerinde performansın en önemli boyutlarından biri de işe devamsızlık ve işten ayrılma niyeti gibi bağlanma göstergeleridir. Bu konuda bazı ampirik çalışmalar olmasına karşın sektörde örgütsel farkındalığı yüksek işgörenlerin işe devamsızlığı ve işten ayrılma niyetleri üzerine henüz araştırmalara rastlanmamaktadır. Dolayısıyla bu konudaki bulgu eksikliğini gidermek için örgütsel politik davranış algılamaları aracı değişken olduğunda örgütsel farkındalığı yüksek çalışanların işe devamsızlıkları ve işten ayrılma niyetlerinin nasıl ve ne yönde değiştiğini tespit etmeye odaklanmaktadır. Bu çalışmanın amacı, örgütsel farkındalık ve algılanan örgütsel politik davranış algılamalarının davranışsal bağlanma göstergeleri üzerindeki etkilerini ortaya koymak ve örgütsel farkındalık ile davranışsal bağlanma göstergeleri arasındaki ilişkide örgütsel politik davranış algılamalarının aracılık etkisini tespit etmektir. Araştırmanın örneklemini, Nevşehir ilindeki konaklama işletmeleri çalışanları oluşturmaktadır (n=377). Çalışmanın verileri, Vogus'un (2011) örgütsel farkındalık ölçeği, Kacmar ve Ferris (1991) tarafından geliştirilen örgütsel politik davranış algılamaları ölçeği, Paget, Lang ve Shultz'un (1998) işe devamsızlık ölçeğinin yanı sıra Polat ve Meydan (2010) tarafından Türkçeye uyarlanan işten ayrılma niyeti ölçeğini kapsayan bir anket formu yardımıyla toplanmıştır. Bu verilerle araştırmanın modeli ve hipotezleri, Doğrulayıcı Faktör Analizi ve Yapısal Eşitlik Modellemesi yardımıyla test edilmiştir.

Araştırmanın bulgularına göre; örgütsel farkındalığın hem işe devamsızlığı hem de işten ayrılma niyetini negatif etkilediği, ancak örgütsel politik davranış algılamalarının hem işe devamsızlığı hem de işten ayrılma niyetini pozitif etkilediği saptanmıştır. Yine örgütsel farkındalığın örgütsel politik davranış algılamalarını negatif etkilediği ortaya konmuştur. Öte yandan örgütsel politik davranış algılamalarının hem örgütsel farkındalık ile işe devamsızlık arasındaki ilişkide hem de örgütsel farkındalık ile işten ayrılma niyeti arasındaki ilişkide aracı etkiye sahip olduğu tespit edilmiştir. Son olarak bu çalışmanın bazı kısıtları olduğu belirtilmiş, çalışmada yapılan tespitlerle ilgili olarak yöneticilere ve sektöre yönelik önerilerde bulunulmuş ve gelecekte bu alanda çalışma yapacak araştırmacılara yönelik bazı önerilerde bulunulmuştur.
**Anahtar Kelimeler:** Örgütsel Farkındalık, Örgütsel Politik Davranış Algılamaları, Davranışsal Bağlanma Göstergeleri

# The Effects of Organizational Mindfulness and Perceptions of Organizational Politics on Behavioral Indicators of Attachment: The Case of Hospitality Businesses

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**Abstract:** One of the most important dimensions of performance in hospitality businesses is the indicators of attachment such as absenteeism and turnover intention. Although there are some empirical studies on this subject, there are no studies yet on the absenteeism and turnover intention of the employees with high organizational mindfulness in the sector. In order to eliminate the lack of findings on this subject, the study focuses on determining how and in what direction their absenteeism and turnover intention of employees with high organizational mindfulness changes when the perceptions of organizational politics are mediator variable. The aim of this study is to reveal the effects of organizational mindfulness and perceptions of organizational politics on behavioral attachment indicators and to determine the mediating effects of perceptions of organizational politics on the relationship between organizational mindfulness and behavioral attachment indicators. The sampling of the study consists of employees in hospitality businesses operating in the province of Nevsehir (n=377). The data of the study

[1] Bu çalışma "Konaklama İşletmelerinde Örgütsel Farkındalık ve Algılanan Politika Etkililiğinin Davranışsal Bağlanma Göstergeleri Üzerindeki Etkileri" başlıklı yüksek lisans tez çalışmasından türetilmiştir.

was collected with the help of a questionnaire including the organizational mindfulness scale of Vogus (2011), the organizational policy perceptions scale developed by Kacmar and Ferris (1991), the absenteeism scale of Paget, Lang and Shultz (1998), and turnover intention scale adapted to Turkish by Polat and Meydan (2010). Based on these data, the research model and hypotheses were tested with the help of Confirmatory Factor Analysis and Structural Equation Modelling.

According to the findings of the research; It was determined that organizational mindfulness negatively affected both absenteeism and turnover intention, but perceptions of organizational politics positively affected both absenteeism and turnover intention. It was also revealed that organizational mindfulness negatively affects perceptions of organizational politics. On the other hand, it has been demonstrated that perceptions of organizational politics have a mediating effect in the relationship between organizational mindfulness and absenteeism. Similarly, it has been observed that perceptions of organizational politics have a mediating effect in the relationship between organizational mindfulness and turnover intention. Finally, it was stated that this study had some limitations, suggestions were made to the executives and the sector regarding the findings in the study and also some suggestions were made for the researchers who will work in this field in the future.

**Key Words:** Organizational Mindfulness, Perceptions of Organizational Politics, Behavioral Indicators of Attachment

## 1. GİRİŞ

Hiçbir örgüt kendisini beklenmedik olaylara karşı savunmasız kalmayı arzu etmemektedir. Özellikle yeni kurulan işletmelerin deneyimsizlik nedeniyle güvende olduklarını söylemek oldukça güçtür. Örgütler planlama, karar verme, strateji geliştirme ve eylem yeteneklerini iyileştirmek için bilgi teknolojilerinde yararlanırlar, ancak sınırlı sayıda örgüt yeni bilgi teknolojilerini özümseme çabalarında tam anlamıyla başarılı olabilmektedir. Deneyimli yöneticiler ve bilim insanları örgütsel farkındalığın veya kurumsal bağlamdaki beklentilere ve değişikliklere karşı kolektif uyanıklığın yüksek olmasının bu yenilik ve gelişmelere ayak uydurmada ve işgörenlerin davranışsal bağlanma göstergeleri üzerinde etkili olacağını ileri sürmektedirler (Mu ve Butler, 2009). Ancak çalışanların örgütsel politik davranış algılamalarının örgütsel farkındalığın davranışsal bağlanma göstergeleri üzerindeki etkisinin yönünde ve şiddetinde değişikliğe yol açabileceği düşünülmektedirler. Çok dinamik sektörlerden biri olan konaklama işletmelerinde hem işgörenlerin işletmeye bağlanması ve performansı hem de değişime ayak uydurmaları oldukça önemlidir. Bu nedenle konaklama işletmelerinin davranışsal bağlanma göstergelerini olumlu etkileyecek ve örgütsel politikleri azaltabilecek veya etkili yönetebilecek anlayışlara, yöntemlere ve araçlara ihtiyaç duymaktadır. Bu çalışma da örgütsel farkındalığın bu araçlardan biri olabileceği savı ileri sürülmekte ve bu savı test etmeye yönelik konaklama işlemeleri çalışanları üzerinde bir ampirik araştırma yürütülmektedir.

Konaklama işletmeleri çalışanları açısından işgücü devri, işten ayrılma, presenteizm, devamsızlık ve işten ayrılma niyeti gibi çok sayıda davranışsal bağlanma göstergesi bulunmaktadır. Ancak bu çalışmada sadece sektörde en yaygın olduğu düşünülen işten ayrılma niyeti ve devamsızlık göstergeleri araştırma modeline dâhil edilmiştir. Bunun gerekçesi, örgütsel davranış yazınındaki bulgu eksikliğidir.

Bu davranışsal bağlanma göstergelerinden *işten ayrılma niyeti;* herhangi bir öngörülemeyen sebepten dolayı bir bireyin belirli bir süre içinde işini değiştirme olasılığını yansıtır (Sousa-Poza ve Henneberger: 2004: 113; Tett ve Meyer (1993: 262). Tanımı üzerinde bir görüş bilirliği olmayan *işe devamsızlık* ise, işgörenin çalışma programı veya planına göre, çalışması gereken zamanlarda mazeret belirtmeksizin işine gelmemesi olarak tanımlanmaktadır (Eren, 1989: 215; Tütüncü ve Demir, 2003: 152).

Son yıllarda ortaya atılan örgütsel farkındalık, bir örgütü yeni tehditler hakkında ayırt edici ayrıntıları yakalama ve bu ayrıntılara yanıt verecek şekilde hızlı hareket etme yeteneğini yaratma derecesini ifade eder (Vogus ve Sutcliffe, 2012: 723). Bazı araştırmalarda örgütsel farkındalık süreci genelde başarısızlıkla meşgul olma, yorumları basitleştirme isteksizliği, işlemlere duyarlılık, dayanıklılığa bağlılık ve uzmanlığa saygı gösterme aşamalarından oluşur (Weick, Sutcliffe ve Obstfeld, 1999: 37-39; Weick ve Sutcliffe, 2001; Mu ve Butler, 2009: 30-33; Ray, Baker ve Plowman, 2001: 190-193). Örgütsel farkındalığın örgütsel ve işgören çıktıları ile ilişkisi üzerine sınırlı sayıda çalışmaya rastlanmaktadır (Nguyena vd., 2020; Kelemen, Born ve Ondráček, 2020: 1818-1819). Ancak örgütsel farkındalığın işgörenlerin devamsızlık ve işten ayrılma niyeti gibi davranışsal bağlanma çıktıları üzerine etkilerini ele alan çalışma henüz bulunmamaktadır.

İşgörenlerin bireysel amaçlarına katkıda bulunan, diğer kişi ve grupların zararına olan örgütsel politik davranış algılamalarının örgütsel farkındalığın davranışsal bağlanma çıktıları üzerindeki etkilerini sınırlayabileceği bu çalışmanın temel amaçlarından biridir.

Örgütsel politikler, geleneksel olarak kendi kendine hizmet eden, örgütsel hedeflerle çelişen ve bireylere, gruplara veya diğer kuruluşlara zarar vermeyi önceden planlayan davranışlar olarak tanımlanmaktadır. Başka bir ifadeyle, örgütsel politik davranışlar, genellikle örgütsel hedefleri dikkate almaksızın veya hatta bunların zararına olan, kişisel çıkarı teşvik etmeyi amaçlayan davranışlar olarak ifade edilir (Hochwarter, Witt ve Kacmar, 2000: 473). Atılganlık, yükselmek için gerekeni yapma, çıkarcılık, yağcılık, koalisyon yapma, üste müracaat, engelleme ve yaptırımlarda bulunma bu davranışlardan bazılarıdır (Greenberg ve Baron, 2000: 410; Robbins, 2003: 371; Erkutlu, 2018: 167; Robbins ve Judge, 2020: 212).

Örgütsel politik davranışların işten ayrılma niyeti (Ram ve Prabhakar, 2010; Ekawarna, 2019) ve devamsızlık (Kacmar ve Baron, 1999) ile ilişkisi üzerine yapılan çalışmalar da yeterli görünmemektedir. Bu çalışmada hem örgütsel politik davranışların işten ayrılma niyeti hem de devamsızlık üzerine etkileri hem bu davranışların aracı değişken olarak örgütsel farkındalıkla birlikte davranışsal bağlanma göstergeleri üzerindeki etkileri irdelenmektedir.

Bununla birlikte Harris, Harris ve Harvey'in (2007) algılanan örgütsel destek ile iş çıktıları ilişkisinde ve Khuwaja, Ahmed, Abid ve Adeel (2020) liderlik ile işgören tutumları arasındaki ilişkide örgütsel politik davranışların aracı etkisini incelemiş olmaları, örgütsel farkındalık ile davranışsal bağlanma göstergeleri (işten ayrılma niyeti, iş devamsızlık) ilişkisinde örgütsel politik davranış algılamalarının aracılık edebileceği konusunda fikir vermektedir.

Bu çalışmada, örgütsel politik davranış algılamalarının, örgütsel farkındalığın davranışsal bağlanma göstergelerinden işten ayrılma niyeti ve işe devamsızlık üzerine etkisine aracılık ettiği bir araştırma modeli amaçlanmıştır. Bu çerçevede çalışmada önce örgütsel farkındalık ve örgütsel politik davranış algılamalarının davranışsal bağlanma çıktıları üzerine etkileri ve aynı zamanda örgütsel politik davranış algılamalarının, örgütsel farkındalık ile davranışsal bağlanma çıktıları ilişkisindeki aracı etkisi incelenmektedir.

Bu çalışma örgütsel farkındalık literatüründeki boşluğu doldurmayı amaçlamaktadır. Birincisi Türkçe yazında örgütsel farkındalık konusundaki teori (temel kavramlar, süreç, öncüller ve sonuçlar) ve diğer değişkenlerle ilişkisine dair bulgu yeterli görünmemektedir. Bununla birlikte konaklama işletmelerinde örgütsel farkındalığın davranışsal bağlanma göstergelerinden işten ayrılma niyeti ve işe devamsızlık üzerindeki etkilerini irdeleyen ampirik araştırmalara da rastlanmamaktadır. İkincisi şimdiye kadar örgütsel farkındalık ve örgütsel politik davranış algılamalarının davranışsal bağlanma göstergelerinden işten ayrılma niyeti ve işe devamsızlık üzerine etkilerini aynı anda ele alan bir model de test edilmemiştir. Ayrıca örgütsel politik davranış algılamalarının da davranışsal bağlanma göstergeleri üzerine etkilerini ele alan çalışmalarda sınırlı sayıdadır (Kacmar ve Baron, 1999; Ekawarna, 2019; Ram ve Prabhakar, 2010). Bu yönüyle çalışmamız yönetim yazınındaki boşluğu doldurmaktadır. Öte yandan örgütsel farkındalık ve örgütsel politik davranışlar konaklama işletmelerinde işe devamsızlık ve işten ayrılma niyetini etkilemekte ve dolaylı olarak bu işletmelerin kârlılığını ve performansını etkilemektedir. Dolayısıyla bu çalışma örgütsel farkındalık, örgütsel farkındalık ile örgütsel politikler arasındaki ilişkiler ve bu iki değişkenin konaklama işletmelerinde davranışsal bağlanma göstergeleri üzerindeki etkileri konusunda yönetim araştırmacıları ve konaklama işletmeleri yöneticilerine yeni bir perspektif sunması nedeniyle fayda sağlayacağı düşünülmektedir.

## 2. LİTERATÜR TARAMASI

### 2.1. Örgütsel farkındalık

Bireysel farkındalık, günümüze yönelik değerlendirici olmayan bir dikkat durumu veya insanları şimdiye konsantre olmaya iten ve bir bağlama duyarlılıklarını artıran yeni şeyleri fark etme süreci olarak tanımlanmaktadır (Kelemen, Born ve Ondráček, 2020: 1814-1815).

Örgütsel davranış yazınında bireysel farkındalık ile örgütsel farkındalığın birbiriyle ilişkili ve iç içe geçmiş olsa da, bu iki kavram arasındaki bağlantının doğası hâlâ belirsizdir. Örgütsel farkındalık, kolektif farkındalık olarak da bilinmektedir (Matook ve Kautz, 2008: 640).

Vogus ve Sutcliffe (2012: 723) göre örgütsel farkındalık; özellikle güvenilirliğe yönelik potansiyel tehditleri düzenli ve sağlam bir şekilde tartışma (başarısızlıkla meşguliyet), mevcut varsayımların yeterliliğini sık sık sorgulayarak ve güvenilir alternatifleri göz önünde bulundurarak (yorumları basitleştirme isteksizliği) bağlama dair incelikli ve güncel anlayışlar geliştirme; bu anlayışları güncel bir büyük resimle entegre etme (operasyonlara duyarlılık); önemli kararlar alırken otoriteden ziyade bir uzman gibi bu aksaklıkların veya başarısızlıkların kaçınılmaz olduğunu kabul etme ve onları kapsamlı bir şekilde analiz etme, onlarla başa çıkma ve onlardan bir şeyler öğrenmeden (dayanıklılık bağlılığı) oluşan bir süreçtir. Başka ifadeyle örgütsel farkındalık, bir örgütün ortaya çıkan tehditler hakkında ayrıntıları yakalama ve bu ayrıntılar üzerinde derhâl harekete geçme yeteneği yaratma derecesini ifade eder. Farkındalık, bir uyanıklık ve aktif farkındalık durumu yaratmayı, yeni bilgilere açık olmayı ve hareket etme yeteneğini sürdürmeyi içerir (Nwankpa ve Roumani, 2014).

Örgütsel farkındalık sadece bir durum değil, bir süreçtir (Piórkowska, 2016: 61). Bazı araştırmalarda örgütsel farkındalığın sürecinin aşamaları şu şekildedir (Weick, Sutcliffe ve Obstfeld, 1999: 37-39; Weick ve Sutcliffe, 2001; Mu ve Butler, 2009: 30-33; Ray, Baker ve Plowman, 2001: 190-193):

-*Başarısızlıkla Meşgul Olma:* Başarısızlıkla meşgul olma, örgütün başarısızlık olasılığına duyarlılığını, küçük başarısızlıklara dikkatini, hataları rapor etmeyi teşvik etme istekliliğini ve sorunların açıkça tartışılmasını içerir. Başarısızlıkla meşgul olma, başka türlü dikkate alınmayı hak etmeyecek, görünüşte önemsiz ve zararsız olaylar hakkındaki bilgileri birleştirme fırsatları da sağlar.

-*Yorumları Basitleştirme İsteksizliği:* Basitleştirme isteksizliği, yeni bilgileri filtrelemek ve organize etmek için basitleştirilmiş dünya görüşlerini veya önceden oluşturulmuş bilgi kategorilerini kullanmayı reddetmek demektir. Farklı görüşlerin araştırılmasını içerir. Basitleştirmekten kaçınan örgütler, yeni bilgi üretmek için yeni bilgi parçalarını arayacak şekilde bilgileri işlemektedir. Bu örgütlerin üyeleri, çevrelerindeki dünyanın karmaşık ve öngörülemez olduğu fikrini benimser. Bu konudaki beklentiler hafife alınmaz, daha çok sorgulanır.

-*Operasyonel Duyarlılık:* İşlemlere duyarlılık; durumsal farkındalığın ve canlı bir ayrıntı duygusunun sürdürülmesini kapsar. Operasyonlara duyarlılıkla karakterize edilen kuruluşlar, gerçek zamanlı bilgilere ve hataların birikmesini önleyebilecek sürekli ayarlamalar yapmalarına izin veren durumsal bir anlayışa sahiptir.

-*Değişimle Başa Çıkma Yükümlülüğü:* Farkındalık sahibi örgütler sıfır hatalı örgütlerin veya öngörülebilir ortamların olmadığının farkındadırlar; yani felaket (ve başarı) her an gelebilir düşüncesine sahiptirler. Farkındalığa sahip örgütlerin üyeleri, hangi planlar ve düzenlemeler yapılmış olursa olsun, örgütün başarısının ve hayatta kalmasının hâlâ beklenmedik durumlara uygun şekilde yanıt verme yeteneğine bağlı olduğunu varsayan bir bakış açısına sahiptir.

-*Uzmanlığa Saygı:* Örgütsel farkındalığın son boyutu olan uzmanlığa saygı; statü, görev süresi, rütbeyi dikkate almaksızın belirli bilgiye sahip bireyleri kullanma ve otoritenin uzmanlığa eşit olmadığını kabul etme eğilimidir. Bu boyut, bilgili ekip üyelerini, yeni ortaya çıkan bir sorunla başa çıkmalarına ve ortaya çıkan fırsatlara göre hareket etmelerine olanak tanıyan yetkilendirmeye hizmet eder.

Örgütsel farkındalığın davranışsal bağlanma göstergeleri üzerindeki etkileri incelendiğinde ise Nwankpa ve Roumani (2014) ABD firmaları üzerinde yaptıkları bir araştırmada örgütsel farkındalığın ERP sisteminin kullanımını pozitif yönde etkilediğini saptanmıştır. Yani ERP sisteminin kullanımını teşvik etmenin bir yolu olarak örgütsel farkındalık önerilmiştir. Yine Sullivan and Yang (2016) 350 Çin firması üzerinde yaptıkları çalışmada örgütsel farkındalığın firma inovasyonu üzerindeki farklı etkilerini incelemişlerdir. Araştırma bulgularına göre, örgütsel farkındalığın düşük yenilik derecesine sahip inovasyon ile pozitif ilişkili, ancak yüksek yenilik derecesine sahip inovasyon ile ters U ilişkisi içinde olduğu saptanmıştır. Benzer şekilde Oeij ve diğerleri (2020) taşımacılık ve lojistik sektöründen 110 Hollandalı işletme yöneticisi örnekleminde örgütsel farkındalığın inovasyon üzerindeki etkilerini inceledikleri araştırmanın bulgularına göre; örgütsel farkındalığın, inovasyon algısının algılanan kullanım kolaylığı, algılanan yararlılık ve öznel norm gibi tüm yönleriyle pozitif ilişkili olduğu ve örgütsel farkındalığın, inovasyonun kullanım kolaylığı algılanması

yoluyla gerçek inovasyon kullanımı üzerinde de dolaylı etkiye sahip olduğu tespit edilmiştir. Son olarak Isirimah ve Onuoha (2020) tarafından Nijerya'daki Rivers eyaletindeki konaklama işletmeleri yöneticileri üzerinde yapılan çalışmada araştırma bulgularına göre örgütsel farkındalık ile müşteri tatmini, duygusal bağlılık ve örgütsel katılım arasında pozitif ilişki olduğu saptanmıştır. Daha duyarlı ve destekleyici bir çalışma ortamı elde etmek için örgütsel farkındalığın benimsenmesi ve uygulanması gerektiği önerilmiştir ve örgütlerin tutarlı bir şekilde eğilimlerinin, sistemlerinin ve teknolojilerinin çeşitli bağlamlarda uygulanabilirliğini değerlendirmeleri gerektiği tespiti yapılmıştır. Bu çalışma konaklama işletmelerinde örgütsel farkındalığın örgütsel çıktıları üzerindeki etkilerini inceleyen nadir çalışmalardan biridir.

Bu çalışmalar dikkate alınarak örgütsel farkındalığın örgütsel politik davranış algılamaları, davranışsal bağlanma göstergelerinden işten ayrılma niyeti ve devamsızlık ilişkilerine dair hipotezler aşağıdaki şekilde tasarlanmıştır:

**Hipotez 1:** Örgütsel farkındalık, işe devamsızlık üzerinde negatif etkiye sahiptir.

**Hipotez 2:** Örgütsel farkındalık, işten ayrılma niyeti üzerinde negatif etkiye sahiptir.

**Hipotez 3:** Örgütsel farkındalık, örgütsel politik davranış algılamaları üzerinde negatif etkiye sahiptir.

## 2.2. Örgütsel Politik Davranış Algılamaları

Örgütsel politik davranış algılamaları (Perceptions of Organizational Politics-POPs) anlaşılması zor olduğu kadar her zaman her yerde karşılaşılan davranışlar olduğu düşünülmektedir. Bu anlaşılmazlık örgütsel politik davranışların nelerin oluşturduğuna dair anlayış eksikliğidir (Kacmar ve Ferris, 1991). Bu nedenle 1990 yılların ortalarından bu yana örgütsel davranış alanında öznel çalışma alanlarından biri olan örgütsel politik davranışlar ve bunların işgörenlerle ilişkili çıktılara etkileri üzerine çok sayıda çalışmalar yapılmaya başlanmıştır. Bu çalışmaların önemli bir kısmı görgül araştırma niteliğindedir. Elbette politik davranış algılarının olumlu yanları da bulunmaktadır. Çünkü bu davranışlar bazen motivasyon aracı olarak işlev görebilir, dolayısıyla belirli davranışların gerçekleştirme niyeti ve amaçların gerçekleşmesi de o ölçüde artmaktadır (Wan, Shen ve Yu, 2014). Ancak bu çalışmada daha çok örgütsel politik davranışların olumsuz yanları üzerinde durulmaktadır.

Örgütsel politik davranışlar, bir örgütte gayri resmi bir temelde ortaya çıkan ve çatışan eylemler olası olduğunda bireylerin mesleki kariyerlerini korumak veya geliştirmek için tasarlanmış kasıtlı etki eylemlerini içeren davranışları ifade eder (O'connor ve Morrison, 2001: 301).

Örgütsel politik davranış algılamaları; çalışma ortamının diğer bireyler ve gruplar aleyhine ya da zararına, ancak çeşitli bireyler ve grupların kendi amaçlarını gerçekleştirmesine hizmet eden unsulara ilişkin bireyin bir öznel değerlendirmesi olarak tanımlanmaktadır. Bu tanımın iki önemli özelliği vardır. *Birincisi*, politik davranış algılamaları, bir bireyin çalışma ortamında tanık olduğu ve deneyimlediği davranışa ilişkin kişisel değerlendirmesini temsil eden algısal bir değişkendir. Bu algıların nesnel gerçekliği yansıtmayabileceği kabul edilmesine karşın bir bireyin gerçeklik görüşünü temsil ettikleri için bu algılar bir bireyin bilişsel, duygusal ve davranışsal tepkilerini etkileyecektir. İkincisi, politik davranış algılamalarını kapsayan davranış, örgütteki diğer kişilerin zararına oluşan kendi kendine hizmet ettiği kabul edilen davranıştır (Bedi ve Schat, 2013: 247). Özellikle bireyler çevrenin davranışlar için normatif ilkeler sağladığını görmediğinde politik davranışların, ortaya çıkma olasılığı oldukça yüksektir (Hochwarter, Witt ve Kacmar, 2000: 473).

Örgütsel davranış literatüründe yapılan meta analiz çalışmalarında örgütsel politiklerin iş tatmini, örgütsel bağlılık ve iş performansı ile negatif, iş stresi ve işgücü devri ile pozitif ilişkili olduğu saptanmıştır (Miller, Rutherford ve Kolodinsky, 2008; Bedi ve Schat, 2013). Benzer şekilde Ferris ve Kacmar'a (1992: 97) göre örgütsel politiklerin yaygın olduğu işyerlerine devamsızlık oranlarında artış olduğu gözlenmiştir. Bazı çalışmalarda örgütsel politiklerin hem işten ayrılma niyeti (Ram ve Prabhakar, 2010; Ekawarna, 2019) hem de devamsızlık (Kacmar ve Baron, 1999) ile pozitif ilişkili olduğu saptanmıştır. Önceki çalışmalardaki tespitler dikkate alınarak örgütsel politikler ile bağlanma göstergeleri arasındaki ilişkilere dair hipotezler şu şekilde tasarlanmıştır:

**Hipotez 4:** Örgütsel politik davranış algılamaları, işe devamsızlık üzerinde pozitif etkiye sahiptir.

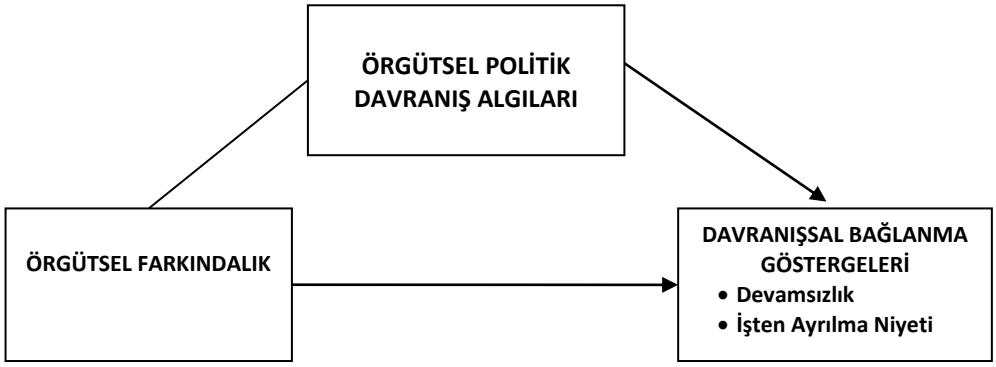
**Hipotez 5:** Örgütsel politik davranış algılamaları, işten ayrılma niyeti üzerinde pozitif etkiye sahiptir.

Öte yandan Harris, Harris ve Harvey (2007) algılanan örgütsel destek ile çıktılar (iş tatmini, ücret tatmini, iş gerilimi, rol çatışması ve işten ayrılma niyeti) arasındaki ilişkide; Aggarwal, Goyal ve Nobi (2018) lider-üye etkileşim ile örgütsel adalet algısı arasındaki ilişkide ve Khuwaja ve diğerleri (2020) liderlik ile işgören tutumları arasındaki ilişkide örgütsel politik davranış algılamalarının aracı etkisini incelemişlerdir. Bu çalışmalardan yola çıkarak çalışmanın aracı hipotezleri ise şu şekilde tasarlanmıştır:

**Hipotez 6:** Örgütsel politik davranış algılamaları, örgütsel farkındalık ile devamsızlık arasındaki ilişkide aracı etkiye sahiptir.

**Hipotez 7:** Örgütsel politik davranış algılamaları, örgütsel farkındalık ile işten ayrılma niyeti arasındaki ilişkide aracı etkiye sahiptir.

Şekil 1: Araştırma Modeli




## 3. METODOLOJİ

### 3.1. Örneklem

Bu çalışmada pandemi ve zaman kısıtı nedeniyle örneklem seçimine gidilmiştir. Bu çerçevede araştırmanın örneklemini, Nevşehir ili sınırları içinde faaliyet gösteren konaklama işletmeleri çalışanları oluşturmaktadır. Bu işletmelerin örneklem seçilmesinin nedenleri; Türkiye'nin en önemli turistik destinasyonlarından biri olan Kapadokya Bölgesi'nde bulunan Nevşehir ilindeki konaklama işletmeleri çalışan ilişkileri ve örgütsel politik davranışlar nedeniyle yerel ekonomiye istenen katkıyı sağlayamamaktadır. Bu nedenle bu işletmelerde işten ayrılma niyeti ve devamsızlığı azaltarak ekip performansını iyileştirmek ve hizmet kalitesini yükseltmek maksadıyla örgütsel politik davranışların tespit edilmesi ve azaltılmasına yönelik önlemlerin alınması gerekmektedir. Buna ilaveten bu işletmelere yönelik ortaya çıkan tehditler hakkındaki ayrıntıları yakalamayı ve bu ayrıntılar konusunda derhâl harekete geçme yeteneğine sahip olmayı ifade eden örgütsel farkındalık da bağlamsal göstergeleri iyileştirerek bölgesel ekonomiye olan katkıyı artırabilecektir. Bu konaklama işletmelerindeki çalışan sayısı tam olarak bilinmediğinden Çıngı'nın (1994) örneklem büyüklüğü tablolarındaki hesaplamalar dikkate alınarak örneklem hacmi 384 olarak kabul edilmiştir. Örneklem hacmi belirlendikten sonra bu konaklama işletmeleri çalışanlarına tesadüfî olarak 450 anket bizzat araştırmacı tarafından dağıtılmış ve bazı katılımcılara Internet ortamında anket linki gönderilerek cevaplar alınmıştır. Araştırmada 7 anket normal dağılımı ihlal ettiğinden veya aşırı uç değerleri kapsadığından analize tabi tutulmamıştır. Sonuçta analizde kullanılmak üzere 377 anket formu elde edilmiştir. Anketlerin geri dönüş oranı 0.84'tür. Bu sayı örneklemi temsil etme bakımından yeterlidir (Ulu, 2019). Bu araştırma katılan çalışanların demografik özellikleri Tablo 1'de sunulmuştur.

Tablo 1: Araştırmaya Katılan Çalışanların Demografik Özellikleri

| **Demografik Özellikler** | **Sayı** | **%** | **Demografik Özellikler** | **Sayı** | **%** |
|---|---|---|---|---|---|
| **Cinsiyet** | | | **Yaş Durumu** | | |
| Erkek | 253 | 67,1 | 21 yaş aşağısı | 15 | 4,0 |
| Kadın | 124 | 32,9 | 21-30 yaş arası | 168 | 44,6 |
| **Medeni Durum** | | | 31-40 yaş arası | 116 | 30,8 |
| Evli | 174 | 46,2 | 41-50 yaş arası | 61 | 16,2 |
| Bekâr | 203 | 53,8 | 51 yaş ve üzeri | 17 | 4,5 |
| **Eğitim Durumu** | | | **İş Deneyimi** | | |
| İlköğretim | 69 | 18,3 | 1 yıldan az | 7 | 1,9 |
| Lise | 117 | 31,0 | 1-5 yıl arası | 149 | 39,5 |
| Meslek Yüksekokulu | 68 | 18,0 | 6-10 yıl arası | 119 | 31,6 |
| Fakülte | 104 | 27,6 | 11-15 yıl arası | 50 | 13,3 |
| Yüksek Lisans/Doktora | 19 | 5,0 | 16 yıl ve üzeri | 52 | 13,8 |
| **Araştırmaya Katılan Çalışanların Konaklama İşletmesindeki Pozisyonu** | | | **Konaklama İşletmesinin Aile İşletmesi Olma Durumu** | | |
| Üst Yönetici | 92 | 24,4 | Evet | 195 | 51,7 |
| Ön Büro | 129 | 34,2 | Hayır | 182 | 48,3 |
| Yiyecek İçecek personeli | 43 | 11,4 | **Oteldeki Çalışan Kişi Sayısı** | | |
| Kat Hizmetleri | 51 | 13,5 | 10 ve daha az | 220 | 58,4 |
| Mutfak | 17 | 4,5 | 11-25 arası | 71 | 18,8 |
| İnsan Kaynakları Yönetimi Personeli | 4 | 1,1 | 26-50 arası | 49 | 13,0 |
| Satış ve Pazarlama | 9 | 2,4 | 51 ve daha fazla | 37 | 9,8 |
| Halkla İlişkiler ve Müşteri Hizmetleri | 3 | ,8 | **Otelin Yıldız Sayısı** | | |
| Muhasebe | 11 | 2,9 | Özel Belgeli | 128 | 34,0 |
| Diğer | 18 | 4,8 | 2 Yıldızlı | 2 | ,5 |
| **Otelin Bulunduğu Yer** | | | 3 Yıldızlı | 13 | 3,4 |
| Merkez | 27 | 7,2 | 4 Yıldızlı | 24 | 6,4 |
| Göreme | 115 | 30,5 | 5 Yıldızlı | 48 | 12,7 |
| Uçhisar | 50 | 13,3 | Butik | 128 | 34,0 |
| Ürgüp | 137 | 36,3 | Belediye Belgeli | 21 | 5,6 |
| Avanos | 12 | 3,2 | Pansiyon | 5 | 1,3 |
| Ortahisar | 23 | 6,1 | Diğer | 8 | 2,1 |
| Çavuşin | 13 | 3,4 | | | |
| | | | | | |

## 3.2. Ölçekler

Bu çalışmada örgütsel farkındalık bağımsız değişken, örgütsel politik davranış algılamaları aracı değişken ve bağlanma göstergeleri olan devamsızlık ve işten ayrılma niyeti bağımlı değişkenler olarak araştırma modeline dâhil edilmiştir. Verileri toplamak için daha önce güvenilirliği ve geçerliliği test edilmiş ölçeklerden oluşan bir anket formu kullanılmıştır. Çalışanların örgütsel farkındalık algılarını ölçek için

Vogus (2011) tarafından geliştirilen 9 ifadeli Örgütsel Farkındalık Ölçeğinden (1= Hiçbir Zaman, 5=Her Zaman) yararlanılmıştır. Yine çalışanların örgütsel politik davranış algılamalarını ölçmek için Kacmar ve Ferris (1991) tarafından geliştirilen 31 ifadeli Örgütsel Politik Algılamalar Ölçeği kullanılmıştır (1 = Çok Etkisiz, 2= Oldukça Etkisiz, 3= Orta Düzeyde Etkili, 4= Etkili, 5= Çok Etkili). Son olarak katılımcıların davranışsal bağlanma göstergelerinden işe devamsızlığı ölçmek için Paget, Lang ve Shultz (1998) tasarlanan 13 İfadeli İşgören Devamsızlık Ölçeği (1= Hiçbir Zaman, 5=Her Zaman) ve katılımcıların işten ayrılma niyeti algılamalarını belirlemek için de Polat ve Meydan (2010) tarafından Türkçeye uyarlanan ve bizzat araştırmacılar tarafından 2 ifade eklenen 5 ifadeli İşten Ayrılma Niyeti Ölçeğinden faydalanılmıştır (1= Kesinlikle Katılmıyorum, 5=Kesinlikle Katılıyorum). Tablo 3'de görüldüğü gibi tüm ölçeklerin güvenilirliği ve geçerliliği test edilmiştir.

### 3.3. Veri Analiz Prosedürü ve Yöntemleri

Bu çalışmanın verileri, Nevşehir ilinde faaliyet gösteren konaklama işletmeleri çalışanlarından elde edilmiştir. Bu çalışmada veri analiz prosedürü şu şekildedir:

1.Çalışmada öncelikle kayıp veri ataması yapıldıktan sonra Mahallabonis uzaklığı değerleri ve Mahallabonis ortalamaları hesaplanarak aşırı uç değerlerin olduğu 7 anket çıkarılmış ve +2,5 ile -2,5 arasındaki değerler analize tabi tutulmuştur. Bununla birlikte her bir değişkene ilişkin verilerin normal dağılıp dağılmadığını tespit etmek için Tek yönlü Kolmogorov Smirnov testinden yararlanılmıştır. Sonuçlar tüm değişkenlerin test istatistiği değerlerinin 0.05'ten büyük olduğunu, yani normal dağıldığını ortaya koymuştur.

2.Normal dağılım varsayımı altında her bir ölçeğin güvenilirlik ve geçerliliğine bakmak için tüm değişkenleri ihtiva eden bir ölçüm modelini test etmek için Doğrulayıcı Faktör Analizi uygulanmıştır. Ölçüm modeline ilişkin ilk DFA sonuçlarına göre elde edilen uyum iyiliği değerleri kabul edilebilir düzeyde olmadığından Örgütsel politikler ölçeğindeki 1., 2., 3., 4., 6., 10., 11., 12., 23., 24., 30. ve 31. ifadelerin; İşe Devamsızlık Ölçeğindeki 9., 10., 11. ve 13. ifadelerin ve İşten Ayrılma Niyeti Ölçeğinde 3.İfadenin faktör yükleri düşük olduğundan ölçüm modelinden çıkarılmıştır. Böylece uyum iyiliği değerlerinin kabul edildiği Tablo 3'deki ölçüm modeli geliştirilmiştir.

3. Geliştirilen ölçüm modeli esas alınarak ölçeklerin güvenilirlik ve geçerliliğini test etmek için önce araştırma modeldeki değişkenler arasındaki Pearson korelasyon katsayıları ve bu katsayılarının kareleri tespit edilmiştir. Sonra ölçüm modelindeki her bir değişkenin ifadelerinin karşısındaki faktör yüklerinden yararlanılarak modeldeki her bir değişkenin Ortalama Açıklanan Varyans (AVE) değerleri ve Bileşik Yapı Güvenirliği (BYG) değeri hesaplanmıştır. Bunun akabinde AVE değerlerinin karekökleri hesaplanmıştır.

4. Araştırma modeli ve hipotezlerini test etmek amacıyla Yapısal Eşitlik Modellemesi (YEM) uygulanmış ve ayrıca aracı değişken etkisini test etmek amacıyla %95 güven düzeyinde 5000 örneklem büyüklüğü esas alınarak BC Önyükleme yönteminden faydalanılmıştır.

5.Hem DFA hem de YEM için modelin uygunluğuna dair uyum iyiliği değerleri Tablo 2'de yer almaktadır.

Tablo 2: Doğrulayıcı Faktör Analizi ve KEKK-YEM için Uyum İyiliği Değerleri

| **Uyum Ölçümleri** | **İyi Uyum** | **Kabul edilebilir Uyum** |
|---|---|---|
| $\chi 2$ | $0 \leq \chi 2 \leq 2df$ | $2df \leq \chi 2 \leq 3df$ |
| p değeri | $.05 < p \leq 1.00$ | $.01 \leq p \leq .05$ |
| $\chi 2/df$ | $0 \leq \chi 2/df \leq 2$ | $2 < \chi 2/df \leq 3$ |
| RMSEA | $0 \leq RMSEA \leq .05$ | $.05 < RMSEA \leq .08$ |
| p value for test of close fit (RMSEA <.05) | $.10 < p \leq 1.00$ | $.05 \leq p \leq .10$ |
| SRMR | $0 \leq SRMR \leq .05$ | $.05 < SRMR \leq .10$ |

| | | |
|---|---|---|
| NFI | .95 ≤ NFI ≤ 1.00. | .90 ≤ NFI < .95. |
| NNFI | 95 ≤ NNFI ≤ 1.00 | .90 ≤ NNFI < .95 |
| CFI | .95 ≤ CFI ≤ 1.00 | .90 ≤ CFI < .95 |
| GFI | .95 ≤ GFI ≤ 1.00 | .80 ≤ GFI < .95 |
| AGFI | .90 ≤ AGFI ≤ 1.00, close to GFI | .80 ≤ AGFI <.90, close to GFI |

(Kaynak: Ulu, 2019: 88).

## 4. BULGULAR

### 4. 1. Dışsal Model

Kısmi En Küçük Kareler – *YEM***,** dışsal model ve içsel model şeklindeki iki ayrı yapıyı kapsar (Hair vd., 2014). Bu nedenle modelindeki değişkenlere ilişkin ölçeklerin yapı geçerliği ve güvenirliği test etmek için ilk önce dışsal model (ölçüm modeli) oluşturulmuş ve daha sonra içsel modeli (YEM Modeli) sonuçları değerlendirilmiştir.

Veri seti esas alınarak yapılan ilk analizde ortaya çıkan dışsal modelin uyum iyiliği değerleri yeterli olmadığından bazı ölçeklerde en düşük faktör yükünden başlayarak faktör yükü 0.50'den düşük olan bütün ifadeler modelden çıkarılmıştır. Dışsal modelde örgütsel politikler ölçeğindeki *pop1, pop2,pop3, pop4, pop6, pop10, pop11, pop12, pop23, pop24, pop30 ve pop31* ifadeleri; İşe Devamsızlık Ölçeğindeki *dv9, dv10, dv11 ve dv13* ifadeleri ve İşten Ayrılma Niyeti Ölçeğinde *an3* ifadesi çıkarılmıştır.

Düşük faktör yüküne sahip bu ifadeler çıkarıldıktan sonra da modelin bazı uyum iyiliği değerlerinin hâlâ kabul edilebilir olmadığı görüldüğünden uyum iyiliği değerlerini iyileştirmek için Schumacker and Lomax (2010) tarafından önerilen düzeltme indislerinden (modification indices) yararlanılmıştır. Bu çerçeve dışsal modeldeki örgütsel farkındalık ölçeğindeki of4 ifadesine ait e6 ile s5 ifadesine ait e5 hata terimleri arasında; örgütsel politikler ölçeğindeki pop7 ifadesine ait e16 ile pop8 ifadesine ait e17 hata terimleri arasında ve pop26 ifadesine ait e35 ile pop27 ifadesine ait e36 hata terimleri arasında; işe devamsızlık ölçeğindeki dv4 ifadesine ait e44 ile dv5 ifadesine ait e45 hata terimleri arasında arasında bağ (covarians) oluşturulmuştur.

Tablo 3'te dışsal modele ilişkin doğrulayıcı faktör analizinin sonuçları ayrıntılı olarak sunulmuştur. Tabloda görüldüğü üzere *Ki-Ki Kare/Serbestlik Derecesi (χ2/df), RMR, GFI, AGFI, IFI, TLI, CFI, RMSEA* gibi uyum iyiliği değerlerinin tümünün mükemmel ve kabul edilebilir düzeydedir.

Tablo 3: Dışsal Modelin Analiz Sonuçları

| **Ölçekler** | **İfade Sayısı** | **Std. Faktör Yükleri** | **t değerleri***** | **Bileşik Yapı Güvenilirliği (BYG)** | **Ortalama Açıklanan Varyans (OAV)** |
|---|---|---|---|---|---|
| **ÖRGÜTSEL FARKINDALIK** | of9 | ,617 | * | ,87 | ,55 |
| | of8 | ,717 | 11,125 | | |
| | of7 | ,738 | 11,361 | | |
| | of6 | ,730 | 11,278 | | |
| | of5 | ,657 | 10,412 | | |
| | of4 | ,614 | 9,867 | | |
| | of3 | ,589 | 9,588 | | |
| | of2 | ,694 | 10,874 | | |
| | of1 | ,568 | 9,313 | | |
| | pop5 | ,613 | * | ,92 | |
| | pop7 | ,606 | 10,063 | | |
| | pop8 | ,607 | 10,068 | | |

| | | | | | |
|---|---|---|---|---|---|
| **ÖRGÜTSEL POLİTİK DAVRANIŞ ALGILAMALARI** | pop9 | ,680 | 11,006 | | **,53** |
| | pop13 | ,670 | 10,882 | | |
| | pop14 | ,762 | 11,961 | | |
| | pop16 | ,748 | 11,808 | | |
| | pop18 | ,647 | 10,604 | | |
| | pop20 | ,616 | 10,205 | | |
| | pop21 | ,602 | 10,017 | | |
| | pop22 | ,602 | 10,018 | | |
| | pop25 | ,577 | 9,684 | | |
| | pop26 | ,658 | 10,724 | | |
| | pop27 | ,628 | 10,339 | | |
| | pop28 | ,624 | 10,307 | | |
| | pop29 | ,654 | 10,684 | | |
| **DEVAMSIZLIK** | dv1 | ,688 | * | ,87 | ,53 |
| | dv2 | ,748 | 12,845 | | |
| | dv3 | ,525 | 9,280 | | |
| | dv4 | ,606 | 10,544 | | |
| | dv5 | ,722 | 12,423 | | |
| | dv6 | ,652 | 11,360 | | |
| | dv7 | ,596 | 10,458 | | |
| | dv8 | ,576 | 10,137 | | |
| | dv9 | ,707 | 12,234 | | |
| | | | | | |
| **İŞTEN AYRILMA NİYETİ** | an1 | ,521 | * | ,82 | ,62 |
| | an2 | ,641 | 9,019 | | |
| | an4 | ,784 | 10,026 | | |
| | an5 | ,927 | 10,402 | | |
| **Uyum İyiliği Değerleri** | $\chi^2$/sd1,645; GFI= ,87; AGFI= ,85; IFI=0,93; TLI= ,92; CFI= ,93; RMR= 0,08; ,RMSEA= 0,041 | | | | |

*1'e sabitlenmiş olduğunu ifade eder. *** p<.001

Tablo 3 görüldüğü gibi DFA sonuçlarına göre dışsal modelde kabul edilebilir uyum iyiliği değerleri karşılandıktan sonra modeldeki tüm ölçeklere ait ifadelerin faktör yüklerinin 0,50'nin üzerinde olması, hesaplanan BYG değerlerinin 0.70'in üzerinde olması, ölçeklerin OAV değerlerinin 0.50'nin üzerinde olmasından dolayı bütün ölçekler için yakınsak geçerliliğin sağlandığı rahatlıkla söylenebilir.

Yine dışsal modelde kabul edilebilir uyum iyiliği değerlerinin sağlanmasından sonra Tablo 4'te görüldüğü gibi verilen dışsal modeldeki değişkenler arasındaki korelasyon katsayılarının kareleri, her bir değişkenin OAV değerlerinin kare kökünden düşük olduğu için ölçeklerin tümünün ayırt edici geçerliliğinin de sağlandığı açıktır (Kline, 2011). Aynı zamanda her bir ölçeğin yakınsak geçerlilik ve ayırt edici geçerlilik sağlanması, ölçeklerin yapı geçerliliğinin de sağlandığı anlamına gelir.

Tablo 4: Dışsal Model Kapsamındaki Değişkenlere İlişkin Ayırt Edici Geçerlilik Sonuçları

| **Değişkenler** | **1** | **2** | **3** | **4** |
|---|---|---|---|---|
| **1.OF** | **,330** | | | |
| **2.POP** | 0,0655 | **,280** | | |
| **3.DV** | 0,0864 | 0,2190 | **,280** | |
| **4.AN** | 0,0713 | 0,1989 | 0,2266 | **,384** |

OF: Örgütsel Farkındalık, POP: Örgütsel Politik Davranış Algılamaları, DV: Devamsızlık, AN: İşten Ayrılma Niyeti

Not: Tablo 4'te çapraz seyreden koyu katsayılar OAV değerlerinin karekökünü ifade eder.

Tablo 5'te görüldüğü gibi modeldeki değişkenler arasındaki korelasyon katsayılarının tümü 0.80'den düşük olması da ayırt edici geçerlilik koşulunun sağlandığını gösterir. Korelasyon analizi sonuçlarına göre örgütsel farkındalığın hem işe devamsızlık (r = -,294; p<0.01) hem de işten ayrılma niyeti (r = -,267; p<0.01) ile negatif yönlü ve anlamlı ilişki içinde iken; örgütsel politiklerin iş devamsızlık (r = ,468;

p<0.001) ve işten ayrılma niyeti (r = ,446; p<0.001) ile pozitif yönlü ve anlamlı ilişki içinde olduğu gözlenmiştir. Öte yandan örgütsel farkındalık ile örgütsel politikler arasında negatif ve anlamlı ilişki olduğu saptanmıştır (r = ,256; p<0.01).

Tablo 5: Dışsal Model Kapsamındaki Değişkenlere İlişkin Korelasyonlar

| **Değişkenler** | **1** | **2** | **3** | **4** | **x̄** | **St. Sapma** |
|---|---|---|---|---|---|---|
| **1.OF** | 1 | | | | 4,13 | ,72 |
| **2.POP** | -0,256** | 1 | | | 2,80 | ,96 |
| **3.DV** | -0,294** | 0,468*** | 1 | | 2,21 | ,78 |
| **4.AN** | -0,267** | 0,446*** | 0,476*** | 1 | 2,16 | 1,05 |

OF: Örgütsel Farkındalık, POP: Örgütsel Politik Davranış Algılamaları, DV: Devamsızlık, AN: İşten Ayrılma Niyeti

*p<0.05, **p<0.01, ***p<0.001.

## 4.2. İçsel Model

Dışsal model (ölçüm modeli) oluşturulduktan sonra hipotezleri test etmek amacıyla kısmi en küçük kareler yapısal eşitlik modellemesi uygulanmıştır. Tablo 6'daki YEM bulguları incelendiğinde içsel modele (KEKK-YEM Modeline) ilişkin uyum iyiliği değerlerinin tümünün yeterli olduğu gözlenmektedir.

Tablo 6: İçsel Model ve Hipotezlerin Testine Dair Sonuçlar

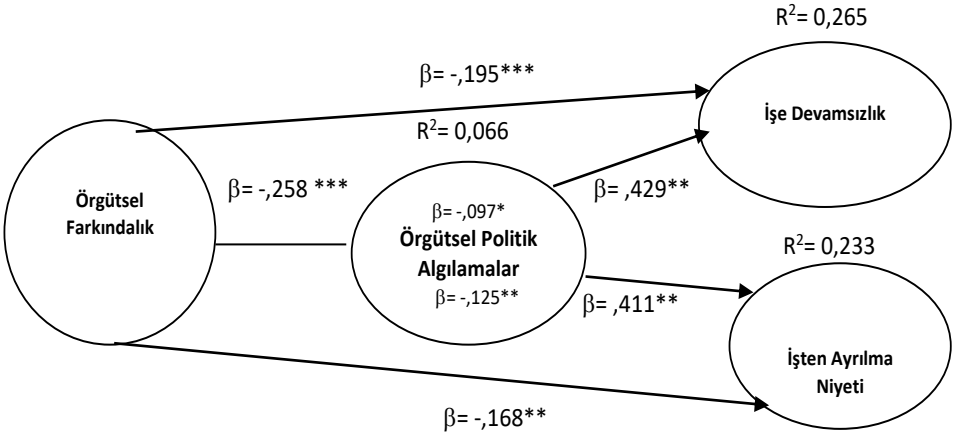
| **Hipotezler** | **İlişkiler** | **Std. Faktör Yükleri** | **t değeri** | **Sonuç** |
|---|---|---|---|---|
| H1 | **OF → DV** | -,195*** | -3,393 | Kabul |
| H2 | **OF → AN** | -,168** | -2,907 | Kabul |
| H3 | **OF → POP** | -,258*** | -4,181 | Kabul |
| H4 | **POP → DV** | 0,429*** | 6,540 | Kabul |
| H5 | **POP → AN** | 0,411*** | 5,793 | Kabul |
| Uyum İyiliği Değerleri | $\chi^2$/sd=1.627; GFI=, 87; AGFI=,86; IFI=,93; TLI=,93 CFI= .93; RMR=,088; ,RMSEA= .041 | | | |

OF: Örgütsel Farkındalık, POP: Örgütsel Politik Davranış Algılamaları, DV: Devamsızlık, AN: İşten Ayrılma Niyeti
*p<0.05, **p<0.01, ***p<0.001

YEM sonuçlarına göre örgütsel farkındalığın davranışsal bağlanma göstergelerinden hem işe devamsızlığı ($\beta$= -,195; p<0.001) hem de işten ayrılma niyetini ($\beta$= -,168; p<0.01) negatif ve anlamlı şekilde etkilediği görülmektedir. Bu nedenle **H1** ve **H2** hipotezleri kabul edilmiştir. Bununla birlikte örgütsel farkındalık örgütsel politik davranış algılamalarını negatif ve anlamlı şekilde etkilemektedir ($\beta$= -,258; p<0.01). Dolayısıyla **H3** hipotezi de desteklenmektedir. Buna karşın örgütsel politik davranış algılamalarının davranışsal bağlanma göstergelerinden gerek işe devamsızlığı ($\beta$= ,429; p<0.001) gerekse işten ayrılma niyetini ($\beta$= ,411; p<0.001) pozitif ve anlamlı şekilde etkilediği tespit edilmiştir. Bu bulgulara göre **H4 ve H5** hipotezleri desteklenmiştir.

Modelde bağımsız değişken örgütsel farkındalığın, bağımlı değişkenler olan davranışsal bağlanma göstergelerinden işe devamsızlıktaki varyansı açıklama oranı %26.5 ($R^2$= 0,265) ve işten ayrılma niyetindeki varyansı açıklama oranı %23.3 ($R^2$= 0,233) ve aracı değişken örgütsel politiklerdeki varyansı açıklama oranı %6.6 ($R^2$= 0,066) düzeyindedir. Bu bulgular dikkate alındığında araştırma modeli aşağıdaki gibi şekillenmiştir.

Şekil 2: YEM Sonuçlarına Göre Oluşan Model




Uyum İyiliği Değerleri: $\chi^2$/sd=1.627; GFI=, 87; AGFI=,86; IFI=,93; TLI=,93

CFI= .93; RMR=,088; ,RMSEA= .041

Bu çalışmada araştırma modeline örgütsel politik davranış algılamaları aracı değişken olarak girdiğinde ise örgütsel farkındalığın hem işe devamsızlık (β= -,0973; p<0.05) hem de işten ayrılma niyetini (β= -,1252; p<0.05) negatif ve anlamlı şekilde etkilediği gözlenmiştir. Ancak aracı değişken olan örgütsel politik davranış algılamaları modele dâhil edildiğinde bağımsız değişkenin iki bağımlı değişken üzerindeki etkisinde de azalma (ć < c) olduğu için kısmi aracı etki olduğu söylenebilir. Buna ilaveten örgütsel politik davranış algılamalarının aracılık etkisini test etmek için Preacher ve Hayes (2008) tarafından önerilen %95 güven düzeyinde 5000 örneklem büyüklüğü esas alınarak BC Önyükleme yöntemi uygulanmıştır. %95 güven aralığında Bootstrap tahminlerine göre örgütsel politik davranış algılamaları modele girdiğinde örgütsel farkındalığın devamsızlığa etkisinde bir azalma vardır (β = -,0973; %95 CI [ -,1538 ile -,0519]) ve ayrıca modelde alt ve üst limitler sıfırdan farklılaştığından aracı rolü oynadığı tespit edilmiştir (p<0.05). Dolayısıyla bu bulgulara göre **H6** hipotezi kabul edilmiştir. Benzer şekilde %95 güven aralığında Bootstrap tahminleri incelendiğinde örgütsel politik davranış algılamaları modele girdiğinde örgütsel farkındalığın işten ayrılma niyeti üzerindeki etkisinde de bir azalma olduğu gözlenmektedir (β = -,1252; %95 CI [ -,1962 ile -,0672]). Bu alt ve üst limitler sıfırı kapsamadığından aracı rolü oynadığı tespit edilmiştir (p<0.01). Bu nedenle **H7** hipotezi de desteklenmiştir.

.

## 5.SONUÇ

1990'lı yıllardan beri farklı sektörlerde birçok işletme, beklenmedik olaylar ve istikrarsızlıkla karakterize edilen oldukça dinamik sosyo-ekonomik ortamlarda faaliyet göstermektedir. Bu işletmeler, kalıcı yeniden yapılanmayı teşvik eden değişim girişimleriyle dinamik ortamlara uyum sağlama eğilimindedir. Bu girişimler çoğu zaman işletmelerde düşük örgütsel etkililik, psikolojik sözleşme ihlali, işten ayrılma niyeti ve devamsızlıkla sonuçlanabilmektedir. Bu nedenle konaklama işletmelerinin belirsizlik çağında beklenmedik gelişmelere hazırlıklı olmaları ve örgütsel etkililiği artırmaları için yeni arayışlara ihtiyaç duyulmaktadır. Bu yeni arayışlardan biri olan örgütsel farkındalığın da hem örgütsel etkililiği artırmada hem de örgütsel politik davranışların olumsuz etkilerini yönetmede etkili bir yaklaşım olabileceği düşünülmektedir. Ancak bu yeni yaklaşımların etkilerini sınırlayıcı bazı faktörlerin olduğu da yadsınamaz bir gerçektir. Bu kapsamda örgütsel politik davranış algılamalarının aynı zamanda örgütsel farkındalığın olumlu etkilerini azaltıp azaltmadığı sorusu da hâlâ yanıt beklemektedir. Bu bakış açısıyla çalışmamızda örgütsel farkındalık ve örgütsel politik davranış algılamalarının davranışsal bağlanma göstergeleri (işe devamsızlık ve işten ayrılma niyeti) üzerindeki etkileri incelenmektedir. Bu nedenle Nevşehir ilindeki konaklama işletmeleri çalışanları üzerinde bir ampirik araştırma yapılmıştır.

Yapısal eşitlik modellemesi sonuçlarına göre örgütsel farkındalığın davranışsal bağlanma göstergelerinden hem işe devamsızlığı hem de işten ayrılma niyetini negatif ve anlamlı şekilde etkilediği tespit edilmiştir. Yine örgütsel farkındalığın örgütsel politik davranış algılamalarını da negatif ve anlamlı şekilde etkilediği ortaya konmuştur. Örgütsel davranış yazınında bu konuda çalışma olmadığından bu bulgular literatüre önemli bir katkı olarak düşünülebilir. Buna karşın örgütsel politik davranış algılamalarının davranışsal bağlanma göstergelerinden işe devamsızlık üzerinde pozitif ve anlamlı etkiye sahip olduğu ortaya konmuştur. Ferris ve Kacmar (1992) ve Kacmar ve Baron (1999) tarafından yapılan çalışmaların bulguları, bu bulguyu desteklemektedir. Benzer şekilde çalışmamızda örgütsel politik davranış algılamalarının davranışsal bağlanma göstergelerinden işten ayrılma niyetini de pozitif ve anlamlı etkilediği saptanmıştır. Ram ve Prabhakar (2010) ve Ekawarna'nın (2019) çalışmalarındaki bulgular bu bulguyla paralellik arz etmektedir. Son olarak örgütsel politik davranış algılamalarının, hem örgütsel farkındalık ile devamsızlık ilişkisinde hem de örgütsel farkındalık ile işten ayrılma niyeti ilişkisinde aracı etkiye sahip olduğu tespit edilmiştir. Bu bulgular da literatüre yeni bir katkı olarak değerlendirilebilir.

Bu çalışmanın bulguları dikkate alınarak turizm sektöründeki en önemli paydaşlardan biri olan konaklama işletmeleri için şu öneriler sunulabilir:

-Konaklama işletmelerinde örgütsel farkındalığın işe devamsızlık ve işten ayrılma niyetini önemli ölçüde azalttığı tespit edilmiştir. Bu nedenle yöneticiler örgütsel farkındalık süreçlerine işlerlik kazandırarak tehditlerin tartışılmasına, mevcut varsayımların sık sık sorgulanmasına, önemli kararlar alırken otoriteden ziyade uzman görüşlerinin önemsenmesine ve küçük başarısızlıklara dikkati yoğunlaştırarak hataları raporlamanın teşvik edilmesine olanak tanımalıdır. Böylelikle bu işletmeler daha proaktif bir strateji izleme fırsat elde edeceklerinden işgörenler bu işletmelerde daha fazla kalmayı tercih edebilir ve örgüte bağlılıkları da artabilir. Yani yüksek örgütsel farkındalık, işletmelerde düşük işe devamsızlık ve düşük işten ayrılma niyetiyle sonuçlanabilir.

-Konaklama işletmelerinde örgütsel farkındalık yüksek olduğunda örgütsel politik davranışlarda önemli ölçüde azalış söz konusudur. Ancak Türkiye gibi gelişmekte olan ülkelerde örgütsel politik davranış algılamalarının hem örgütsel farkındalığın olumlu sonuçlarını bir ölçüde azalttığı gözlenmiştir. Bununla birlikte konaklama işletmelerinde işe devamsızlık ve işten ayrılma niyetinin en önemli öncüllerinden birinin örgütsel politik davranış algılamaları olduğu da çalışmada tespit edilmiştir. Bu davranışlar belirsiz çalışma ortamı, kayırmaya yönelik eylemler, düşük iş tatmini, yüksek işgücü devri, yüksek devamsızlık ve yüksek işten ayrılma niyetiyle sonuçlanmaktadır. Bu nedenle konaklama işletmelerinde örgütsel politik davranışları azaltma konusunda yapıcı örgüt kültürü oluşturulması, işgörenlerin kararlara dâhil edilmesi, ekip çalışmasına önem verilmesi, güven ve sosyal destek mekanizmaları oluşturulması, objektif kriterlere dayalı performans değerleme ve personel sisteminin benimsenmesi gibi önlemler alınmalıdır (Schneider, 2016: 703-705). Örgütlerde politik davranışların tümüyle ortadan kaldırılması mümkün görünmemekte, ancak bu tür davranışların makul sınırlar içinde kalması ve örgütün amaçlarına ulaşmayı maksimize edebilmesi için yöneticiler tarafından tutarlı bir şekilde ele alınması ve yönetilmesi gerekmektedir (Kreitner ve Kinicki, 2001: 540).

Bu çalışmanın bazı kısıtları da mevcuttur. Birincisi ilk çalışmalardan biri olduğundan örgütsel farkındalık konusunda sınırlı sayıda çalışma olması nedeniyle teori ve literatür oluşturmada bazı güçlüklerle karşılaşılmıştır. İkincisi bu çalışma, Covid-19 pandemisi nedeniyle konaklama işletmelerinin büyük bir kısmının kapalı olduğu ve personelin önemli bir kısmının izinli olduğu bir dönemde yapıldığından anketin uygulanmasında güçlükler yaşanmıştır. Fakat yine de ulaşılan örneklem büyüklüğü, nispeten kabul edilebilir düzeydedir.

Bu çalışmada konaklama işletmelerinde örgütsel farkındalık ve örgütsel politik davranış algılamalarının davranışsal bağlanma göstergeleri üzerindeki etkileri ele alınmaktadır. Gelecekteki çalışmalarda kamu ve bilişim sektörlerinde çok boyutlu örgütsel farkındalık ölçeği kullanılarak farklı örgütsel çıktılar üzerindeki etkileri boylamsal verilerle test edilebilir. Ayrıca gelişmiş ve gelişmekte olan ülkelerdeki işletmeler açısından karşılaştırmalı olarak örgütsel farkındalığın işgören çıktıları üzerindeki etkileri ortaya konulabilir.

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# Sosyal Etki (Influencer) Pazarlama Uygulamaları

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**Özet:** Geleneksel reklamcılık faaliyetleri son zamanlarda tüketicinin gözünde önem ve güvenilirliğini kaybetmiştir. Zira saldırgan ve abartılı reklamcılık faaliyetleri tüketicilerin bu durumlardan kaçınmak için çoğunlukla reklamları dinleme ya da izlemeden geçmesine neden olmuştur. Böylece işletmelerin hedef kitleye ulaşmalarında kullandıkları önemli bir tutundurma aracı olan reklamların amaçlarını gerçekleştirmeleri imkansız bir hal almıştır. Bu noktada işletmeler sosyal medyanın yükselişiyle beraber fenomenlerin hızla etki edebilme gücünü ve onların tek bir gönderiyle bile birçok insanın satın alma niyetini etkileme becerisini keşfetmiştir. Günümüzde işletmelerin pazarlama bütçelerinde sosyal etki (influencer) pazarlaması bir popülerlik dalgası giderek önem kazanmaktadır. Bu çalışmada sosyal etki pazarlaması farklı açılardan ele alınarak güncel uygulama örnekleri verilerek detaylıca incelenecektir.

**Anahtar Kelimeler:** Sosyal Etki Pazarlaması, Sosyal Medya Ağları, Sosyal Medya Fenomenleri.

# Social Impact (Influencer) Marketing Applications

**Abstract:** Traditional advertising activities have recently lost importance and credibility in the eyes of the consumer. Because aggressive and exaggerated advertising activities have caused consumers to mostly listen to or watch ads to avoid these situations. In this way, advertising, which is an important promotion tool that businesses use to reach their target audience, has become impossible to achieve their goals. At this point, with the rise of social media, businesses have discovered the power of phenomena to impact quickly and their ability to influence many people's purchasing intentions even with a single post. Today, influencer marketing is becoming increasingly important in the marketing budgets of businesses as a wave of popularity. In this study, social impact marketing will be discussed from different angles and examined in detail by giving current practice examples.

**Keywords:** Social Impact Marketing, Social Media Networks, Social Media Phenomena.

## 1.GİRİŞ

İnternet teknolojilerinde yaşanan gelişimlerle birlikte reklamların hedef kitlelere ulaşmasında da bazı değişimler meydana gelmiştir. Geleneksel medyanın alışık olunan reklam biçimlerinin tersine sosyal medyada kullanılmaya başlanan yeni pazarlama iletişimi uygulamaları yeni reklam türlerinin de oluşmasına imkan vermiştir. Bu reklam türlerinden bir tanesi de sosyal etkiye sahip kişilerin yapmış olduğu reklamlardır. Sosyal medya ortamda etki sahibi kişilerin pazarlama amaçlarına hizmet edecek biçimde kullanılmasıyla sosyal etki pazarlaması kavramı oluşmuştur. Sosyal medya fenomenleri olarak bilinen etki sahibi kişiler paylaştıkları içeriklerle binlerce hatta milyonlarca kişiye anında ulaşabilmektedirler.

Sosyal etki pazarlaması, her geçen gün etkinliğini arttıran bir pazarlama dinamiği olarak, reklam verenlerin çeşitli pazarlama unsurları kapsamında ele aldıkları ve etkili bütçeler ayırdıkları bir alan olarak gelişimini sürdürmektedir. Linqua'nın (2016) yılında yürüttüğü "State of Influencer Marketing" araştırmasının verileri 2016 yılında pazarlamacıların %86'sının sosyal etki (Influencer) kullandığını, Instagram ve Facebook'un bu tip kampanyalar için en fazla tercih edilen platformlar (%87) olduğunu göstermektedir.

Bu çalışmada sosyal etki pazarlaması çeşitli yönleri ile ele alınarak kavramsal açıdan değerlendirilmeye çalışılmış ve bu konuda yapılacak başka araştırmalara da katkı sağlanması amaçlanmıştır. Bu bağlamda, sosyal etki pazarlamasının tanımı, pazarlama faaliyetlerinde sosyal etki unsurunun kullanımı ve sosyal etki pazarlamasının uygulanmasına yönelik örnekler ele alınmıştır.

## 2. SOSYAL ETKİ (INFLUENCER) KAVRAMI

Literatürde pek çok farklı tanımı olan influencer terimi pazarlama alanında etkileyici kişi, nüfuzlu, etkili kişi, fenomen, etki lideri gibi farklı kavramlarla eş anlamlı olarak kullanımı söz konusudur. Influencer kavramı Oxford sözlüğünde, ''kişileri etkileme gücü olan, özellikle de potansiyel alıcıları bir ürün ya da hizmetle ilgili sosyal medya üzerinden yaptığı önermelerle etkileme gücü olan kişilerdir'' olarak tanımlamaktadır. (https://www.oxfordlearners dictionaries.com/definition/english/influencer?q=influencer).

Sosyal medyanın gün geçtikçe yaygın kullanımıyla beraber sıklıkla karşılaşılan influencer kişiler, günümüzdeki kadar etkili olmasa bile geçmişte de alıcıları etkileyebilmek için, ağızdan ağıza pazarlama metodu ile uygulanması söz konusuydu. İlk başta yakın çevreyi kapsayan, arkadaşlardan ve ailelerden meydana gelen influencer kitlesi gazetelerin daha da etki gücüne sahip olduğu zamanlarda magazin sayfalarında, televizyonların etki gücüne sahip olsuğu zamanlarda da sevilen ve değer verilen sanatçılar, yazarlar vb. kanat önderi olabilecek kişilerden meyda gelmekteydi. Sosyal medya ve mobil cihazların yaygınlaşmasıyla beraber blog yazarları (blogger) tarafından influencer vazifesinin yerine getirildiği söylenebilir (Smith, 2010).

## 3. INFLUENCER (SOSYAL ETKİ) PAZARLAMASI

Influencer kavramı genel olarak başkalarına etki ederek davranışlarının değişmesine katkı veren kişiler olarak tanımlanmaktadır. Bu kavram pazarlama bilimine uyarlandığında ise; kişilerin diğer kişileri ikna ederek satın alma davranışlarına değiştirebilen ve etkileyebilen kişileri içermektedir.

Influencer pazarlama, eski ve yeni pazarlama araçlarının bir karışımı olmakla birlikte, ünlü onayı ve fikrini alarak, onu günümüzün içerik odaklı bir pazarlama kampanyasına oturtmaktadır. Infleuncer pazarlama stratejisinin diğer stratejilerden ayrılan temel özelliği, kampanyanın sonuçlarının markalar ve etkileyiciler arasındaki işbirlikleriyle mümkün olmasıdır. Influencer'lar, ünlülerin tersine, her alanda ve herhangi biri olabilmektir. Dolayısıyla onları diğerlerinden etkili kılan en önemli özellik, web ve sosyal medyadaki büyük takipleridir (Khatri, 2006).

Sosyal etki pazarlamasının özgünlüğü, bu yeni pazarlama kavramının müşterilerin ihtiyaçları yerine fenomenlerin ihtiyaçlarına seslenmesidir. İşletmeler fenomenlerle canlı ilişkiler kurmak zorundadır, örneğin işletme piyasaya süreceği bir ürüne erişimi herkesten önce fenomene vermektedir ya da fenomeni kendi düzenleyeceği bir etkinliğe davet etmektedir. Bu özgünlüğüne rağmen fenomenlerle yürütülen pazarlama faaliyetleri geleneksel pazarlama faaliyetlerine göre daha zor kontrol edilebilirdir. Fenomenler güvenilirliklerini yitirebilir ve bu durum da fenomenlerin destekledikleri ve tanıtımını yaptıkları ürünle ilgili olumsuz etki yaratabilir. Ayrıca fenomenler markayı ya da ürünü yanlış tanıtabilir, böyle durumlarda markanın olaya müdahale ederek durumu düzeltmesi gerekebilir (https://www.marketing-schools.org/, 2018).

## 4. INFLUENCER (SOSYAL ETKİ) PAZARLAMASI ÖRNEKLERİ

Influencer içerik üreticilerinin dijital platformlardaki bir davranışı da günümüzde trend konularının meydana gelmesine aracılık etmektedir. Elektronik ortamdaki davranışları diğer kullanıcılar için tercih nedeni durumuna dönüşebilmektedir. Gelmektedir. Bundan dolayı kullanıcıların dijital platformlardaki her hareketi diğer kullanıcılar tarafından sıkı bir şekilde takip edilmekte ve onların günlük hayatlarının bir parçası olan ürünleri, dinledikleri müzikleri ya da söyledikleri sosyal ağlarda kısa zamanda büyük kitleler tarafından tepki görerek kabul görmesiyle birer trend biçimine dönüşmektedir. İsveçli saat markası "Daniel Wellington", bütünleşik pazarlama iletişimine örnek verilebilecek bir kampanya ile dijital platformda influencerlar ile başarıya ulaşmıştır. Saat markası birden fazla influencer ile anlaşarak bu faaliyeti gerçekleştirmiştir. Influencer takipçilerine kişiselleştirilmiş indirim olanağı verilen bu kampanyada paylaşılan içeriklerde %15 oranında indirim kodu yayınlayarak kullanıcılarına iletmiştir. Start-Up projesi olan "Daniel Wellington", bu pazarlama aktivitesiyle 150.000 dolarlık işletme değerini 5 yıldan daha az bir zaman diliminde, 200.000 dolara yükseltmiş ve influencer pazarlamasını doğru bir şekilde kullanarak hedeflerine ulaşmışlardır (Think With TR, 2019).

Türkiye'deki LÖSEV gibi nadir olan hastalıkla mücadele verenlerin ihtiyaç duydukları bakım ve teknolojiyi sağlayan bir vakıf olan The Bubble Foundation, "Seth İçin Sarı Giyin" sloganıyla ölümcül bir hastalığa yakalanmış olan 5 yaşındaki Seth'i mutlu etmek amacıyla internette büyük ilgi uyandıran bir kampanya organize etmiştir. Çok zor bir dönemden geçen Seth bu kampanyayla küçük unsurlarla mutlu olma imkanına kavuşmuştur. Zira Seth'in en çok sevdiği renk sarı olması ve bu rengi görmesiyle yüzünün gülmesi için yeterli bir durumdu. Bu nedenle Seth'in ailesi, dünyadaki tüm insanlardan sarı giyerek #WearYellowForSeth hashtag ile fotoğraf paylaşmasını istedi. Birkaç influencer da bu kampanya için gönüllü olarak fotoğraf paylaşımı ygerçekleştirdi. Kampanya birkaç influencer ile birlikte o kadar hızlı yayıldı ki, Ashton Kutcher gibi ünlüler de Seth'in gülümsemesi için fotoğraflar paylaşmaya başladı. Vakfın herhangi bir gider harcamasında bulunmadığı kampanya, influencerların gücü ile birlikte bir konunun ne kadar hızla viral olabileceğini göstermiş oldu (Think With TR, 2018).

"Bizi Biz Yapan Değerlerimiz" sloganıyla yola çıkan Albaraka Türk Bankası, sosyal medya etkileşimini arttırabilmek amacıyla gerçekleştirdiği influencer marketing çalışması ile büyük yankı uyandırdı. Kampanyanın başarılı olmasını nedenlerinden birisi Albaraka'nın reklam sloganında bahsettiği değerlerin öne çıktığı, manevi duyguların derinden hissedildiği ramazan ayında gerçekleştirilmesidir. Ama bu kampanyayı başarılı yapan asıl etmen gezgin şef Ömür Akkor'un influencer olarak seçilmiş olmasıdır. Zira Ömür Akkor, Anadolu'yu karış karış gezen, kaybolmuş Osmanlı ve Selçuklu lezzetlerini araştıran gezgin bir şef olarak kendini konumlandırmıştır. Dolayısıyla bu kampanya Ömür Akkor Instagram hesabından yaptığı duyuru ile başlamış ve kullanıcılardan Albaraka Türk hesabını takip ederek bir yakınını etiketlemeleri istenmiştir. Yapılan duyuruya istinaden istenilen şeyleri yerine getiren kullanıcılar içinden 15 kişi seçilerek Ömür Akkor'un yeni açtığı Bursa'daki Zennub 1844'te iftar yapmaya hak kazanacağı belirtilmiştir. Ömür Akkor, hesabından gerçekleştirdiği duyuruda: "Bizi Biz Yapan Değerlerimiz" ile "Bizi Biz Yapan Değerlerimizi Sofralarımıza Getirenler" buluşuyor ifadelerini kullanmıştır. Albaraka Türk yapılan çekiliş sonucunda 10.000'in üzerinde organik takipçi kazanmanın yanı sıra aynı zamanda başarılı bir marka – influencer ahengini de oluşturmuştur (Think With TR, 2018).

Marka – influencer ahengi açısından başarılı bir örnek de Mercedes'in kampanyalarında görülmektedir. Ama Mercedes, kampanyası bilinen bir influencer uygulamasının aksine dört ayaklı bir influencer uygulamasından oluşturulmuştur. Mercedes, pazara yeni tanıtılacak olan otomobil modeli için Instagram fenomeni bir köpek olan Loki'yle (yani sahibi ile) çalışmaya karar vermiştir. Instagram fenomeni Loki ve sahibine otomobil, karlı dağlarda sürmeleri amacıyla Mercedes tarafından verilmiştir. Sahibi otomobili sürerken karların arasında onu takip eden Loki'nin dağ macerası, 3D kameralar ve sanal gerçeklik teknolojileriyle videoya alınmıştır. Bu kampanya ile Loki aracılığıyla yalnızca Instagram üzerinden 173 milyon izlenme, 2,3 milyon etkileşim kazanılmıştır.

## 5.SONUÇ

Günümüzde tüketici istek ve ihtiyaçları sürekli olarak değişim göstermektedir. Tüketici, önceleri bir ürünü ihtiyacını karşılaması amacıyla alırken, artık marka ve ürün ile duygusal bağ kurmakta ve onları hayatının bir parçası haline dönüştürmektedir. Tüketici beklentilerinin fazla olması ve yoğun rekabet ortamı pazarlamacıları farklılaşabilmek amacıyla türlü stratejiler geliştirmeye zorlamaktadır. Özellikle sosyal medya araçları daha değerli hale gelmeye ve sıradan bir tüketicinin iletişim stratejisindeki temel faktörlerden biri olmaya başlamıştır. Bu nedenle pazarlamacılar, marka bilinirliğini yükseltmek ve markanın tüketiciler tarafından tercih edilmesini sağlamak amacıyla influencer pazarlamayı kullanmaktadırlar. Fenomenlerin faaliyetlerinin gittikçe artan bir şekilde popüler hale gelmesindeki faktörleri geniş bir alanda değerlendirmek mümkündür.

Gerçekleştirilen anlık ve etkileşimli iletişim ile birlikte tükettiği gibi aynı zamanda üretebilen günümüz internet kullanıcısı, kullanıcıların söz konusu kişisel tecrübe, düşünce ve tavsiyelerini aktarabilmeleri, diğer kullanıcıların güvenini kazanabilme ve rekabet koşullarında ön plana çıkabilmek için influencer marketing kullanılmasını sağlamıştır. Dolayısıyla işletmeler doğru sloganla doğru influenceri bulduğu takdirde başarı elde etme yüzdesi daha da arttığı yadsınılamaz bir gerçekliktir.

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# The Impact Of Syrian War On The Export Of Companies In Hatay and The Mission Of Sme Development Organization

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**Abstract:** Hatay province in Turkey, located Syria Border, one of the affected city both economically and socially from Syria civil war. Although there are so many effect of this civil war, in this paper, economic effects will be discussed. For the analysis among the 1176 companies registered Hatay Exporter union database 107 companies were selected and questions were directed to companies. As a result, it was concluded that Hatay was affected by civil war emerging in Syria. To eliminate the side effect of this war, it is necessart to take measure. Therefore, KOSGEB ( SME Development Organization ) has a key role during this process. What to do is to increase the awareness of KOSGEB support. However, it should be ensured that businesses access the supports provided by KOSGEB more easily. Businesses should be financially supported as their sales decrease (one market loss). The frame and amount of some support items should be increased. For example, if there are more distant markets, transport costs are certain to increase. Therefore, the amount and scope of this support should be increased. Another issue is what needs to be done for businesses to be more competitive in different markets.

**Key words:** SME, Support, International, Trade

**JEL Classification:** F 13, F23, F42

## 1. Introduction

Beginning in 2003, Syria has officially recognized the border it has actively recognized, and thus bilateral borders have been recognized and policies have been reviewed. In 2004, the Syrian government announced in bilateral talks with Turkey will not raise the issue of Hatay (Fattah, 2011). Thus, it was emphasized that the agreements need to go beyond Hatay and focus on bilateral relations. In accordance with the mutual declaration, Turkey has opened the Cilvegozu border gate in Hatay (Doğan & Uzun, 2014). Turkey's bilateral relations with the signing of four border trade center, which opens the Free Trade Zone Agreement has progressed (Altunışık & Tür, 2006).

One of the reasons for this is that conservative identity is emphasized in strengthening foreign trade and economic relations with neighbors (Çakmak & Ustaoğlu, 2015). The development of economic and commercial relations with neighbouring countries, especially Arab and Muslim countries, is again the biggest factor in this regard (Korgun, 2020). Regional development that started in Anatolian cities in the 1980s strengthened conservative business groups (Gencer & Öngel, 2011). With the emergence of a conservative and economically focused generation following the same argument, economic foreign policy underlined the concept of “religious markets”(Heydemann, 2013). The civil war that broke out in Syria in 2011 affected both Syria and neighbouring countries. The civil war has brought some problems to Syria, such as political instability, economic and social problems (Mustafa, 2011). Of course, the war has affected the surrounding countries socially and economically (Ardiç, 2012). Many people who left the country after the war lived as refuge in neighbouring countries. This situation had an impact in many areas in neighbouring countries, for example the labour market, trade with other countries (Joya, 2012). From the general to the specific, the neighbouring provincial economies of Syria were affected by this war like the other countries. Hatay, which is the border province of Syria, is one of the provinces

affected by this situation. Therefore, it is important to examine the economic problems experienced in this province.

The trade between Turkey and Syria can be seen table 1 above. Turkey's exports to Syria, starting in 2008, rose to $ 1.8 billion in 2010. The majority of this trade, Turkey's southern provinces, especially together or built in Gaziantep brought consisted of products such as electronic products and motor vehicles. This was an important step for Turkey's regional development. For the first time, the Anatolian region, which was weak compared to Marmara, on which Turkish industry traditionally relied, reached the capacity to make its own exports.

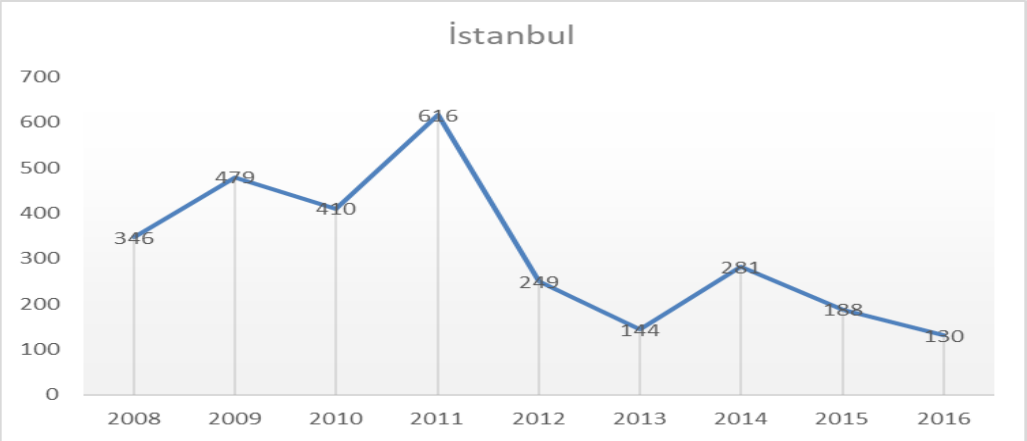
Table 10: The trade 2003-2017 Between Turkey and Syria

| Years | Export | Import | Balance | Volume |
|---|---|---|---|---|
| 2003 | 411 | 413 | -3 | 824 |
| 2004 | 395 | 358 | 37 | 752 |
| 2005 | 552 | 272 | 279 | 824 |
| 2006 | 609 | 187 | 422 | 797 |
| 2007 | 798 | 377 | 421 | 1 175 |
| 2008 | 1 115 | 639 | 476 | 1 754 |
| 2009 | 1 425 | 328 | 1 097 | 1 753 |
| 2010 | 1 845 | 663 | 1 182 | 2 507 |
| 2011 | 1 610 | 524 | 1 086 | 2 134 |
| 2012 | 501 | 67 | 434 | 568 |
| 2013 | 1 024 | 85 | 939 | 1 209 |
| 2014 | 1 801 | 115 | 1 685 | 1 916 |
| 2015 | 1 522 | 51 | 1 470 | 1 573 |
| 2016 | 1 323 | 65 | 1 258 | 1 388 |
| 2017 | 1 365 | 71 | 1 435 | 1 294 |

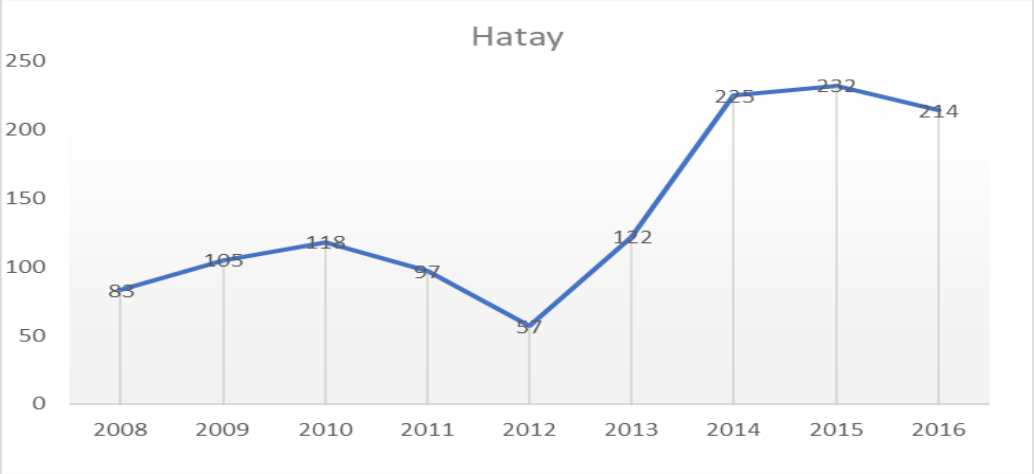
Source: Turkish Statistical Institute ( Million $ )

In the figure 1 below, most exporting provinces from Turkey to Syria between 2008-2016 can be seen. Before the war, in 2011, Istanbul ranked first in exports to Syria with 616 million dollars. In 2016, Gaziantep ranked 1st with 426 million dollars. On the other hand, Hatay exports around 214 million dollars and some of it is made by Syrian businessmen who have settled in these provinces. It is important for Syrian businessmen to have information about the Syrian market. Although there is no data on this subject, these results come from the interviews with SMEs throughout the region.

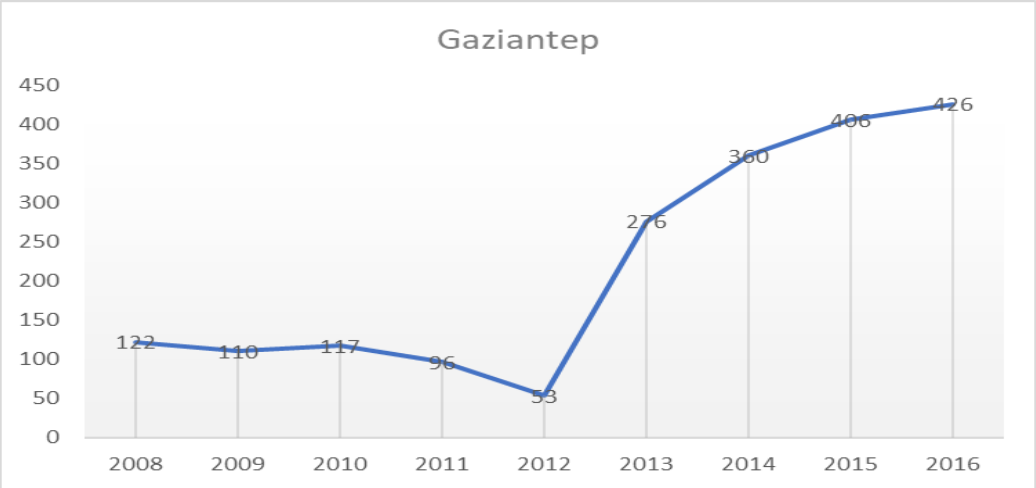
Figure 1: Most exporting provinces from Turkey to Syria (2008-2016)



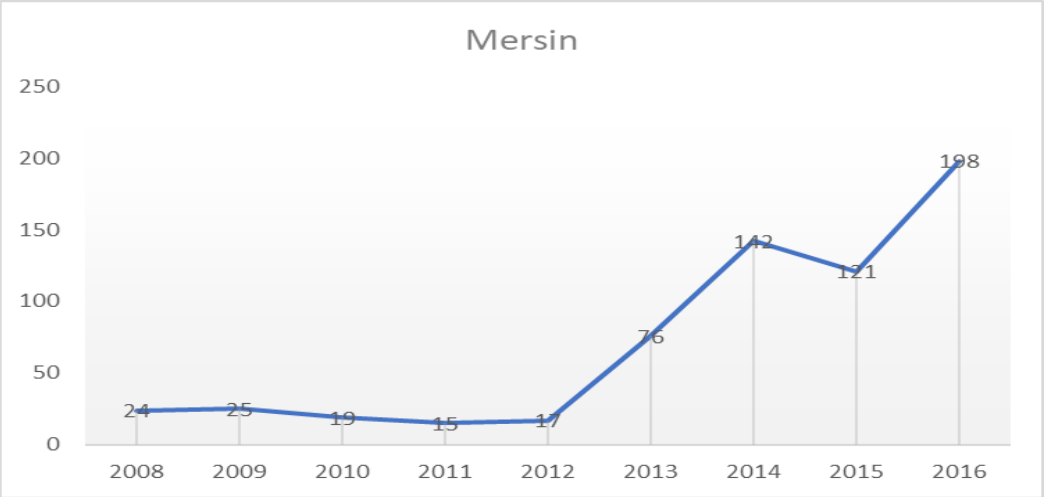

Source: Turkish Statistical Institute ( Million $ )




Source: Turkish Statistical Institute ( Million $ )




Source: Turkish Statistical Institute ( Million $ )




Source: Turkish Statistical Institute ( Million $ )

In the second part of this paper KOSGEB and KOSGEB Support for Companies, in the third pard Material and Methods, in the fourth part Results and in t he final part Conclusion will be held.

## 2. KOSGEB and KOSGEB Support for Companies

KOSGEB is one of the affiliated institutions of Ministry of Industry and Technology and main purpose of this institution is to provide support for SME's. Supports that have a direct or indirect effect on exports as it follows. Support is given to fairs that companies will attend in Turkey. Thanks to this support, businesses find the opportunity to exhibit their products, especially to their customers abroad. The support for international business trips gives companies the chance to travel to the markets abroad and to learn about these markets, to meet with businesses abroad and to do business with the relevant businesses. Matching support provides support to companies that make it possible to find the centers of trade through twinning business in Turkey. Consultancy support especially helps small companies get support from professional organizations to solve the problems they face. logistics cost holds an important place in the export costs of businesses. Thanks to logistic support, there is a decrease in the costs of enterprises.

## 3. Material and Methods

In this paper, survey method was used. For survey, companies were selected Hatay Exporter union database. Among the 1176 companies registered Hatay Exporter union database 107 companies were included.

## 4. Results and Debate

In the survey conducted with SMEs, 16 questions were asked, and it was aimed to get results of the answer of these questions.

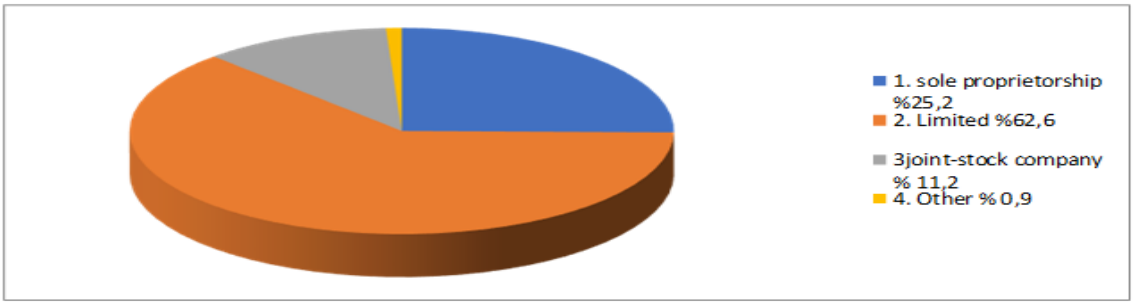
Table 11: Participant's position in companies

| | | Frequency | Percent | Valid Percent | Cumulative Percent |
|---|---|---|---|---|---|
| Valid | Owner | 57 | 53,3 | 53,3 | 53,3 |
| | Manager | 28 | 26,2 | 26,2 | 79,4 |
| | Accountant | 22 | 20,6 | 20,6 | 100,0 |
| | Total | 107 | 100,0 | 100,0 | |

Source: Own calculation

In order to see who filled out the questionnaire, this question was directed to compaines. It was observed that 53.3% of those who filled out the questionnaire were owners of enterprises, 26.2% were managers of compaines and 20.6% were accountants of compaines. As seen from the results, the surveys were filled out by people who know the business financially. Therefore, the information received will be reliable.

Figure 2: Companies Status




Source: Own calculation

Of the 107 companies that filled out the survey, 27 are sole proprietorship, 67 are limited companies, 11 are joint stock companies and 1 are ordinary partnerships. This question was asked to companies in order to get more information about the company.

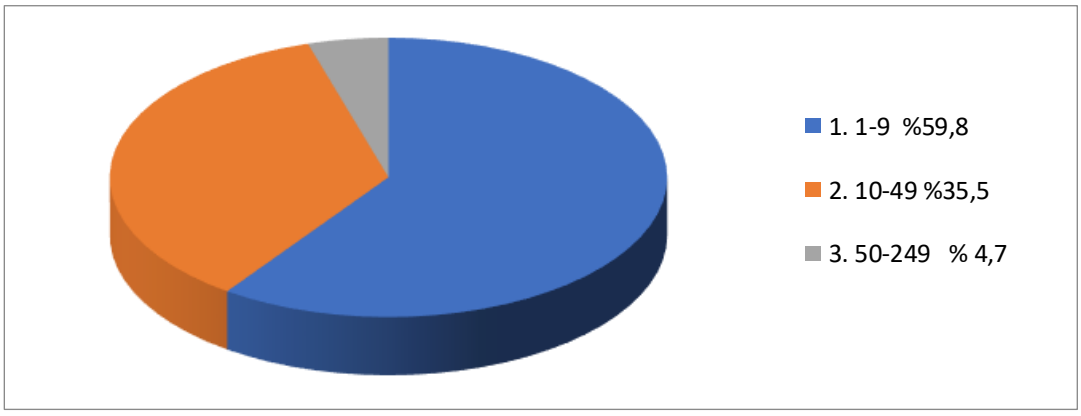
Table 12: Operating Sector of Companies

| | | Frequency | Percent | Valid Percent | Cumulative Percent |
|---|---|---|---|---|---|
| | Iron and Steel | 12 | 11,2 | 11,2 | 11,2 |
| | Chemical Substances | 12 | 11,2 | 11,2 | 22,4 |
| | Food | 33 | 30,8 | 30,8 | 53,3 |
| | Furniture and forestry | 18 | 16,8 | 16,8 | 70,1 |
| | Machine | 7 | 6,5 | 6,5 | 76,6 |
| | Other | 25 | 23,4 | 23,4 | 100,0 |
| | Total | 107 | 100,0 | 100,0 | |

Source: Own calculation

This question was asked to companies to understand in which sector the companies operating. 30.8% of the enterprises that answered the questionnaire were in the Food sector. Furniture and forestry products with a ratio of 16.8%, Iron and Steel and Chemical Materials with a rate of 11.2% and Machinery with a ratio of 6.5% follow the food sector. Other sectors include agricultural products, transportation, and automotive spare parts trading. Knowing the sectors SMEs operating will enable us to obtain healthier informaiton in the next questions.

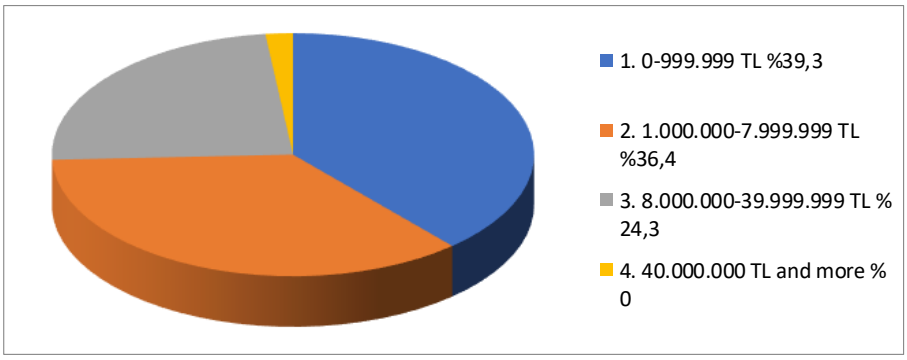
Figure 3: Number of Employees




Source: Own calculation

In order to understand the size of the enterprises included in the survey, this question was directed to the enterprises. The number of employees of 64 of the enterprises that answered the questionnaire is between 1-9, the number of employees of 38 of them is between 10-49, and the number of employees of 5 enterprises is between 50-249. The number of companies with over 250 employees is 0. The table provides information on the size of the companies that answered the questionnaire.

Figure 4: Net Sales Revenues




Source: Own calculation

As in the previous question, this question was directed to the enterprises in order to understand the size of the enterprises included in the survey. The net sales revenue of 42 of the enterprises that answered the survey is in the range of 0-999.999 TL, the number of employees of 39 of them is 1.000.000-7.999.999 TL, and the 28 enterprises are in the range of 8.000.000-39.999.999 TL. The number of companies with sales over 40,000,000 TL is 0. The table provides information on the size of the companies that responded to the survey.

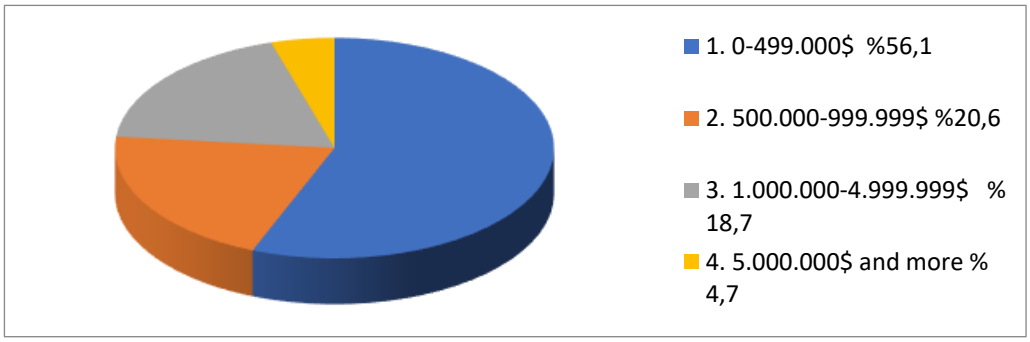
Table 13: Are you registered KOSGEB database

| | | Frequency | Percent | Valid Percent | Cumulative Percent |
|---|---|---|---|---|---|
| | Yes | 86 | 80,4 | 80,4 | 80,4 |
| | No | 21 | 19,6 | 19,6 | 100,0 |
| | Total | 107 | 100,0 | 100,0 | |

Source: Own calculation

In order to understand whether the enterprises included in the survey are registered in the KOSGEB database, this question is directed to the enterprises. 86 of the enterprises participating in the survey, a large proportion of approximately 80%, are registered in the KOSGEB database. This result shows us that enterprises that actively doing export are registered in the KOSGEB database.

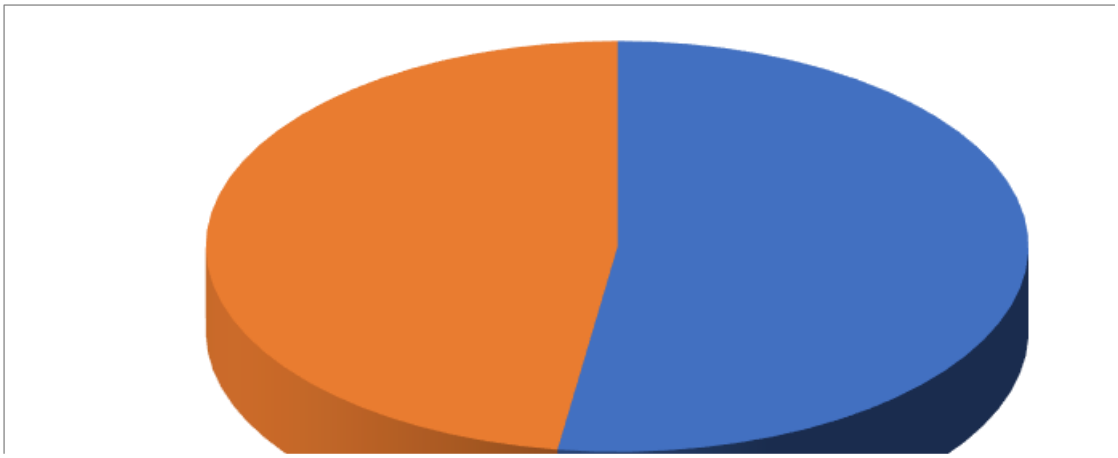
Figure 5: International Trade Volume




Source: Own calculation

Foreign trade volume of 60 of the enterprises that answered the questionnaire is 0-.499.000 $, 22 of them have foreign trade volume of 500.000- 999.999 $, 20 of them is 1.000.000- 4.999.999 $, and 5 enterprises are over 5.000.000 $. The table provides information about the foreign trade volumes of the enterprises responding to the survey.

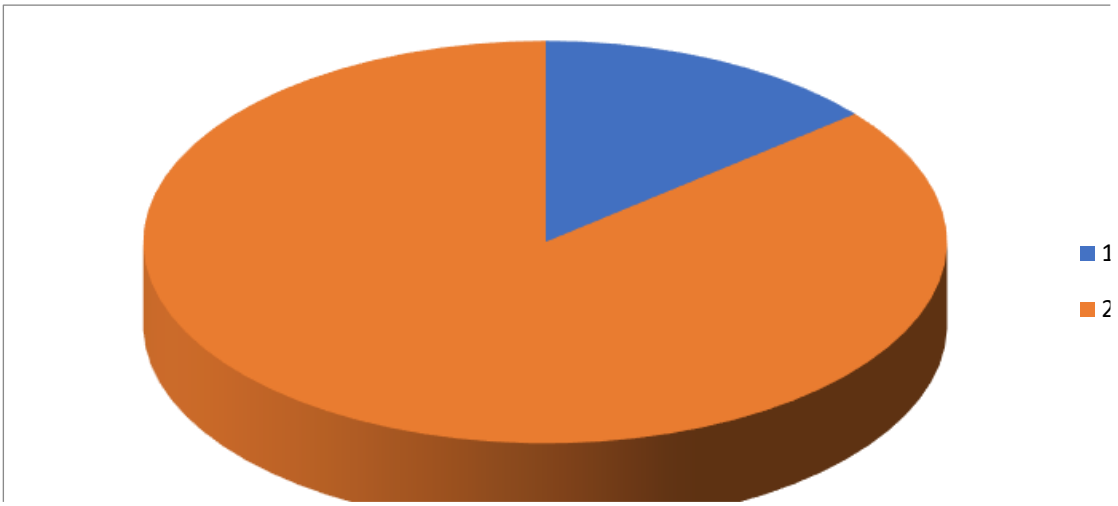
Figure 6: Have you benefited from KOSGEB support programs in the last 3 years



Source: Own calculation

56 of the enterprises that answered the questionnaire stated that they benefited from KOSGEB support programs in the last 3 years, while 51 stated that they did not benefit from KOSGEB support programs in the last 3 years. It was observed that 42.7% of the enterprises participating in the survey did not benefited from KOSGEB support programs in the last 3 years, therefore it was seen that the companies doing export cannot be sufficently benefitted KOSGEB support.

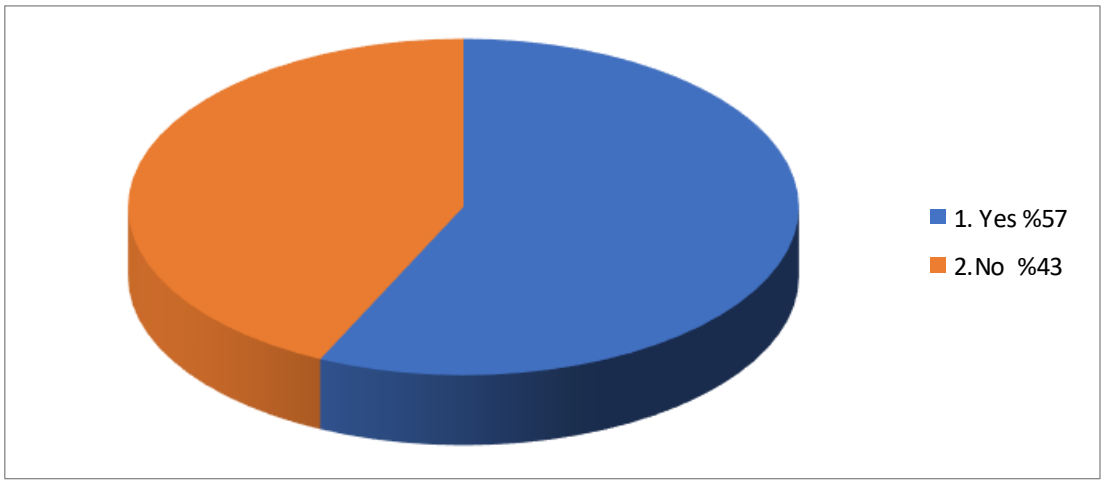
Figure 7: Syria originated company




Source: Own calculation

92 of the enterprises that answered the questionnaire stated that they were of Turkish origin, while 15 of them stated that they were of Syrian origin. The question is important in terms of seeing how many Syrian companies are in Hatay among exporting companies. Most of the respondents are companies of Turkish origin.

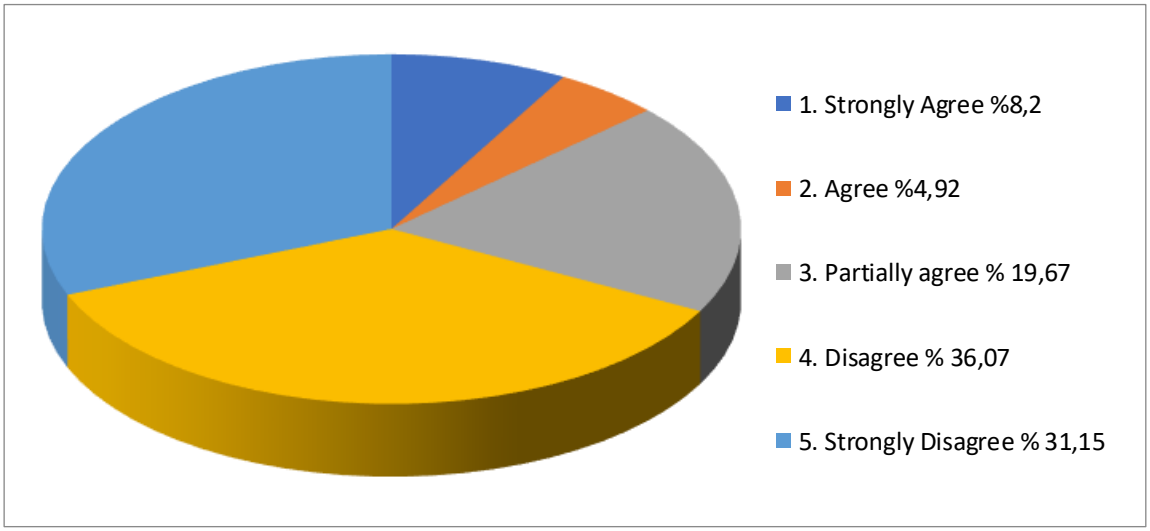
Figure 8: Have you exported to Syria in the last 10 years




Source: Own calculation

61 of the enterprises that answered the survey stated that they exported to Syria in the last 10 years, while 46 stated that they did not export to Syria in the last 10 years. The related question is important in terms of seeing how many of the exporting companies exported to Syria before.

Figure 9: After the war, our exports to Syria started to decrease or ended




Source: Own calculation

This question was directed to companies exporting to Syria in the last 10 years. The number of enterprises that answered the questionnaire stating that they exported to Syria in the last 10 years is 61. Most of these 61 businesses stated that they were adversely affected by the war.

## 5. Conclusion

Socially and economically, Turkey was affected by the civil war came out in Syria like other countries. The war happened in Syria affected neighbouring countries. The civil war has caused some trouble to Syria, such as social, political and economic difficulties. People were forced to left the Syria, this situation made Syrian refuge in neighbouring countries. Under these circumstances neighbouring

countries were affected in many areas, Hatay province which has the border to Syria, is one of the city affected by this war. So, it is crucial to explore the economic problems happened in this province. In the survey answered by companies, it was seen that the exports of the companies were negatively affected from this case. Losing the Syrian market Some measures should be taken due to the bad effect of exports. Therefore, KOSGEB has a great role to play. First of all, the awareness of KOSGEB should be increased. However, it should be ensured that businesses access the supports provided by KOSGEB more easily. Businesses should be financially supported as their sales decrease (one market loss). The frame and amount of some support items should be increased. For example, if there are more distant markets, transport costs are certain to increase. Therefore, the amount and scope of this support should be increased. Another issue is what needs to be done for businesses to be more competitive in different markets. In this context, it should be made more competitive by helping the modernization of the production facilities of the enterprises (purchase of new machinery, etc.).

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# Dunning-Kruger Sendromu Ve Imposter Sendromu Üzerine Kavramsal Bir Araştırma

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**Özet:** Örgütsel Davranış literatüründe iş yerinde yaşanan sendromlara ihmal edilerek az yer verildiğinden bu çalışma ile konuya katkı yapmak istenilmektedir. Dunning-Kruger sendromu ve Imposter sendromu incelemesi için araştırmacılar tarafından ortaya konulan önermelerden yola çıkılmıştır.

Herkesin zaman zaman kendinden kuşku duyması, ve özgüven yoksunluğu yaşaması normaldir. Ama bu durum kişinin kendini sahtekar gibi hissetmesine, yetersiz görmesine, şüphe ve huzursuzluğa sebep oluyorsa imposter sendromundan bahsetmek mümkündür. İmposter sendromu, kişiyi gerektiğinden fazla çalışmaya yöneltir ve bu durum kişinin gerekmediği halde daha fazla gayret göstermesine yol açıp kişiyi hem fiziksel hem ruhsal anlamda yorar ve kişi çevresi tarafından başarılı görülse dahi bunu kabul edemez ve kendi içinde güvensizlik duygusunu kamçılar. Güvensizlik kadar, aşırı güvende bir sorundur ve bilgi ve beceriksizliğinizi görememe, görmek istememe, görmeme durumu da Dunning-Kruger sendromu olarak tanımlanmıştır. David Dunning ve Justin Kruger'ın 1999 yılında niteliksiz ve farkında olmama ile ilgili yayınladıkları makalede bazı insanların aslında yetersiz oldukları işte kendilerini üstün gördüklerini tespit etmiştir. Sendrom, insanın cehaletinden doğan bilgisizliği ve bundan kaynaklanan özgüvenini ifade eder.

Örgüt kültürü, etkin bir liderik, eğitim ve destekle sendromlardan kaynaklanan olumsuzluğun önüne geçmek mümkündür. Çalışmada ikincil kaynaklardan yararlanılmıştır. Yazı tarama tekniği kullanılarak konu ile ilgili çalışmalar incelenmiş ve bu doğrultuda tartışılmıştır.

**Anahtar Kelimeler:** Imposter Sendromu, Dunning-Kruger Sendromu, örgüt.

## 1. GİRİŞ

Sendrom, TDK sözlüğünde belirge, sıkıntı olarak tanımlanmıştır. Belirge ise " Birlikte bulunduklarında belli bir hastalığı işaret eden belirti ve bulgular bütünü" olarak yine TDK sözlüğünde tanımlanmıştır. Sendromlar kişilerin sosyal ve iş hayatlarını etkilemektedir. Bu durumda doğal olarak kişilerden oluşan örgütleri de etkilemektedir. Psikolojik olarak sağlıklı olmayan birey kendisine faydalı olamamasının yanında çalıştığı örgütün amaçlarını gerçekleştirmesine de faydası olmayacak ve hatta amacın gerçekleşmesini geciktirecek veya engelleyebilecektir.

Daha sonra açıklayacağımız Dunning-Kruger Sendromu ve Imposter sendromu da örgütlerde yaşanan sendromlardan sadece ikisidir. Dunning-Kruger Sendromu 'cahil cesareti' olarak adlandırılan, temelsiz özgüven olarak kısaca açıklanabilir. Bilmediklerini bilmediği için gösterilen cesaret bazen fırsat yaratsa da genellikle hayatta özelikle iş hayatında olumsuz durumlara sebep olmaktadır. Dunning-Kruger Sendromu'nun tezatı da diyebileceğimiz Imposter Sendromunda ise kişiler bildikleri halde kendilerinden şüphe duymakta, kaygı hissetmektedirler. Yetişkin, çocuk, öğrenci, akademisyen, ünlü, ünsüz herkesin yaşayabileceği imposter sendromunda kişiler başarıları hakketmediklerini ve şans eseri kazandıklarını düşünür ama bu durumu kimseye söyleyemedikleri içinde kendilerini sahtekar gibi hissetmektedirler. Bazı kişilerin sürdürdükleri yaşamlarını, kendi iç dünyalarında hissettikleri derin yetersizlik ve kusur duygularını ödünlemek için geniş çaplı bir psikolojik zırh oluşturmaya adadıklarına dikkat çeken Clarkson, sözde yetkinlik olarak adlandırmış olduğu bu sendromu nitelemek için her savaşı kazanan ve ölümsüz görünen ancak gizli, küçük ama ölümcül bir hassasiyet noktasına sahip olan Aşil' den yararlanmıştır.

## 2. DUNNİNG – KRUGER SENDROMU

Cehalet TDK sözlüğünde bilgisizlik olarak tanımlanmıştır (www.sozluk.gov.tr).

İbn Sina cehaleti, nefs hastalığı olarak görmüş ve bilginin, insan nefsini yetkinleştiren ek bir özellik olduğunu belirtmiştir. İbn Sina, cahilliği basit cehalet ve kazanılmış cehalet olarak türlere ayırmış ve hastalık olarak gördüğü cehâleti, 'kazanılmış cehâlet' olarak belirtmiştir. Cehâleti, kişinin gelecekteki hayatını belirlemede oldukça önemli bir etken olarak görmüş ve bilgiyi ise insanı yetkinliğe ve mutluluğa götüren önemli bir belirleyici; bilgisizlik ise yetkinlik ve mutluluğun önündeki en büyük engellerden biri olarak belirtmiştir (Alper, 2017: 10-11-30).

Literatürde cahil cesaret olarak da adlandırılan Dunning – Kruger Sendromu, kısaca "cehalet, gerçek bilginin aksine, bireyin kendine olan güvenini artırır" olarak açıklanmaktadır (Savaş, 2016: 2-16). Cemaloğlu'nun (2017) "Kifayetsiz Muhterisler" olarak adlandırdığı sendrom cahil cesareti olarak bilgilinin kararsızlığını aşmaktadır.

Dunning-Kruger sendromu, Cornell Üniversitesi'nde görevli David Dunning ve Justin Kruger adlı iki psikolog tarafından 1999 yılında yayınlanan çalışmada "algılamada yanlılık eğilimi" olarak tanımlanmaktadır. Cehaletten doğan cesaret veya cahil cesareti olarak bildiğimiz sendrom gerçek bilgiden ziyade bilgisizliğin cesareti, kendine güveni daha çok arttırdığı olarak özetlenebilir. Cemaloğlu (2020: 124-127)); aşırı kendine güvenin kişinin yetenekleri abartmaya sebep olduğu, bu abartmanın yine aşırı güvene sebep olduğu döngüden bahseder. Aşırı güveni araştırmalarında; kişinin performansını, başarısını abartması; kişinin kendisini diğer kişilerden iyi görmesi; kişinin bildiklerinden kesin emin olması, olarak üç farklı şekilde belirtmiştir.

Bazen ve bazı insanlar kendilerini olduğundan daha iyi değerlendirmekte, bilgi, becerilerini abartma eğiliminde olabilmektedir. Kruger ve Dunning (1999: 1121-1134); Unskilled and Unaware of It: How Difficulties in Recognizing One's Own Incompetence Lead to Inflated Self-Assessments" isimli araştırması bunun nedenlerine cevap bulmayı hedeflemiştir. Araştırmanın odak noktası, insanların başarı ve memnuniyet elde etmek için benimsedikleri yöntemlerde yetersiz olduklarında sadece hatalı sonuçlar elde etme veya yanlış seçimler yapmakla kalmadıklarını aynı zamanda bu yetersizlikleri kendilerini gerçekleştirme olasılığından da mahrum bıraktığını iddia etmesidir. Araştırma, insanların yeteneklerini abartma eğilimini ve yaşıtlarına göre performansı düşük olan kişilerin bu gerçeğin farkında olmadığını, beceriksiz kişilerin diğer kişilerin davranışlarını gözlemleyerek kendileri ile ilgili iç görü kazanamadıklarını, yetkin olan kişilerin ustaca davrandıklarında aynılarının denkleri içinde geçerli olduğunu varsaydığını, eğitim alan katılımcıların daha az şişirilmiş öz değerlendirmede bulunduğunu ve eğitim almayanlardan daha iyi metabilişsel beceriler sergilediklerini, düşük doğru cevap veren katılımcıların kendilerini daha yüksek olduklarını düşünmelerinin yanında aynı zamanda ortalamanın üzerinde düşündüklerini, yetersiz bireylerin yanlış kalibre edilmesine rağmen, oldukça yetkin kişilerinde de kendi değerlendirmelerinde sistematik önyargı gösterdiklerini, yeteneklerine ve test performanslarını yaşıtlarına göre küçümseme eğiliminde olduklarını ortaya çıkarmıştır. Çok iyi performans gösteren katılımcılar meslektaşlarının da aynı şekilde iyi performans göstermeleri gerektiğini düşünmüş ve bu durumda iyi olanların karşılaştırmalı yeteneklerini küçülmeye yönlendirmiş ama akranlarının ne kadar düşük performans gösterdiğini öğrendikten sonra, kendi değerlendirmelerini daha doğru seviyelere çıkardıkları görülmüştür. Bu durum son derece yetkin bireylerin iyi performans göstermelerine rağmen, yeterliliklerinin meslektaşları tarafından paylaşılmadığını anlamakta, fark etmede başarısız olduklarını, yeteneklerini ve test performanslarını hafife alma eğilimde olduklarını göstermiştir. Çalışma aynı zamanda bir de paradoks ortaya çıkarmıştır; insanların yetersizliklerini fark etmelerinin bir yolunun onları yetkin kılmak olduğunu ileri sürmüştür. Ama bu sefer de kendi yetersizliklerini tanımak için üstbilişsel beceri kazandıklarında artık yetersiz kalmadıklarını belirtmiştir. Kruger ve Dunning (1999: 1121-1134); çalışmada yetersiz bireylerin kötü performanslarını kendi belirleyemediğini öne sürmesine rağmen, akademik kariyerlerinde bir noktada geri dönüşlerin kaçınılmaz olduğu varsayıyordu. Neden öğrenemediler sorusunun cevabı olarak insanların günlük yaşamdaki yetenekleri hakkında diğerlerinden çok az geri bildirim almaları, ikinci olarak bazı görev ve durumların insanların kararlarının asıl niteliğini ortaya çıkaracak ve kendisini düzelten bilgilerin almalarını engellemesi ve diğer bir sebep olarak da insanların olumsuz geri bildirim

alsalar bile bu başarısızlığın tam olarak anlamlandırmaması olduğunu belirtmişleridir. Kısaca Kruger ve Dunning (1999: 1121-1134)'nin araştırması bilgisizliğin özgüveni arttırdığını ortaya koymuştur.

Sonuçları da kısaca aşağıdaki gibi özetleyebiliriz (Duygulu, 2013: 1):

- Niteliksiz insanlar bilgisizliklerinin ve yetersizliklerinin farkında değillerdir.
- Niteliksiz insanlar, kendilerinde olan becerilerine ve özelliklerini abartmaya yatkındırlar.
- Niteliksiz insanlar eğitildiklerinde kendilerindeki durumunun farkına varmaya başlarlar.
- Niteliksiz insanlar, diğerlerini de doğru yargılayamaz, değerlendiremezler.

Turğut ve Tarhan (2019: 14) isimli araştırmacılar da yaptığı çalışmada Kruger ve Dunning'in araştırmasını destekler şekilde sonuçlar almış ve insanların daha önce denemedikleri şeylerde daha girişken olduklarını gösterdiklerini belirtmişlerdir.

Pavel, Roberson ve Harrison (2012: 128) isimli araştırmacılar da , havacılık öğrencileri arasında yaptıkları araştırmada Kruger ve Dunning ile benzer sonuçlar elde etmiş ve sendromun yaygın olduğunu ve eğitim müfredatının parçası olması gerektiğini belirtmişler.

ABD'de yapılan araştırma da ise aşılama ve otizmle ilgili insanların tutumlarında Dunning-Kruger etkilerini ortaya koymaya çalışmıştır. Çalışmada otizm farkındalıkları düşük olanların uzmanlardan ziyade kendi bilgilerinin daha çok olduğunu düşündükleri ve uzman olmayanlara atfettikleri rolü yükseltme eğiliminde oldukları, uzmanlardan daha çok bildiklerini düşünen ve bu konuda kendine güvenen bireylerin zorunlu aşılama politikasını daha az destekledikleri görülmüştür (Motaa, Callaghand, Timothy, 2018: 277-280).

Duygulu'nun belirttiği gibi (2013); iş kurmak isteyen yetkin biri, karşılaşabileceği zorlukları, eleman seçiminin önemini, pazar koşullarını, nakit sorunlarında karşılaşabileceği ödeme güçlüklerini, karşılaşabileceği tüm riskleri göz önünde bulundurup ayrı ayrı hesaplayacak ve belki cesareti toplayamayıp bu durumu sürekli olarak erteleyecektir. Ama öte yandan konuyu tam olarak bilmeyen biri iş kurma hayalinde detaylı hesaplara girmeden bilgisizliğin verdiği cesaretle riskleri hesaplamadan işe başlayabilecektir. Bazı insanlar ise sahip oldukları bilgi ve becerilerinin fark edilmesini beklerken kendisinden daha az yetkinliğe sahip diğer bazı kişilerin iyi yerlere gelmesinin sebebi de bilgisi az olanların sahip olduğu yine bu cesaretin verdiği ataklık ve işi isteme cesarettir. Yapılamayacağını bilmediği için denemiş ve başarmış olabilmektedirler.

Küçün, Güngör ve Eroğlu'nun yaptığı çalışmada (2020: 21-23); Girişimci adaylara eğitim verilmeden önce ve eğitimden sonra testler uygulanmıştır. Eğitim verilmeden önce Dunning-Kruger sendromu ile tutarlı sonuçlar elde edilmiş, eğitim sonrasındaki testlerde ise bu durumun değiştiği ve daha gerçekçi oldukları görülmüştür. Araştırmanın önemli bir sonucu olarak aldıkları eğitimden sonra yeterli bilgiye sahip olmadıklarının farkına varmış olmalarıdır. Bu fark gelişmenin de önüne açacaktır.

Savaş (2016: 9)'ın Dunning - Kruger sendromunu örgütler açısında değerlendirmesinde; rakiplerin karşısındaki olumsuz sonuçlarda 'aşağılık kompleksi' yani 'üstün olma ihtiyacı' hisseden örgütler, bu durumda kendilerini abartabilirler, bu durumu o kadar içselleştirirler ki başarısızlıklarını kendileri bile unuturlar, örgütler çevresindekilerin algılama yetisini fark edememekte ve olumsuz durumlarla karşılaşmaktadırlar. Bu durumu değiştirmek için eğitim alarak bilişsel farkındalığın artması gerektiği belirtilmiştir.

Örgütlerde çalışanlar açısında değerlendirmede ise sendroma sahip çalışanlar beceremeyecekleri işlere almalarına ve kendi başarısızlıklarının yanında çalıştıkları örgütün de başarısızlığına sebep olacaklarıdır. Sendroma sahip kişilere eğitimler verilerek, her bireyin eksik yanlarının ve artılarının farkında olması toplumu değiştirebilecektir (Cemaloğlu; 2020: 136).

## 3. IMPOSTER SENDROMU

Sendromu ilk olarak Dr. Suzanne Imes ve Dr. Pauline Clance tarafından 1978 yılında "impostor sendromu" adı ile yüksek başarılı kadınlar için kullanılmış bir kavram olmakla birlikte, işletme

literatürüne, "aşil sendromu", "gizli başarısızlık korkusu", "sahtekar sendromu", "impostor sendromu", "topuk yarası sendromu" ya da "sözde yetkinlik/başarısızlık sendromu" olmak üzere farklı isimlendirmeler ile aktarılmıştır (Fettahlıoğlu, Çakar, 2020: 854; Yenici, 2018: 12).

Aşil, M.Ö. 720 yılında Homeros tarafından yazılmış İlayda Destanı'nın baş karakteri ve Girdiği her savaşı kazanan ve ölümsüz olduğu düşünülen bir kahramandır. Efsaneye göre bir tanrıça ve bir ölümlünün oğluydu. Annesi Aşil'in ölümsüz olmasının yollarını aradı ve insanlara ölümsüzlük veren dünyanın altındaki dokuz nehirden birine ayaklarını tutarak daldırmıştır. Bu, Aşil'i annesinin tuttuğu topuğu dışında fiziksel olarak yaralanmaları bağışıklık kazandırmış, incitilemez yapmıştır. Aşil'in hassas bölgesi, yaralanabilecek tek bir yer olarak suyla temas etmemiş topuğu kalmıştır. Truva savaşlarında bu tek zayıf noktasından zehirli okla vurulmuş ve aldığı yara Aşil'i öldürmüştür (Clarkson, 1999). Aşil topuğu (Achille's heel), her insanda görülen, ufak ama hassas ve hayati bir yanılgısı, eksikliği olduğunu belirten, insanın hassas ve yaralanabilir olabileceğiniz simgeleyen bir tabir olarak kullanılmaktadır. Aynı zamanda aşil topuğu, tıp literatüründe de kullanılan bir terimdir. Clarkson (1999)'da, bazı kişilerin sürdürdükleri yaşamlarını, kendi iç dünyalarında hissettikleri derin yetersizlik ve kusur duygularını ödünlemek için geniş çaplı bir psikolojik zırh oluşturmaya adadıklarına dikkat çekmiş ve sendromu nitelemek için her savaşı kazanan, ölümsüz görünen, fakat kimsenin fark edemediği ölümcül bir hassasiyete sahip bir kahraman olan Aşil imgesinden yararlanmıştır (Gürel & Muter, 2007: 542).

Clance ve Imes (1978), sendromu üstün başarılı bazı başarılı kadınların yaşadığı sahtekar olduklarına inandıkları içsel tecrübe olarak tanımlamışlardır. Kişiler haksız olarak başarılar elde ettiğini düşünür ve kendilerini sahtekar olarak gördükleri için yoğun olumsuz duygular yaşarlar. Aşırı çalışma da bu sendromun gözlenen bir şeklidir (akt.Cemaloğlu, 2020: 283).

Mann (2020: 5) imposter sendromunu; aldatıcı bir şekilde, aslında olduğunuzu söylediğinizi olmadığınızı, diğer insanların inandığı kadar iyi olmadığınızı düşünmek olarak açıklamıştır.

İş hayatında, kendisine büyük hedefler koyan ve her zaman daha iyisini yapmaya çalışan ve bunu yaparken başarısız olacağı korkusuna kapılan çalışanlar, hedeflerini gerçekleştirebilseler bile başarılı olma duygusunu tam anlamıyla yaşayamamaktadır. Çalışanın kendini sürekli başarılı olmaya, mükemmeli yapmaya çalışması, belli bir süre sonra kişide hayal kırıklığı, doyumsuzluk, rezil olma korkusu, diğerlerinin güvenini kaybetme korkusunu ortaya çıkarmaktadır. Bu durum, imposter sendromu diğer bir adıyla gizli başarısızlık korkusu olarak adlandırılmaktadır. Imposter Sendromu, aslında yaptığı işte gerçekten başarılı olan, fakat kendini sürekli yetersiz görmesi nedeniyle işi üzerine daha çok çaba sarf eden ve kendi içinde gizliden gizliye başarısız olacağı kaygısı taşıyan kişilerde görülmektedir. Gizli başarısızlık korkusu yaşayan kişi, hedeflerine ulaşsa bile tatmin duygusunu tam anlamıyla yaşayamamakta, içinde bulunduğu yoğun endişe sonrasında kendini bitmiş, yorgun ve tükenmiş hissetmektedir (Çıvgın & Gündağ, 2020: 180).

Clance ve Imes (1978) imposter sendromunu elde ettikleri başarılarından duyulan suçluluk duygusu ve yetersizlik korkusu olarak açıklamış ve temel özellikleri ise, yetenek ve becerilerinizin başkaları tarafından büyütüldüğü düşüncesine sahip, bundan dolayı sahtekar gibi başkalarını kandırdığı düşüncesiyle bunun ortaya çıkma korkusu ve elde ettikleri başarılarını dışsal durumlara bağlama, sayılmıştır. Imposter olmayanlar başarıları için içsel faktörlere (çalışma, yetenek vb.), başaramadıklarını ise dışsal faktörlere bağlamaya yatkındırlar. Sınavı geçerse çalışmasına, başarısız olursa öğretmenin katılığına bağlarlar. Imposter sendromunda ise farklı olur. Başarılarını şans gibi kontrolü dışındaki etkenlere, başarısızlıklarını ise yeteneksizlikleri gibi kendisine bağlarlar. Olumsuz durumlarda kendini suçlama olarak değil aynı zamanda olumlu olaylarda dışsal nedenlere bağlama da vardır (Mann, 2020: 64-66). Diğer bir deyişle sendromun ana merkezinde kişinin kendi yeterliliğine ve başarısına yönelik olarak olumsuz tutumlar bulunmaktadır. Bu olumsuz durumlara başkaları tarafından ortaya çıkarılma beklentisi endişeyle beraber eşlik eder. Bu sendroma sahip kişiler sadece başkalarının yetersizliğini keşfetmesinden korkmaz; bu yetersizliğini gizlediği için, rol yaptığı için de kendini etik olarak yanlış bulurlar (Hawley, Paul, 2019: 203-226).

Sosyal medya da bu durumu tetikleyen unsurlardan biridir. Mann'ın (2020: 66-70) belirttiği gibi kişilerin %62'si sosyal medyada kendini, başkasının başarıları ve hayatları karşısında yetersiz hissettiğini belirtmiştir. Sosyal medyada herkes olağanüstü gözükür ve bizlerde başkalarının özel oluşlarını izler ve

kendimizi kötü hissedebiliriz. Ancak importser sendromu sadece bu yetersizlik hissi değildir, kendini sahte hissetme halidir. Bu güzel paylaşımları yapanlarda okuyanlar kadar ve bazen daha fazla hissettiği budur. Gerçek durumu ile sosyal medyada paylaştıkları uyuşmadığı için de insan kendini sahte hisseder. Sosyal medyada kıyaslamadan da kurtulmak mümkün değildir. Ayrıca sosyal medyadaki onaylanma ölçüsü olan like'lar da özsaygıyı etkilemektedir. Düşük olan sosyal medya onayı, like'larımız özsaygıda düşüşe yol açabilmektedir.

Imposter sendromundan daha fazla etkilenen yaşam biçimleri vardır. Dr. Valeri Young bunları; öğrenciler, akademisyenler ve diğer yaratıcı alanlarda çalışanlar, üstün başarılı kişiler, kariyerlerinde sıra dışı bir şekilde erken başarı kazananlar, birinci nesil (ailede ilk) üniversite öğrencileri/mezunlar, konumlarına alışılmadık yollarla gelenler, düşük temsilli gruplar, üstün başarılı aile bireyi olanlar, yalnız çalışanlar, serbest meslek sahipleri olarak belirtmiştir. İnsanların kendini bir sahtekar gibi hissetmelerinin bazı tetikleyicileri bulunmaktadır, en yaygınları ise (Mann, 2020: 12-13-14-16):

- Alınan eğitimle ilgili bir elemede
- Yeni bir eğitime başlarken
- Terfi aldığında

olarak sıralanmıştır.

Sahtekar olarak hissedenlerin tutumları üç çeşitte belirtebiliriz. Birincisinde belirli bir geçmiş başarısını önemsiz olduğunu, performansının zayıf olduğunu düşünür yani geçmişe yöneliktir. Diğer bir tutum geleceğe yöneliktir, başarısını şansa veya çok çalışmasına bağlayarak bir daha bu kadar başarılı olmayacağını düşünür. Üçüncü sahtekar tutumu yeteneği, beceriyi, yetkinliği hedefe alır. Başarısını kabul eder ancak bunu kendi yeteneğine, yetkinliğine değil şansa, doğru zamanda doğru yerde olmaya, başkalarından aldığı desteğe, kişisel cazibeye veya çok çalışmaya bağlar (Hawley, Paul, 2019: 203-226).

Dış görünüşü ve iç dünyasının tezatlığı altında ezilen birey, dış çevresinin yorumlarını fazlasıyla önemsemekte, sözde başarısızlığı ile çevresine rezil olacağı korkusunu yaşamakta ve kendisini yorgun, halsiz, enerjisi tükenmiş halde kötü hissetmektedir. Ancak bu durum birden bire ortaya çıkan bir durum olarak algılanmamalıdır. Imposter sendromu, yavaş yavaş gelişen, kişinin ruhsal dengesini bozan, iş, aile ve sosyal yaşamını etkileyen bir durumdur. Kişilerin başarıya ulaşmak uğruna gösterdikleri çaba, doyumun etkisini en aza indirmekte ve kişide tükenmişlik, tatminsizlik etkilerini gösterebilmektedir (Çıvgın & Gündağ: 2020, 181).

Imposter sendromu yeterince iyi olduğumuzu hissetmemizden kaynaklanır, buna yol açan ise düşük kendine inanç ve güven eksikliğidir ve bu genellikle çocukluktan gelen bir durumdur. Onaylamayan otorite figürleri (ebeveyn gibi), aşırı kontrolcü anne-baba, dikkatten yoksun olmak, zorbalığa maruz kalmak, eğitim başarısının düşüklüğü, dinsel inançlar, kıyaslanmak, dış görünüş, kötü davranışlar düşük öz saygıya, yeterince iyi olmadığı inancına yol açar (Mann, 2020: 5861-62).

Cemaloğlu (2020) kitabında bu sendromun her iki cinste de görüldüğü, üniversite öğrencilerinde, akademisyenlerde, tıp okuyanlar ve pazarlama müdürleri gibi zümrelerde de yaygın olarak görüldüğü araştırmalardan bahsetmiştir. Tanınmış, tanınmamış her alandaki kişilerde ortaya çıkabilen sendrom günlük programları olumsuz etkiler ve zor bir durumdur.

Imposter sendromunda döngü şu şekilde çalışır (Clance: 1985):

- Başarmak istediği görev gelir, sendroma sahip kişi sahip olmadığını düşündüğü yetkinliklerden dolayı endişelenir, kaygılanır,
- Bu şüphe ve kaygıya karşılık ya çok fazla hazırlık yaparlar ya da başlamayı erteler sonra çok fazla hazırlık yaparlar,
- Görevi başarıyla tamamlayınca kendilerini iyi hissederler,
- Bu iyi hissetme geçicidir ve başarılarına karşı övgü gelse de bunun kendi yetenekleri ile ilgili olmadığını düşündükleri için övgüleri reddederler, başarılarını yeteneklerine, yetkinliklerine değil çok çalışmasına addederler; görev geldiğinde erteleyenler başarılarına şansa bağlarlar,

- Bu da yine kendinden şüpheye, sahtekar oldukları düşüncesine dönüşür ve yeni görevle döngü tekrar başlar.

Imposter sendromu konusunda uzman olarak kabul edilen Dr. Valerie Young'a göre, beş tip "imposter" vardır (akt;Fettahlıoğlu & Çakar, 2020: 855). :

*Uzman*, bir iş üzerinde çalışırken konu hakkında her şeyi bildiklerine emin olana kadar tatmin olmazlar. Yeni bilgi arayışları, görevleri ve projeleri bitirmelerine engel olur. Belirtilen her şartı sağlamadıklarından iş başvurusu yapmayanlar uzman kategorisine girebilirler.

*Mükemmeliyetçi*, genellikle yapmış oldukları çalışmalarından memnun değillerdir. İyi yaptıklarını kutlamaktansa, daha iyi yapabildikleri şeylere odaklanmaya yönelirler.

*Doğal deha*, genellikle hızlı ve kolay bir şekilde yeni bir beceriye hakim olurlar ve başaramadıklarında genellikle utanırlar ve bu durum onları zayıflatır.

*Solist (cefakar)*, yalnız çalışmayı tercih eder ve yardım istemenin yetersizliklerini ortaya çıkarıp onu beceriksiz göstereceğine inanırlar. Değerlerini gösterebilmek için gelen yardım tekliflerini geri kabul etmezler.

*Süper kahraman*, kendilerini çok fazla zorladıklarından genellikle ilgilendikleri tüm alanlarda mükemmel olurlar. İşkolik insanlar, süper kahraman olarak sınıflandırılabilir.

Bu sendromu yaşayanlarda; olağan üstü çalışma, asıl görüşlerini saklama, etkileyecek üstün bir yol gösterici bulma, mükemmeliyetçilik, başarıları baltalamak, övgüyü dikkate almama, kendini baltalama, davranışları yaygın olarak görülmektedir (Mann, 2020: 25-33).

Imposter sendromunda başarı elde edilse de mutlu olunmamakta, başarı korku kaynağı olarak görülmekte başarı kendinden kuşkuya sebep olmakta ve başarıdan rahatsız olma döngüleri yaşanmakta ve kişi de sıkışmışlık hissi yaratabilmektedir (Güneysel: 2019, 27).

Fettahoğlu ve Çakar (2020: 856), araştırmalar ışığında imposter sendromunun, her kesimden kişilerde görülebileceği ama kadınlar ve azınlıklar açısından daha fazla etkileri olduğunu ve bu sendromunun kökenlerinin en fazla ailesel ve sosyal sözleşmelerden kaynaklanacağını ifade etmişlerdir.

Mann (2020: 19-20) kitabında imposter yaşayan ünlülerden de bahsetmiştir. Oscar ödüllü Jodie Foster şans eseri bu ödülü aldığını ve bir gün eve gelip ödülü geri alacaklarını düşündüğünü söylemiştir. Nobel ödüllü yazar John Steinbeck günlüğüne "ben yazar değilim, kendimi ve başkalarını aldatıyorum" yazmıştır. Oscar ödüllü Tom Hanks bir dergi söyleşisinde, sahtekar olduğum ne zaman anlaşılır ve herşeyi elimden alırlar, diye düşündüğü belirtmiştir.

2019 yılında Stem (Bilim, Teknoloji, Mühendislik, matematik) eğitimi alan 818 üniversite öğrencisi üzerinde yapılan araştırmaya göre özelikle birinci nesil (ailede lisans eğitimi alan ilk nesil) öğrencilerin yüksek rekabete sahip stem kurslarında daha fazla sahtekarlık yaşayabildikleri belirtilmiş, bu sahtelik hissinin performansı ortaya çıkarmayı engelleyen ama göz önüne alınmayan bir engel olabileceği belirtilmiştir (Canning vd., 2019: 647).

Daha çok kadınlarda ortaya çıktığı iddia edilen bu sendromu, Amerika'da yapılmış olan bir araştırmada Jessica Collet ve Jade Avelis isimli sosyologlar, kadın akademisyenlerin çoğunun neden geri adım atıp, olduklarından daha düşük mevkiye geçtiklerini 460 doktora öğrencisinin üzerinde incelemişler ve akademisyenlerin imposter sendromu yaşadıkları sonucuna varmışlardır (Yenici, 2018: 12-13). Sendromu kadınların erkeklerden daha fazla bu sendromu yaşadığına dair bir kanıt yoktur. Imposter sendromunun kadınlar üzerinde yapılmış bir araştırmada ortaya çıkmasından dolayı bir yanılgı oluşturmuştur. ABD merkezli profil çıkarma işletmesi tarafından yapılan araştırmada kadınlar ve erkekler arasından farklılık tespit edilmemiştir. Hatta 2016 yılında yapılan araştırmada erkeklerin İmportser sendromundan daha fazla sıkıntı duydukları öne sürülmüştür. Toplumun ön yargısı ve toplumsal cezalandırma korkusu nedeniyle erkekler sahtelik hisleriyle ilgili konuşma olasılıkları kadınlara göre daha az olduğu belirtilmiştir (Mann, 2020: 93-94).

60dan fazla makalenin literatür taramasında ise çoğu araştırmanın kadınlar üzerinde yapıldığı belirtilse de kadın-erkek oranlarında anlamlı bir fark tespit edilmemiştir. Bu durumda da işverenlerin bu sendrom için her iki cinsiyet içinde eşit derecede dikkatli olması gerekmektedir. Ayrıca sendrom belirtilerinin yaşla birlikte, en azından yarısında, azaldığı tespit edilmiştir. Gelecekteki araştırmaların öğrencilerden daha çok çalışanlara yapılması bu sonucu etkileyebilecektir. Yine aynı çalışmada sahtekarlık yaşayan kişilerin bunu tek yaşayan olduklarına inandıkları için yalnızlaşmakta olduğu belirtilmiş bu durumun önüne geçmek içinde grup tedavisi ile deneyimlerin açıkça paylaşıldığı güvenli ortamlarda şüpheyi, sahtekarlık duygularının yok edilmesi mümkün olacağı belirtilmiştir. Sahtekarlık ve iş performansı arasındaki ilişki göz ardı edilemez, bu durumda sendromun gelişiminde tanımlanabilmesi için gerekli eğitimlerin verilmesi, kaynaklara erişim imkânın tanınması, işveren ve eğitimcilere düşmektedir. Bu sendroma odaklanan terapiler sendromun yaygınlığını azaltmaya yardımcı olur. Ayrıca bunlara ek olarak çalışanlardan sağlıklı beklentilere girerek ve hataların başarısızlık olarak tanımlanmadığı, başarıların ise açıkça kabul edildiği örgüt kültürü yaratmayı hedefleyebilirler (Denna vd, 2019: 1272).

Örgütlerde liderlerin rolü oldukça önemlidir. Örgüt ikliminin, kültürünün oluşması, adalet gibi konulara yoğunlaşarak, çalışanların imposter gibi sendromlara kapılmamalarını ve örgütün amaçları için çalışmalarına, emek vermeleri gerekmektedir (Cemaloğlu, 2020: 290). Özelikle zor zamanlarda doğru bir ekip, doğru önlemler, kronik hale gelebilecek sendromlardan örgütleri kurtarabilir (Fettahlıoğlu, Çakar: 2020, 855).

İmposter sendromunun işgörenler ve örgütler için olumlu yanlarından biri, başarılarına güven sorunu olduğundan herşeyi iki kere kontrol edip ellerinden gelenin en iyisini yaptıklarından, bir işi iyi yapma olasılıkları yüksek olmasıdır. Sendromu hafif biçimini yaşayanlar için çok çalışmanın ve ellerinden gelenin en iyisini yapmaya yönlendiren bir şey olduğu belirtilmiştir (Mann, 2020: 180).

Evden veya uzaktan çalışan örgütlerde, klasik örgütlere kıyasla lider olarak kadınların daha yüksek oranda olduğunu gösteren araştırmalar bulunmaktadır. Bunun sebebi olarak da uzaktan çalışmanın kadınların ilerlemesini daha fazla desteklemesi olduğu ama aynı zamanda kadınlar uzaktan çalışmadan erkeklerden daha fazla yararlandığı belirtilmiştir. Ama bununla birlikte uzaktan çalışanlar daha fazla imposter sendromu riskine sahip oldukları gözlemlenmiştir. Bunun nedenleri arasında ise olumlu geri bildirim ve güvence hissinin sınırlı olması gösterilmiştir (Mann, 2020: 87)

Imposter sendromu durumunda yapılabilecekler (Avşar, 2020; Tekpınar, 2010: 16-17):

**Kabul Etmek:** Kişi kendinde olduğunu düşündüğü "Gizli Başarısızlık Duygusu"nun sadece kendinde olmadığını, birçok başarılı insanın da bu sorunu yaşadığını bilmeli, sendromu tanıyarak ve böyle bir sorunu olduğunu kabul ederek ilk adımı atmalıdır.

**Yüzleşmek:** Kişi zayıf görülmekten korkar, saklamaya çalıştıkça içinde büyüyen bu duygu giderek baş edilmez bir hale gelir. Sendromu iyileştirmek için bir ya da birkaç kişiye durumu anlatabilmek kişi için büyük bir rahatlama sağlayacaktır. Kendinde güçsüz gördüğü yönlerini anlattığında aslında öyle olmadığını görmek ya da öyle olmuş olsa da bunun başkaları için herhangi bir zayıflık olarak görülmediğini fark edecektir.

**Kendinin Farkında Olmak, Kabul Etmek:** Her insan kendine has özellikleri vardır ve bu özellikler insanları tek ve biricik yapar. Önemli olan insanları olduğu gibi kabul edebilmektir. Kişi kendinde tıpkı diğer insanlarda olduğu gibi güçsüz yönler var olduğunu bilmeli, bunları rahatlıkla ifade etmekten kaçınmamalı, mükemmel olmadığını kabul etmelidir. Kişi, başkalarının ne diyeceğini düşünmek kadar içinden gelen eleştiri seslerini de kısmayı öğrenmelidir.

**Geçmişi Bırakmak:** Geçmişte yaşadığı tüm olumsuz duyguları bir kenara bırakmalı, bir noktada bunlar aşılmalı ve kim olduğunu, kim haline geldiğinin sorumluluğunu alması gerekir. Yaşanmışlıklarını sadece birer deneyim olarak görülmelidir. Değiştiremediği özelliklerini değiştirmek için artık daha fazla çaba sarf etmeyip kendini kabul etmelidir.

**Sınırları Belirlemek:** Kişi yetkin olup olmadığı sınırları belirlemelidir. Bu, yetkinlikleri kazanmanın sonuçlarını ve yetkinlik kazanma sürecini öğrenmek, gözden geçirmek ve anımsamak için yaşamsal önem taşır. Var olan sorunu elinden geldiğince farkında olarak değiştirmeye çalışmalıdır. Ancak yetişkin olarak üzerinde durulması gereken diğer önemli nokta ebeveyn olarak çocuk yetiştirirken yukarıda bahsedilen

tüm basamaklara dikkat etmek olmalı, başarılarının altında kendilerini ezen çocuklar yetiştirilmemelidir. Onlara hayatın mükemmel olmadığını, kendilerinin de mükemmel olmak zorunda olmadıklarını, duygularını –mış gibi yaşamamaları gerektiği öğretilmelidir.

**Başarısızlıklara Hoşgörü**: Kendimizde ve başkalarında hoşgörü geliştirmeli; insanların ve kendimizin hatalarında anlayışlı bir tutum sergileyebilinmelidir.

Imposter sendromu, başarısız insanların hissettiği değil, başarılı kişilerin hissettiği huzursuzluk, güvensizliktir ve bunu yenmek için yapılabilecekleri ise Mann (2020: 88-116-122-141) şöyle sıralamıştır:

- Olguları görün ve tanıyın,
- Düşünme bicimizi sorgulayın, güçlü yönlerinizi belirleyin,
- İyi davranışları tanıyın,
- Hata yapmaktan korkmayın
- İnanç taklidi yapın, öyle hissetmesiniz de kendinize güveniyormuş gibi hareket edin.
- Başarıya bakışınızı sorgulayın,
- Gerçek dostlara değer verin,
- Sosyal medyayı yönetin,
- Karşılaştırma günlüğü tutun

Duygulu (2013)'ya göre bu araştırmalardan ve ortaya çıkan sonuçlarından sonra insanların anlamasını istediği bilgisizlikten gelen cesaretin de, bilmenin verdiği titizliğinde yararı da zararı da bulunduğudur. Bazı durumlarda konuyu çok iyi bilinmesine rağmen, kaygılar o kadar artar ki stres nedeniyle istenilen sonuca ulaşamayıp başarısız gelebilir. Sınavlarda yaşanan stres buna bir örnek teşkil etmektedir. Bazı öğrenciler konuyu bilmediklerinden dolayı değil, başarısız olma korkularını yenemedikleri için kaygı duydukları ve stres oldukları için de başarısız olabilmektedirler. Bildiğimiz konularda yapılan gereksiz alçak gönüllülük de fark edilmemizin önünde engel olabilir. Keşfedilmeyi, takdir edilmeyi beklemek hırs, cesaret yoksunluğu olarak görülebileceğinden bunun yerine rekabetin arttığı dünyamızda, bilgi sahibi kişilerin kendilerini göstermek için daha atak davranmalarının faydalı olacağı açıktır. Gereksiz yerde ve zamanda gösterilen tevazu hak edilen yere gelmeye engel olabilmektedir.

Kişi niteliksizliğini fark etmediğinde aşırı risk ve yanlış kararlar almakta ve bunları tekrarlayabilmektedir. Niteliklerini küçümseyen kişi için ise bu durumun tersi gerçekleşmekte, karar alırken çekingen davranış gösteren kişi fırsatlar karşısında eylemsiz, pasif kalmaları söz konusu olmaktadır (Küçün, Güngör, Eroğlu, 2020: 1).

## 4. SONUÇ

Üstünlük önyargısı anlamına gelen Dunning-Kruger sendromuna sahip kişilere her yerde tanıklık etmiş olabiliriz. İş hayatında (kamu ve özel sektörde), özel hayatta, basında, siyasette. Bilip bilmediği önemli değil hatta bilmediğini bile bilmiyor olabilir ama hemen hemen her konuda söyleyecekleri olanlar her yerde varlar. En basitinden sorulan adresi bilmeseler bile tarif etmeye çalışabiliyorlar. Bu kişiler sosyal medyayı da kullanarak uzmanlardan bile daha özgüvenli olabiliyorlar.

Imposter sendromu yaşayanlarda bu durum tam tersidir. Bilirler ama bildiklerine, yeteneklerine güvenleri yoktur ve kendisine inanan, öven insanları aldattıkları hissi ile kendilerini sahtekar olarak düşünür ve bu sahtekarlıklarının er geç ortaya çıkacağı şüphesi ve korkusu ile yaşarlar. Bu durum pasif kalmalarına neden olabilmektedir. Yeteneklerinin ve bilgilerinin altında çalışmaya razı olurlar.

Dunning-Kruger sendromuna sahip kişiler özelikle iş hayatında fuzuli bir kendine güven sahibi olduklarından atılgan ve girişkendirler ama örgüt içinde bu durum düşük kaliteli çalışmaya, hedefe varmakta oyalanmaya ve hatta başarısızlığı sebep olabilirler. Imposter sendromuna sahip kişiler ise yapabileceklerine inancı düşük olduklarından dolayı, rezil olma ve yetersiz görüleceği korkusuyla, geri planda kalmayı, faydalı olabileceğinden daha azını yapmayı tercih ederler ki bu durumda atıl bir yetkinlikten, yetenekten, iş gücünden bahsetmemiz mümkündür. Bu durumda da örgüt kültürünün doğru, verimli bir şekilde yapılandırılması ve liderlerin rolü yol göstericidir. İşyerinde yaşanan

sendromların tanınması, bu konuda örgüt çalışanlarına eğitim ve destek verilmesi, sendromların olumsuz etkilerini azaltmak hatta yok etmek ve örgütün amaçlarına ulaşması için önem arz etmektedir.

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# Yolsuzluk ve Doğrudan Yabancı Yatırım İlişkisi Üzerine Ampirik Bir Değerlendirme: AB Örneği

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**Özet:** Bilindiği üzere Avrupa Birliği (AB), dünya üzerinde şimdiye kadar gerçekleşmiş en başarılı ekonomik bütünleşme örneğidir. Bu başarının elde edilmesinde kurumsal faktörlerin önemli bir etkisinin bulunduğu açıktır. Yolsuzluk ise, bu kurumsal faktörlerin en önemlilerinden birisidir. Doğrudan yabancı yatırımlar ile yolsuzluk arasındaki ilişkiyi inceleyen birçok ampirik çalışmada, farklı ülke gruplarında yolsuzluk ile doğrudan yabancı yatırımlar arasında ters yönlü bir ilişkinin bulunduğu gözlemlenmiştir. Literatürde aksi yönde bulgulara ulaşan çalışmalar da bulunmaktadır. Bu çalışmada, yolsuzluk ile doğrudan yabancı yatırım arasındaki zıt yönlü ilişkiden hareketle, 27 AB ülkesinde 2002-2019 periyodu ele alınarak, yolsuzluğun kontrolünün, doğrudan yabancı yatırım girişleri üzerindeki etkisi panel veri analiz yöntemiyle araştırılmıştır. Çalışmada, doğrudan yabancı yatırım girişlerinin bağımlı seri ve yolsuzluğun kontrolü endeksinin ise bağımsız seri olduğu bir model kurulmuştur. Seriler Dünya Bankası'ndan elde edilmiştir. Daha sonra model kurularak panel veri analizi ile tahmin edilmiştir. Elde edilen ampirik bulgularda; yolsuzluğun kontrolü arttıkça, doğrudan yabancı yatırım girişlerinin de arttığı gözlemlenmiştir. Dolayısıyla yolsuzluğun düşük bir seviyede bulunmasının, AB'nin doğrudan yabancı yatırımları çekmesindeki önemli faktörlerden biri olduğu anlaşılmaktadır.

**Anahtar Kelimeler:** Avrupa Birliği (AB), Yolsuzluk, Doğrudan Yabancı Yatırımlar, Panel Veri Analizi.

# An Empirical Assessment on Corruption and Foreign Direct Investment Relations: The EU Case

**Abstract:** As it is known, the European Union (EU) is the most successful example of economic integration in the world so far. It is clear that institutional factors have an important effect on achieving this success. Corruption is one of the most important of these institutional factors. In many empirical studies examining the relationship between foreign direct investment and corruption, it has been observed that there is an inverse relationship between corruption and foreign direct investment in different country groups. There are also studies in the literature reaching contrary findings. In this study, based on the opposite relationship between corruption and foreign direct investment, the period of 2002-2019 in 27 EU countries was taken into consideration, and the effect of the control of corruption on foreign direct investment inflows was investigated using panel data analysis method. In the study, a model is established in which foreign direct investment inflows are dependent series and corruption control index is independent series. The series have been obtained from the World Bank. Then, the model was set up and estimated by panel data analysis. In the empirical findings obtained; It has been observed that as the control of corruption increases, foreign direct investment inflows also increase. Therefore, it is understood that the low level of corruption is one of the important factors in attracting foreign direct investments by the EU.

**Key Words:** European Union (EU), Corruption, Foreign Direct Investments, Panel Data Analysis.

## 1. GİRİŞ

Yolsuzluk terimi, genel anlamıyla, kamu gücünün, şahsi çıkar elde edilmesi amacıyla kullanılmasından ibarettir. Bir diğer deyişle; bir kamu çalışanının, şahsi çıkar elde etmek amacıyla kamu kurumu içerisindeki konumunu kullanmasıdır. Bir ülkede yolsuzluğun bulunması, o ülkede toplumu yöneten kanunlara saygı gösterilmediğinin, yeterince uyulmadığının göstergesidir (Kaufman vd., 2003). Ancak yolsuzluğun ortaya çıkışında, kamusal görevlerin yürütülmesi için kişilere tanınan yetkilerin de etkisi vardır. Örneğin; bir malın dağıtımı veya özel sektörün denetlenmesi konusunda yapılan yetkilendirmeler, şahsi çıkar eğilimlerinin ortaya çıkmasına neden olabilmektedir (Rose-Ackerman, 1999).

Yolsuzluk tamamen etik dışı olumsuz bir durum gibi algılansa da akademik yazımda, yolsuzluğun, ekonomiye dair olumlu etkilerinden de bahsedilmektedir. Örneğin; bir ekonomide özgürlüklerin kısıtlı olması durumunda, yolsuzluk, serbest piyasaların ortaya çıkmasını sağlayabilir. Bu bağlamda ihracat veya

ithalattaki sınırlamalar, yasal olarak delinerek, daha yüksek bir dış ticaret hacmine ulaşılabilir (Lui, 1985). Ancak genel olarak, yolsuzluğun, ekonomi üzerindeki olumlu etkileri, olumsuz etkilerine kıyasla çok sınırlı bir alan teşkil eder. Yolsuzluğu, büsbütün olumsuz bir durum olarak gören bilim adamları, onu, "ticaretin çarkları arasındaki kum" olarak tanımlarlar. Bir diğer deyişle yolsuzluğu, ticareti olumsuz yönde etkileyen bir olay olarak görürler. Yine bu gruptakilere göre; karlı bir ekonomik alanda kullanılma ihtimali varken, yolsuzlukla mücadeleye ayrılan ekonomik kaynakların israf edilmesi de söz konusudur (Kaufmann, 1997).

Literatürde, doğrudan yabancı yatırımlara ev sahipliği yapan ülkedeki yolsuzluk oranı ile bu ülkeye giriş yapan doğrudan yabancı yatırımlar arasında ters yönlü bir ilişkiye dair birçok çalışma bulmak mümkündür. Genellikle de yükselen piyasa ekonomilerine giriş yapan çok uluslu şirketler, yolsuzlukla karşılaşmaktadır (Cuervo-Cazurra, 2008; Smarzynska & Wei, 2002). Yolsuzluk hem yasadışı olduğu hem de maliyetleri ve belirsizliği artırdığı için çok uluslu şirketler tarafından olumsuz bir durum olarak algılanmaktadır (Shleifer & Vishny, 1993).

Yolsuzluk ile doğrudan yabancı yatırımlar arasındaki ters yönlü ilişkiye dair ampirik literatürden örnekler vermek gerekirse; Mauro (1995) 67 ülkeyi ele aldığı çalışmasında, yolsuzluktaki artışın, ülkedeki toplam yatırım seviyesini düşürdüğünü gözlemlemiştir. Wei (2000a) çalışmasında, 12 gelişmiş ülkeden, 45 seçilmiş ülkeye gerçekleşen doğrudan yabancı yatırım oranları ile yolsuzluk arasındaki ilişkiyi araştırmış, elde ettiği bulgularda, doğrudan yabancı yatırımlara ev sahipliği yapacak seçilmiş 45 ülkedeki yolsuzluk arttıkça, doğrudan yabancı yatırımların azaldığını saptamıştır. Wei (2000b) çalışmasında devletin, doğrudan yabancı yatırımlara yönelik politikalarını da dikkate alarak yapmış olduğu gözlemde, doğrudan yabancı yatırımlar ile yolsuzluk arasında negatif yönlü bir ilişki tespit etmiştir. Al-Sadig (2009) 1984-2004 periyodu için 117 ülkeyi ele aldığı araştırmasında, yolsuzluğun, doğrudan yabancı yatırımlar üzerinde negatif yönlü bir etki bıraktığını saptamıştır. Caetano ve Caleiro (2009) 97 ülkeyi ele alarak gerçekleştirdikleri araştırmada, yolsuzluğun nispeten fazla olduğu ülkelerde yolsuzluğun, doğrudan yabancı yatırımlar üzerinde olumsuz bir etki bıraktığı sonucuna ulaşmışlardır. Samadi vd. (2011), yaptıkları çalışmada 1996-2009 periyodu için D8 ülkelerinde yolsuzluk ile doğrudan yabancı yatırımlar arasındaki ilişkiyi araştırmışlardır. Elde ettikleri gözlem sonuçlarına göre; yolsuzluk, finansal gelişme ile doğrudan yabancı yatırımlar üzerinde olumsuz bir etki bırakmaktadır. Ay vd. (2016) yaptıkları çalışmada 10 gelişmekte olan ülkeyi 1995-2013 periyodu için ele alarak, yolsuzluk ve demokrasinin, doğrudan yabancı yatırımlar üzerindeki etkisini araştırmışlardır. Elde ettikleri bulgularda; yolsuzluk ile doğrudan yabancı yatırımlar arasında negatif yönlü bir ilişki olduğunu gözlemlemişlerdir. Hakimi ve Hamdi (2017) yaptıkları çalışmada seçilmiş 15 ülkeyi ele alarak yolsuzluk, doğrudan yabancı yatırımlar ve büyüme arasındaki ilişkiyi araştırmışlardır. Elde ettikleri bulgularda; yolsuzluğun, doğrudan yabancı yatırımları ve büyümeyi olumsuz yönde etkilediğini tespit etmişlerdir. Brada vd. (2019) seçilmiş çeşitli ülke gruplarını ele alarak yaptıkları çalışmada yolsuzluğun, doğrudan yabancı yatırımlar üzerinde negatif yönlü bir etki bıraktığını gözlemlemişlerdir.

## 2. VERİ ve YÖNTEM

Bu çalışmada 27 Avrupa Birliği (AB) ülkesinde 2002-2019 döneminde yolsuzluğun, doğrudan yabancı yatırım girişleri üzerindeki etkisi araştırılmıştır. Ele alınan AB ülkeleri; Almanya, Avusturya, Belçika, Bulgaristan, Çek Cumhuriyeti, Danimarka, Estonya, Finlandiya, Fransa, Kıbrıs, Hırvatistan, Hollanda, İrlanda, İspanya, İsveç, İtalya, Letonya, Litvanya, Lüksemburg, Macaristan, Malta, Polonya, Portekiz, Romanya, Slovakya, Slovenya ve Yunanistan'dır. Çalışmada kullanılan değişkenler ve elde edildikleri kaynaklar aşağıdaki tabloda gösterilmektedir:

Tablo 1: Serilere İlişkin Bilgiler

| Değişkenin Adı | Açılımı | Kaynak |
|---|---|---|
| COR | Yolsuzluğun Kontrolü Endeksi (Yüzdelik Değer) | Dünya Bankası |
| FDI | Doğrudan Yabancı Yatırım Girişleri (ABD Doları) | Dünya Bankası |

COR ile ifade edilen yolsuzluk değişkeni, Dünya Bankası'ndan elde edilen yolsuzluğun kontrolü endeksi ile temsil edilmektedir ve endeks 0 ile 100 arasında bir değer almaktadır. Buna göre; yolsuzluğun kontrolü endeksinin giderek daha büyük bir pozitif değer alması, bir diğer deyişle 100 puana yaklaşması, yolsuzluğun azaldığını; bunun tersine, giderek daha küçük bir değer alması, yani 0 değerine yaklaşması ise, yolsuzluğun arttığını ifade etmektedir. Doğrudan yabancı yatırım girişlerini temsil eden FDI değişkeni de benzer şekilde Dünya Bankası'ndan elde edilmiştir ve ülkeye giriş yapan dolar bazında doğrudan yabancı yatırım miktarını ifade etmektedir. Modelde kullanılan değişkenlere ait tanımlayıcı istatistikler ve korelasyon matrisi aşağıdaki tabloda gösterilmektedir.

Tablo 2: Serilere İlişkin Tanımlayıcı İstatistikler ve Korelasyon Matrisi

| Seri | Ortalama | Minimum | Maksimum | Standart Hata | Gözlem |
|---|---|---|---|---|---|
| FDI | 2,18e+10 | -3,61e+11 | 7,34e+11 | 5,93e+10 | 486 |
| COR | 4,344369 | 3,69893 | 4,60517 | 0,202631 | 486 |
| | FDI | COR | | | |
| FDI | 1,0000 | | | | |
| COR | 0,2405 | 1,0000 | | | |

Çalışmada 27 AB ülkesi için 2002-2019 periyodu incelendiğinden, kullanılan veri seti, bir panel veri seti özelliği taşımaktadır. Dolayısıyla ilgili veri setinin analizi için panel veri analiz yöntemi tercih edilmiştir. Panel veri analiz yöntemlerinden de Genelleştirilmiş En Küçük Kareler (GEKK) yöntemi uygulanmıştır. Bilindiği gibi bu yöntem, modelde, değişen varyans ve otokorelasyon sorunlarının bulunması durumunda bile tutarlı bir tahminde bulunabilmektedir (Yerdelen Tatoğlu, 2018, 101). Ayrıca çalışmada rassal ve sabit etkili modeller arasında seçim yapabilmek için Hausman testi (Hausman, 1978) kullanılmıştır. Bilindiği gibi Hausman testine ait olasılık değerinin %5 seviyesinde anlamlı olması durumunda "sabit etkiler modeli", %5 seviyesinde anlamsız olması durumunda ise "rassal etkiler modeli" tercih edilmektedir.

Çalışmada yolsuzluğun kontrolü endeksini temsil eden COR serisinin bağımsız ve doğrudan yabancı yatırım girişlerini temsil eden FDI serisinin bağımlı olduğu bir model kurulmuştur. Tahmin edilmek istenen modelde, yolsuzluğun kontrolü arttıkça, doğrudan yabancı yatırım girişlerinin artacağı beklenmektedir. Modele ait ekonometrik denklem şu şekildedir:

$$FDI_{it} = \beta_0 + \beta_1 COR + \varepsilon_{it} \quad (1)$$

Çalışmanın bundan sonraki kısımlarındaki ilk olarak analiz sonuçlarına yer verilecektir. Daha sonra ise sonuçla ilgili açıklamalar yapılacaktır.

## 3. ANALİZ SONUÇLARI

Analiz yöntemi olarak panel veri analizi tercih edilmiş ve 27 AB ülkesinde 2002-2019 dönemi için yolsuzluğun, doğrudan yabancı yatırımlar üzerindeki etkisi araştırılmıştır. Öncelikle analizde kullanılan COR serisine logaritmik dönüşüm uygulanmış; FDI serisi ise negatif değerler aldığı için logaritmik dönüşüm uygulanmamış ve ham hali kullanılarak tahmin edilecek model oluşturulmuştur. Aşağıdaki tabloda modele ilişkin tahmin sonuçlarına yer verilmektedir.

Tablo 3: Modele İlişkin Tahmin Sonuçları (Bağımlı Değişken: FDI)

| | |
|---|---|
| COR | 5,66e+10 (0,036) * |
| Sabit | -2,24e+11 (0,056)* |

| | |
|---|---|
| Gözlem | 486 |
| Ülke Sayısı | 27 |
| $R^2$ | 0,15 |
| F Testi İst. (Prob.) | 9,65 (0,000)* |
| Hausman Testi İst. (Prob.) | 0,55 (0,4586)* |
| Model | Rassal Etkiler Modeli |

*Not: Parantez içindekiler prob. değeri, diğerleri ise katsayılardır.

Yukarıdaki tabloda görüldüğü üzere; F testine ait olasılık değerinin, istatistiksel olarak %1 anlamlılık seviyesinde anlamlı bir değer aldığı anlaşılmaktadır. Dolayısıyla ilgili modelin kurulması noktasında herhangi bir sorunun bulunmadığı, klasik modelin yerine birim-zaman etkili modellerin kullanabilir olduğu görülmektedir. Dolayısıyla birim-zaman etkili modellerden Genelleştirilmiş En Küçük Kareler (GEKK) yönteminin kullanılmasına ilişkin bir engel bulunmamaktadır. Bu sebeple GEKK ile tahmin yapabilmek amacıyla uygun model seçimi için Hausman testine başvurulmuş ve teste ait olasılık değerinin istatistiksel olarak %5 anlamlılık seviyesinde anlamsız olduğu gözlemlenmektedir. Yani rassal etkiler modeli kullanılarak tahminde bulunmanın, daha tutarlı bir bulguya götüreceği anlaşılmaktadır. Bu sebeple GEKK yöntemi kullanılarak, rassal etkiler modeli ile ilgili model tahminlenmiş ve bulgular yukarıdaki tabloda raporlanmıştır. Gözlem sonuçlarına göre; COR serisi ile tahmin edilen yolsuzluğun kontrolü serisinin, FDI ile temsil edilen doğrudan yabancı yatırım girişleri serisi üzerinde %5 anlamlılık seviyesinde pozitif yönlü bir etki bıraktığı görülmektedir. Yani yolsuzluğun kontrolü arttıkça, doğrudan yabancı yatırım girişlerinde bir artış yaşanmaktadır. İlgili bulgu, çalışmada beklenen ilişkiyi doğrulamaktadır.

## 4. SONUÇ

Bu çalışmada 27 Avrupa Birliği (AB) ülkesinde 2002-2019 döneminde yolsuzluğun, doğrudan yabancı yatırım girişleri üzerindeki etkisi panel veri analiz yöntemiyle araştırılmıştır. Ele alınan AB ülkeleri; Almanya, Avusturya, Belçika, Bulgaristan, Çek Cumhuriyeti, Danimarka, Estonya, Finlandiya, Fransa, Kıbrıs, Hırvatistan, Hollanda, İrlanda, İspanya, İsveç, İtalya, Letonya, Litvanya, Lüksemburg, Macaristan, Malta, Polonya, Portekiz, Romanya, Slovakya, Slovenya ve Yunanistan'dır.

Çalışmada yolsuzluğun kontrolü endeksini temsil eden COR serisinin bağımsız ve doğrudan yabancı yatırım girişlerini temsil eden FDI serisinin bağımlı olduğu bir model kurulmuştur. COR ile ifade edilen yolsuzluk değişkeni, Dünya Bankası'ndan elde edilen yolsuzluğun kontrolü endeksi ile temsil edilmektedir ve endeks 0 ile 100 arasında bir değer almaktadır. Buna göre; yolsuzluğun kontrolü endeksinin giderek daha büyük bir pozitif değer alması, bir diğer deyişle 100 puana yaklaşması, yolsuzluğun azaldığını; bunun tersine, giderek daha küçük bir değer alması, yani 0 değerine yaklaşması ise, yolsuzluğun arttığını ifade etmektedir. Doğrudan yabancı yatırım girişlerini temsil eden FDI değişkeni de benzer şekilde Dünya Bankası'ndan elde edilmiştir ve ülkeye giriş yapan dolar bazında doğrudan yabancı yatırım miktarını ifade etmektedir. Gözlem sonuçlarına göre; COR serisi ile tahmin edilen yolsuzluğun kontrolü serisinin, FDI ile temsil edilen doğrudan yabancı yatırım girişleri serisi üzerinde %5 anlamlılık seviyesinde pozitif yönlü bir etki bıraktığı görülmektedir. Yani yolsuzluğun kontrolü arttıkça, doğrudan yabancı yatırım girişlerinde bir artış yaşanmaktadır.

Avrupa Birliği ülkelerinin, yüksek seviyede doğrudan yabancı yatırım çekmesinde etkili olan faktörler arasında, yolsuzluk seviyesini olabildiğince düşük tutmasının da bulunduğu anlaşılmaktadır. Ekonomik

bütünleşme konusunda, modern tarih boyunca görülmemiş bir başarıya ulaşan Avrupa Birliği, kurumsal faktörler açısından sağladığı başarılarla da değerlendirilmeli, kurumsal faktörlerin, ekonomik performans üzerindeki etkisi gözden kaçırılmamalıdır. Özellikle de yolsuzluk gibi önemli bir faktörün, olabildiğince azaltılması yönünde politikalar oluşturulmalı ve bu politikaların uzun dönemli bir karakter taşıması sağlanmalıdır.

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# Z Kuşağı Tüketicilerinin Rasyonel ve Hedonik Marka Algılarının Marka Farkındalığı ve Marka Bağlılığı Üzerindeki Etkisi

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**Özet :** Gün geçtikçe pazar payı artan ve çok sayıda marka için hedef pazar olarak görülen Z kuşağı tüketicileri, markalar için büyük önem taşır. Z kuşağı tüketicilerinin birçok nedenden dolayı diğer tüketicilerden farklılık gösterdiği düşünülmektedir. Bu çalışmanın temel amacı, Z Kuşağı tüketicilerinin rasyonel ve hedonik marka algılarının, marka farkındalığı ve marka bağlılığı üzerindeki etkisinin incelenmesidir. Bu amaca ek olarak çalışma kapsamında ele alınan değişkenlerin katılımcıların cinsiyetine ve markaya göre farklılaşıp farklılaşmadığı da incelenmiştir. Çalışma, Z kuşağı tüketicilerinin en fazla ilgi duyduğu alanlar olan fast food, spor ayakkabı, akıllı telefon olmak üzere üç farklı sektörde gerçekleştirilmiştir. Veri toplama yöntemi olarak online anket yöntemi kullanılmıştır ve 425 katılımcıya ulaşılmıştır. Çalışmada Erciş vd (2011) tarafından Türkçeye uyarlanan ve geliştirilen, rasyonel marka algısı, hedonik marka algısı, marka farkındalığı ve marka bağlılığı ölçekleri kullanılmıştır. Elde edilen veriler varyans analizi, t testi ve regresyon analizi kullanılarak analiz edilmiştir. Yapılan analizlerde, tüketicilerin rasyonel marka algıları ve hedonik marka algıları ele alınan markalara ve cinsiyete göre farklılık gösterdiği belirlenmiştir. Çalışmada ayrıca rasyonel, hedonik marka algılamalarının marka farkındalığı ve marka bağlılığı değişkenleri üzerinde pozitif etkisi olduğu tespit edilmiştir.

**Anahtar Kelimeler:** Z Kuşağı, Hedonik Marka Algısı, Rasyonel Marka Algısı, Marka Farkındalığı, Marka Bağlılığı.

# The Effects of Utilitarian and Hedonic Brand Perception of Generation Z Consumers on Brand Awareness and Brand Loyalty

**Abstract :** Generation Z consumers, whose market share is increasing day by day and seen as the target market for many brands, have great importance for brands. Consumers of generation Z are consider to differ from other consumers for many reasons. The main purpose of the research is to examine utilitarian and hedonic brand perception of generation Z consumers have an effect on brand awareness and brand loyalty. In addition, this study is to examine whether the variables differ according to gender of the participants and the brands. This study was conducted in three different sectors: fast food, sneakers and mobile phones, which are the sectors of interested to generations Z consumer. Online survey method was used as data collection method and 425 person participated in. In the study, utilitarion brand perception, hedonic brand perception, brand awareness and brand loyalty scales adapted and developed into Turkish by Erciş et al. (2011) were used. The data obtained were analyzed using regression analysis, t test and variance analysis. As a result of the analysis, it was determined that the utilitarian brand perception and hedonic brand perception differ according to gender and identified brands. In addition, it is determined that utilitarian and hedonic brand perceptions have positive effects on brand awareness and brand loyalty.

**Keywords:** Generation Z, Utilitarian Brand Perception, Hedonic Brand Perception, Brand Awareness, Brand Loyalty.

## 1.GİRİŞ

Dünya nüfusunda önemli tüketici kitlesine sahip olan Z kuşağını tanımak markalar için büyük önem taşır. Yakın gelecekte ekonomik özgürlüklerini elde edecek Z kuşağı tüketicilerinin, markalar için önemi daha da artmaktadır. Bu yüzden markaların Z kuşağını analiz etmesi ve uygun stratejileri geliştirmesi gerekir.

İşletmeler için tüketicileri markaya sadık hale getirecek stratejiler geliştirmek, yeni müşteri kazanmaya çalışmaktan daha az maliyetlidir. Markalar için tüketicilerin hedonik ve rasyonel marka algıları marka farkındalığı ve marka bağlılığı yaratmakta önemli bir araçtır. Bu doğrultuda çalışmada Z kuşağı tüketicilerin en fazla ilgi duyduğu markalarda marka algıları ve marka boyutları incelenecektir.

Literatürde Erciş vd. (2011); Yılmaz ve Yaprak (2018) yaptıkları çalışmalarda hedonik marka algılarının kalite algılarını etkilediği ve kalite algılarının da marka bağlılığını etkilediği sonucuna ulaşmışlardır. Bu çalışmada diğer çalışmalardan farklı olarak, Z Kuşağı tüketicilerinin rasyonel ve hedonik marka algılarının, marka farkındalığı ve marka bağlılığı üzerindeki etkisi incelenmektedir. Z kuşağı diğer kuşaklardan farklı olarak teknoloji ile iç içe büyümüştür. Bu yüzden yeni nesil tüketicilerin marka algıları ve marka boyutları değişkenlerinin farklılık gösterip göstermediği merak konusu olmuştur. Bu çalışmada marka algıları ve marka boyutu değişkenlerinde ne gibi farklılıklar olduğu da incelenmektedir.

Çalışmada öncelikle rasyonel ve hedonik marka algılamaları, marka farkındalığı ve marka bağlılığı teorik bilgilere yer verilmekte, daha sonra konuya ilişkin olarak yapılan anket araştırmasının analiz ve bulguları sunulmaktadır.

## 2. LİTERATÜR TARAMASI

### 2.1 Z Kuşağı

Yaklaşık olarak aynı yıllarda doğmuş, aynı çağın şartlarını, dolayısıyla birbirine benzer sıkıntıları, kaderleri paylaşmış, benzer ödevlerle yükümlü olmuş kişilerin topluluğu kuşak olarak tanımlanmaktadır (TDK, 2021). 2000 yılı ve sonrasında doğan kişiler Z kuşağı veya yeni sessiz nesil olarak tanımlanır. Gelecek yıllarda bu kuşağın adı ve yıl aralığı değişim gösterebilir (Jones, 2007). Z kuşağının yaşanan ekonomik, sosyal, kültürel ve teknolojik değişimler sonucunda diğer kuşaklardan farklılık gösterdiği düşünülmektedir. Bunun sonucunda, geleceğin tüketim ve pazarlama stratejilerini değiştirebilecek etkiye sahip oldukları öngörülmektedir (Altuntuğ, 2012). Yakın geleceğin tüketici grubu olan Z kuşağı, Tuik verilerine göre Türkiye nüfusunun yaklaşık olarak %23'ünü oluşturmaktadır. Bu sebeple markalar için önemli olan Z kuşağı tüketicileri ile ilgili yapılan çalışmalarda da artış görülmektedir.

### 2.2 Rasyonel ve Hedonik Marka Algısı

Tüketicilerin marka algıları rasyonel ve hedonik olmak üzere ikiye ayrılmıştır. Geleneksel araştırmaların çoğunda tüketimin faydacı boyutuna odaklanılmıştır. (Babin, 1994) Faydacı algıda alışveriş, görev odaklı ve rasyonel olarak tanımlanmaktadır. Tüketici, ihtiyacını karşıladıktan sonra görevini tamamlar ve alışveriş sonlanır. (Akturan, 2010) Geleneksel çalışmaların aksine yapılan yeni çalışmalar, tüketicilerin duygularıyla hareket ettiğini ortaya koymuştur (Babin, 1994). Hirschman ve Holbrook (1982) tarafından hedonik tüketici değeri, faydacı değere göre daha öznel olmasının yanında, bir görevi yerine getirmekten çok keyif ve eğlenme amacı taşıması şeklinde tanımlanmaktadır. Günümüz değişen koşullarında ise kişiler ürünleri ve hizmetleri; haz alma, duyusal deneyim, doyumsuzluk gibi duygularını tatmin edebilmede bir araç olarak görüyorlar (Güven, 2009). Günümüzdeki tüketicilerin hedonik algıları, taklit edilemez ürünler yaratarak ve bu ürünlere özgü semboller kullanılarak ortaya çıkarılabilir (Miranda, 2008).

### 2.3 Marka Farkındalığı

Marka, işletmelerin ürün veya hizmetlerini tanıtmayı hedeflerken onları diğer ürün veya hizmetlerden ayırmak için tasarlanan isim, harf, logo, işaret, sembol veya bunların tamamını oluşturan her türlü kombinasyon olarak tanımlanır (Keller, 2003). Marka farkındalığı, tüketicinin reklam veya diğer iletişim kanallarıyla markaya maruz kalmasıyla diğer markalardan ayırt edilmesi şeklinde tanımlanabilir (Hoyer & Brown, 1990). Marka farkındalığı yaratmak rekabet avantajı sağladığı için işletmelerin uyguladığı önemli bir stratejidir (Homburg, Klarman, & Schmitt, 2010).

### 2.4 Marka Bağlılığı

Her geçen gün pazara giren yeni firmalar diğer markaların pazar payı için tehdit oluşturmaktadır. Markaların pazar payını ve karlılığını koruması için tüketiciler üzerinde marka bağlılığı yaratmak diğer firmalara karşı avantaj sağlar. (Fırat & Azmak, 2007). Marka bağlılığı tüketicinin markadan beklentilerinin

karşılanmasını, sadık olduğu markayı diğer markalardan daha fazla satın almasını ve uzun yıllar boyunca aynı markayı kullanmayı sürdürmesini ifade eder. (Odabaşı & Barış, 2002). Marka bağlılığı olan tüketici, satın aldığı markaya sadıktır. Tekrar aynı ürün veya hizmete ihtiyaç duyduğu zaman aynı markayı satın almaya devam eder. (Bloemer & Kasper, 1995)

## 2.5 İlgili Çalışmalar

Deniz ve Erciş (2010)yapmış oldukları çalışmada, kişilik özelliklerinin rasyonel ve hedonik duyguları etkilediğini bu duyguların da marka bağlılığı değişkenini etkilediği sonucuna ulaşmışlardır. Erciş, Yapraklı, Can ve Yılmaz (2011) yapmış oldukları çalışmada, rasyonel ve hedonik marka algılamalarının marka farkındalığı ve algılanan kalite değişkenlerini etkilediği bu değişkenlerin de marka bağlılığı değişkenini etkilediği sonucuna ulaşmışlardır. Aytekin ve Ay (2015) yaptıkları çalışmada hedonik tüketim davranışının cinsiyete göre farklılık gösterdiği tespit edilmiştir. Can (2016) araştırmasında fast food sektörünü ele almıştır algılanan reklam harcamaları, marka deneyimi, marka farkındalığı, algılanan kalite değişkenlerinin hedonik duygular ve marka bağlılığı üzerindeki etkisi incelenmiş, analiz sonuçlarında hedonik duygu değişkeninin marka bağlılığı üzerinde pozitif etkisi olduğu tespit edilmiştir. Yılmaz ve Yaprak (2018) çalışmalarında giyim sektörü tüketicilerinin marka algıları, algılanan kalite ve marka bağlılığı boyutlarını incelemişlerdir. Analiz sonuçlarında, marka algılarının algılanan kaliteyi etkilediği algılanan kalite boyutunun da marka bağlılığını pozitif yönde etkilediği sonucuna ulaşmışlardır. Bu çalışmada diğer çalışmalardan farklı olarak, Z kuşağı tüketicilerin rasyonel ve hedonik marka algılarının marka farkındalığı ve marka bağlılığı değişkenleri incelenmiştir. Bu bilgiler ışığında aşağıdaki hipotezler geliştirilmiştir.

H1: Z kuşağı tüketicilerinin a) hedonik marka algı düzeyi, b) rasyonel marka algı düzeyi, c) marka farkındalığı düzeyi ve d) marka bağlılığı düzeyi marka türüne göre farklılık göstermektedir.

H2: Z kuşağı tüketicilerin, a) hedonik marka algısı, b) rasyonel marka algısı c) marka farkındalığı d) marka bağlığı değişkenleri cinsiyetine göre farklılık göstermektedir.

H3: Z kuşağı tüketicilerin, hedonik marka algı düzeylerinin a)marka bağlılığı ve b) marka farkındalığı üzerinde pozitif etkisi vardır.

H4: Z kuşağı tüketicilerin, rasyonel marka algı düzeylerinin a)marka bağlılığı ve b) marka farkındalığı üzerinde pozitif etkisi vardır.

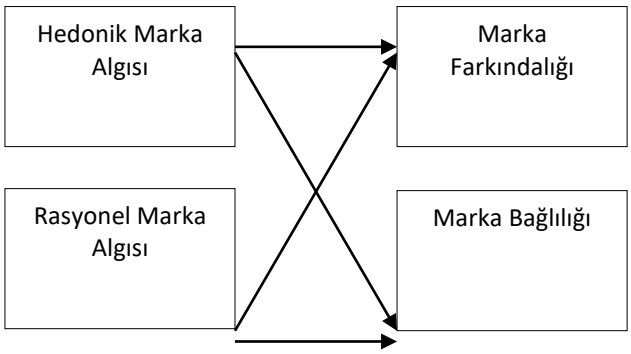
## 3. ARAŞTIRMANIN YÖNTEMİ

Araştırma Z kuşağı tüketiciler(2000 yılı ve sonrası doğanlar) üzerinde gerçekleştirilmiştir. Çalışma, Z kuşağı tüketicilerinin en fazla ilgi duyduğu alanlar olan fast food, spor ayakkabı, akıllı telefon olmak üzere üç farklı sektörde gerçekleştirilmiştir. Veri toplama yöntemi olarak online anket tekniği kullanılmıştır. Araştırma iki aşamalı olarak gerçekleştirilmiştir. Araştırmanın ilk aşamasında akıllı telefon, fast food, spor ayakkabı sektörlerinden Z kuşağı tüketicilerin en çok tercih ettiği markayı tespit etmek amacıyla 87 kişinin katıldığı online anket çalışması yapılmıştır. Ön aşama sonucunda; akıllı telefon kategorisinde %67,45 Apple markası, fast food kategorisinde %32,56 Burger King markası, spor ayakkabı kategorisinde %65,12 Nike markası ilk sırada yer almıştır. Ön aşama sonucunda belirlenen markalar için 3 ayrı anket formu hazırlanmıştır. Toplamda 434 kişi ile görüşülmüşken veri girişi sırasında 9 yanıt çıkartılarak analizler 425 yanıt ile gerçekleştirilmiştir. Anket formu, iki bölümden oluşmaktadır. İlk bölüm katılımcıların demografik özelliklerini belirlemeye yönelik sorulardan oluşmaktadır. İkinci bölüm ise, hedonik marka algılaması, rasyonel marka algılaması, marka farkındalığı ve marka bağlılığı değişkenlerinden oluşmaktadır. Bu sorular Erciş vd. (2011) çalışmasından alınarak, herhangi bir değişime uğratılmadan kullanılmıştır. Tüm ölçekler 5'li Likert tipi şeklinde oluşturulmuştur. Ölçeklerin geçerlilik ve güvenirliliklerini belirlemek için Açıklayıcı Faktör Analizi yapılmış ve Alfa katsayısı hesaplanmıştır. Elde edilen veriler varyans analizi, t testi ve regresyon analizi kullanılarak analiz edilmiştir. Analizler SPSS programıyla gerçekleştirilmiştir.

### 3.1 Araştırmanın Modeli

Araştırmanın değişkenleri kullanılarak hazırlanan ve araştırmanın hipotezlerini yansıtan model aşağıda sunulmuştur.

Şekil 1: Araştırmanın Modeli




## 4. Bulgular

### 4.1. Demografik Özellikler

Araştırmaya katılan katılımcıların % 44,3'ü erkek, % 55,7'si ise kadındır. Katılımcıların eğitim düzeyleri incelendiğinde ilköğretimde öğrenim gören katılımcılar araştırmanın %2,13'ünü lisede öğrenim gören katılımcılar %47,39'unu üniversitede öğrenim gören katılımcılar %50,47'sini oluşturmaktadır. Katılımcıların aylık ortalama aile gelirlerinin %9,98'i 2500 TL'den daha az, %15,57'si 2500-3500 TL arasında, %28,47'si 3500-5000 TL arasında ve %45,99'u 5000 TL'den daha fazla gelir düzeyine sahiptir.

### 4.2 Geçerlilik ve Güvenilirlik

Araştırmada kullanılan ölçeklerin geçerlilik ve güvenirliliklerinin tespiti için açıklayıcı faktör analizi yapılmış ve Cronbach's Alpha katsayısı hesaplanmıştır. Analiz sonuçları aşağıdaki tabloda sunulmuştur.

Tablo 1: Açıklayıcı Faktör Analizi ve Güvenilirlik Katsayısı

| | **Faktörler ve Faktör Yükleri** | | | | | | |
|---|---|---|---|---|---|---|---|
| | **Marka Bağlılığı** | **Rasyonel Algı** | **Hedonik Algı** | **Marka Farkındalığı** | **Öz Değer** | **Açıklanan Varyans** | **Alpha** |
| **MB5** | **,787** | | | | | | |
| **MB2** | **,785** | | | | **7,158** | **47,721** | **,909** |
| **MF1** | **,781** | | | | | | |
| **MB3** | **,628** | | | | | | |
| **MB1** | **,620** | | | | | | |
| **R2** | | **,817** | | | | | |
| **R3** | | **,790** | | | **1,396** | **9,306** | **,857** |
| **R1** | | **,717** | | | | | |
| **H4** | | | **,739** | | | | |

| | | | | | |
|---|---|---|---|---|---|
| **H1** | **,663** | | **1,123** | **7,484** | **,823** |
| **H3** | **,658** | | | | |
| **MF4** | | **,690** | **1,024** | **6,828** | **,680** |
| **MF5** | | **,681** | | | |
| **MF3** | | **,644** | | | |
| **MF2** | | **,639** | | | |
| **Toplam Açıklanan Varyans: 71,338** | | | | **KMO ve Bartlett testi: ,908** | |

Yapılan faktör analizi sonucunda, KMO değeri 0,908 çıkmıştır. Dolayısıyla bu araştırma için elde edilen verilere faktör analizi uygulanabilmektedir.

Faktör analizi sonucunda, ölçek dört farklı alt boyuta ayrılmıştır. Bu alt boyutlar orijinal ölçekle uyumludur. Sonuç doğrultusunda hedonik marka algılamasından bir, marka bağlılığından bir soru analizden çıkartılmış. Marka farkındalığına ait bir soru marka bağlılığı değişkenine dahil edilmiştir. Faktör yükü sonuçlarına göre, tüm faktör yüklerinin 0,50 değerinin üzerinde olduğu tespit edilmiştir. Toplam açıklanan varyans değeri ise % 71,338'dir. Bu bilgilerden hareketle, araştırmada kullanılan ölçeklerin asgari geçerlilik şartlarını sağladığı söylenebilir (Hair, Black, & Anderson, 2010). Bu durumda araştırmada kullanılan ölçeğin geçerlilik şartlarını uygun olduğu söylenebilir. (Hair, Black, & Anderson, 2010)

Araştırmanın güvenilirliği için Alpha katsayısı kullanılmıştır. Marka bağlılığı, rasyonel marka algısı, hedonik marka algısı ve marka farkındalığı olarak dört değişkenden oluşan ölçeğin Alpha katsayısı sırasıyla; 0,909, 0,857, 0,823, 0,680 şeklindedir. Bu bilgiler göz önüne alındığında ölçeğin güvenilir olduğu söylenebilir. (Hair, Black, & Anderson, 2010)

### 4.3. Hipotezlerin Testi

Araştırmanın amaçlarına ulaşmak için, farklılık analizleri ve regresyon analizleri yapılmıştır. Cinsiyete ve markalara göre farklılıkları belirlemek için t testi ve varyans analizi yapılmıştır. Rasyonel ve hedonik marka algılarının, marka farkındalığı ve marka bağlılığı üzerindeki etkisi belirlemek için de regresyon analizi yapılmıştır. Analizler aşağıdaki tablolarda sunulmuştur.

### 4.3.1 Farklılık Analizleri

Tablo 2: Markalara Göre Farklılık Analizi

| | | N | Ort. | F Değeri | P Değeri |
|---|---|---|---|---|---|
| **Hedonik Algı** | **Burger King** | 112 | 3,2857 | 6,885 | ,001 |
| | **Nike** | 123 | 3,5854 | | |
| | **Apple** | 190 | 3,0702 | | |
| | **Total** | 425 | 3,2761 | | |
| **Rasyonel Algı** | **Burger King** | 112 | 3,5476 | 16,505 | ,000 |
| | **Nike** | 123 | 4,1924 | | |
| | **Apple** | 190 | 4,0368 | | |
| | **Total** | 425 | 3,9529 | | |

| | | | | | |
|---|---|---|---|---|---|
| **Marka Farkındalığı** | **Burger King** | 112 | 4,1585 | 1,878 | ,154 |
| | **Nike** | 123 | 4,2358 | | |
| | **Apple** | 190 | 4,3154 | | |
| | **Total** | 425 | 4,2510 | | |
| **Marka Bağlılığı** | **Burger King** | 112 | 3,4393 | ,973 | ,379 |
| | **Nike** | 123 | 3,6488 | | |
| | **Apple** | 190 | 3,5168 | | |
| | **Total** | 425 | 3,5346 | | |

Yapılan analizin sonucunda katılımcıların markalara göre hedonik marka algıları ve rasyonel marka algıları değişkenlerinde farklılık olduğu belirlenmiştir. Hangi markalar arasında farklılık olduğunu öğrenmek amacıyla post-hoc testi yapılmıştır. Yapılan testin sonuçları aşağıda bulunmaktadır.

Tablo 3: Markalara Göre Değişkenlerin Scheffe Post-Hoc Testi

| **Bağımlı Değişken** | **(I) Marka** | **Ort.** | **(J) Marka** | **Ortalama Farklılık(I-J)** | **P Değeri** |
|---|---|---|---|---|---|
| **Hedonik Marka Algısı** | **Burger King** | 3,286 | **Nike** | -,29965 | ,162 |
| | | | **Apple** | ,21554 | ,322 |
| | **Nike** | 3,586 | **Burger King** | ,29965 | ,162 |
| | | | **Apple** | ,51519* | **,001** |
| | **Apple** | 3,071 | **Burger King** | -,21554 | ,322 |
| | | | **Nike** | -,51519* | **,001** |
| **Rasyonel Marka Algısı** | **Burger King** | 3,548 | **Nike** | -,64479* | **,000** |
| | | | **Apple** | -,48922* | **,000** |
| | **Nike** | 4,193 | **Burger King** | ,64479* | **,000** |
| | | | **Apple** | ,15557 | ,329 |
| | **Apple** | 4,037 | **Burger King** | ,48922* | **,000** |
| | | | **Nike** | -,15557 | ,329 |
| | | ***P<0.05 ise anlamlıdır.** | | | |

Yapılan Post Hoc testi incelendiğinde katılımcıların hedonik marka algılarının Nike markasında (X=3,586) Apple markasından (X=3,071) daha yüksek olduğu tespit edilmiştir. Rasyonel marka algısı değişkeni incelendiğinde Nike markası (X=4,193), Burger King markasından (X=3,548) daha yüksek çıkmıştır. Apple markasında (X=4,037) Burger King markasına (X=3,548) göre daha yüksek olduğu tespit edilmiştir. Analiz sonucunda H1a ve H1b hipotezleri kabul edilirken, H1c ve H1d hipotezleri reddedilmiştir.

Tablo 4: Cinsiyete Göre Farklılık

| Değişkenler | Levene Testi | | T Testi | | | Ortalamalar | |
|---|---|---|---|---|---|---|---|
| | F | Anlam. | T | SD | Anlam. | Kadın | Erkek |
| **Hedonik Marka Algısı** | ,901 | ,343 | ,291 | 422 | ,772 | 3,2952 | 3,2606 |
| **Rasyonel Marka Algısı** | 1,333 | ,249 | -2,014 | 422 | ,046 | 3,8729 | 4,0550 |
| **Marka Farkındalığı** | 8,887 | ,003 | -3,097 | 422 | ,003 | 4,1614 | 4,3635 |
| **Marka Bağlılığı** | ,169 | ,682 | -,413 | 422 | ,680 | 3,5153 | 3,5628 |

Tablo 4 incelendiğinde katılımcıların rasyonel marka algıları cinsiyetlerine göre anlamlı bir farklılık göstermektedir *(t[422]-2,014; p<,05).* Erkek katılımcıların rasyonel marka algıları (X=4,055), kadın katılımcıların rasyonel marka algılarından (X=3,873) daha olumludur. Katılımcıların marka farkındalıkları da cinsiyete göre anlamlı bir farklılık göstermektedir (t[422]-3,097; p<,05). Erkek katılımcıların marka farkındalıkları (X=4,363), kadın katılımcıların marka farkındalıklarından (X=4,161) daha olumludur. Bu sonuca göre erkeklerin rasyonel marka algıları ve marka farkındalıklarının daha yüksek olduğu söylenebilir. Dolayısıyla H2b ve H2c hipotezleri kabul edilirken H2a ve H2d hipotezleri reddedilmiştir.

### 4.3.2 Etki Analizleri

Tablo 5: Hedonik ve Rasyonel Marka Algılarının Marka Bağlılığı Üzerindeki Etkisi

| Model | Standardize Beta | t | Anlam |
|---|---|---|---|
| Hedonik Marka Algısı | ,411 | 10,682 | ,000 |
| Rasyonel Marka Algısı | ,519 | 10,344 | ,000 |
| Model Değerleri | $R^2$:0,557<br>F:267,092<br>Anlamlılık:0,000 | | |

Bağımlı Değişken: Marka Bağlılığı

Tablo 5 incelendiğinde, hedonik ve rasyonel marka algısının marka bağlılığı üzerinde etkili olduğu tespit edilmiştir. Aynı zamanda analiz sonuçları incelendiğinde $R^2$ değeri 0,557, F değeri 267,092 ve anlamlılık düzeyinin ,000 düzeyinde olduğu tespit edilmiştir. Analizlerin sonucunda H3a ve H4b hipotezleri kabul edilmiştir.

Tablo 6: Marka Farkındalığı Değişkeni Regresyon Analizi

| Model | Standardize Beta | t | Anlam |
|---|---|---|---|
| Hedonik Marka Algısı | ,149 | 5,011 | ,000 |
| Rasyonel Marka Algısı | ,210 | 5,436 | ,000 |
| Model Değerleri | $R^2$: 0,235<br>F: 65,962<br>Anlamlılık: 0,000 | | |

Bağımlı Değişken: Marka Farkındalığı

Tablo 6 incelendiğinde, hedonik ve rasyonel marka algısının marka farkındalığı üzerinde etkili olduğu tespit edilmiştir. Aynı zamanda analiz sonuçları incelendiğinde $R^2$ değerinin 0,235, F değerinin 65,962 ve anlamlılık düzeyinin ,000 düzeyinde olduğu tespit edilmiştir. Analizlerin sonucunda H3b ve H4b hipotezleri kabul edilmiştir.

## 5. SONUÇ

Yapılan faktör analizi sonucu orijinal ölçeğe uygun olarak dört boyutlu olarak oluşturulmuştur. Hedonik marka algısı, rasyonel marka algısı, marka farkındalığı ve marka bağlılığı olarak sınıflandırılmıştır. Yapılan diğer geçerlilik ve güvenilirlik hesaplamaları sonucunda ölçeklerin geçerlilikleri ve güvenilirlikleri istenilen düzeyde olduğu belirlenmiştir.

Bu çalışmanın temel amacı, Z Kuşağı tüketicilerinin rasyonel ve hedonik marka algılarının, marka farkındalığı ve marka bağlılığı üzerindeki etkisini belirlemekti. Literatürde yapılan çalışmalarda, genel kalite algılarının marka bağlılığı üzerinde pozitif ve anlamlı etkisi olduğu sonucuna ulaşılmıştır (Erciş, Yapraklı, Can, & Yılmaz, 2011); (Yılmaz & Yaprak, 2018). Bu çalışmada ise, hedonik ve rasyonel marka algılarının doğrudan marka farkındalığı ve marka bağlılığı üzerinde pozitif etkili olduğu belirlenmiştir. Yapılan ilk regresyon analizi sonucunda, katılımcıların rasyonel ve hedonik marka algılarının marka bağlılığı üzerinde pozitif etkisi olduğu belirlenmiştir. Tüketicilerin rasyonel marka algılarının (rasyonel algı std beta= 0,519 hedonik algı std beta= 0,411) marka bağlılığı üzerinde daha etkili olduğu tespit edilmiştir. Yani tüketici alışveriş yaparken markaya duyduğu hedonik ve rasyonel algısı artarsa markaya duyduğu bağlılığı da artar. Diğer regresyon analizi sonucunda ise katılımcıların rasyonel ve hedonik marka algılarının marka farkındalığı üzerinde pozitif etkisi olduğu belirlenmiştir. Tüketicilerin rasyonel marka algılarının (rasyonel algı std beta= 0,210 std beta=0,149) marka farkındalığı yaratmada daha etkili olduğu tespit edilmiştir. Tüketicilerin markalara karşı rasyonel ve hedonik algılarındaki olumlu artış markayı diğer markalardan ayırır ve tüketicide farkındalık yaratır. Bunların yanı sıra, hem marka farkındalığı hem de marka bağlılığı üzerinde Z kuşağı tüketicilerinin rasyonel marka algıları daha fazla etkilidir. Bu araştırmada ele alınan Z kuşağı tüketicilerinin hedonik ve rasyonel marka algılarının yüksek olmasına rağmen, bu bireylerin marka bağlılığı ve marka farkındalığı oluşumunda daha fazla rasyonel hareket ettikleri görülmüştür. Bu sonuç hem uygulayıcılar hem de akademisyenler için önemli bir bulgudur.

Markalara göre yapılan farklılık analizi sonuçlarına göre; rasyonel marka algısı ve hedonik marka algısı markalar açısından farklılık göstermiştir. Hedonik marka algısı değişkeninde Nike markasının ortalaması Apple markasından daha yüksektir. Z kuşağı tüketicilerinin Nike markasını daha fazla oranda hedonik amaçlı satın aldığı bu çalışma sonucunda elde edilen önemli bir bulgudur. Rasyonel marka algısı değişkeninde, Apple ve Nike markalarının Burger King markasından ortalamaları daha yüksektir. Apple ve Nike markaları, aynı zamanda, Z kuşağı tüketicileri için rasyonel güdüyle hareket edilerek satın alınan markalardır. Burger King markasına göre bu markalar daha fazla oranda rasyonel olarak algılanmaktadır. Çalışmada ele alınan değişkenlerin cinsiyete göre farklılaşıp farklılaşmadığını öğrenmek için yapılan t testinde, rasyonel marka algıları ve marka farkındalığı değişkenlerinde farklılık görülmüştür. Her iki grubun ortalaması 3,5'in üstünde olmasına rağmen erkek bireylerin ortalamasının daha yüksek olduğu görülmüştür. Bu sonuca göre erkeklerin kadınlara göre rasyonel algıları ve markalara olan farkındalıkları daha fazladır. Ancak, marka bağlılığı ve hedonik marka algısı açısından kadın ve erkek Z kuşağı tüketicilerinin farklılık göstermediği sonucuna ulaşılmıştır. Genel olarak, erkeklerin alışveriş yaparken daha fazla rasyonel davrandıkları söylenebilir. Bu sonuç literatürde Fırat ve Aydın (2016) , Aytekin ve Ay (2015) tarafından yapılan çalışmalarla da desteklenmektedir.

Bu çalışma 425 kişilik bir örneklem ve Z kuşağı tarafından farkındalığı yüksek markalarla gerçekleştirilmiştir. Bundan sonraki çalışmalara öneri olarak; farkındalığı daha düşük veya pazara yeni giren markalarla karşılaştırma yaparak yeni çalışmalar yapılabilir.

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# Mağaza Atmosferi Boyutlarının Satın Alma Niyeti Üzerindeki Etkisi: Gratis Örneği

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**Özet :** Mağaza atmosferi imaj oluşturma çalışmalarında oldukça önemli bir tutundurma çabasıdır. Aynı zamanda, mağaza atmosferi firmaların marka bağlılığı sağlayabilmelerine olanak sağlar. Bu çalışmada kişisel bakım marketlerinden Gratis mağazası ele alınmıştır. Gratis mağazası son zamanlarda tüketiciler tarafından oldukça ilgi gören bir markadır. Bu çalışmanın temel amacı, Gratis mağaza atmosferinin satın alma niyeti üzerindeki etkilerinin incelenmesidir. Veri toplama yöntemi olarak online anket yöntemi kullanılmış ve 175 kişi katılmıştır. Elde edilen veriler SmartPLS yapısal eşitlik modellemesi programıyla analiz edilmiştir. Modelin test edilmesi için doğrulayıcı faktör analizi ve yol(path) analizi kullanılmıştır. Faktör analizi sonucunda mağaza atmosferinin (Mağaza İçi Yerleşim, Genel Mağaza, Mağaza Dışı, Satın Alma Noktası ve İnsan) 5 boyutlu olduğu tespit edilmiştir. Yapılan analizler sonucunda mağaza atmosferi boyutlarından insan faktörünün satın alma niyeti üzerinde etkisi olduğu tespit edilmiştir.

**Anahtar Kelimeler:** Mağaza atmosferi, Satın alma niyeti, Gratis.

# The Effect of Store Atmosphere Dimensions on Purchase Intention: The Gratis Example

**Abstract :** In the studying of image constitution, the store atmosphere is the most important promotion effort. At the same time, the store atmosphere allows to the provided of companies' brand loyalty. In this studying, the Gratis store from personal care markets is examined. In the last days, Gratis store is a brand which is quite interested in by consumers. The main purpose of this research is to consider of purchasing intention effects of the Gratis store atmosphere. The online survey method was used as a data collection method and 175 people participated. The data obtained were analyzed using SmartPLS structural equation modeling programing. Confirmatory factor analysis and path analysis were used to test the model. The store atmosphere ( the interior design of store, general store interior variables, external store variable, point of purchase and decoration, human) was obtained to be 5 dimensions at the end of the factor analyses. At the end of the analyses, the human factor from store atmosphere dimensions has positive effects on purchase intention.

**Keywords:** Store Atmosphere, Purchase Intention, Gratis.

## 1. GİRİŞ

Firmaların ürünlerini tüketici ile buluşturduğu noktalardan biri de mağazalardır. Mağazalar, ürünleri hedef tüketiciye doğru yerde ve doğru şekilde sunma anlamında oldukça önemlidir. Pek çok mağaza markasıyla, ürünlerinin kalitesiyle, fiyatlarıyla ve çalışanlarının karakteriyle tüketicilerin zihninde olumlu bir imaj yaratabilmek için mağaza atmosferik unsurlarını kullanmaktadırlar. Bu noktada mağaza atmosferi tüketicilere istenilen mesajı verebilmek için önemli bir tutundurma çabasıdır.

Bazı durumlarda mağaza atmosferinin satın alma davranışlarında ürünlerden daha fazla etkili olabildiği görülmektedir. Bu noktada mağazaların pazarlama karmaları kadar mekânsal estetiği de bilinçli olarak kullanmaları önem arz etmektedir. Mağaza atmosferi firma ile tüketici arasında sessiz fakat etkili bir iletişim aracıdır (Kotler, 1973-1974: 48-50). Bu sebeplerden ötürü, mağaza atmosferi kavramı mağazalar için önemli bir kavramdır ve bu konuyla ilgili yapılan çalışmalarda artış görülmektedir.

Literatürde incelenen çalışmalarda, genellikle, giyim mağazalarının (Dursun vd., 2013; Eminler vd., 2019; İbrahimova, 2020) ,otellerin (Levent ve Özkul, 2020), restaronların (Ariffin vd., 2012), kafelerin (Durmaz, 2017), süpermarketlerin (Pektaş, 2014; Milliman, 1982) ve mobilya mağazalarının (Yariz vd., 2018) mağaza atmosferik unsurları incelenmiştir. Bu çalışmada ise kişisel bakım sektöründe yer alan Gratis

markasının mağaza atmosferi incelenmiştir. Türkiye'de oldukça tercih edilen Gratis markası, tüketicilerine farklı ve uygun fiyatlı ürünler sunmayı amaç edinen bir kişisel bakım marketidir.

Mağaza atmosferi dışında bu çalışmada ele alınan bir diğer konu ise, satın alma niyetidir. Satın alma niyeti müşterinin gelecekte satın alma davranışına ilişkin planınıyla ilgili bir kavramdır. Bu çalışma da mağaza atmosferinin satın alma niyeti üzerine etkisi incelenmiştir.

Literatürde mağaza atmosferinin satın alma davranışı üzerine etkisini inceleyen birçok önemli araştırma vardır (Kotler, 1973; Areni ve Kim, 1994; Herrington ve Capella, 1996; Turley ve Milliman, 2000).

Bu araştırmanın temel amacı, kişisel bakım sektöründe bulunan Gratis mağaza atmosferi boyutlarının satın alma niyeti üzerine etkisini incelemektir.

## 2. LİTERATÜR

### 2.1. Gratis

Türkiye'nin kişisel bakım marketi olan Gratis markası 2009 yılından bu yana 79 ilde, 600'ün üzerinde mağazaya sahiptir. Oldukça popüler olan Gratis markası tüketicilerine 30.000'i aşkın kozmetik ve kişisel bakım alanında ürünler sunar. Gratis markasının temel amacı geniş ve farklı ürün yelpazesiyle müşterilerinin kişisel bakım ihtiyaçlarına cevap vererek, onlara özel alışveriş deneyimi sağlayan bir perakende zinciri haline gelmektir. (www.gratis.com)

### 2.2. Mağaza Atmosferi

Kotler; mağaza atmosferini, "Tüketicilerde satın alma kararını olumlu yönde etkileyen belirli duygusal etkiler yaratmak için satın alma ortamları tasarlama çabası" olarak ifade etmiştir. (Kotler, 1973-1974). Mağaza atmosferi kavramı Milliman'a göre (1982: 286) alışveriş deneyimi esnasında tüketicilerin algısal ve duygusal tepkilerini uyaran ve satın alma davranışlarını etkileyen çevresel estetik ve ambiyans anlamına gelmektedir.

Mağaza atmosferi, tüketiciler tarafından mağazanın algılanan kalitesini arttırabilir ve bu durum da daha yüksek ikna seviyelerine yol açmaktadır (Sharma ve Stafford, 2000)

Mağaza atmosferi değişkenleri, müşterilerin mağazayı genel olarak algılamasına ve değerlendirmesine olanak sağlar. Başarılı uygulanan mağaza atmosferi mağazanın genel olarak tüketicinin zihninde olumlu bir imaj oluşturmasına katkı sağlarken alıcı davranışını da olumlu yönde etkilemektedir (Olahut vd., 2012)

Doğru uygulanan mağaza atmosferi unsurları müşterinin dikkatini çekebilecek, ürünleri rahatlıkla bulabilecek, planlanmamış satın alımlar yapabilecek ve tatmin edici bir alışveriş deneyimi yaşayabilecek şekilde dizayn edilmeyi içerir. Buradan hareketle, mağaza yöneticilerinin mağaza atmosferi unsurları ve bu unsurların müşterilerin satın alma kararı üzerinde yarattığı etkileri konusunda araştırmalar yapmaları önem arz etmektedir.

Atmosferik ortamı ortaya koyan Kotler (1973-1974: 54) yapmış olduğu çalışmasında mağaza atmosferi satın alma niyetini en az üç şekilde etkilediğini belirtmiştir. (1) Mağazalar, mağaza atmosferini dikkat yaratan bir ortam işlevi olarak kullanabilmektedir. Bu noktada mağazalar kendilerini diğerleri arasında öne çıkarmak için renk, ses ve hareket gibi ayırt edici uyarıcılar kullanabilir. (2) Mağazalar, mağaza atmosferini potansiyel ve gerçek müşterilere marka hakkında mesaj iletme aracı olarak kullanabilmektedir. (3) Mağaza, atmosferi duygulanım yaratan bir ortam işlevi görmektedir. Mağazalar renk, ses ve doku gibi uyarıcıları kullanarak içgüdüsel tepkileri uyandırarak satın alma niyetini olumlu yönde etkileyebilmektedir. Pavlov'un köpeğinin zil sesi ile uyarılmasıyla yiyeceğe yönelmesi gibi, mağaza atmosferinin çeşitli bileşenleri de tüketicilerde ürünler veya hizmetler için iştah yaratan hisleri tetikleyebilmektedir.

Berman ve Evans (1995) araştırmasında mağaza atmosferi unsurlarını dört ana kategoriye ayırmışlardır. Bunlar, "mağaza dışı yerleşim, mağaza içi yerleşim, genel mağaza tasarımı ve satın alma noktası ve

tasarım faktörleri"dir. Turley ve Milliman(2000), bu ayrıma beşinci bir kategori olarak insan faktörünü eklemiştir. Turley ve Milliman'ın çalışmasında yer alan mağaza atmosferik ortama ilişkin kategoriler şu şekilde ifade edilmiştir(Turley ve Milliman, 2000: 194). (1)Mağaza içi yerleşim faktörü, ürünlerin yerleşimini, rafların ve kasaların yerleşimini, sırada bekleme alanını ve trafik akışını içerir. (2)Genel mağaza yerleşim faktörü, zemin ve halıları, renk düzenini, aydınlatmayı, müzik, koku ortamını ve temizlik durumunu içerir. (3)Mağaza dışı yerleşim faktörü, mağazayı çevreleyen ortamı, girişi, binanın rengini ve büyüklüğünü, adres ve konumunu, dış tabela ve levhaları içerir. (4)Satın alma noktası ve dekorasyon faktörü, talimatları, bilgi panolarını, sanat çalışmalarını, ürün teşhirlerini ve fiyat etiketlerini içerir. (5)İnsan faktörü, çalışanların karakterlerini, üniformaları ve mağazanın kalabalık olma durumu içerir.

Mağaza içindeki trafik akışı ve ürünlerin konumu gibi unsurları içeren mağaza içi yerleşim faktörünün mağazalara iyi yönde etki ettiğini tespit eden çalışmalar vardır (Levy vd., 2013).Bu bilgiler doğrultusunda mağaza atmosferi boyutlarından mağaza içi yerleşim faktörünün satın alma niyetini olumlu yönde etkileyeceği düşünülerek aşağıdaki hipotez ortaya konulmuştur:

H1: Mağaza atmosferi boyutunun mağaza içi yerleşim faktörü satın alma niyeti üzerinde anlamlı pozitif bir etkiye sahiptir.

Mağaza atmosferi boyutlarından genel mağaza yerleşim faktörünün, satın alma davranışı ve mağazada daha fazla zaman geçirme üzerinde etkili olduğu çeşitli araştırmalar sonucunda tespit edilmiştir. Ortamların iç tasarım unsurlarında uygulanan renk şemalarının (Chebat & Morrin, 2007), mağaza ışık düzeyinin (Baker vd., 1992), mağazada çalan müziğin (Milliman, 1982; Baker vd., 1992; Yalch ve Spangenberg, 2000), mağazanın temiz olmasının (Bitner, 1990) ve kokunun (Bone ve Ellen, 1999) mağazada geçirilen süreyi arttırdığı ve satın alma davranışında iyi yönde etkileyebileceği tespit edilmiştir. Tüketicinin mağazada daha fazla zaman geçirmesi için dekor, düzen, temizlik, müzik vb. unsurların olumlu bir etkisi olduğu belirlenmiştir (Wakefield ve Baker, 1998). Bu bilgiler doğrultusunda mağaza atmosferi boyutlarından genel mağaza yerleşim faktörünün satın alma niyetini olumlu yönde etkileyeceği düşünülerek aşağıdaki hipotez ortaya konulmuştur:

H2: Mağaza atmosferi boyutunun genel mağaza yerleşim faktörü satın alma niyeti üzerinde anlamlı pozitif bir etkiye sahiptir.

Müşterilerin ürün kategorisi hakkındaki ön bilgisi mağazanın dış cephesine olan dikkati ve alışveriş kararlarını etkilediği belirlenmiştir. Orta düzeyde ürün bilgisine sahip olan müşteriler düşük ve yüksek ürün bilgisine sahip olanlara göre dış cephedeki vitrinlerden daha fazla etkilenmektedir (Pan vd., 2008). Bu bilgiler doğrultusunda mağaza atmosferi boyutlarından dış yerleşim faktörünün satın alma niyetini olumlu yönde etkileyeceği düşünülerek aşağıdaki hipotez ortaya konulmuştur:

H3: Mağaza atmosferi boyutunun mağaza dışı yerleşim faktörü satın alma niyeti üzerinde anlamlı pozitif bir etkiye sahiptir.

Mağaza içi teşhir ürünleri, satın alma noktası ve duvar süsleri gibi unsurlar mağaza yöneticilerin stratejilerinde önemli rol oynadığı söylenmiştir (Berman ve Evans, 1995; Levy vd., 2013).Bu bilgiler doğrultusunda mağaza atmosferi boyutlarından satın alma noktası ve dekorasyon faktörünün satın alma niyetini olumlu yönde etkileyeceği düşünülerek aşağıdaki hipotez ortaya konulmuştur:

H4: Mağaza atmosferi boyutunun satın alma noktası ve dekorasyon faktörü satın alma niyeti üzerinde anlamlı pozitif bir etkiye sahiptir.

Mağazadaki personel sayısı, görünmü ve davranışı tüketicinin mağaza hakkındaki algısını ve satın alma davranışını etkiler (Bitner, 1992; Turley & Milliman, 2000). Çalışanların sayısı ve samimiyeti müşterinin uyarılma seviyeleri üzerinde olumlu bir etkiye sahiptir ve bu durumda satın alma istekliliğini etkiler (Baker vd., 1992).Bu bilgiler doğrultusunda mağaza atmosferi boyutlarından insan faktörünün satın alma niyetini olumlu yönde etkileyeceği düşünülerek aşağıdaki hipotez ortaya konulmuştur:

H5: Mağaza atmosferi boyutunun insan faktörü satın alma niyeti üzerinde anlamlı pozitif bir etkiye sahiptir.

**2.3. Satın Alma Niyeti**

Müşterilerin mağazayı benimseyerek belirli bir ürüne yönelik davranışsal eğilim gösterme durumu satın alma niyeti olarak ifade edilir. Bir başka ifadeyle satın alma niyeti müşterilerin bir ürünü satın almaya yönelik plan ve istekleridir (İbrahimova, 2020).

Bir markaya olan algınan seviye ne kadar fazla olursa müşterilerin de satın alma niyetlerinin o düzeyde artacağı tespit edilmiştir (Wu, 2015).

## 3. ARAŞTIRMANIN YÖNTEMİ

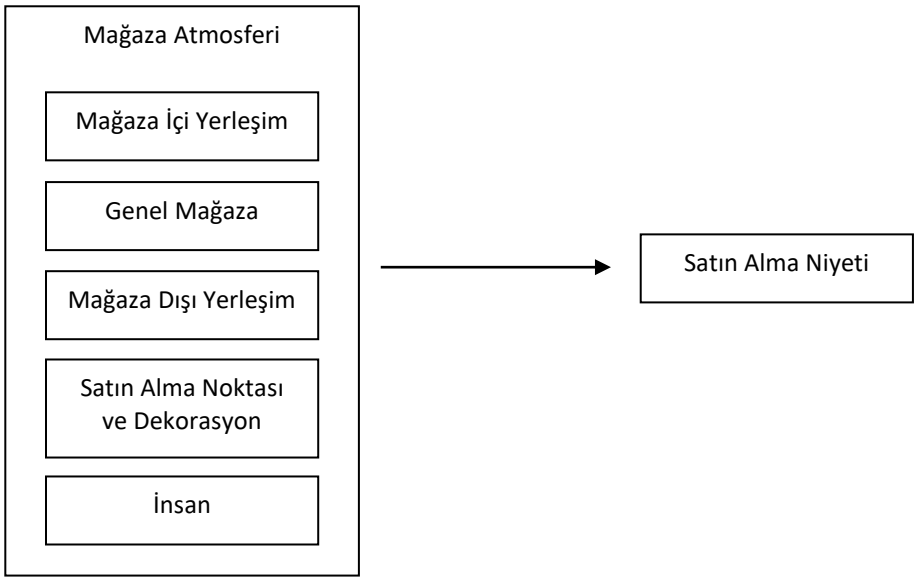
Araştırma daha öne Gratis'ten alışveriş yapan tüketiciler üzerinde gerçekleştirilmiştir. Bu araştırmada verileri toplamak için online anket yöntemi kullanılmıştır. Toplamda 216 kişi ile görüşülmüşken veri girişi sırasında 41 yanıt çıkartılarak analizler 175 yanıt ile gerçekleştirilmiştir. Anket formu demografik değişkenler, mağaza atmosferi boyutları ve satın alma niyeti sorularından oluşmaktadır. Mağaza atmosferini ölçmek için Turley ve Milliman (2000), satın alma niyetini ölçmek için Gefen ve Straub (2004) çalışmasındaki ifadeler kullanılmıştır.

Analizler için SmartPLS yapısal eşitlik modellemesi programıyla analiz edilmiştir. Araştırmanın geçerliliği ve güvenilirliğinin sağlaması için çeşitli kriterlere (birleşme geçerliliğine, iç tutarlık güvenilirliğine ve ayrışma geçerliliği) bakılmıştır. Son olarak araştırma modelini test etmek için path (yol) analizi kullanılmıştır.

### 3.1.Araştırmanın Modeli

Araştırmanın değişkenleri kullanılarak hazırlanan ve araştırmanın hipotezlerini yansıtan model aşağıda sunulmuştur.

Şekil 1: Araştırmanın Modeli




## 4. BULGULAR

### 4.1. Demografik Özellikler

Katılımcıların %74,42'si kadın, %25,58'i erkektir. Katılımcıların %26,74'ü 16-22 yaş arasında, %44,77'si 23-28 yaş arasında, %12,79'u 29-35 yaş arasında, %15,70'i 36-56 yaş arasındadır. Katılımcıların eğitim düzeyleri incelendiğinde %9,71'i lise, %62,29'u üniversite, %28'i ise lisansüstü seviyesindedir. Katılımcıların %32,54'ü 1500 TL ve altı, %22,49'u 1501-3000 TL arasında, %24,26'sı 3001-4500 TL arasında, %10,65'i 4501-6000 TL arasında ve %10,6'sı 6000 TL ve üstü gelir düzeyine sahiptir.

### 4.2. Diğer Bulgular

Katılımcıların Gratis indirimlerini takip etme durumu incelendiğinde katılımcıların %56,32'si Gratis indirimlerini takip ederken %43,68'i takip etmemektedir. Katılımcıların Gratis'ten alışveriş yapma amaçları incelendiğinde katılımcıların %41,14'ü ihtiyacı olan ürünü almak için, %20'si aklındaki ürünü almak için, %10,86'sı yeni ürünler almak için, %9,14'ü indirimleri takip etmek için, %18,86'sı ise stres atmak için Gratis'ten alışveriş yapmaktadırlar. Gratis'ten planlanan ürün dışında ürün alma sıklığı incelendiğinde katılımcıların %1,71'i hiçbir zaman, %48'i genellikle, %36,57'si nadiren, %13,71'i her zaman planlanan ürün dışında ürün almaktadır.

### 4.3. Geçerlilik ve Güvenilirlik

Analizler için SmartPLS yapısal eşitlik modellemesi programıyla analiz edilmiştir. Araştırmanın geçerliliği ve güvenilirliğinin sağlaması için birleşme geçerliliğine, iç tutarlık güvenilirliğine ve ayrışma geçerliliğine bakılmıştır. Faktör yükleri dikkate alınarak birleşme geçerliliğinin sağlanıp sağlanmadığı belirlenmiştir. Elde edilen ortlama varyans (AVE) değerleri birleşme ve ayrışma geçerliliğinin sağlanması için kullanılmaktadır. İç tutarlılık güvenirliliğinin sağlanıp sağlanmadığı Cronbach's Alfa ve birleşik güvenirlik (CR) katsayılarına bakarak belirlenmiştir. Ayrışma geçerliliğinin tespiti için ise Fornell Larcker Kriteri ve Heterotrait ve Monotrait değerleri hesaplanmıştır. Son olarak araştırma modelini test etmek için path (yol) analizi kullanılmıştır.

Mağaza atmosferi faktör yüklerinin 0,70'in, AVE değerinin 0,50'nin, Cronbach's Alfa ve CR katsayılarının ise 0,70'in üzerinde olması beklenmektedir (Fornell ve Larcker, 1981; Hair, Black, Barry, & Anderson, 2010). Aşağıda yer alan Tablo 1'de araştırmadaki yapıların birleşme geçerliği ve iç tutarlılık güvenirliği ile ilgili sonuçlar yer almaktadır.

Tablo 1: Doğrulayıcı Faktör Analizi, Geçerlik ve Güvenilirlik Değerleri

| Değişken | | İfade | Faktör Yükü | Cronbach's Alfa | CR | AVE |
|---|---|---|---|---|---|---|
| Mağaza Atmosferi | Genel Mağaza Yerleşimi | Genelmağaza1 | 0.792 | 0.842 | 0.894 | 0.678 |
| | | Genelmağaza3 | 0.837 | | | |
| | | Genelmağaza4 | 0.827 | | | |
| | | Genelmağaza5 | 0.838 | | | |
| | Mağaza Dışı Yerleşim | Mağazadışı5 | 0.879 | 0.899 | 0.925 | 0.712 |
| | | Mağazadışı6 | 0.887 | | | |
| | | Mağazadışı8 | 0.801 | | | |
| | | Mağazadışı9 | 0.780 | | | |
| | | Mağazadışı7 | 0.866 | | | |
| | Mağaza İçi Yerleşim | Mağazaiçi1 | 0.678 | 0.928 | 0.940 | 0.661 |
| | | Mağazaiçi10 | 0.857 | | | |
| | | Mağazaiçi13 | 0.849 | | | |
| | | Mağazaiçi14 | 0.882 | | | |
| | | Mağazaiçi2 | 0.776 | | | |
| | | Mağazaiçi3 | 0.805 | | | |
| | | Mağazaiçi4 | 0.807 | | | |
| | | Mağazaiçi9 | 0.835 | | | |
| | Satın Alma Noktası ve Dekorasyon | Satınalmanok1 | 0.910 | 0.923 | 0.951 | 0.867 |
| | | Satınalmanok3 | 0.923 | | | |
| | | Satınalmanok4 | 0.960 | | | |
| | İnsan | İnsan4 | 0.814 | 0.846 | 0.907 | 0.766 |
| | | İnsan5 | 0.881 | | | |
| | | İnsan6 | 0.928 | | | |
| Satın Alma Niyeti | | Satınalmaniyet1 | 0.951 | 0.943 | 0.963 | 0.898 |
| | | Satınalmaniyet2 | 0.964 | | | |
| | | Satınalmaniyet3 | 0.927 | | | |

Mağaza atmosferi boyutlarının, Cronbach's Alfa (0,842-0,943) ve CR (0,894-0,951) katsayılarının istenilen aralıkta olması nedeniyle iç tutarlılık güvenirliğinin sağlandığı görülmektedir. Aynı şekilde mağaza atmosferik boyutlarının faktör yüklerinin (0,678-0,964) ve AVE değerlerinin (0,661-0,898) istenilen aralıkta olması birleşme geçerliliğinin sağlandığını göstermektedir. Son olarak ayrışma geçerliliği için Fornell ve Larcker (1981) ve Henseler, Ringle ve Sarstedt (2015) araştırmalarında önerilen Heterotrait ve Monotrait kriterleri dikkate alınmıştır.

Araştırmada yer alan boyutların AVE değerlerinin karekökü, araştırmada yer alan boyutlar arasındaki korelasyonlardan yüksek olması gerektiği belirtimiştir (Fornell ve Larcker, 1981).

Tablo 2'de Ayrışma geçerliliğini gösteren Fornell ve Larcker (1981) kriterlerinin bulunduğu analiz sonuçları yer almaktadır.

Tablo 2: Ayrışma Geçerliliği Sonuçları (Fornell Lacker Kriteri)

| | **genelmağ** | **insan** | **mağdışı** | **mağiçi** | **niyet** | **satınalmanok** |
|---|---|---|---|---|---|---|
| **genelmağ** | **0.823** | | | | | |
| **insan** | 0.717 | **0.875** | | | | |
| **mağdışı** | 0.661 | 0.659 | **0.844** | | | |
| **mağiçi** | 0.788 | 0.665 | 0.523 | **0.813** | | |
| **niyet** | 0.496 | 0.552 | 0.464 | 0.536 | **0.947** | |
| **satınalmanok** | 0.749 | 0.753 | 0.601 | 0.822 | 0.571 | **0.931** |

Tablodaki kalın yazı stilinde verilen değerler AVE değerinin karekökünü ifade etmektedir. Tablodaki değerler incelendiğinde AVE değerinin karekökünün diğer değerlerle korelasyonundan daha yüksek olduğu görülmektedir.

Heterotrait ve Monotrait kriterlerine göre, araştırmada yer alan tüm boyutlara ait değerlerin korelasyonlarının ortalamasının aynı boyuta ait değerlerin korelasyonlarının geometrik ortalamalara oranlarını göstermektedir. Aynı zamanda, Heterotrait ve Monotrait değerlerinin 0,90'nın altında olması gerektiği belirtilmiştir (Henseler vd., 2015). Tablo3'te de Heterotrait ve Monotrait kriterlerine yer verilmiştir.

Tablo 3: Ayrışma Geçerliliği Sonuçları (Heterotrait and Monotrait Kriteri)

| | **genelmağ** | **insan** | **mağdışı** | **mağiçi** | **niyet** | **satınalmanok** |
|---|---|---|---|---|---|---|
| **genelmağ** | | | | | | |
| **insan** | 0.848 | | | | | |
| **mağdışı** | 0.745 | 0.745 | | | | |
| **mağiçi** | 0.879 | 0.698 | 0.538 | | | |
| **niyet** | 0.556 | 0.616 | 0.494 | 0.541 | | |
| **satınalmanok** | 0.848 | 0.853 | 0.650 | 0.867 | 0.610 | |

Tablodaki değerler incelendiğinde Heterotrait ve Monotrait kriterlerinin eşik değerin (0,90) altında olduğu görülmektedir.

Tablo 2 ve Tablo 3'teki sonuçlara göre ayrışma geçerliğinin sağlandığı söylenebilir.

### 4.4. Hipotezlerin Test Edilmesi

Aşağıda yer alan Tablo 4'te yol (path) analizi sonuçları yer almaktadır.

Tablo 4: Yol Analizi Sonuçları (Path Katsayıları)

| | **Original Sample (O)** | **Sample Mean (M)** | **Standard Deviation (STDEV)** | **T Statistics (\|O/STDEV\|)** | **P Values** |
|---|---|---|---|---|---|
| **genelmağ ->** | -0.058 | -0.060 | 0.108 | 0.539 | 0.590 |

| | | | | | |
|---|---|---|---|---|---|
| **niyet** | | | | | |
| **insan -> niyet** | 0.220 | 0.217 | 0.110 | 1.995 | **(0.046)** |
| **mağdışı -> niyet** | 0.128 | 0.132 | 0.072 | 1.771 | 0.077 |
| **mağiçi -> niyet** | 0.192 | 0.190 | 0.109 | 1.764 | 0.078 |
| **satınalmanok -> niyet** | 0.215 | 0.219 | 0.117 | 1.834 | 0.067 |

Bu kapsamda, öncelikle, Bootstrapping yöntemi kullanılmıştır. Mağaza atmosferi boyutlarından insan (Anlam.=0,046) boyutu satın alma niyeti üzerinde etkili olduğu görülürken, genel mağaza (Anlam.=0,590), mağaza dışı (Anlam.=0,077), mağaza içi (Anlam.=0,078) ve satın alma noktası (Anlam.=0,067) boyutlarının etkili çıkmadığı tespit edilmiştir. Buradan hareketle, H5 hipotezi kabul edilirken, H1, H2, H3 ve H4 hipotezleri reddedilmiştir (%95 güven aralığına göre).

## 5. SONUÇ VE ÖNERİLER

Yapılan faktör analizi sonucunda, mağaza atmosferi ölçeği beş boyutlu olarak belirlenmiştir. Mağaza atmosferi ölçeğinin boyutları mağaza içi, genel mağaza, satın alma noktası ve dekorasyon, mağaza dışı ve insan olarak sınıflandırılmıştır. Buradan hareketle, mağaza atmosferi boyutlarının satın alma niyeti üzerine etkisi belirlenmeye çalışılmıştır.

Araştırma kapsamında ortaya konulan hipotezlerin sonuçlarına bakıldığında beşinci hipotezde belirtilen mağaza atmosferi boyutlarından insan faktörünün satın alma niyeti üzerinde anlamlı ve olumlu etkinin olduğu görülmektedir. Birçok araştırma da satış personelinin sayısının ve davranışının müşterilerin mağaza hakkındaki algısını ve satın alma niyetini tespit ettiği görülmektedir. (Bitner, 1992; Turley ve Milliman, 2000; Baker vd., 1992) Araştırma kapsamında ortaya konulan ve kabul edilen beşinci hipotez genel itibari ile yapılan literatür çalışması ile örtüşmekte ve mağazaların insan faktörü unsurlarından olan çalışanların üniformalarına, çalışanların karakterlerine ve mağazanın kalabalık durumuna önem vermeleri gerektiği ortaya çıkmaktadır. Mağaza yöneticileri bu konuda çalışanlarına eğitim vererek mağaza atmosferinin insan faktörünü güçlendirebileceği düşünülmektedir.

Birinci, ikinci, üçüncü ve dördüncü hipotezlerde mağaza atmosferi boyutlarının satın alma niyeti üzerine anlamlı bir etkisi olmadığı tespit edilmiştir. Bu sonuçların örneklem sayısının düşük olması nedeninden kaynaklandığı düşünülmektedir. Gelecek çalışmalarda mağaza atmosferi boyutlarının satın alma niyeti üzerine etkisinin daha iyi anlaşılabilmesi için örneklem sayısının arttırılmasında fayda görülmektedir.

Araştırma kapsamında ortaya konulan ve reddedilen üçüncü hipotezde olduğu gibi Pan vd., (2008) yapmış oldukları çalışmada mağaza atmosferi boyutlarından dış yerleşim değişkeninin satın alma niyeti üzerine etkisinin olmadığı tespit edilmiştir. Bu sonuçların düşük ürün bilgisine sahip tüketicilerin mağazanın dış cephesine dikkatli bakmamasından kaynaklandığı düşünülmektedir. Aynı şekilde yüksek ürün bilgisine sahip kişiler de markayı, mağazayı ve ürünleri tanıdığı için mağazanın dış cephesine dikkatli bakmadıkları düşünülmektedir. Buradan hareketle gelecekteki araştırmalar için mağaza atmosferinin satın alma niyetine etkisi incelenirken tüketici ilgilenim düzeylerinin dikkate alınmasının yararlı olacağı düşünülmektedir.

Gelecekteki araştırmalar için hem daha büyük bir örneklem kitlesi ile yapılması hem de ürün çeşidinin değiştirilmesi sonuçların genellenmesi için daha yararlı olacaktır. Aynı zamanda, tüketicilerin planlı satın alma davranışını ölçümlenmesi ve daha sonra aynı kitlenin plansız satın alma davranışının ölçümlenmesi karşılaştırmanın yapılıp farklılıkların belirlenmesi için önem taşımaktadır.

Son olarak bu çalışma, mağazaların tüketicilerin keyifli zaman geçirdiği bir deneyim merkezine dönüşmesinin önemli olduğu belirtilmektedir. Tüketiciler ürünü satın alırken mağazada yaşadığı deneyime daha çok önem vermektedir. Bu sonuçların Gratis mağazası yöneticilerine mağaza atmosferini oluştururken ışık tutması beklenmektedir. Bu doğrultuda Gratis mağazası tüketici deneyimlerine odaklı, tüketici istek ve beklentilerini karşılamaya ve tüketicilerin duygusal algılarını dikkate alan bir bakış açısıyla mağaza atmosferi unsurlarını kullanmalıdır. Kısacası Gratis markasının, mağaza atmosferik

unsurlarını tüketiciler üzerinde duygusal bağlar kurarak algılamaları yönlendirmesi ve hedonik(hazcı) faydayı sağlaması önem arz etmektedir.

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# Aile İşletmelerinde Yönetimin Devri Sürecinde Kız Çocuklarının Yeri

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**Özet:** Ataerkil toplum yapısının uygulamalarının hissedildiği Türk aile işletmelerinde, yönetici kız çocuklarının payı görece azdır. Özellikle toplumsal yapının kadına biçtiği anne, eş, ev kadını, babasının küçük kızı gibi roller, geleneksel görüşlü tavırlar, toplumun iş kültüründe var olan kalıplaşmış düşünceler nedeniyle ayrımcı uygulamalar tetiklenmekte ve yönetimin kız çocuğuna devredilmesi konusunda büyük sıkıntılar doğmaktadır. Bu çalışmanın amacı, aile işletmelerinde yönetimin kız çocuklarına devredilmesinin ve devredilmemesinin nedenleri ve sonuçlarının irdelenmesidir. Bu doğrultuda, konuyla ilgili literatür incelenip, aile işletmelerinde yönetimin kız çocuklarına devri sürecinde kız çocuklarının yaşadıkları zorluklar ve yönetim devrinin veya devredilmemesinin nedenleri ortaya konmaya çalışılmıştır.

**Anahtar Kelimeler:** Aile İşletmeleri, Kız Çocukları, Yönetim Devri

## 1. GİRİŞ

İş yaşamında hızla artan kadın çalışanların sayısı, cinsiyet farklılıklarından doğan bazı cinsiyet etkilerini ve ayrımcılığını da beraberinde getirmiştir. Kadın çalışanların sayısının, iş dünyasındaki artış hızına rağmen, maalesef yöneticilik pozisyonlarında hala erkek egemenliğinin sürdüğü görülmektedir (Crampton ve Mishra, 1999). Kadınların işyerlerinde üst pozisyonlara yükselememelerinde görülmeyen engeller olarak ifade edilen "cam tavan" kavramıyla, iş hayatında kadınlara yönelik uygulanan olumsuz değerlendirmeler ve önyargılar ifade edilmektedir. Cam tavan ile ortaya konan bu cinsiyet ayrımcılığı beraberinde ücret eşitsizliğini, görev ve pozisyon ayrımcılığını, eğitim olanaklarının kısıtlanmasını ve belirli faaliyet alanlarından direkt olarak dışlanmışlığı doğurmaktadır (Gürol, 2006).

Cinsiyet farklılıklarından kaynaklanan rollerinde farklılaşması üzerine yapılan pek çok çalışma erkeksi rollerin; özerk, agresif, teşhirci ve dominant olduğunu, kadınsı rollerin ise; besleyen, yakın ilişki kuran, hayırsever gibi cinsiyet farklılıklarının paralelinde davranış farklılıklarını da doğurduğunu bulgulamışlardır (Soyşekerci, 2006).

Yukarıda açıklanan ifadeler ışığında, örgütlerde cinsiyet farklılıklarından doğan bu yönetimsel farklılıklar, hiç şüphesiz bu çalışmanın asıl konusu olan aile işletmelerinde de bir takım ayrımcı yaklaşımların varlığına sebebiyet verecektir. Buradan hareketle, ülkemizdeki işletmelerin %95'ini oluşturan aile işletmelerinin, yönetim devrinde kız çocuklarına olan yaklaşımlarını mütalaa etmek yerinde olacaktır.

Toplumumuzun birçok işletmesinde var olduğu üzere, aile işletmelerinde de erkek egemen bir yapılaşmanın olması sebebiyle, kız çocuklarının kariyer ilerlemesi noktasında da bu ataerkillik bir takım bariyerler oluşturmaktadırlar. Her şeyden öte, ailenin iyi eğitim almış, kendini yetiştirmiş kızlarının, aile şirketinin dışında tutulmuş olması, entelektüel sermayenin büyük bir kaybı olarak nitelendirilmektedir (Gürol, 2006). Aile işletmelerinin potansiyellerini ve sürekliliklerini devam ettirmek, daha da arttırmak için kız çocuklarının işletmeye uyumlandırılmaları ve adaptasyonlarına yardımcı olunması önemli bir durum teşkil etmektedir (Şahindal ve Yaşa Özeltürkay, 2015).

Toplum genelinde var olan düşünce kalıplarına paralel olarak, kadına biçilen anne, eş, ev hanımı, babasının küçük kızı gibi roller ile kız çocuğunun aile işletmesinin dışında tutulması pekte şaşırtıcı olmamalıdır. Bu çalışma ile aile işletmelerinde kız çocuklarının yeri ve yönetimin devri sürecinde karşılaştıkları zorluklar açıklanmaya çalışılmış ve kurucu babanın yönetimi neden kız çocuğuna bıraktığı veya bırakmaya gönüllü olmadığı konusu irdelenmeye çalışılmıştır.

## 2. AİLE İŞLETMESİ TANIMI

Dünyadaki işletmelerin büyük çoğunluğunun aile işletmeleri olmalarından mütevellit, aile işletmelerinin yapıları, işleyişleri, ekonomilerdeki yeri gibi konular her daim araştırılacak popüler konular arasında yer

almıştır. Aile işletmesi kavramını farklı açılardan değerlendirerek farklı tarzlarda tanımlamak mümkündür. Genel bir tanımlamayla aile işletmeleri; "Ailenin geçimini sağlamak ve/veya mirasın dağılmasını önlemek amacıyla kurulan, ailenin geçimini sağlayan kişilerce yönetilen, yönetim kademelerinin önemli bir bölümü aile üyelerince doldurulan, kararların alınmasında büyük ölçüde aile üyelerinin etkili olduğu ve aileden en az iki jenerasyonun kurumda istihdam edildiği işletme yapıları" olarak ifade edilir (Pazarcık, 2004).

Başka bir tanımda Morris ve arkadaşları tarafından yapılmış ve aile işletmelerini, " bir veya daha fazla aile üyesinin yönetimde bulunduğu ve söz sahibi olduğu, bu üyelerin de işletme politikalarını ve işleyişini belirlediği işletmeler" olarak betimlemişlerdir. Bu tanıma paralel bir tanımda Zimmerer ve arkadaşı tarafından yapılmış ve aile işletmelerini, "ailenin iki veya daha fazla üyesinin mali kontrolü elinde bulundurduğu, kuruculardan büyük bir kısmının sürekli olarak ailenin elinde kalma arzusunda oldukları ve temelinde ailenin ortak değerlerinin olduğu bir işletme türü" olarak ifade etmişlerdir (Gürol, 2006).

Aile işletmelerinde kurucu üye işletmeyi devretme sürecine geldiğinde, işletmenin geleceğini düşünüp bir planlama yapmak durumuyla karşı karşıya kalır. Devretme süreci, kurucunun güç ve kontrolünü bir sonraki kuşaktan seçtiği kişiye devretmesidir (Karayormuk ve Köseoğlu, 2006). Dolayısıyla bu noktada, seçilen kişinin gerek eğitim gerek deneyim ile donatılmış olması ve aile üyeleriyle güvene dayalı ilişkiler kurmuş olması, yönetim devrinin daha pürüzsüz ve etkili bir şekilde gerçekleşmesine imkan verecektir (Ada ve Kelgökmen, 2006).

## 3. AİLE İŞLETMELERİNDE YÖNETİMİN KIZ ÇOCUKLARINA DEVREDİLEMEMESİNİN NEDENLERİ

Gelecekte aile işletmesinin yönetiminde yer alacak aile üyelerinin devir sürecinden önce yetiştirilmeye başlanması olarak ifade edilen "yedekleme planlarında", ailenin kız çocuklarının çoğunlukla yer bulmadığı, birçok araştırmayla da ortaya konulmuş bir gerçektir. Bu çalışmalardan biri Martin (2001)'e aittir. Bu çalışmada, aile işletmelerinde kurucu babanın, kızlarını ileride işletmede yönetici olmaları hususunda yönlendirmedikleri belirtilmiştir. Zira aile işletmelerinde yer alan aile üyelerinin büyük kısmının erkek çocuklardan oluşması, kız çocuklarının cinsiyet ayrımcılığına tabi tutulduklarının bir göstergesidir.

Aile işletmelerinde, aile üyelerinin çalışmasında esasen yaş ve cinsiyet belirleyici unsurlardır. Zira, erkek çocukların işletmede daha kolay kabul edildiği ve yönetime getirildiği görülmektedir. Kız çocuklarının, ailenin işletmesinde çalışsalar bile, daha çok yardım edici pozisyonlarda yer aldıkları ve erkek çocuğuna göre, işletmede söz sahibi olabilmelerinin daha zor olduğu ifade edilmektedir (Demir, 2017). Bunun nedenlerinden birini Baykal (2002), "ailedeki kadın üyelerin yoğun bir şekilde iş hayatına girmeleriyle, evliliklerinin, çocuklarının dolayısıyla geleneksel rollerinin zarar görebileceği düşüncesinin varlığı olabilir" şeklinde ifade etmiştir. Burada, içinde bulunulan toplumun kültürü, adetleri ve inançları cinsiyet ayrımcılığının ilk adımı olarak karşımıza çıkar.

Kız çocuklarının önündeki bir diğer engeli Cole (1997) kurallar olarak ifade etmiş, kuralları, çoğu kez kız çocuğunun aile işletmelerinin yönetiminde ilk olarak erkek çocuğa devredilme kuralı ile yüz yüze gelmesi olarak ifade etmiştir. Yine Cole, ailedeki kadın üyelerin daha çok ilişkileri uyumlaştırıcı, düzenleyici ve toparlayıcı rollerinin daha önemli sayıldığını ve bu yüzden kadınların aile işletmelerindeki yönetici pozisyonlarını da elde edemediklerini belirtmiştir.

Aile işletmelerinde, kız çocuklarına yapılan cinsiyet ayrımcılığının temelinde birçok öğenin etkin olması muhtemeldir. Örneğin, işletmenin büyüklüğüne göre, kız çocuklarının ailenin işletmesine dahil edilme ihtimalleri de değişiklik göstermektedir. Küçük aile işletmeleri daha geleneksel yönetim biçimlerine sahip olmalarından mütevellit, büyük işletmelere göre daha bariz ayrımcı tutumlar sergileyebilmektedirler (Gürol, 2006).

Yine aile işletmesinin faaliyet gösterdiği bölgeye göre cinsiyet ayrımcılığı şekillenebilmektedir. Zira, kırsal bölgelere göre kentlerdeki işletmelerde kız çocuklarının istihdam edilmeleri daha fazla görülmektedir (ayn. yer, 2006).

İlaveten, aile üyelerinin eğitim ve kültür düzeyleri de cinsiyet ayrımcılığına yön veren bir faktör olarak karşımıza çıkmaktadır. Eğitim ve kültür düzeyi yüksek olan aile yapılarında, ailenin daha hoşgörülü ve

yeniliklere açık olan görüşlerine paralel olarak, kız çocuklarının da yönetimde yer alma şansları daha yüksek olacaktır (ayn. yer, 2006).

Son olarak, işletmenin faaliyet gösterdiği sektör de cinsiyet ayrımcılığında etkili olabilmektedir. Endüstri ve hizmet sektörlerinde yer alan aile işletmelerinde, kız çocuklarının ayrımcılık tutumlarıyla karşılaşma ihtimalleri daha düşük olabilmektedir (ayn. yer, 2006).

Yukarıda anlatılan bahse konu tüm ifadelere genel bir çerçeveden bakıldığında, iş hayatında kadın istihdamının öneminin biliniyor olmasına rağmen, hala aile işletmelerinde kadınların yani kız çocuklarının istihdam düzeyinin oldukça düşük seviyelerde kaldığı görülmektedir. Hiç şüphesiz, bu duruma sebebiyet veren pek çok faktör mevcuttur. Fakat, özet olarak aile işletmelerinin yönetiminde kız çocuklarının kısıtlı olarak yer almasının sebepleri arasında; toplumun ve buna bağlı olarak ailenin geleneksel yapısı, cinsiyet temelli işbölümünün varlığı, erkek çocuklara kıyasla kız çocuklarının eğitim seviyelerinin daha düşük olması veya aile işletmesinin faaliyet alanıyla ilgisiz olması, kız çocuklarının annelik, çocuk büyütmek, ev işleri gibi rollerinin daha çok ön plana çıkarılması olarak sıralanabilir.

## 4. AİLE İŞLETMELERİNDE YÖNETİMİN KIZ ÇOCUKLARINA DEVREDİLMESİNİN NEDENLERİ

Önceki başlıkta açıklanmaya çalışılan kız çocuklarına karşı uygulanan olumsuz yaklaşımlara karşın, kız çocuklarının ailede maruz bırakıldıkları bu ayrımcı tutumları aşarak, aile işletmesinin yönetiminde yer bulma olasılıkları da mevcuttur.

Ailenin iyi eğitim almış kızları, mesleki deneyimleri de üstüne konulursa, işletmede faydalı bir girişimciye dönüşecek ve yönetimde erkek tavırlarından farklı olarak daha ılımlı, paylaşımcı, bütünleştirici bir hava yaratabilecektir. Keza, Türkiye'deki bilindik aile işletmelerinden, Sabancı, Aras, Doğan Holding gibi büyük işletmelerin yönetim kademelerinde bulunan ailenin kızlarının nasıl başarılar elde ettiklerini görmek mümkündür.

Aile işletmelerinde yönetim devri denildiğinde çoğunlukla erkek çocuklar akıllara gelmekte, varisler arasında kız çocuklarının varlığı çoğu zaman unutulabilmektedir. Günümüzde aile işletmelerinde kız çocuklarının artan varlığına paralel olarak kız çocukları, konuyla ilgili araştırmalarda fazlaca yer bulabilir olmuştur. Haberman ve Danes çalışmalarında, kız çocuklarının ailenin bütünlüğünü koruma, işletmenin gelecek nesillere taşınabilmesini sağlama gibi konularda daha arzulu olduklarını ve yönetim devri sırasında erkek çocuklara oranla nispeten daha sorunsuz ilerleyebildiklerini bulgulamışlardır (Haberman ve Danes, 2007).

Cinsiyetlerin liderlik tarzlarında görülen farklı karakteristik özelliklere sahip olmaları nedeniyle erkek ve kız çocuklarının işletmenin yönetim sürecinde de farklı yöntemlere sahip olabilmektedirler. Yapılan araştırmalar erkeklerin otoriteye odaklanırken, kızların dayanışmaya odaklandıklarını göstermiştir. Bu gibi özellikleri hasebiyle kız çocukları işletmede takım ruhu oluşturarak yönetime farklı bir soluk getirebileceklerdir (Demir, 2017).

Ailede erkek ve kız çocuklarının babalarıyla olan ilişkileri, cinsiyet fıtratları gereği de farklılaşabilmektedir. Örneğin, yönetim kız çocuklarına devredildiğinde, işletme ortamında herhangi bir gerginlik oluşmamakta, aksine çalışma ortamı bu durumdan olumlu etkilenebilmektedir. Çünkü kız çocukları, erkek çocukları gibi babalarıyla rekabet içinde olmamaktadırlar. Bu rekabetin arkasında yatan gerçek esasında erkek çocuğun babasına benzeyebilme arzusundan kaynaklanır. Fakat kız çocuklarının babalarına daha duygusal bağlarla yaklaşmaları, baba-kızın birlikte daha kolay çalışabilmelerini, babalarının işten ayrılmasını istememeleri, her zaman bir dayanak gibi babalarının varlıklarını yanlarında istemelerinden dolayı, ortaya daha uyumlu bir işbirliği ve yüksek performans çıkabilmektedir (Demir, 2017).

Kız çocuklarının işletmeye oryantasyonlarını, onların gelecek için hazırlanmaları sağlanarak, işletme yönetiminde yer alma olasılıkları arttırılmalıdır. Bunun yanında bazen ailenin kız çocuklarının baskın karakterli oluşları da onları ön plana çıkarabilmekte ve ailenin erkek çocuklarını devre dışı bırakabilmektedirler. Bu sayede kız çocukları kendi yetkinlikleri ve becerileriyle aile işletmelerinin yönetiminde söz sahibi olabilmektedirler. Kimi zaman da ailenin erkek çocuğunun olmaması, yine kız çocuğunun yönetime getirilmesine imkan vermektedir (Gürol, 2006). Yine aile işletmesinin büyümesine

paralel olarak, iş yerlerinin sayısının artması sonucu, eğer ailedeki erkek çocuk sayısı az ise, bu durumda da kız çocuklar işletmelerin başına getirilebilmektedirler.

Kız çocuklarının yönetimi devralmasında etkili olan bir diğer unsurda, ailedeki erkek çocukların yönetimi devralma hususunda yetersiz olmaları veya bu konuda ilgilerinin az olmasıdır. Bu gibi durumlarda kız ve erkek çocuklar arasındaki rekabet ortamı zaten kendiliğinden yok olmaktadır (Gürol, 2006).

Yukarıda açıklanmaya çalışılan tüm koşullar, aile işletmelerinde kız çocuklarının yönetimi devralmaları noktasında etkili olabileceğini ve şanslarını arttırarak yönetimde yer alma ihtimallerini arttıracağı söylenebilmektedir.

## 5. SONUÇ

Aile işletmelerinin Dünya'da ve Türkiye'de faaliyet ve etki alanlarının gitgide büyümesi ve işletmenin sürekliliği için gelecek nesillere aktarılması çabaları nedeniyle, bu işletmelerin kurucularının erkek çocuklarından ziyade kız çocuklarına da şans tanımaları, onların varisleri olarak yetiştirilmeleri gerekliliğinin doğacağı bir gerçektir. Aile işletmelerinin gerek yönetimlerinde gerekse devrin yapılacağı çocuk seçiminde objektif ölçütlere dayanmayıp, profesyonelce seçimler yapmaması, hala geleneksel tutumlarından vazgeçmemekte ısrarcı olmaları durumunda, işletmenin işlevlerini sekteye uğratacak, aile içindeki bağları zayıflatacak, sermayenin bölünmesine sebep olabilecek ve dolayısıyla kurucu babanın büyük emekleriyle kurduğu işletmenin zarar görmesine neden olabileceklerdir.

Konuyla ilgili yapılan araştırmalar, aile işletmelerinde yönetim devri konusunda kız çocuklarının önündeki en büyük dezavantajın cinsiyet ayrımcılığı olduğunu göstermektedir. Dumas (1990), aile işletmelerinde başarılı bir yönetim devri için kız çocuklarının önceden eğitilip, yönlendirilerek yönetime hazırlanmaları gerektiğini vurgulayarak bunun için bazı temel etkenlerden bahsetmiştir. Bunlardan ilki, öncelikle kız çocuklarının daha en başından varis olarak nitelendirilip, dile getirilmesi gerekliliğidir. Bu noktada kız çocuğunun potansiyellerinin belirlenmesi ve o yönde hareket edilmesi önemli bir husus olarak dikkat çekmektedir. Daha sonra devir sürecinin gerektirdikleri ve tarafların birbirlerinden beklentilerini açıkça ifade etmeleri gereklidir. Bu doğrultuda hareket edilerek, kız çocuğunun eğitimi, deneyimi de bu yönde şekillendirilmelidir. Hiç şüphesiz tüm bunların gerçekleşmesinde, aile işletmesinin kurucusu olan babanın rolü en önemli ve öncelikli bir konudur.

Aile işletmelerinin yönetimlerinin devri sürecinde kız çocuklarının yeri konusu, günümüz çalışmalarında oldukça ilgi gördüğü gözlenmektedir. Bu çalışmayla, aile işletme yönetiminin devrinde kız çocuklarının karşılaştıkları cinsiyet ayrımcılığı konusuna vurgu yapılmış, bu ayrımcılığın nedenleri tartışılmış ve yönetimin kız çocuklarına devredilmeme nedenleri ile devredilmesi durumunun öncesindeki hazırlıkların neler olabileceği, konuya nasıl yaklaşılacağı hususlarında açıklamalar yapılmaya çalışılmıştır.

Konuyla ilgili yapılacak gelecek çalışmalarda, bu konu nitel veya nicel araştırma yöntemleri kullanılarak Türkiye bağlamında büyük örneklem kümeleriyle çalışılması, şüphesiz daha iyi ve görünür sonuçların elde edilmesini sağlayacaktır.

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# Kamu Borç Stoku ile Ekonomik Büyüme İlişkisi: ABD Örneği

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**Özet:** İktisadi bir aktör olarak kamu sektörü yaptığı harcamalarını karşılayabilmek için finansman sağlamak amacıyla borçlanmakta ve doğal olarak bu da ülkelerin makroekonomik verilerini etkilemektedir. Makroekonomik değişkenler ise orta ve uzun dönemde ülkenin üretim yapısını ve devamında da ekonomik büyüme potansiyelini etkileyebilmektedir. Bu bağlamda, kamu borcu ile ekonomik büyüme arasındaki ilişki hem akademisyenler hem de siyasetçiler tarafından üzerinde tartışılan önemli bir konu haline gelmiştir. Literatürde kamu borcunun ekonomik büyümeyi hangi kanallardan ve ne şekilde etkilediğine dair birçok çalışma mevcuttur. Genel olarak çalışmalar incelendiğinde kamu borcu ile ekonomik büyüme arasında ters yönlü ilişki olduğu sonucuna ulaşılmıştır. Bu çalışmada, kamu borcu ile ekonomik büyüme arasındaki uzun dönemli ilişki ABD ekonomisi üzerinden araştırılmaktadır. 1950-2020 dönemleri arasında yıllık veriler ile yapılacak analizlerde, yapısal kırılmaya izin veren eş-bütünleşme ve nedensellik testleri kullanılacaktır. Analizler sonunda elde edilen bulgular ışığında politika önermeleri yapılacaktır.

**Anahtar Kelimeler:** Kamu Borç Stoku, ABD, Ekonomik Büyüme.

# The Relationship Between Public Debt And Economic Growth: Evidence From The USA

**Abstract:** If a country has a budget deficit, the public sector as an economic actor borrows due to finance its expenditures, that naturally affects the macroeconomic variables. Macroeconomic variables, on the other hand, can affect the country's production structure in the medium and long term and following its subsequent economic growth potential. In this context, the relationship between public debt and economic growth has become an important issue discussed by both academicians and politicians. In the literature, there are many studies on how and by which channels the public debt of a country affects economic growth. When the studies are examined in general, it is concluded that there is a negative relationship between them. In this study, the long-term relationship between public debt and economic growth is analysed through the US economy. Co-integration and causality tests that allow structural breakage will be used in analyses to be made with annual data between 1950-2020. Policy recommendations will be made in the light of the findings obtained at the end of the analyses.

**Anahtar Kelimeler:** Public Debt Stock, USA, Economic Growth.

## 1. GİRİŞ

Kamu harcamaları kamu gelirlerinden fazla ise hükümetler genellikle finansman sağlamak amacıyla borçlanarak bu açığı kapatma yoluna gitmektedir. Kamu borcu, merkezi hükümet (kamu iktisadi teşebbüsleri hariç), yerel yönetimler ve diğer kamu idarelerini içine alan genel devletin mevcut borç yükümlülükleri şeklinde tanımlanabilir. Bu kamu borcunun birçok makroekonomik değişkeni etkilediği aşikârdır. Bu makroekonomik büyüklükler ise orta ve uzun dönemde ülkenin üretim yapısını ve devamında da ekonomik büyüme potansiyelini etkileyebilmektedir. Bu doğrultuda, kamu borcu ile ekonomik büyüme arasındaki ilişki hem akademisyenler hem de siyasetçiler için üzerinde tartışılan ve cazibesini her daim koruyan önemli bir konu olmuştur. Literatürde kamu borcunun ekonomik büyümeyi hangi kanallardan ve nasıl etkilediği ile ilgili birçok akademik çalışma ardır. Genel olarak çalışmalar incelendiğinde kamu borcu ile ekonomik büyüme arasında ters yönlü ilişki olduğu ifade edilebilir.

Bu çalışmada, öncelikle kamu borcu ile ekonomik büyüme arasındaki ilişki hem teorik açıdan hem de ABD ekonomisi açısından değerlendirilmiştir. Daha sonra bu ilişkiye dair literatür taraması yapılmıştır. Ampirik çalışma kısmında ise 1950-2020 dönemleri arasında yıllık veriler kullanılarak kamu borcu ile

ekonomik büyüme arasındaki ilişki, yapısal kırılmaya izin veren eş-bütünleşme ve nedensellik testleri kullanılarak analiz edilmiştir. Son olarak elde edilen sonuçlar ve bu sonuçlara göre politika önermelerine yer verilmiştir.

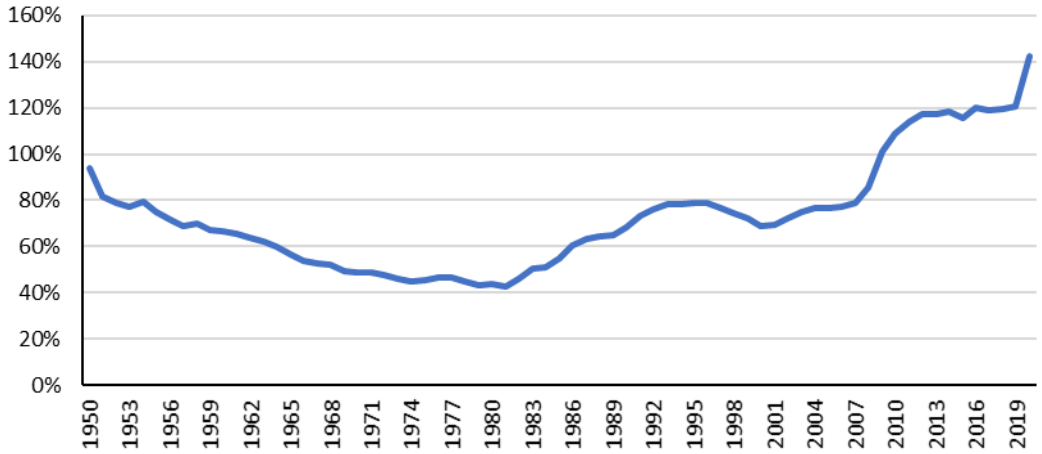
## 2. KAMU BORCU İLE EKONOMİK BÜYÜME İLİŞKİSİ

Kamu borcunun ekonomik büyümeyi farklı kanallar üzerinden etkileyebildiği varsayılmaktadır. Buna karşılık genel olarak, kamu borcu ile ekonomik büyüme arasındaki nedensellik ilişkisi, Klasik ve Keynesyen düşünce okulları arasında bir tartışma konusu olmuştur. Keynesyen görüşe göre kısa dönemde toplam hasılanın belirlenmesinde toplam talep seviyesi önemli bir rol oynamaktadır. Özellikle ekonomi eksik istihdam seviyesinde ise ya da fiyat yapışkanlığı yüksek ise bu durum daha da önemli hale gelmektedir. Örneğin Keynesyen IS-LM modelinde devlet harcamalarının artması veya vergilerde indirim yapılması genişletici maliye politikası anlamına gelir ve toplam hasılanın artmasına ve kamu borç stokunun artması sebebiyle de faiz oranlarının yükselmesine sebep olmaktadır. Geleneksel yaklaşıma göre genişletici maliye politikası bir taraftan kısa dönemde toplam talebi arttırarak toplam hasılayı olumlu yönde etkilerken diğer yandan uzun dönemde dışlama etkisi (crowding-out) yüzünden faizlerin artması sebebiyle yatırımların azalmasına neden olduğu için toplam hasılayı olumsuz bir şekilde etkilemektedir (Turan, 2019: 3).

Literatürde Keynesyen yaklaşıma göre artan kamu borcunun kısa dönemde toplam talep üzerindeki olumlu etkisinin yanında, neo klasiklere göre yatırımları ve verimliliği azalttığı ve belirsizlik yarattığı iddia edilmektedir. Genel olarak çalışmalar incelendiğinde kamu borcu ile ekonomik büyüme arasında ters yönlü ilişki olduğu sonucuna ulaşılmış olsa da kamu borcunun ekonomik büyüme üzerindeki etkisinin olumlu ya da olumsuz olması araştırılan dönem ve söz konusu ülkede hangi etkilerin baskın olduğu ile ilgili değişkenlik gösterebilmektedir.

2008 yılında ABD'de ortaya çıkan ve bütün dünyayı etkisi altına alan küresel ekonomik kriz sırasında birçok ülkede genişleyici maliye politikaları uygulanması sonucunda bütçe açıklarının önemli şekilde arttığı gözlenmiştir. Bütçe açıklarındaki artış kamu borçlarının da yükselmesine sebep olmuştur. Örneğin IMF (2018) verilerine göre 2008 yılında kamu borcunun GSYİH'ye oranı gelişmiş ülkelerde %67'den 2009'da %79'a, 2012'de %85'e, 2015'de ise %91'e yükselmiştir. ABD ekonomisine bakıldığında ise 2008 yılından sonra kamu borç stokunun GSYİH'ya oranı %100'ü aşmış ve yükselmeye devam etmiştir. Hatta 2020 yılında tüm dünyada yaşanan pandeminin etkisiyle birlikte ABD'de kamu harcamalarında yüksek bir artış yaşanmış, dolayısıyla hem kamu borcu arttığı hem de GSYİH düştüğü için Şekil 1'de görüldüğü gibi kamu borcunun GSYİH'ya oranı %143 gibi savaş yıllarından bu yana ilk defa bu kadar yüksek bir orana ulaşmıştır.

Şekil 1: ABD'de Kamu Borç Stoku / GSYİH Oranı




Kaynak: The US Bureau of Economic Analysis (BEA), The US Census Bureau.

Pek çok gelişmiş ülkeye bakıldığında, 20. yüzyılda toplam kamu harcamalarındaki artışın muazzam olduğu görülmektedir. Bu durumda genel olarak hükümetlerin büyüklüğünün artması da etkili olmuştur. Bu doğrultuda, birçok ülkenin kamu borç stokunun özellikle son yıllarda önemli ölçüde artması, ekonomik büyüme başta olmak üzere makroekonomik değişkenler üzerindeki etkisinin araştırılmasına neden olmuştur. Dolayısıyla bu çalışmada, kamu borcu ile ekonomik büyüme arasındaki uzun dönemli ilişki ABD ekonomisi üzerinden araştırılmıştır.

## 3. LİTERATÜR

Literatüre bakıldığında, mevcut teorik ve ampirik çalışmaların büyük bir çoğunluğu, sürdürülemez kamu borcunun bir ülkenin rekabet gücünü azalttığı ve finansal piyasasının uluslararası şoklara karşı duyarlılığını artırdığı görüşünü desteklemektedir (Saungweme ve Odhiambo, 2019: 2). Genel kabul gören görüş kamu borcu ile ekonomik büyüme arasında ters yönlü bir ilişki olduğu şeklindedir. Diğer yandan kamu borcunun GSYİH'ya olan oranı, sürdürülebilir olup olmadığı ya da ülkenin kendi yapısal durumu değerlendirildiğinde kamu borcunun ekonomik büyüme üzerindeki etkisi ülkeden ülkeye farklılık gösterebilmektedir.

Woo ve Kumar (2010) gelişmiş ve yükselen ülke ekonomileri için yüksek kamu borcunun uzun vadeli ekonomik büyüme üzerindeki etkisini yaklaşık kırk yıllık bir dönem için araştırmışlardır. Woo ve Kumar çalışmalarında ilk borç ile sonraki büyüme arasında yükselen ekonomilerde daha çok gelişmiş ülkelerde daha az olmak üzere ters yönlü bir ilişki olduğu sonucuna ulaşmışlardır. Büyüme bileşenlerinin analizi, olumsuz etkinin büyük ölçüde, temelde azalan yatırım ve sermaye stokunun daha yavaş büyümesi nedeniyle işgücü verimliliği artışındaki yavaşlamayı yansıttığını göstermektedir.

Reinhart ve Rogoff 2010 yılında yaptıkları akademik çalışmada yükselen ekonomiler ve gelişmiş ülkelerde yüksek kamu borcu ile ekonomik büyüme ve enflasyon arasındaki ilişkiyi araştırmışlardır. GSYİH'ye oranı %90'ın altında olan kamu borcunun hem gelişmiş hem de yükselen piyasa ekonomilerinde ekonomik büyüme ile olan ilişkisi çok fazla bulunmazken, %90'nın üzerinde olan ülkelerde düşük büyüme oranlarıyla ilişkili olduğu sonucuna ulaşmışlardır.

Reinhart vd. (2012), 1800'lerin başından beri gelişmiş ekonomiler içinde kamu borcunun GSYİH'ye oranının en az beş yıl boyunca %90'ı aşan ülkeleri incelemişlerdir. Sonuçta kamu borcunun yüksek olduğu dönemlerde daha düşük büyüme oranlarına ulaşıldığını, ancak kamu borcuyla reel faiz oranları arasında böyle bir ilişkinin görülmediğini ifade etmişlerdir.

Baum vd. (2013) çalışmasında yaptığı analizlerde bazı Avrupa ülkelerinde kamu borcu ile ekonomik büyüme arasında doğrusal olmayan bir ilişki olduğu sonucuna ulaşmışlardır. Baum vd. (2013) kamu borcunun GSYİH'e olan oranı %67'nin altında kalan ülkelerde kısa dönemde kamu borcunun ekonomik büyüme üzerinde olumlu bir etkisi olduğunu, ama kamu borcunun GSYİH'e olan oranı %95'in üzerinde olduğu ülkelerde artan kamu borcunun ekonomik büyümeyi olumsuz yönde sonucuna varmışlardır.

Bal ve Rath (2014), Hindistan'da 1980 ve 2011 yılları arasında kamu borcunun ekonomik büyüme üzerindeki etkisini incelemişlerdir. Yazarlar, hem yurt içi hem de yurt dışı kamu borcunun ekonomik büyümeyi kısa dönemde etkilediği sonucuna ulaşmışlardır.

Doğanalp (2015), 2001-2013 döneminde üç aylık verileri kullanarak yaptığı analizlerde Türkiye'de kamu iç borcunda meydana gelen % değişme ile ekonomik büyüme arasındaki ilişkiyi incelemiştir. Analiz sonuçlarına göre iç borçlar ve ekonomik büyümenin eş bütünleşik olduğu ve % 5 anlam seviyesinde iç borç ve büyüme arasında 6 gecikme dönemi referans alınarak bir nedensellik olduğunu tespit etmiştir.

Kurihara (2015), özellikle kamu borcunun çok yüksek seviyelere ulaştığı Japonya'da kamu borcu ve büyüme arasındaki ilişkiyi araştırmıştır. Sonuçlar birçok akademik çalışma ile uyumlu olarak kamu borcu ile ekonomik büyüme arasında negatif bir ilişki olduğunu göstermiştir.

Gómez-Puig ve Sosvilla-Rivero 2017 yılında kaleme aldıkları makalede, Euro bölgesinin (EA) hem merkezi hem de çevre ülkelerinin 1961-2013 dönemi için yıllık verileri kullanarak kamu borcunun ekonomik büyüme üzerindeki kısa ve uzun vadeli etkisini ampirik olarak araştırmışlardır. Gómez-Puig ve Sosvilla-Rivero Avrupa Birliği (AB) ülkelerinde kamu borcunun uzun dönemde ekonomik performansı negatif

etkilediği görüşünü destekleyen sonuçlara ulaşırken, kısa dönem için etkinin ülkeden ülkeye değişebildiği sonucuna varmışlardır.

Yusuf ve Said 2018'de yayınladıkları makalede, 1970-2015 dönemi için Tanzanya'da kamu borcunun ekonomik büyüme üzerindeki etkisini incelemiştir. Çalışma dönemi boyunca Tanzanya'da kamu borcu ile ekonomik büyüme arasında negatif bir ilişki olduğunu göstermiştir.

Ndieupa (2018) yazdığı makalede 2000 ile 2016 yılları arasında altı Orta Afrika Ekonomik ve Parasal Topluluğu ülkesinden oluşan bir örneklemi kullanarak kamu borcunun ekonomik büyüme üzerindeki ampirik etkisini araştırmıştır. Ampirik sonuçlar, kamu borcunun ekonomik büyüme üzerinde olumsuz ve istatistiksel olarak anlamlı bir etkiye sahip olduğunu göstermiştir.

Saungweme ve Odhiambo (2019) Zambiya'da 1970-2017 dönemi için kamu borç stoku ile ekonomik büyüme arasındaki ilişkiyi incelemişlerdir. Ancak yazarlar, çalışma sonucunda Zambiya'daki kamu borç servisi ile ekonomik büyüme arasında herhangi bir nedensellik ilişkisi bulamamışlardır.

Turan 2020 yılında yaptığı çalışmasında Türkiye'de 1958-2015 döneminde kamu borç ile ekonomik büyüme arasındaki ilişkiyi incelemiştir. Turan kamu toplam borcunun uzun dönemde ekonomik büyüme üzerinde anlamlı bir etkisi olmadığı, buna karşın kısa dönemde kamu toplam borcundaki artışların ekonomik büyümede azalmaya sebep olduğu sonucuna ulaşmıştır.

## 4.EKONOMETRİK ANALİZ VE METADOLOJİ

Çalışmanın analiz kısmında *"kamu borç stoku ile ekonomik büyüme arasında uzun dönemli ilişki vardır"* hipotezi yapısal kırılmalı ekonometrik modeller ile eş-bütünleşme ve nedensellik testleri kullanılarak ABD ekonomisi üzerinden incelenmiştir. Analiz kısmında kullanılan metodolojik sıralama şu şekildedir; öncelikle veri seti tanımlanarak hipoteze uygun model kurulmuş, daha sonra ise kullanılacak verilerin birim kök içerip içermediğini tespit etmek için yapısal kırılmaya izin veren durağanlık testleri uygulanmıştır. Durağanlık testlerinden elde edilen sonuçların ardından yapısal kırılmaya izin veren Gregory-Hansen Eşbütünleşme Testi ile Toda-Yamamoto Nedensellik analizleri kullanılarak sonuçlar yorumlanmştır.

### 4.1. Veri Seti ve Model Açıklaması

Ampirik çalışmada, ABD ekonomisinin 1950-2020 dönemlerini kapsayan yıllık verileri analize dâhil edilmiştir. 1950 öncesinde 1929 Büyük Buhranı ve I. ve II. Dünya Savaşları'nda makroekonomik verilerde önemli dalgalanmalar olduğu için 1950 sonrası verilerin kullanılması tercih edilmiştir. Modellerde kullanılan kamu borç stoku ve ekonomik büyüme için kullanılan GSYİH verileri ABD İstatistik Bürosu (The US Census Bureau) ve ABD Analiz Bürosu (The US Bureau of Economic Analysis) veri tabanlarından elde edilmiştir.

Modelde bağımlı değişken olarak ekonomik büyümeyi temsilen GSYİH (GDP) değişkeni kullanılmıştır. Bağımsız değişken olarak ise ABD ekonomisi kamu borç stoku (PD) verileri kullanılmıştır. Modele dâhil edilen değişkenlerin logaritmaları alınarak ve mevsimsel etkilerden arındırılarak modele dâhil edilmiştir. Kurulan model ise şu şekildedir;

$$LGDP_T = \beta_0 + \beta_1 LPD_t + \varepsilon_t \qquad (1)$$

### 4.2. Birim Kök Test Sonuçları

Zaman serisi analizlerinde durağanlık testleri sahte regresyon sorunundan kurtulmak için yapılması gereken önemli bir adımdır. Granger ve Newbold (1974), çalışmalarında durağan olmayan serilerle çalışılması durumunda sahte regresyon sorununun ortaya çıkabileceğini göstermiş ve durağan olmayan serilerle yapılan regresyon analizlerinin gerçek sonuçları yansıtmayacağını belirtmişlerdir. Bir zaman serisi, ortalaması ile varyansı zaman içinde değişmiyor ve iki dönem arasındaki kovaryansı bu kovaryansın hesaplandığı döneme değil de yalnızca iki dönem arasındaki uzaklığa bağlı ise durağandır (Gujarati, 1999: 713). Gerçekleştirilen uygun birim kök testleri ile uygulanan durağanlık sınamaları,

yapılan analizlerin durağan olmayan serilerle gerçekleştirilen sahte sonuçlar çıkmasını engellemektedir. Gerçekleştirilen testler sonucunda serilerin birim kök içermesi durumunda, durağan olmadığı sonucuna varılır ve durağan olmayan zaman serileri eş-bütünleşme ilişkisine sahip değillerse, değişkenler arasında anlamlı bir ekonomik ilişkinin varlığından bahsetmek yanlış sonuçlara yol açacaktır (Harris ve Sollis, 2003: 41).

Zaman serisi analizlerinde en sık ADF ve PP testleri tercih edilmektedir. Fakat ADF ve PP testleri makroekonomide uzun dönemde krizler veya ekonomik şoklar gibi kırılmaları dikkate almadan birim kök testlerini analiz etmektedir. Oysa ki piyasalar arası ortak hareketlerdeki değişiklikler veya ülkeler arası politika yapıcılarının hareketleri, portföy yöneticilerini etkilediğinden yapısal değişikliklerin çıkışının sorgulanması gerekmektedir (Arouri vd., 2007: 9-10). Zaman serisi analizlerinde bundan dolayı bir yapısal kırılma olması durumunda bunun dikkate alınmaksızın gerçekleştirilen durağanlık testlerinde serinin durağan olmama ihtimalinin yüksek olduğu söylenebilir. Oysaki kırılmanın dikkate alınarak testin gerçekleşmesi durumunda durağan olmayan serinin de durağan olabildiği görülmektedir. Zaman serisi analizlerinde bu tür sorunların çözümü için yapısal kırılmaları dikkate alan durağanlık testleri geliştirilmiştir. Çalışmada kırılmanın içsel olarak belirlendiği Zivot-Andrews kırılma testi kullanılmıştır. Zivot-Andrews (1992), yapısal kırılmanın tam olarak bilinmediği, içsel olarak belirlendiği durumu incelemektedir. Analizlerde elde edilen t istatistiği, Zivot ve Andrews tarafından oluşturulan kritik değerler ile karşılaştırılmaktadır. Eğer elde edilen t istatistiği mutlak değerce kritik değerlerden küçükse serinin birim kök içerdiğini belirten sıfır hipotezi kabul edilmektedir. Elde edilen t istatistikleri mutlak değerce kritik değerlerden büyükse sıfır hipotezi reddedilmekte ve serinin yapısal kırılmayla birlikte durağan olduğunu belirten alternatif hipotez kabul edilmektedir (Korkmaz vd., 2008: 27).

Tablo 1: LGDP Serisi Zivot-Andrews Birim Kök Test Sonuçları

| Değişken | Model | Kırılma Yılı | t-İstatistiği | 1% | 5% | 10% |
|---|---|---|---|---|---|---|
| **LGDP** | Model A | 2007 | -1.86 | -5.34 | -4.93 | -4.58 |
| | Model C | 1976 | -2.82 | -5,57 | -5,08 | -4.82 |
| **ΔLGDP** | Model A | 1964 | -3.36 | -5.34 | -4.93 | -4.58 |
| | Model C | 1982 | -4.89*** | -5,57 | -5,08 | -4.82 |

Ekonomik büyüme olarak belirlenen GSYİH değişkeni için Zivot-Andrews birim kök testlerine ait sonuçlarına bakıldığında t-istatistiğine göre belirlenen yapısal kırılma dönemlerinde her üç model içinde yapısal kırılmalı birim kökün olduğu boş hipotez ($H_0$) reddedilememektedir yani seri durağan değildir. Durağan olmayan serilerde birim kökten kurtulmak için serinin 1. dereceden farkı alınarak birim kök testi tekrarlanmaktadır. Serinin 1. dereceden farkı alındığında Model C için 1982 yılındaki yapısal kırılma ile birlikte %10 anlamlılık düzeyinde durağanlaştığı yani I(1) olduğu görülmektedir.

Tablo 2: LPD Serisi Zivot-Andrews Birim Kök Test Sonuçları

| Değişken | Model | Kırılma Yılı | t-İstatistiği | 1% | 5% | 10% |
|---|---|---|---|---|---|---|
| **LPD** | Model A | 1982 | -3.67 | -5.34 | -4.93 | -4.58 |
| | Model C | 1982 | -3.13 | -5,57 | -5,08 | -4.82 |
| **ΔLPD** | Model A | 1993 | -4.38 | -5.34 | -4.93 | -4.58 |
| | Model C | 1987 | -4.90*** | -5,57 | -5,08 | -4.82 |

Kamu borç stoku serisi için Zivot-Andrews birim kök testlerine ait sonuçlarına bakıldığında t-istatistiğine göre belirlenen yapısal kırılma dönemlerinde her üç model içinde yapısal kırılmalı birim kökün olduğu boş hipotez ($H_0$) reddedilememektedir yani seri durağan değildir. Durağan olmayan serilerde birim kökten kurtulmak için serinin 1. dereceden farkı alınarak birim kök testi tekrarlanmaktadır. Serinin 1. dereceden farkı alındığında Model C için 1987 yılındaki yapısal kırılma ile birlikte %10 anlamlılık düzeyinde durağanlaştığı yani I(1) olduğu görülmektedir.

### 4.3. Gregory-Hansen Eş-Bütünleşme Test Sonuçları

Ekonometrik çalışmalarda kullanılan standart eşbütünleşme testleri eşbütünleşik vektörün zaman içerisinde değişmediğini varsayarken, tek yapısal kırılmaya izin veren Gregory ve Hansen eşbütünleşme testi, eşbütünleşik vektörde içsel olarak belirlenen bir kırılma zamanında değişeceğini önermektedir. Gregory-Hansen alternatif hipoteze karşı, kırılmanın eş-bütünleşmede olabileceğine dayalı alternatif bir hipotez geliştirmişlerdir. Bu eş-bütünleşme analizinde üç alternatif model vardır. Bunlar; sabitte kırılma, trendli sabitte kırılma ve rejim değişimidir. Bu analizinde yapısal kırılma zamanının içsel olarak belirlendiği varsayılmaktadır (Gregory ve Hansen, 1996: 555).

Sabitte kırılma $Y_1\, t = \mu_1 + \mu_2\, \varphi\pi + \ \alpha^T\, y_2 t + et$ t=1,2,3,…….,,n

Modelde $\mu_1$ kırılmadan önceli sabiti, $\mu_2$ ise kırılmadan sonra sabitte meydana gelen değişmeyi göstermektedir. t ise 0 ile 1 arasında yer alan kırılmanın zamanlamasını gösteren katsayıdır. $\alpha^T$ açıklayıcı değişkenlere ait katsayı vektörünü ifade etmektedir, $\partial_\pi$ ise kukla değişkendir.

Sabit ve Trendde Kırılma $Y_1\, t = \mu_1 + \mu_2\, \varphi\pi + \beta t + \ \alpha^T\, y_2 t + et$ t=1,2,3,…….,,n

Bu modelin temel farkı sabitte kırılmanın yanında trendi de ele almasıdır. Trendi temsil eden değişken $\beta_t$ dir ve analizlerde trenddeki kırılma da incelenmiştir.

Rejim Değişimi $Y_1\, t = \mu_1 + \mu_2\, \partial\pi + \ \alpha_1^T y_2 t + \ \alpha_2^T y_2 t \varphi 1 t + et$ t=1,2,3,…….,,n

Rejim değişimi modelinde ise $\alpha_1$ rejim değişimi öncesi eşbütünleşme vektörünü, $\alpha_2$ rejim değişimi sonrası eşbütünleşme vektöründe meydana gelen değişmeyi gösterir.

**Tablo 3:** Gregory ve Hansen Eşbütünleşme Testi Sonuçları

| Model | Kırılma Yılı | t-İstatistiği | 1% | 5% | 10% |
|---|---|---|---|---|---|
| **C*** | 2005 | -6.38 (0)* | - 5.13 | - 4.6 | - 4.34 |
| **C/T**** | 1964 | -7.93 (0)* | -5.45 | -4.99 | -4.72 |
| **C/S***** | 1991 | -7.53 (0)* | -5.47 | -4.95 | -4.68 |

Parantez içindeki değerler gecikme sayısını ifade etmektedir

* Sabitte kırılma **Trend de kırılma *** Rejim değişimi

Yapısal kırılma altında modeldeki değişkenlerin aralarında uzun dönemli bir ilişki olup olmadığının tespit edilmesi için çalışmada Gregory-Hansen Eş-bütünleşme testi uygulanmış ve yapılan analizlerde minimum test sonuçları ile bunlara denk gelen kırılma dönemleri Tablo 3'de verilmiştir. Tablo incelendiğinde tüm modeller için test istatistiğinin mutlak değer olarak kritik değerlerden büyük olduğu yani kamu borç stoku ile ekonomik büyüme arasında her üç modelde de yapısal kırılmalar ile birlikte uzun dönemli eşbütünleşme ilişkisinin olduğu görülmüştür. Yapısal kırılma tarihlerine bakıldığında ise 1964, 1991 ve 2005 yıllarında ABD ekonomisinde konjontürel krizlerin, doğal afetlerin ve küresel gelişmelerin etkilerinin olduğu görülmektedir. J. F. Kennedy'nin 1963 yılının Kasım'ında suikasta uğramasının ardından 1964 yılında Lyndon Johnson ABD başkanı seçildi. Kennedy döneminde hazırlanan, ABD'de siyahi ırka mensup kişilere okullarda, kamusal alanlarda ve işe alımlarda yapılan negatif ayrımcılığın yasaklanması konusundaki yasa olarak bilinen 1964 Medeni Haklar Yasası (The Civil Rights Act of 1964), 2 Temmuz 1964 yılında ABD başkanı L. Johnson tarafından imzalanarak yürürlüğe girmiştir. 25 Aralık 1991 tarihinde ise Sovyetler Birliği Devlet Başkanı M. Gorbaçov istifa etmiş, ardından Sovyetler Birliği'ni

oluşturan cumhuriyetler bağımsızlıklarını ilan etmiş ve Sovyetler Birliği dağılmıştır. Sovyetler Birliği'nin dağılması dünya üzerinde birçok ülke üzerinde siyasi, sosyal ve ekonomik alanlarda çok önemli etkiler yaratmıştır. 2005 yılına bakıldığında ise tarihin en yıkıcı kasırgalarından biri olan Katrina Kasırgası ABD'yi vurmuştur. Kasırga 1.836 kişinin hayatını kaybetmesine neden olmuş, yaklaşık 80 milyar doların üzerinde zarara yol açmış ve yol alt yapılarının bozulmasının ardından 6 ay kadar Meksika Körfezi'nde petrol üretiminin durmasına sebep olmuştur.

### 4.4. Toda-Yamamoto Nedensellik Analizi Sonuçları

ABD ekonomisi üzerinde kamu borç stoku ile ekonomik büyüme arasındaki ilişkinin sonuçları çalışmada yeni nesil ekonometrik analizlerden sıkça kullanılan Toda-Yamamoto (1995) analiziyle test edilmiştir. Granger nedensellik analizinin eleştirilen en büyük tarafı, aralarında nedensellik ilişkisinin bakılacağı değişkenlerin eş-bütünleşik olması şartıdır ve bu durum analizi bağımlı hale getirmektedir. Oysaki Toda-Yamamoto analizinde gecikmesi arttırılmış VAR yönteminde nedensellik sınaması için seriler arasında eş-bütünleşme ilişkisi önemli olmayıp sadece modeli doğru belirlemek ve modeldeki değişkenlerin maksimum bütünleşme derecesini bilmek yeterli olmaktadır.

Toda ve Yamamoto'ya (1995) göre seriler durağan olmasalar da serilerin düzey değerlerinin yer aldığı VAR modelinin tahmin edilebileceğini ve standart Wald testinin uygulanabileceğini belirtmişlerdir. Bu yöntemde Granger nedensellik testi için, $[k+(d_{max})]$ dereceden VAR model tahmin edilmekte ve katsayılar matrisinin ilk k tanesine Wald testi uygulanmaktadır. Toda ve Yamamoto (1995), ilgili serinin durağan, trend etrafında durağan veya eşbütünleşik olup olmadığı dikkate alınmaksızın, bu testin k serbestlik derecesi ile asimptotik 2 $\chi$ dağılımına sahip olduğunu göstermişlerdir. Burada; k tahmin edilen VAR modelinin uygun gecikme uzunluğunu, $d_{max}$ ise modeldeki değişkenlerin maksimum bütünleşme derecesini ifade etmektedir. Böylece yöntemin ilk aşaması sistemde yer alan değişkenlerin bütünleşme derecesinin tespiti, ikinci aşaması ise sistemin tahminidir. Buna göre yöntemin başarısı, sistemin gecikme uzunluğunun (k) ve serilerin bütünleşme derecelerinin ($d_{max}$) doğru tespitine bağlıdır. Toda ve Yamamoto tarafından önerilen bu yöntemin önemli bir özelliği, birim kök ve eş-bütünleşme özelliklerinin tespitinde kullanılan potansiyel eğilimli ön testlere gereksinim olmayışıdır. Böylece, ilgili yöntemin kullanımı ile serilerin bütünleşme derecesinin yanlış tespit edilmesi ile ilgili risk minimize edilmektedir.

Çalışmada öncelikle kamu borç stoku ile ekonomik büyüme arasındaki nedensellik ilişkisinin incelenmesi için Toda-Yamamoto analizinde, bütünleşme derecesinin hesaplanması gerekmektedir. Analize dahil edilen kamu borç stoku ve ekonomik büyüme değişkenleri için yapılan ZA birim kök testlerinde tüm değişkenlerin birim köklü olduğu fakat 1. Dereceden farkı alındığında ise durağan olduğu görülmüştür. Bu nedenle $d_{max}=1$ alınır.

Toda-Yamamoto analizinde $d_{max}$ değerinin belirlenmesinden sonra ikinci adım olarak kullanılacak gecikme sayısının belirlenmesi gerekmektedir. Bunun için en büyük gecikme uzunluğu 8 olarak seçilmiş olup Akaike (AIC), Schwarz (SC) ve Hannan Quinn (HQ) gibi kritik değerleri en küçük yapan gecikme uzunluğu belirlenmeye çalışılmıştır.

Tablo 4: VAR Modeli Bilgi Kriterlerine Göre LM-LGE Uygun Gecikme Uzunluğu

| Lag | LogL | LR | FPE | AIC | SC | HQ |
|---|---|---|---|---|---|---|
| **0** | 255.2915 | NA | 1.25e-06 | -7.915.360 | -7.847.895 | -7.888.783 |
| **1** | 297.1867 | 79.86258 | 3.83e-07 | -9.099.583 | -8.897.188 | -9.019.849 |
| **2** | 310.8816 | 25.25000* | 2.83e-07 | -9.402.549 | -9.065224* | -9.269660* |
| **3** | 315.5741 | 8.358605 | 2.77e-07* | -9.424191* | -8.951.936 | -9.238.146 |
| **4** | 319.0543 | 5.981538 | 2.82e-07 | -9.407.947 | -8.800.761 | -9.168.746 |
| **5** | 321.5273 | 4.095960 | 2.97e-07 | -9.360.229 | -8.618.113 | -9.067.872 |
| **6** | 322.6277 | 1.753748 | 3.27e-07 | -9.269.616 | -8.392.570 | -8.924.103 |

Tablo 4'deki sonuçlara bakıldığında, SC ve HQ bilgi kriterlerine göre gecikme sayısı 2 iken HQ bilgi kriterlerinin gecikme sayısının 2 olarak belirlendiği, AIC bilgi kriterine göre ise gecikme uzunluğunun 3 olduğu görülmektedir. Ancak modeldeki değişkenlerin birim kök testlerinde SC bilgi kriteri kullanıldığı için uygun gecikme uzunluğunun 2 olması gerektiği uygun bulunmuştur.

VAR modelinin gecikme sayısı belirlendikten sonra bu gecikme sayısına, modele giren değişkenlerin maksimum bütünleşme derecesi olan ($d_{max}$=1 ) 1 eklenerek k + $d_{max}$ = (2+1)= 3. dereceden VAR modeli çerçevesinde nedensellik analizi yapılmıştır. Oluşturulan VAR modeli SUR (Seemingly Unrelated Regression) metoduyla tahmin edilerek Tablo 5'deki sonuçlara ulaşılmıştır.

**Tablo 5:** Toda ve Yamamoto Nedensellik Testi Sonuçları

| Temel Hipotezler | Gecikme Uzunluğu k=2,$d_{max}$= 1 | F-İstatistiği | P-Değeri | Sonuç |
|---|---|---|---|---|
| LGDP⇏LPD | 3 | 3.4168 | 0.1811 | Ekonomik büyümeden kamu borç stokuna doğru herhangi bir Toda ve Yamamoto nedensellik ilişkisi bulunmamaktadır. |
| LPD⇏LGDP | 3 | 15.0047 | 0.0006 | Kamu borç stokundan ekonomik büyümeye doğru %1 anlamlılık düzeyinde tek yönlü Toda ve Yamamoto nedensellik ilişkisi vardır. |

Toda-Yamamoto Nedensellik analizi sonuçlarına göre kamu borç stoku ile ekonomik büyüme arasında sadece kamu borç stokundan ekonomik büyümeye doğru tek yönlü bir nedensellik ilişkisi görülmüştür.

## 5. SONUÇ

2008 yılında bütün dünyayı etkileyen küresel ekonomik kriz sırasında birçok ülkede genişleyici maliye politikaları uygulanmış ve bu ülkelerin bütçe açıkları önemli ölçüde artmıştır. Bütçe açıklarındaki artış da kamu borçlarının artmasına neden olmuştur. Kamu borcunda yaşanan büyük artışlar birçok makroekonomik değişkeni etkilemektedir. Bu doğrultuda kamu borcu ile ekonomik büyüme arasındaki ilişki birçok akademisyenin dikkatini çekmiş ve bu konu ile ilgili çok sayıda araştırma yapılmasına sebep olmuştur. Teorik olarak literatürde genellikle kamu borcu ile ekonomik büyüme arasında ters yönlü bir ilişki olduğu varsayılmaktadır.

Bu çalışmada, ABD ekonomisinde kamu borcu ile ekonomik büyüme arasında uzun dönemli bir ilişki olup olmadığı araştırılmıştır. 1950-2020 dönemleri arasında yıllık veriler kullanılarak yapılan analizlerde, yapısal kırılmaya izin veren Gregory-Hansen Eş-bütünleşme testi uygulanmış ve sonucunda ABD'de kamu borç stoku ile ekonomik büyüme arasında yapısal kırılmalar ile birlikte uzun dönemli eşbütünleşme ilişkisinin olduğu görülmüştür. Yapısal kırılma tarihlerine bakıldığında ise 1964, 1991 ve 2005 yıllarında ABD ekonomisinde konjonktürel krizlerin, doğal afetlerin ve küresel gelişmelerin etkilerinin olduğu görülmüştür. ABD ekonomisinin kamu borç stoku ile ekonomik büyümesi arasındaki ilişkinin sonuçları Toda-Yamamoto Nedensellik Analizi ile test edilmiştir. Bu analize göre kamu borç stoku ile ekonomik büyüme arasında sadece kamu borç stokundan ekonomik büyümeye doğru tek yönlü bir nedensellik ilişkisi görülmüştür.

Sonuç olarak bir ülkede genişletici maliye politika aracı olarak kullanılan kamu harcamalarındaki artış ya da vergilerde yapılan indirimler büyük bütçe açıklarına sebep olabilmektedir. Bütçe açığı ile karşı karşıya kalan hükümetler ise borçlanarak finanse etme yoluna gitmektedirler ve kamu borç stokunda meydana gelen sürdürülemez artış da ekonomik büyümeyi etkilemektedir. Bu doğrultuda, ABD'de 2008 küresel ekonomik krizinden sonra kamu borç stokunda dikkat çeken artış ekonomik büyüme açısından daha dikkatli olunması gerektiğini gözler önüne sermiştir. Özellikle 2009 yılından sonra kamu borç stokunun GSYİH'ya olan oranının günümüze kadar %100'ün üzerinde seyrederek 2020 yılında %143'ulaşması

ticaret savaşları sırasında yapılan vergi indirimleri ve pandemi ile birlikte artan kamu harcamalarının ortaya çıkardığı bütçe açıklarının önemli boyutlara ulaştığının ve borçlanma ile finanse edildiğinin kanıtıdır. Ekonomik büyüme açısından bu verilerdeki artışların dikkatle takip edilmesi gerekmektedir.

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# Müşteri İlişkileri Yönetiminde Yeni Dijital Teknolojilerin Kullanımına Yönelik Bir Değerlendirme

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**Özet:** Günümüzde müşteri ihtiyaç, istek ve beklentileri sürekli olarak değişim göstermekte ve işletmeler bu gereksinimleri eskiden olduğundan daha geniş kanallarla ve teknolojilerle karşılamak durumunda kalmaktadırlar. Bu bağlamda ileri dijital teknoloji uygulamaları; sağladıkları etkileşimler, kolaylıklar, temas noktaları ve işlemler sayesinde işletmelere müşterilerine daha iyi ve daha hızlı hizmet sunma olanağı sağlayarak, gelişen müşteri ilişkileri yönetimi teknolojileri ekosisteminin bir parçası olmaya başlamışlardır. Müşteri ilişkileri yönetimi teknolojileri, müşteri tecrübelerini geliştirmek amacıyla kullanılan organizasyon uygulamalarıdır. Yeni dijital teknolojiler, mevcut müşterilerin kayıtlarının tutularak satış sürecini optimize etme, iletişim bilgilerini analiz etme ve satış fırsatlarını tek bir merkezden yürütme olanağı sağlamaktadırlar. Son yıllarda işletmelerde yeni dijital teknolojilerin kullanımının yaygınlaşmasıyla birlikte daha iyi hizmet sunmak, müşterileri elde tutmak, müşteri bağlılığını ve sadakatini sağlamak, pazarda gelişen fırsatları daha iyi bir şekilde yönetmek için kullanılan müşteri ilişkileri yönetimi de bu durumdan etkilenmiştir. Bu çalışmanı amacı; müşteri ilişkileri yönetiminde kullanılan yeni dijital teknoloji uygulamalarını açıklamaktır. Bu amaç doğrultusunda çalışmada giriş bölümü işlendikten sonra müşteri ilişkileri yönetiminde son yıllarda sıklıkla tercih edilen yapa zekâ, makine öğrenimi, blok zinciri ve bulut bilişim uygulamaları tanımlanarak müşteri ilişkileri yönetimi bağlamında örnekler verilerek değerlendirilmektedir.

**Anahtar Kelimeler:** Müşteri İlişkileri Yönetimi, Yapay Zekâ, Makine Öğrenimi, Blok Zinciri, Bulut Bilişim

# An Assessment of New Digital Technologies Usage in Customer Relationship Management

**Abstract:** Nowadays, the needs, wants and expectations of customers has continually been changing and enterprises have to meet the expectations with wider channels and technologies than it used to be. In this context, advanced technology applications have become a part of Customer Relationship Management (CRM) technologies ecosystem thanks to interactions, touch points and transactions by providing better and quicker service to the customers. CRM technologies are the organizational applications that are used to enhance existing customer experiences. New digital technologies enable to conduct sales opportunities from a single center, analyze communication information, optimize sales process by keeping records of existing customers. In recent years, along with the proliferation of new technologies usage in enterprises, CRM which is used to provide better service, retain customers, provide customer satisfaction and loyalty, conduct the market opportunities is affected from this situation. The purpose of this study is to explain digital technologies that are used in CRM. In line with this purpose after introduction, artificial intelligence, machine learning, blockchain and cloud computing applications has identified by exemplifying in the context of CRM.

**Key Words:** CRM, Artificial Intelligence, Machine Learning, Blockchain, Cloud Computing

## 1. GİRİŞ

İşletmeler, müşteri memnuniyetini sağlamak ve sürekli zorlaşan rekabet şartlarında başarılı olabilmek için "müşteri ilişkileri yönetimi (MİY)" kavramına önem vermek zorundadırlar (Ersöz vd., 2008: 759). MİY, işletmelerin müşterilerini daha sistematik bir şekilde tanıyabilmeleri için kullanılan etkili bir araçtır. Müşterileri memnun ederek ve onları elde tutarak onlardan elde edilecek değeri maksimize etmek ve işletmenin en iyi müşterisini belirlemek için işletmeler MİY`den yararlanmaktadırlar. MİY, müşteri memnuniyetini geliştirme yoluyla işletmenin sürdürülebilir karlılığı başarmasını amaçlayan tekniklerin kullanılmasıdır. MİY`in geliştirilmesi için müşteriler hakkında farklı bilgiler toplanmalı ve saklanmalıdır. Bu bilgiler işletmelerin müşterilerin ihtiyaç, istek ve alışkanlıklarını anlamalarına yardımcı olmaktadır. MİY sistemi, işletmelerin üretim maliyetlerini azaltıp, karlılığı arttırma gibi geleneksel anlayıştan müşterilerin hoşlandığı ve hoşlanmadığı şeylere odaklanan bir anlayış benimsemelerine yol açmaktadır. Kısacası

müşteri ilişkilerinin temel amacı işletmelerin müşterilere odaklanmasını sağlamaktır. Bu bağlamda işletmeler çok yüksek miktarda müşteri verilerini etkili bir şekilde analiz etmek durumunda kalmaktadırlar. Ancak insan çabası ile bu kadar yüksek miktardaki veriyi yönetmek ve analiz etmek oldukça zor bir iş olmaktadır. Bu nedenle işletmeler çeşitli yeni dijital teknolojilerden yaralanmak zorunda kalmaktadırlar (Chatterjee vd., 2019: 145; Chatterjee vd., 2020: 360). Son on yılda her alanda olduğu gibi pazarlama alanında da dijitalleşme gittikçe önem kazanan konuların başında gelmektedir. Artık güç pazarlamacıların elinden çıkmış ve müşterilerin eline geçmiştir. Günümüz müşterileri bilinçli bir şekilde çevrelerindeki işletmeler ve insanlarla bağlantı içerisindedirler. Bu bağlamda MİY, değişimin yeni biçimlerinin ortaya çıktığı ve geleneksel müşteri ve işletme rollerinin hızlı bir şekilde geçerliliğini yitirdiği yeni iş ortamlarına adapte olmak zorundadır. Müşterilere hizmet "yeni pazarlama anlayışı" olarak adlandırılmakta ve esas itibariyle müşteriler işletmeler için merkezi bir konumda bulunmaktadırlar. İşletmeler de müşterilere yakın olmak için yeni yollar aramaktadırlar. Dijitalleşme işletmenin pazarlama fonksiyonlarında teknolojik gelişmelerin yaşanmasına neden olmuş, yeni yaklaşımlar iletişimi kolaylaştırmış ve yönetilmesini olanaklı kılmıştır (Lipiäinen, 2015: 2-3). MİY`de geleceğin, müşterilerin sürekli değişen ihtiyaçlarını ve beklentilerini karşılamak, onları takip etmek ve geleceğin pazar eğilimlerini önceden tahmin etmeyi işletmelere olanaklı kılan MİY servis sağlayıcılarına ait olacağı düşünülmektedir. Eğer pazarlama ile ilgili veriler, görüşler ve müşteri odaklı bilgiler daha etkili bir şekilde toplanıp analiz edilebilirse işletmelerin daha etkili pazara açılma stratejileri geliştirebilmeleri mümkün olmaktadır. Böylece işletmelerin, sağlam zemine dayalı geliştirilen pazarlama stratejileri ile pazarı ele geçirebilecekleri söylenebilmektedir. Bu noktada pazarlama uzmanları için yapay zekâ, makine öğrenimi, nesnelerin interneti, bulut bilişim, blok zinciri gibi yeni dijital yenilikleri takip etmek oldukça önemlidir (Lund, 2020: 1). Bu durum, MİY yapısında önemli bir değişimin yaşandığını ve geleneksel müşteri ilişkileri yönetim yaklaşımının yerini "dijital müşteri ilişkileri yönetimi" kavramına bıraktığını göstermektedir (BThber, 2019: 1). Dijital müşteri ilişkileri yönetimi, verimliliği artırmak, müşteri taleplerine daha hızlı cevap vermek ve müşteri memnuniyetini sağlamak için müşteri ilişkileri yönetimi işlemlerinde güncel dijital teknolojilerin kullanılması olarak tanımlanabilmektedir. Bu çalışmada müşteri ilişkileri yönetiminde kullanılan yeni dijital teknoloji uygulamaları açıklanmaktadır. Bu doğrultuda öncelikle çalışmanın kavramsal çervevesi oluşturulmakta, sonrasında son yıllarda müşteri ilişkileri yönetiminde kullanılan yapa zekâ, makine öğrenimi, blok zinciri ve bulut bilişim uygulamaları örnekler verilerek anlatılmaktadır.

## 2. KAVRAMSAL ÇERÇEVE

Bu bölümde çalışmada müşteri ilişkileri yönetimi bağlamında uygulamalarının açıklanması amaçlanan yeni dijital teknolojiler olarak kabul edilen yapa zekâ, makine öğrenimi, blok zinciri ve bulut bilişim teknolojileri kısaca tarif edilmektedir.

**Yapay Zeka (Artificial Intelligence-AI):** Yapay zeka, insanlar gibi düşünmek ve insan eylemlerini taklit etmek için programlanmış makinelerde insan zekasının simülasyonunu gerçekleştimektir. Öğrenme ve problem çözme gibi bir insan zihniyle ilişkili özellikler sergileyen herhangi bir makineye de uygulanabilmektedir. Yapay zekanın ideal özelliği, belirli bir hedefe ulaşma şansı en yüksek olan eylemleri rasyonelleştirme ve gerçekleştirme yeteneğidir. Başka bir tanıma göre yapay zeka, insan zekası ile daha önce yapılan işleri bilgisayar ile yapma ve karar verme yeteneği ya da geçmiş deneyime ve verilere dayanan rasyonel karar alma sürecidir. Yapay zeka uygulamaları; sağlık (tedavi ve testler), otomotiv (sürücüsüz arabalar), bankacılık ve finans (dolandırıcılıkları önleme), oyun (satranç oynayan bilgisayarlar), ticaret (menkul kıymetlerin arz ve talep fiyatlandırmasının tahmin edilmesini kolaylaştırma) gibi birçok farklı sektör ve endüstride kullanılmaktadır (Frankenfield ve Scott, 2021: 1; Epicor, 2021: 1).

**Makine Öğrenimi (Machine Learning):** Makine öğrenimi, bir bilgisayar programının insan müdahalesi olmadan öğrenebileceği ve yeni verilere uyum sağlayabileceğidir. Makine öğrenimi, bir bilgisayarın yerleşik algoritmalarını dünya çapındaki ekonomideki değişikliklerden bağımsız olarak güncel tutan bir yapay zeka alanıdır. Kısaca, bilgisayarların programlanmadan kendi başlarına öğrenme ve geliştirme yetenekleridir. Makine öğrenimi, çeşitli nedenlerle farklı sektörlerde kullanılmaktadır. Ticaret sistemlerinin yeni yatırım fırsatlarını belirleyebilmek, pazarlama ve e-ticaret platformlarının kullanıcıların

internet arama geçmişine veya önceki işlemlerine göre kullanıcılarına doğru ve kişiselleştirilmiş öneriler sağlamak, borç veren kurumların kötü kredileri tahmin etmek ve bir kredi riski modeli oluşturabilmeleri, bilgi merkezlerinin dünyanın dört bir yanından çok sayıda haberi işleyebilmeleri ve bankaların dolandırıcılık tespit araçları oluşturabilmeleri için makine öğreniminden yararlanılabilmektedir (Frankenfield ve Khartit, 2020: 1; Epicor, 2021:1).

**Blok Zinciri (Blockchain):** Blok zinciri, bir veritabanı türüdür. Veritabanı, bir bilgisayar sisteminde elektronik olarak depolanan bir bilgi koleksiyonudur. Veritabanlarındaki bilgiler veya veriler, belirli bilgilerin daha kolay aranması ve filtrelenmesine izin vermek için tipik olarak tablo formatında yapılandırılmaktadır. Elektronik tablolar, sınırlı miktarda bilgiyi depolamak ve bunlara erişmek üzere bir kişi veya küçük bir grup insan için tasarlanmıştır. Buna karşılık, bir veritabanı, herhangi bir sayıda kullanıcı tarafından aynı anda hızlı ve kolay bir şekilde erişilebilen, filtrelenebilen ve değiştirilebilen önemli ölçüde daha büyük miktarda bilgiyi barındıracak şekilde tasarlanmıştır. Büyük veritabanları, verileri güçlü bilgisayarlardan oluşan sunucularda barındırarak bunu başarmaktadır. Bu sunucular bazen birçok kullanıcının aynı anda veritabanına erişmesi için gerekli hesaplama gücüne ve depolama kapasitesine sahip olmak için yüzlerce veya binlerce bilgisayar kullanılarak oluşturulabilmektedir. Bir elektronik tablo veya veritabanı herhangi bir sayıda kişi tarafından erişilebilir olsa da, genellikle bir işletmeye aittir ve nasıl çalıştığı ve içindeki veriler üzerinde tam kontrole sahip atanmış bir kişi tarafından yönetilmektedir. Blok zinciri; bankacılık ve finans (dijital para işlemleri: bitcoin), sağlık (tıbbi kayıtların saklanması), mülkiyet kayıtları, akıllı sözleşmeler, tedarik zinciri, oylama olmak üzere birçok sektörde farklı işlemler için kullanılmaktadır (Conway, 2020: 1).

**Bulut Bilişim (Cloud Computing):** Bulut bilişim, farklı hizmetlerin İnternet üzerinden sunulmasıdır. Bu kaynaklar, veri depolama, sunucular, veritabanları, ağ iletişimi ve yazılım gibi araçları ve uygulamaları içermektedir. Dosyaları tescilli bir sabit sürücüde veya yerel depolama cihazında tutmak yerine, bulut tabanlı depolama, onları uzak bir veritabanına kaydetmeyi mümkün kılmaktadır. Elektronik bir cihazın internet erişimi olduğu sürece, verilere ve onu çalıştırmak için yazılım programlarına erişimi mümkündür. Bulut bilişim; bilgi işlem, maliyet tasarrufu, artan üretkenlik, hız ve verimlilik, performans ve güvenlik gibi çeşitli nedenlerle insanlar ve işletmeler için popüler bir alternatif olarak görülmektedir. Bulut bilişim işletmeler, kamu kurumları ve bireyler tarafından sıklıkla kullanılmaktadır. Bulut bilişim kullanıcılarına; e-posta adresi, depolama, yedekleme ve veri alma, uygulama oluşturma ve test etme, veri analizi, ses ve video akışı, talep üzerine yazılım sağlama gibi birçok konuda hizmet sunmaktadır (Frankefield ve Mansa, 2020: 1).

## 3. YÖNTEM

Bu çalışmada yeni dijital teknolojilerin MİY`e etkisinin araştırılması amaçlanmıştır. Bu amaç doğrultusunda müşteri ilişkileri yönetiminde yapay zeka, makine öğrenimi, blok zinciri ve bulut bilişim teknolojilerine yönelik uygulama örnekleri değerlendirilmiştir. Bu bağlamda çalışmada nitel araştırma yöntemi kapsamında içerik analizi kullanılmıştır. İçerik analizi, bir metne ilişkin tarafsız ve sistematik bir bilgi sunmayı amaçlayan, metinden sonuçlar çıkarmak için bir dizi usulün gerçekleştirildiği bir analiz türüdür. Araştırmada tarama modeli tercih edilmiştir. Tarama modeli, mevcut bir durumun olduğu gibi betimlenmesini öngören bir yaklaşımdır (Koçak ve Arun, 2006: 22; Özdaşlı ve Çelikkol, 2012: 145-146). MİY`de yeni dijital teknolojilere yönelik güncel uygulama örneklerine ilgili web sayfaları taranarak ulaşılmaya çalışılmıştır. Araştırma 2021 yılının Nisan ayında gerçekleştirilmiştir. Çalışmanın iki önemli kısıtı bulunmaktadır. Birincisi, araştırmada tüm uygulamalara ulaşılamamıştır. İkincisi, çalışmada sadece yapay zeka, makine öğrenimi, blok zinciri ve bulut bilişim teknolojilerine yönelik örnekler incelenmiştir. Bu nedenle araştırmada az sayıda örnek üzerinden değerlendirme yapılmaya çalışılmıştır. Bununla birlikte çalışmada bellirli bir sektör üzerinden değerlendirme yapmanın yeterli olmayacağı düşünüldüğünden, MİY`de yeni teknolojilerin kullanımı tüm sektörler bazında değerlendirilmiştir.

## 4. MİY`DE YENİ DİJİTAL TEKNOLOJİLERİN KULLANIMI

Bu bölümde MİY bağlamında yapa zekâ, makine öğrenimi, blok zinciri ve bulut bilişim uygulamaları güncel örneklerden hareketle açıklanmaktadır.

*Yapay Zekâ:* Yapılan araştırmada MİY`de kullanımına en sık rastlanan yeni dijital teknoloji türünün yapay zekâ olduğu görülmüştür. Yapay zekâ; Amazon, Netflix, Google ve Facebook gibi işletmelere müşterilerini daha kapsamlı bir biçimde tanımalarına yardımcı olmaktır. Yapay zekâ; müşterilerin satın alma geçmişini, müşterilerin çeşitli ürünler üzerinde harcadığı zamanı, müşterilerin sosyal medya görünüşleri ve davranışlarını, yeni ürünleri birbirine tavsiye eden çeşitli müşteriler arasındaki benzerlikleri haritalamada kullanılmaktadır. Teknolojik gelişmelerin tesir gücü sadece daha iyi müşteri tecrübesi sağlamak, teslimatı hızlandırmak isteyen Facebook, Google, Alibaba ve Amazon gibi e-ticaret işletmeleri ile sınırlı değildir. Waymo, LG, Shell ve Amerikan Express gibi işletmeler de daha iyi hizmet sunarak doğru müşteri tecrübesi oluşturmak için ortaya çıkan yeni teknolojilere yatırım yapmaktadır. Dünyadaki her bir işletmenin yapay zekâ kullanımı gelecek on yılda gerçekleşebilecek uzak bir hayal olmasına rağmen birçok işletme yapay zekâyı müşteri ihtiyaç ve taleplerini karşılama ve daha iyi müşteri tecrübesi sağlamada kullanmaya başlamıştır. Apple'ın Siri'si, IBM Watson, çeşitli Chatbot'lar, Google Goggles, Google Photo, Google Buds bunlardan birkaçıdır. Yapay zekâ için veriler en önemli bileşenlerdir. Her saniye pazarlamacılar tarafından milyarlarca veri seti üretilmektedir. Yapay zekâ müşteriler tarafından Twitlenen her söz, yazılan gönderi, paylaşılan video ve resimler, ziyaret edilen siteler ve online satın alınan ürünlerden anlamlar çıkartmaktadır. İşletmeler tüketicilerin ilgilendiği ürünleri sunmak için bu verileri kullanmaktadır. İşletmeler daha iyi bir müşteri tecrübesi sunmak ve satış hacmini arttırmak için yapay zekâya yatırım yapmaktadırlar (Deb vd., 2018: 758). Müşteri ilişkilerinde yapay zekâ uygulamalarından biri olan chatbotlar yazı ve ses ile kullanıcıların konuşma dilini algılayarak bilgi ve hizmetlere erişimi sağlayan bir yazılım temsilcisidir (Skjuve vd., 2021: 1). Chatbotlar kullanıcı ile belirli bir senaryo üzerinden yazışan ve cevap veren yazılımlardır. Müşterinin deneyimi ve müşterinin yaşayabileceği sorunlar üzerine yazılan algoritmalara göre iletişim kuran chatbotlar müşteri hizmetleri alanında yaygın bir şekilde kullanılmaktadır (Cerebro, 2018: 1). Başarılı chatbot uygulamalarının birçoğu yurtdışında geliştirildiği için ünlü chatbot uygulamarıyla İngilizce konuşmak gerekmektedir. Buna rağmen Türkiye`de son zamanlarda birçok işletme chatbot uygulamasını kullanır hale gelmiştir. Bunlardan biri şipariş uygulaması olan Getir'in chatbotudur. Faaliyet sınırları içinde şipariş işlemlerinde müşterilere yardım eden chatbot aradığınız ürünleri hızlı bir şekilde sıralamakta ve müşterilere yardımcı olmaktadır (Yeren, 2020: 1). Chatbotlar daha basit isteklere ve sorulara yanıt verirken, yapay zekanın bir diğer uygulaması olan sanal asistanlar neredeyse gerçek bir asistan gibi hizmet edebilmektedir. Bu asistanlardan dünyada en bilinenleri Siri, Google Assistant, Amazon Alexa ve Microsoft Cortonadır (Cerebro,2018: 1). Vakıfbank Wibi, Vodafone TOBİ, Turkcell Yaani ise Türkiye'de kullanılan sanal asistan uygulamalarından birkaçıdır. 5000 soruya yanıt veren Vakıfbank Wibi ile müşteriler para transferi, kredi başvurusu, QR kod ile para-çekme yatırma, sanal kart limit belirleme, piyasa bilgilerini öğrenme ve kredi kart borç bilgileri sorgulama işlemleri yapabilmektedir (Durdak, 2019: 1). Yine aynı şekilde Vodafone TOBİ abonelerin fatura, tarife, cihaz fiyatları gibi konulardaki sorularını hızlı, net ve tutarlı bir şekilde insan müdahalesi olmadan yanıtlayabilmektedir (ChatbotTurkey, 2019: 1).

*Makine Öğrenimi:* MİY`de kullanılan bir diğer yeni dijital teknoloji türü makine öğrenimidir. Makine öğrenimi ve teknikleri veri analizi aracılığıyla müşteriler ile etkileşim kurma yollarını değiştirmiştir. MİY, müşteri ihtiyaçlarını daha doğru bir şekilde tanımlamak ve ilişki geliştirmek için mevcut ve ileriye yönelik müşteri verisini toplama, analiz etme ve yaymayı kolaylaştırıcı teknolojinin kullanımıdır. Makine öğrenimi tekniklerini kullanan bazı MİY yazılımları incelendiğinde "Base" adlı yazılım verileri analiz ederek canlı geri dönüşler sunmakta ve satışları arttıran tavsiyeler vermekte, hedef tahmini ve takibi yaparak müşteri geliştirmeye odaklanmaktadır. "SugarCRM" müşteri bilgilerini dışsal veri noktalarını temel alarak otomatik bir şekilde güncellemekte ve müşterilerle özel etkileşimler kurmaktadır. "Zoho" adlı MİY aracı takımın amaca ulaşıp ulaşamacağını tahmin etmek için satış faaliyetlerindeki anormallikleri belirlemektedir. Ayrıca bu uygulama satış görevlerinin beklentilere ulaşma olasılığı için optimal süreyi belirlemektedir (Chagas vd., 2018: 452-455). Birçok işletme makine öğrenimi algoritmalarını müşterileri tespit etmek, onları doğru bir şekilde anlamak, müşteri verilerini değerlendirerek belirli bir dönemdeki gelirlerini tahmin etmek için kullanmakta ve pazarlama çabalarına yön vermektedir. Makine öğrenimi olası müşteri kaybı ve bu kaybın sebeplerinin ortaya çıkarılmasında kullanılmaktadır. Makine öğrenimi, algoritmaları ile MİY'de bir konunun analiz edilmesi ve diğerlerinin önüne geçilmesi sağlanmaktadır. Örneğin, bir e-postada "arıza" kelimesi geçtiyse bu e-postaya yanıtlama önceliği kazandırmaktadır (Makers Türkiye, 2021: 1). Türkiye'de makine öğrenmini kullanan işletmelerden biri de Toyota Türkiye'dir. Belirsizlikleri tahmin etmek, pazarlama çalışmalarında genele hitap etmek yerine tekil

müşteri davranışlarını öngörerek proaktif aksiyonlar almak isteyen Toyota Türkiye Microsoft Azure Machine Learning kullanarak ve makine öğrenimi algoritmaları ile kendi verilerini konuşturmuş ve bazı modeller ortaya çıkarmıştır. Bu modelleri daha sonra gerçek verilere uygulayarak geleceğe dönük bazı tahminlemeler ortaya çıkartıp ve bunları operasyonel kararlarında uygulayamaya koymuştur. Sonuçlar kontrol grubuyla karşılaştırıldığında kaynakların daha etkin kullanıldığı, müşteri tarafında da bir değer oluşturulduğunu göstermiştir. Doğru kişiye ulaştıkça o kişiler için değer oluşturulurken, teklifleriyle ilgilenmeyecek kişilerin vaktini daha az alarak yoğun iletişim ortamında kıymetli bir etki oluşturmuştur (Microsoft, 2019: 1).

*Bulut Bilişim*: MİY, işletmelere mevcut ve gelecekteki müşterileri ile işbirliğini izleme olanağı sağlayan bir yazılım veya uygulamadır. Bu bağlamda bulut teknolojisinde herbir bilgi bulutta güvenli bir bir şekilde depolanmaktadır (Manchar ve Chouhan, 2017: 1). Bulut bilişim, sunucu ağlarının kullanımıdır. Bulut ile işletmeler izni olan herhangi bir cihazdan tüm dosya ve verilerine erişebilme fırsatını yakalamaktadırlar. Bulut temelli MİY sistemleri küçük işletmelerden kurumsal işletmelere kadar tüm işletmelerin etkin müşteri yönetimi aracılığıyla amaçlarına ulaşmasına yardımcı olmak için tasarlanmıştır. Bulut sunucuları ile tüm müşteri yaşam eğrisi ve satış sürecinin tamamına odaklanmak kolaylaşmıştır (eZnetCRM, 2021: 1). İşletmelerin ölçüm ve hesaplama işlerini masaüstünden buluta taşımalarının onlar için faydalı olduğu görüldüğü için günümüzde artık birçok işletme MİY yazılımlarından kullanıcıların internet aracılığıyla da kaynaklara ulaşabilmesini istemektedir (Kumawat, 2019: 1). Bilgileri bulutta tutma işletmelerin hareket halinde iş yapmalarına olanak sağlayan mobil fonksiyonelliği olanaklı kılmış ve internet erişimi ile bulutta kayıtlı bilgilerin güncel olmasını sağlamıştır (SecondCRM, 2021: 1). İşletme çevresinde diğer işletmeler artık bilgi teknolojilerine yatırım yapmak yerine işletmenin bilgi teknolojileri ile ilgilenen bulut bilişim sağlayıcıları ile iş yapmaktadır. MİY doğrudan sunucuya bağlandığında kullanıcı için gerekli olan sadece bir internet bağlantısı olmaktadır. Böylece işletme süreçleri de daha mobil olmaya başlamaktadır. Bulut bilişimin işletmeler için bir diğer faydası ise düşük maliyetlerdir. Çünkü bulut bilişimi kullanan MİY yazılımı sunucuda ve internette mevcut bulunmakta ve kullanıcı yazılımı satın almak zorunda kalmamaktadır. İşletmeler yazılımı sadece web sunucusu üzerinden kullanmaktadır. İşletmedeki herbir bilgisarayara MİY yazılımının kurulmasına gerek duyulmamaktadır. İşletme sadece fiili bir şekilde kullanacağı depolama ve bulut kapasitesi için ödeme yapmaktadır. Bulut bilişim işletmelerin veri ve bilgilerini daha etkili bir şekilde yönetmesine ve daha iyi müşteri hizmeti vermesine olanak sağlamaktadır (Němeček ve Vaňková , 2011: 255-257). Bulut bilişim uygulamalarından biri olan Salesforce işletmeler için MİY uygulaması ve kapsamındaki satış, destek ve raporlama yazılımları sunmaktadır (Keloğlu, 2012: 15). Dünyanın önde gelen markaları, Salesforce uygulaması ile dijital çağa ayak uydurabilmekte ve müşterilerine ve onların taleplerine odaklanabilmektedir. Amerikan Express, AT&T, Coca Cola, HP, Toyota, Verizon ve Kellogg's gibi markalar zaman tasarrufu, satışa daha çok vakit ayırabilme, müşteriye odaklanma nedeniyle bu uygulamayı kullandıklarını belirtmişlerdir (Inspark, 2016: 1).

*Blok Zinciri:* Yeni dijital teknolojilerden bir başkası olan blok zinciri teknolojisi, müşteri ilişkileri veri tabanını bütünleştirme ve güvence altına almada kullanılabilen teknolojik olarak üstün bir yapısal araçtır. Bir blokzinciri gerçek anlamda herbir bloğun işlem kayıtlarını içerdiği blokların zinciridir. Herbir blok komşu bloğa kriptoyla korunmuş bir şekilde bağlıdır. Bu durum, katılımcı kullanıcıların ağı kullanmalarını güven altına almakta ve izinsiz girişleri kısıtlamaktadır. Birçok MİY veri tabanları artık bulut sunuculardadır. Bulut güvenlik protokolleri gelişme göstermesine rağmen, bulut güvenliği hakkındaki endişeler tamamıyle giderilememiştir. Bulut çoğunlukla merkezileşmiş bir sistemdir. Bunun aksine blokzinciri düzenli olarak senkronize edilen ağlar arasında dağıtılmış ve merkezileşmemiş bir sistemdir. Sonuç olarak blokzinciri ile dolandırıcılık ve verilere ulaşma şansı ortadan kalkmaktadır. Blok zinciri merkezileşmemiş bir varlık olduğundan, işletme güvenli ve şeffaf bir şekilde müşterileriyle ilgilenebilmektedir. Kişisel veri güvenliği endişelerinin artması ile MİY sistemleri müşteri verilerilerini nasıl ele alacaklarını belirlemek zorunda kalmıştır. Bundan dolayı merkezileşmemiş ve güvenli yapısından dolayı blok zinciri önemli hale gelmiştir. Blok zinciri kişisel bilgileri saklayıp şifrelediği için kullanıcılara büyük bir konrol gücü sağlamaktadır. Dünya genelindeki MİY kulanıcıları bir ölçüde doğru olmayan ve kopya verilerle başa çıkmak zorunda kalabilmektedir. Mevcut blok zinziri ile bir müşteri kişisel bilgileri, geçmiş işlemleri ve abonelikleri gibi doğru ve birleştirilmiş resmini temsil eden kendi kişisel anahtarlarına sahip olabilmektedir. Ayrıca müşteri tecrübelerine değer katarak karları arttıran sadakat programları da kriptoparalara benzer bir yolla blok zinciri kullanılarak yeniden hayal edilip tekrar canlandırılabilmektedir. Çünkü blok zinciri ile müşteriler merkezileşmemiş tüm markalar ile uyumlu tek

bir cüzdan kullanabilecektirler. Böylece müşteri tüm tecrübeleri üzerinde büyük bir kontrole sahip olmakta ve markalar müşterilere daha iyi deneyim sunmak için yarışmaktadırlar (Meyers, 2021: 1; Jones, 2021: 1). Akbank geleneksel yöntemlere göre daha hızlı ve esnek yapısı, döviz kurlarını önceden sunabilmesi, ödemelerin takip edilebilir olması ve müşteriye 7/24 hizmet sunma avantajlarından dolayı blok zinciri teknolojisini kullanmayı tercih etmiştir. Ayrıca Borsa İstanbul (BIST) veritabanlarına yeni müşteri eklemeyi, mevcut bilgileri değiştirmeyi ve doküman yönetimlerini blok zinciri üzerinden gerçekleştirmeyi hedeflemektedir (Altay Topçu ve Sumerli Sarıgül, 2020: 37; Demirel, 2017: 1).

## 5. SONUÇ

Günümüzde MİY yeni teknolojiler tarafından yürütülmektedir. Hem MİY sistemleri geliştiren işletmeler hem de MİY kullanan işletmeler aynı derecede teknolojiye bağlıdır. Yapay zekâ, makine öğrenimi, bulut bilişim, blok zinciri, arttırılmış gerçeklik, nesnelerin interneti gibi yeni dijital teknolojilerin kullanımı tedarik zinciri ve MİY gibi alanlarda işletmelerin hayatta kalmaları için önemli hale gelmiştir. Teknolojinin rolü robot üretimi, milyarlarca kaydı yönetme ve saklama, bilginin yönetimi (toplanması, işlenmesi ve dağıtımı) müşterilere satış sonrası daha iyi destek sunma ve karar verme ile sınırlı değildir. Teknoloji ayrıca müşterilerin tanınmasını, müşterilerin ihtiyaç, istek ve beklentilerinin değerlendirilmesini ve müşterilere yapay zekâ gibi yeni dijital teknoloji uygulamaları ile satın almak isteyebilecekleri ürünler (değer) sunmayı olanaklı kılmaktadır (Güleş, 2004: 241).

Bu çalışmada yeni dijital teknoloji türleri olarak kabul edilen yapay zekâ, makine öğrenimi, blok zinciri ve bulut bilişimin MİY`de kullanımı incelenmiştir. İnceleme sonucunda iletişim, bilişim ve bankacılık olmak üzere birçok sektörde işletmelerin farklı şekillerde MİY`de yeni dijital teknolojileri kullandıkları belirlenmiştir. Bununla birlikte MİY`de kullanımına en çok rastlanılan yeni dijital teknoloji türünün yapay zekâ olduğu tespit edilmiştir. Yapay zekânın kullanımına yönelik birçok örnek bulunmaktadır. Apple'ın Siri'si, IBM Watson, Chatbot, Google Goggles, Google Photo, Google Buds, Vakıfbank Wibi, Vodafone TOBİ ve Turkcell Yaani bunlardan bazılarıdır. Yine en çok kullanılan yapay zekâ uygulamasının Chatbot olduğu görülmüştür. Diğer yandan diğer teknolojilerin kullanımına yönelik makine öğrenimi için Base, SugarCRM, Zoho ve Toyota Türkiye Microsoft Azure Machine Learning; bulut bilişim için Salesforce (Amerikan Express, AT&T, Coca Cola, HP, Toyota, Verizon ve Kellogg's); blok zinciri için Akbank ve BIST`in uygulamaları örnek olarak verilebilmektedir. Tüm bu uygulamalarda amaç müşterileri tanımak, müşterilerle ilgili doğru bilgilere ulaşarak müşterilere doğru ürünler sunmak, müşterilerle doğru iletişim kurarak müşterilerin istek ve beklentilerine, şikâyetlerine hızlı ve etkin geri dönüşler yapmak kısaca müşteri memnuniyetini sağlamaktır. Böylece işletmeyi uzun vadede başarılı kılmaktır.

Sonuç olarak bu çalışmada son yıllarda yeni dijital teknolojilerin MİY`de yoğun bir şekilde kullanıldığı anlaşılmıştır. Bu çalışmayı değerli kılan literatürde benzer çalışmaların azlığıdır. Ayrıca tüm dijital teknolojilerin aynı anda değerlendirildiği bir çalışmanın olmamasıdır. Çalışmanın bu yönüyle literatüre katkı sağlayacağı düşünülmektedir. Diğer yandan çalışma, yapay zekâ, makine öğrenimi, bulut bilişim ve blok zinciri uygulamaları ile sınırlandırılmıştır. Ancak arttırılmış gerçeklik ve nesnelerin interneti gibi teknolojilere yönelik uygulamaların da olabileceği düşünüldüğünden, bundan sonraki çalışmaların diğer dijital teknolojileri de kapsayacak şekilde yapılmasının yararlı olacağı umulmaktadır.

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# Makine Öğrenmesi Tahmin Algoritmaları: Borsa İstanbul 100 Endeksi

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**Özet:** Bireysel ve kurumsal yatırımcılar yatırım kararları almadan önceden yatırımları hakkında geleceğe yönelik bilgi sahibi olmak istemektedir. Hisse senetleri hakkında bilgi sahibi olmak isteyen yatırımcılar hisse sentlerine ait borsa endekslerini takip etmekle beraber teknik ve temel analizleri geçekleştirmektedir. Bu çalışmada BIST-100 endeksine ait 2019 – 2020 yılları arasındaki günlük veriler kullanılarak AR(I)MA yöntemi ile öngörü yapıldıktan sonra tahmin çıktısının yetersiz olduğu sonucuna varılmaktadır. Bu sebeple makine öğrenmesi algoritmaları kullanılarak regresyon tahmini gerçekleştirilmektedir. Analiz sonucunda hata istatistik değerleri karşılaştırılarak makine öğrenmesi algoritmalarının AR(I)MA tahmin yönteminden daha az hata değerlerine sahip olduğu görülmektedir. Makine öğrenmesi algoritmalarından en iyi hataya sahip olan tahmincinin RBF-YSA olduğu sonucuna varılmaktadır. Geleneksel tahmin yöntemlerinin aksine öngörü tahminlerinde makine öğrenmesi algoritmalarının ekonometrik analizlerde kullanımı tartışma konusu olsa dahi yapılan çalışmalarda elde edilen bulguların olumlu sonuçlar vermesi makine öğrenmesi algoritmalarının ekonometrik analizlerde zamanla daha çok yer alabileceğini göstermektedir.

**Anahtar Kelimeler:** AR(I)MA Modeli, Makine Öğrenmesi, BIST-100 Endeksi

# Machine Learning Prediction Algorithms: Borsa İstanbul 100 Index

**Abstract:** Individual and corporate investors want to know about their investment in advance without making investment decisions. Investors who want to know about stocks follow stock market indexes and conduct technical and basic analyzes. In this study, it is concluded that the output of forecast is insufficient after prediction is made using the AR(I)MA method using the daily data from 2019–2020 of the BIST-100 index. Therefore, the regression prediction is carried out using machine learning algorithms. The analysis shows that machine learning algorithms have less error values than the AR(I)MA estimation method by comparing error statistics values. It is concluded that the predictor who has the best error from machine learning algorithms is YSA-RBF. Unlike traditional predictions, the use of machine learning algorithms in prediction estimates in econometric analysis is a topic of discussion, but the positive results of the findings in the studies have shown that machine learning algorithms can be more involved in econometric analysis over time.

**Key Words:** AR(I)MA Model, Machine Learning, BIST-100 Index

## 1. GİRİŞ

Bireysel ve kurumsal yatırımcılar yatırım kararları alırken en iyi yatırım kararını almak istemektedir. Bu sebeple gelecekte elde edilmesi istenen karın doğru bir şekilde analiz edilmesi kullanılan tahmin yöntemleri için önem arz etmektedir. Elde edilen tahminlere göre yarımlar şekillenmekte ve yatırım kararları arsındaki maksimum faydayı sağlamak koşulu altında seçim yapılmaktadır. Ülkelerin uyguladıkları maliye ve para politikalarının yanı sıra piyasalarda ortaya çıkan belirsizlik ve yayılma etkisi borsa endeksleri (BIST-100, vb. gibi) üzerinde artış ya da azalış etkili olmaktadır. Piyasa yapısının önemli bir göstergesi olarak kabul edilen BİST-100 endeksindeki ani artış ve azalışlar risk yapısını ortaya çıkartmaktadır. Risk yapısının belirlenmesi ve gelecekte oluşması ön görülen riskin göze alınarak işlem yapılması hem piyasa hakkında iyi bir gözlem ve bilgi yapısını gerektirirken; tahmin aşamasında kullanılan yöntemlerinde tutarlı ve etkin olmasını gerektirmektedir. İktisadi ve finansal yapı içinde ele alınan serilerin tahmin ve öngörü aşamalarında AR(I)MA ve benzeri yöntemler ele alınmakla birlikte, bulanık mantık modellerinin yanı sıra derin öğrenme ve makine öğrenmesinin gelişimi ile farklı algoritmalar da (yapay sinir ağı , destek vektör regresyonları, rassal orman) kullanılmaktadır.

BIST-100 endeksi tahmin ve öngörü aşamasında AR(I)MA modellerine kıyasla makine öğrenmesi algoritmalarının daha iyi sonuç verdiği ifade edilebilmektedir. Kutlu ve Badur (2009), İMKB endeks değerlerini yapay sinir ağı ile tahmin ederek başarı sonuç elde ettiğini ifade etmektedir. Yakut, Elmas ve Yavuz (2014), hisse senedi tahmininde ileri beslemeli yapay sinir ağı ve destek vektör makinelerini kullanarak hisse senedi tahmininde bu yöntemlerin etkin şekilde kullanılabileceğini vurgulamaktadır. Yiğiter, Sarı ve Başakın (2017), hisse senedi fiyat tahminlerinde yapay sinir ağı ve bulanık mantık

yöntemlerinin etkin sonuçlar vermediğini ve eğim çizgisi uydurularak daha etkin sonuçlar elde edildiğini belirtmektedir. Şahin(2018), kripto para fiyat tahmininde AR(I)MA ve YSA modellerini inceleyerek YSA-MLP modelinin ARIMA modelinden daha iyi sonuç verdiğini ifade etmektedir. Karasu, Altan, Saraç ve Hacioğlu, (2018), kripto para fiyat tahmininde destek vektör makinesi modelinin tahmin performansının doğrusal regresyon modelinden daha yüksek olduğunu vurgulamaktadır. Akşehir ve Kılıç (2019), karar ağacı, çoklu regresyon ve rassal orman yöntemleri kullanarak hisse senetlerinin başarılı tahminlerinin elde edildiğini göstermektedir. Sarıkaya (2019), hisse senetleri tahmininde yapay sinir ağı modellerinin kübik regresyon modeline göre daha iyi sonuç verdiğini ifade etmektedir. Kantar (2020), BIST-100 endeksinin aylık verilerini kullanarak AR(I)MA ile yapay sinir ağı ile öngörü tahmini gerçekleştirerek yapay sinir ağı yönteminin daha iyi sonuç verdiğini çalışmasında göstermektedir. Ustalı Koç, Tosun ve Tosun (2021), BIST-30 endeksine uygulamakta oldukları makine öğrenmesi algoritmaları ile gelecek fiyat tahmini yapılmakta olup olumlu yönde performans gösterdiğini ifade etmektedir.

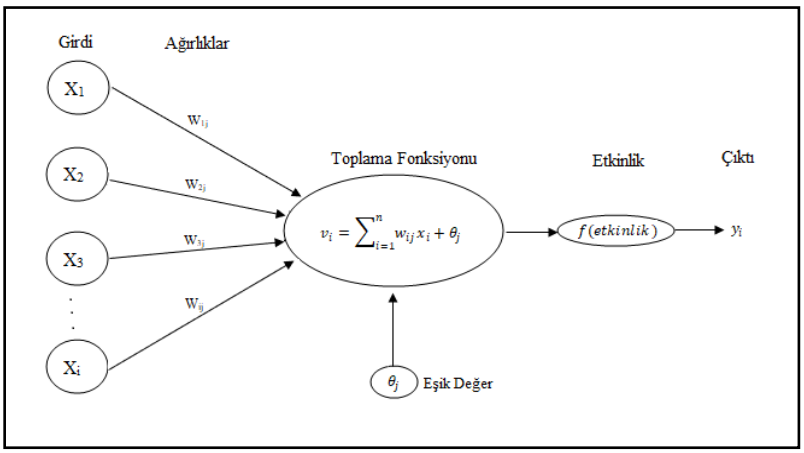
Çalışma kapsamında, 2019 – 2020 dönemleri arasında günlük verilerden faydalanılarak en uygun tahmin ve öngörü yönteminin belirlenmesi amaçlanmaktadır. İlk kısımda konuya giriş yapıldıktan sonra ikinci kısımda BIST-100 tahmin ve öngörüleme işlemlerinde ele alınan modellerin teorik yapısı hakkında bilgi verilmektedir. Üçüncü kısımda BIST-100 endeksine ilişkin en uygun model yapısına karar verildikten sonra son kısım sonuç ve önerilere ayrılmaktadır.

## 2. EKONOMETRİK METODLAR

### 2.1. Yapay Sinir Ağları

Yapay sinir ağı (YSA), insan beyninin çalışma mekanizmasından esinlenerek problemlere çözüm getirmek için oluşturulmuş esnek bir matematiksel modeldir (Wang, Chang ve Tzeng, 2011). Yapay sinir ağları, sınıflandırma, regresyon tahmini, kümeleme gibi birçok probleme ilişkin çözümleri geçmiş bilgilerden yararlanarak öğrenme yolu ile sağmaktadır (Efendigil, Önüt ve Kahraman, 2009: 6699).Yapay sinir ağları biyolojik sinir hücreleri incelenerek, sinir hücrelerinin yapısını ve çalışmasını taklit eden bir bilgisayar programıdır. Kendi kendine öğrenme, ezberleme ve bilgiler arasında ilişkiler kurma yeteneğine sahip olmaktadır (Elmas, 2003).

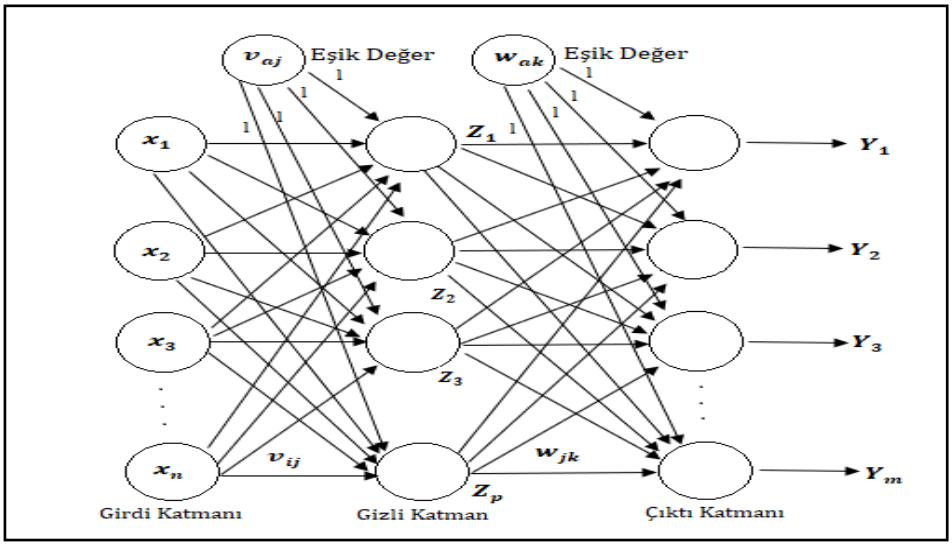
Şekil 1: Yapay Sinir Ağı




Şekil 1'de, bir yapay sinir ağı hücresine dışarıdan işlenmek üzere gelen verileri ifade eden $(x_1, x_2, x_3 \ldots, x_i)$ girdi değişkenleridir. Bağlantılar üzerindeki ağırlıklar $(w_{1j}, w_{2j}, w_{3j} \ldots, w_{ij})$ sinir hücresine gelen bilginin önemini ve hücre üzerindeki etkisini göstermektedir. Tahminin açısından ağırlıkların büyüklüğü önemli olduğundan, ağırlıklar sıfır etrafında tutulmaya çalışmakta ve önemsiz olanlar dışlanarak kalan ağırlıklar ile tahmin gerçekleşmektedir. Ağırlıklar çarpılarak bir toplayıcıya $(\Sigma)$ uygulanarak net girdi hesaplanmaktadır, elde edilen toplam, etkinlik fonksiyonundan $(f)$ geçirilerek çıktı $(y_i)$ elde edilmektedir. Burada; $w_{ij}$ağırlıkları;$x_i$ girişleri; $\theta_j$ eşik değerini; $(y_i)$ çıkışı; $(f)$ ise etkinlik fonksiyonunu göstermektedir.

Ağın öğrenmesi hakkında bilgi veren çıktı sonuçları ne kadar iyi olursa sinir hücrelerinin eğitim performansı o kadar iyi çalışmaktadır. Yapay sinir ağlarında veri 2'ye ayrılarak eğitim ve test verileri oluşturularak analiz gerçekleşmektedir. (Öztemel, 2003).
Yapay sinir ağları birçok farklı alanda kullanılabilmektedir, kullanımı en yaygın olan yapay sinir ağ modelleri; çok katmanlı ileri beslemeli (MLP) ve radyal tabanlı fonksiyon (RBF) modellerinin olduğu literatür taramasında görülmektedir. Uygulama kapsamında MLP ve RBF analiz edilmektedir.

Şekil 2: Çok Katmanlı İleri Beslemeli Yapay Sinir Ağı




MLP modelinin yer aldığı Şekil 2'de görüldüğü gibi ilgili problemin yapay sinir ağına alındığı yer girdi katmanını oluştururken, çıktı katmanı problemin işlendiği ağın içindeki bilgileri dışarıya ilettiği katman oluşturmaktadır. Bu iki katman arasında gizli katman yer almaktadır.

Çok katmanlı ileri beslemeli yapay sinir ağı, girdi vektörünü $x$, çıktı vektörünü $y$, ilk katmanın ağırlık matrisini $A$, ilk katmanın eğilim değerini $a$, ikici katmanın ağırlık matrisini $B$, ikinci katmanın eğilim değerini $b$ ve doğrusal olmayan elementleri$l$ göstermek üzere,

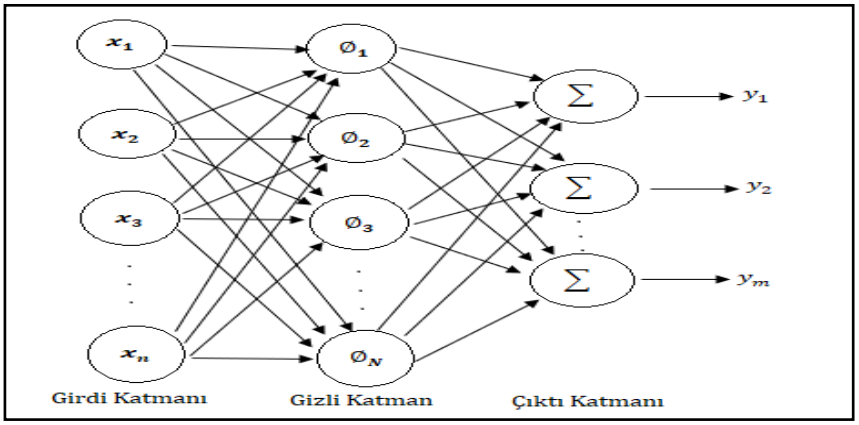
$$y = f(s) = Bl(As + a) + b \qquad (1.1)$$

şeklinde gösterilebilmektedir (Öğücü, 2006: 46).

Radyal tabanlı yapay sinir ağları (RBFN) ara katmanında aktivasyon fonksiyonu olarak kullanılan $(f(x) = e^{-x^2})$ fonksiyondan adını almaktadır. Radyal tabanlı fonksiyon ağları MLP'ye benzemektedir. Yapay sinir ağı türlerinden farklı olarak tek gizli katmana sahip olmaktadır. Katman sayısı ağ yapısından kaynaklı nedenlerden dolayı değiştirilememektedir (Sivanandam, Sumathi ve Deepa, 2006).

Elde edilmek istenen RBF ağı, girdi verisine bağlı olarak gizli katmanda uygun değerlere sahip radyal tabanlı fonksiyonları seçerek, çıkış katmanında bu fonksiyonların ürettiği çıktıların uygun ağırlık değerleriyle doğrusal birleşimlerini oluşturup girdi ve çıktı arasındaki ilişkiyi belirleme süreci olarak açıklanabilmektedir (Kaynar, Taştan ve Demirkoparan, 2010: 564).

Şekil 3: RBF Yapay Sinir Ağı




Giriş katmanındaki veriler ağırlık değerleri ile çarpılmadan gizli katmana gönderilmektedir.

$x \in R^{nx1}$yapay sinir ağın girdi vektörünü, $\emptyset_k$ (.) $\in R^+$ , radyal tabanlı aktivasyon fonksiyonunu, $c_k \in R^{nx1}$girdi vektör uzayının bir alt setinden seçilen radyal tabanlı merkezleri, $\| . \|_2$girdi vektörünün merkezden ne kadar uzak olduğunun bir ölçütü olan öklidyen normunu, $w_{ik}$ çıktı katmanındaki ağırlıkları, $N$ ise gizli katmanda bulunan hücre sayısını ve $y$ çıktıyı göstermek üzere radyal tabanlı yapay sinir ağları modeli,

$$y_i = \sum_{k=1}^{N} w_{ik} \ \emptyset_k \ (x, c_k) \qquad (1.2)$$

olarak gösterilmektedir (Okkan ve Dalkılıç, 2012, s.5959).

## 2.2. Destek Vektör Makinesi

Makine öğrenmesi algoritması olan ve istatiksel temele dayalı destek vektör makineleri (DVM) sınıflandırma yöntemi olarak ortaya çıkmaktadır (Vapnik, 1995). DVM başlangıçta iki doğrusal verinin sınıflandırılması için kullanılırken problemlerin ikiden fazla sınıfa ayrılması gerektiği düşüncesiyle çoklu sınıflandırma çalışmaları gerçekleştirilmektedir (Wang ve Xue, 2013). DVM'yi tahmin etmede kullanılan kapasite (C), esneklik($\xi$ ) ve kernel parametreleri DVM'lerin tahmininde bu çok iyi ayarlanması gerekmektedir (Popov ve Sautin, 2008).

DVM'de sınıfların ayrılmasında en büyük aralık değerine sahip olunması ve verilerin doğru bir şekilde ayrılabilmesi için kullanılan sınıflandırıcı fonksiyon, $A$ veri kümesini göstermek üzere,

$$(x_1, y_1), (x_2, y_2), \ldots, (x_i, y_i), \qquad x \in R^A \ , y \in \{+1, -1\} \qquad (2.1)$$

olarak verilmektedir. $x_i$ girdi vektörünü, $y_i$ örnek sınıfları, w ağırlık vektörünü ve b eğilim değerini göstermek üzere,

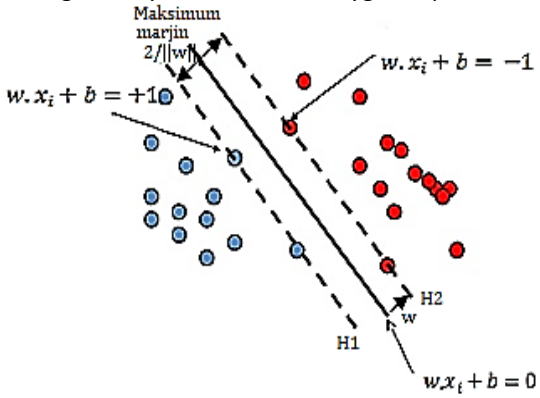
$$f(x) = w.x_i + b = 0 \qquad (2.2)$$

$$w.x_i + b = +1 \qquad (2.3)$$

$$w.x_i + b = -1 \qquad (2.4)$$

eşitlikleri yazılabilmektedir. Eşitlik 2.3 'de verilen, hiper düzlemin üzerinde yer alan verilerin $+1$ sınıfına dahil olduğunu eşitlik 2.4'de verilen hiperdüzlemin altında yer alan verilerin $-1$ sınıfına dahil olduğunu ifade etmektedir.

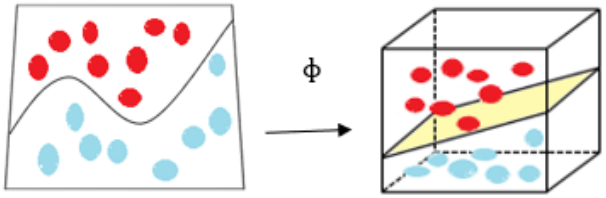
Şekil 4: Doğrusal Ayrılabilen DVM – Uygun Hiper Düzlem




Kesikli çizgilerin üzerindeki veriler destek vektör makinelerini ifade etmektedir. Kesikli çizgilerin üstünde kalan veriler $w.x_i + b \geq +1$ fonksiyonuna, altında kalan veriler ise $w.x_i + b \leq -1$ fonksiyonuna dahil olmaktadır. H1 ve H2 hiper düzlemlerinin arasında eğitim verisi bulunmamaktadır. Hiperdüzlem arasındaki mesafe uzunluğu $2/||w||$ değerine eşit olmakta ve en uygun ayırma düzlemini belirleyebilmek için mesafe uzunluğunun maksimum olması istenmektedir.

DVM'de doğrusal ayrılan modellerin yanı sıra doğrusal olmayan modellerde incelenebilmektedir. Doğrusal modelleme de belirli oranda hata ile sınıflandırma yapılabilmektedir. Bazı durumlarda veri çok daha fazla hatalar ile doğrusal olarak ayrılamadığını, uygun hiperdüzlemden olan sapmaların çok daha fazla olduğunu göstermektedir. Bu durumda doğrusal modeli kullanmak bize doğru tahmin sonucunu vermemektedir. Doğrusal olarak ayrılmada çok fazla sapma olduğunu görülmekte olan verilerde doğrusal olmayan yöntemler kullanılmaktadır. Bu yöntemlerde problemin çözümüne ilişkin girdi uzayındaki orijinal veriyi daha yüksek boyutlu uzaya taşıyarak doğrusal olarak ayırmayı hedeflemektedir.

Şekil 5: Verilerin Yüksek Boyutlu Uzaya Aktarımı




$$x \in R^N \rightarrow x \in R^N \rightarrow \phi(x) \in R^f \qquad (2.5)$$

Orjinal verinin daha yüksek boyutlu bir uzaya taşınması $\phi$ fonksiyon ile ifade edilmektedir. Doğrusal denklemimizde düzenleme yaptığımızda, doğrusal olmayan denklem elde etmek için $x$ yerine $\phi(x)$ yazmamız gerekmektedir.

$$w \cdot \phi(xi) + b = 0 \qquad (2.6)$$

Hiper düzlemin uygun biçimde ayırdığı veriler ise;

$$w \cdot \phi(xi) + b \geq +1 \qquad (2.7)$$

$$w \cdot \phi(xi) + b \geq -1 \qquad (2.8)$$

şeklinde denklem oluşturulmaktadır.

DVM' de verilerin yüksek boyutlu bir uzaya aktarılmasında tüm değerlerin tek tek çarpım yapılarak değerlerin hesaplanması zorlaşmaktadır. Bu durum için çekirdek fonksiyonu kullanılmaktadır. Çekirdek fonksiyonu, orijinal verinin belirli kurala göre yüksek boyutlu uzaya taşınmasını sağlamaktadır. Yeni uzaydaki verilerin $\phi(x_i) . \phi(x_j)$ iç çarpımı eğitim algoritmasını etkileyecektir.

Bu durumunda çekirdek fonksiyonu;

$$K(x_i, x_j) = \phi(x_i) . \phi(x_j) \qquad (2.9)$$

ifade edilmektedir. Çekirdek fonksiyonlarında kullanılan "Çekirdek hilesi" yöntemi sayesinde ($\phi$) ne olduğu bilgisine ihtiyaç duyulmamaktadır. Eşitlik 2.10 'da $\phi$ fonksiyonunu hesaplama gereği duymadan yüksek boyutlu bir uzaya veriler aktarılabilmektedir. Bu durumda uygun hiperdüzlemin oluşturulması için kullanılan formül ise;

$$f(x) = \left(\sum \alpha_j y_j \phi(x_i)\phi\left(x_j\right)\right) + b = \sum \alpha_j y_j K(x_i, x_j) + b \qquad (2.10)$$

şeklinde tanımlanmaktadır.

DVM genellikle sınıflandırma problemlerinde kullanılmakta olup problem çeşitliliği ile Smola ve arkadaşlarının yapmış olduğu çalışmalar DVM'ler regresyon problemlerinde de kullanılmaktadır (Smola ve Schölkopf, 2004). Regresyon tahmini ile sınıflandırma arasında pek fark bulunmasada, regresyon tahmininde amaç, uygun parametreleri belirlemek ve en iyi şekilde tahmin gerçekleştirmektir.

DVR'de de doğrusal ve doğrusal olmayan model tahminleri gerçekleştirilmektedir. Regresyon problemlerinin çözümünde sınıflandırılma için kullanılmakta olan $f(x) = w.x_i + b$ fonksiyonuna hata parametresi ($\varepsilon$) eklenmektedir. Regresyon tahmininde girdi değerleri ($x_i$) çıktı değerleri ise ($y_i$) olduğu varsayımıyla;

$$x_i \in R^N, y_i \in R^N \quad i = 1, \dots, n \qquad (2.11)$$

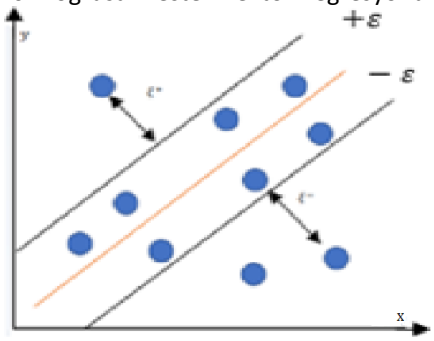
şeklinde tanımlanmaktadır. Hata parametresi ($\varepsilon$) her iki tarafa eklendikten sonra elde edilen fonksiyon;

$$y_i - wx_i - b \leq \varepsilon \qquad (2.12)$$

$$-y_i - wx_i - b \leq \varepsilon \qquad (2.13)$$

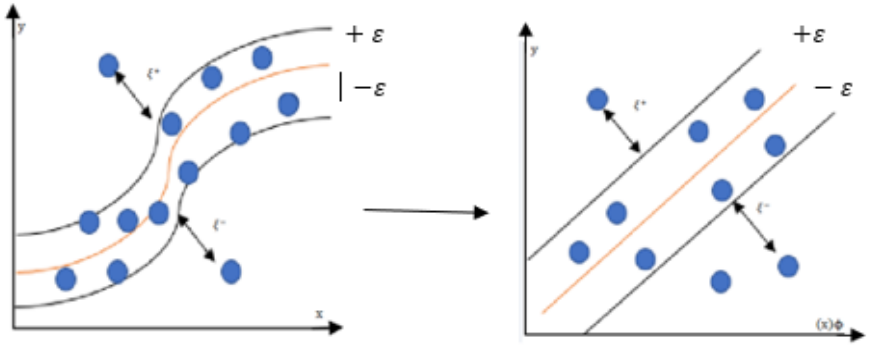
şekilde kullanılmaktadır.

Şekil 6: Doğrusal Destek Vektör Regresyonu




Doğrusal destek vektör regresyonunda x ve y arasında doğrusal ilişkinin var olduğu kabul edilmektedir. Regresyon yöntemi $\varepsilon$'den küçük olması gerekmektedir. Küçük olduğu müddetçe hatayı önemsemeyerek tahmin gerçekleştirmektedir. En uygun regresyon denklemi $1/2||w||^2$ minimize edilerek bulunabilmektedir. Tolerans değerleri ($\xi$) tüm veri için bir $f(x)$ fonksiyonun bulunmadığı durumu ifade etmektedir.

Şekil 7: Doğrusal Olmayan Regresyon Fonksiyonu




Doğrusal regresyon modeli her veri tipi için uygun olmamaktadır. Bu sebeple doğrusal olmayan regresyon tahmini kullanılmaktadır. DVM' de de bahsettiğimiz gibi doğrusal olmayan verileri yüksek

boyutlu uzaya taşınmaktadır. Doğrusal olmayan DVR'de böyle işlemektedir, veriler yüksek boyutlu özellik uzayında uygun fonksiyon bulmaya çalışmaktadır. Doğrusal olmayan regresyon tahmini gerçekleştirebilmek için $x_i.x_j$ iççarpımı yerine DVM'de de kullanılmakta olan doğrusal olmayan çekirdek fonksiyonu $K(x_i.x_j) = \phi(x_i).\phi(x_j)$ yazılmaktadır. Doğrusal olmayan regresyon tahmini fonksiyonu;

$$f(x) = \sum_{i=1}^{L}(\alpha_i^+ - \alpha_i^-)\, K(x_i, x) + b \qquad (2.14)$$

elde edilmektedir.

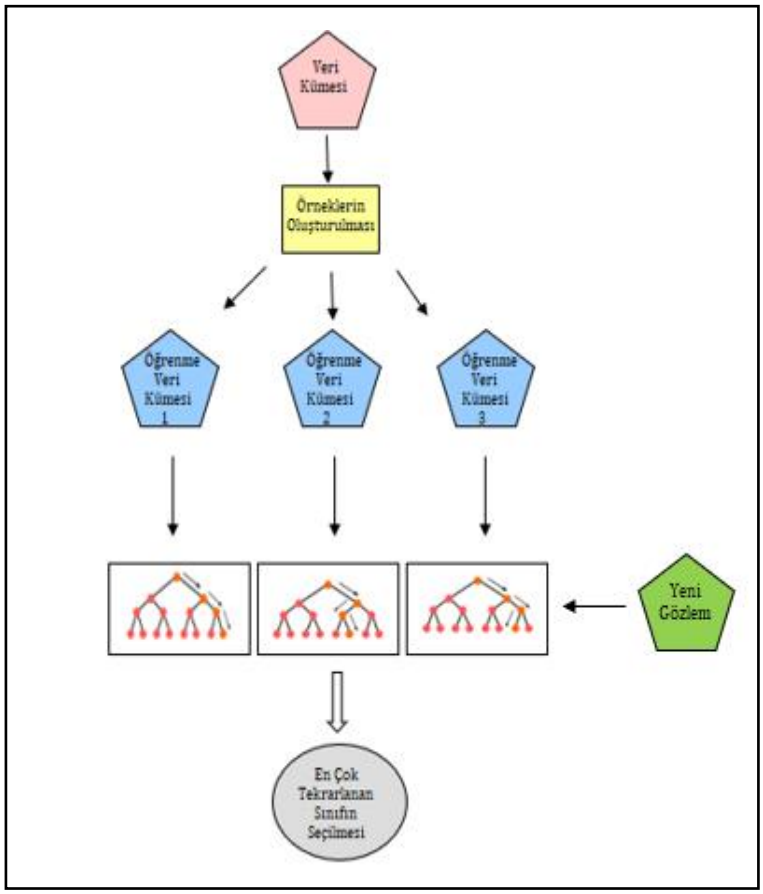
**2.3. Rassal Orman**

Birden fazla karar ağaçlarının bir araya gelmesiyle analizin gerçekleştirilebildiği RO algoritmasında her bir karar ağacı topluluğu ormanı oluşturmaktadır (Breiman, 2001). RO algoritması kapsamında oluşturulan her bir ağaç yapısı tahmin işlemini gerçekleştirmektedir ve doğruya en yakın tutarlı tahmin, modelin öngörüsünde kullanılmaktadır. Rassal orman algoritmasının karar ağacından en büyük farkı, karar ağacındaki aşırı öğrenme ile veriyi ezberleme olumsuz özelliğini ortadan kaldırmaktadır.

RO yönteminde kullanıcının iki parametre tanımlaması gerekmektedir. Bu iki parametre oluşturulacak ağaç sayısı (N) ve her bir düğümde kullanılacak olan değişken sayılarıdır (m). ID3 yöntemi ile RO için ağaç üretilmektedir (Breiman, 2001).

RO algoritması büyük veri tiplerinde etkin şekilde çalışabilmektedir. Üst üste tanımlanan değişkenleri silme ihtiyacı duymadan analiz edebilmektedir.

Şekil 8. Rassal Orman Algoritması Çalışma Adımları




Rassal orman algoritmasının çalışma adımları (Pal, 2005: 218; Watts, Scott, Lawrence ve Hilker, 2010: 70; Akman, Genç, ve Ankaralı, 2011);

I. Ana kütleden N adet örneklem seçilmektedir. Örneklemin bir kısmı öğrenme verisi olarak seçilerek oluşturulacak ağaçlar için kullanılmaktadır.
II. Öğrenme verisi içinden en doğru bilgiyi sağlayacak olan tahmin değişkeni belirlenmektedir. Tahmin değişkeni entropi ve gini indeksi ile dallanma hesaplanmaktadır.
III. Örneklem verisinin her düğümünde dallanma iki alt dala ayrılmaktadır. Bu dallanma işlemi yaprak düğüm elde edilinceye kadar tekrar edilmektedir.
IV. Karar ağaçlarının birbirinden ayrı olarak yapmış oldukları tahminleri bir araya getirerek yeni bir tahmin yapmaktadır. En doğru tahmini yapmış olan (en çok oyu alan) sınıf seçilmektedir.

Rassal orman regresyon yöntemi, rassal orman sınıflandırma yöntemi ile benzer şekilde işlemektedir. Elde edilen veri kümesi içinden rastgele seçilen örneklem veri kümeleri ile karar ağacı regresyon yöntemi kullanılarak ağaçlar oluşturulmaktadır. Oluşturulan karar ağaçları girdi verilerini kullanarak tahmin gerçekleştirmektedir. Tüm tahmin değerlerinin ortalamasını alarak kendi tahmin değerini oluşturmaktadır.

## 3. MODEL PERFORMANS DEĞERLENDİRME YÖNTEMLERİ

Uygulama kullanılmakta olan makine öğrenmesi algoritmalarının performans değerlendirmeleri için ortalama karesel hata (MSE), kök ortalama kare hatası (RMSE), kök ortalama kare yüzde ortalama kare hatası (RMSPE) ve ortalama kare yüzde hatası (MAPE) ölçütleri kullanılmaktadır.
İstatistik ölçütleri, eğitim verileri ile eğitilmiş algoritmaların test verileri için ürettikleri tahminlerin gerçek değerlere ne ölçüde yakın olduğunun bir göstergesidir. RMSE, RMSPE ve MAPE en düşük istatiksel değerleri iyi uyum sağlayan modeli belirlemektedir.
İstatiksel göstergelerin formülleri aşağıdaki gibidir;

$$MSE = \frac{1}{n}\sum_{t=1}^{n} e_t^2$$

$$RMSE = \sqrt{\frac{1}{n}\sum_{t=1}^{n} e_t^2}$$

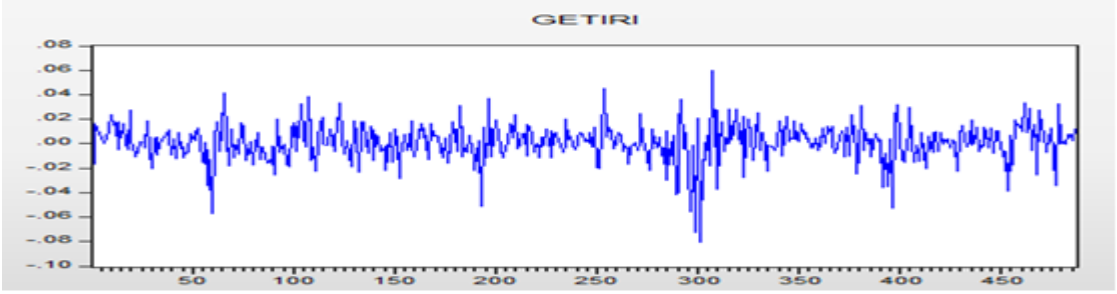
$$RMSPE = \sqrt{\frac{100}{n}\sum_{t=1}^{n}\left(\frac{|e_t|}{|A_t|}\right)^2}$$

$$MAPE = \frac{100}{n}\sum_{t=1}^{n}\frac{|e_t|}{|A_t|}$$

## 4. UYGULAMA

Uygulamada 2019-2020 yılları arasında BIST-100 endeksine ait veriler kullanılmaktadır. Seriye ADF, PP ve KPSS birim kök testleri uygulanarak durağanlıklarına bakılmaktadır. BIST-100 endeksi düzeyde durağan olmadığı sonucuna varıldıktan sonra serinin getirisi alınarak durağan hale getirilmektedir. Getiri serisine ait grafik çıktısı Grafik 1'de yer almaktadır.

Grafik 1: BIST-100 Getiri Serisi



BIST-100 getiri serisine uygulanan Jarque-Bera testi sonucu serinin betimleyici istatistikleri Tablo 1'de yer almaktadır.

Tablo 1: Betimleyici İstatistikler

| İstatistikler | Ortalama | Std. Dev. | Çarpıklık | Basıklık | Jarque-Bera |
|---|---|---|---|---|---|
| Değerler | 0.001006 | 0.015031 | 7.244712 | -0.82004 | 419.7201 (0,000) |

Getiri serisinin ADF, PP, KPSS birim kök testeri sonuçları Tablo 2'de gösterilmektedir.Uygulanan birim kök test sonuçlarına göre serinin durağan olduğu görülmektedir.

Tablo 2: BIST-100 Getiri Setiri Birim Kök Testleri

| | | | |
|---|---|---|---|
| ADF | -3,443*** | -2,867** | -2.569* |
| PP | -3,443*** | -2,867** | -2,569* |
| KPSS | 0,739*** | 0,463** | 0,347* |

Not: ***, **, * sırasıyla %1, %5 ve %10 seviyelerinde boş hipotezin reddedildiğini göstermektedir. KPSS testi için boş hipotezin reddedilmediğini göstermektedir.

Öngörü için ARMA model tahmini gerçekleştirilerek ARMA(3,1) modelinin kullanılmasının uygun olacağına karar verilmektedir. Tablo 3'de ARMA(3,1) modeline ait tahmin sonuçları yer almaktadır.

Tablo 3: ARMA(3,1) Model Katsayıları ve t İstatistiği

| Değişken | Katsayı | Standart Hata | t-İstatistiği |
|---|---|---|---|
| C | 0,000 | 0,000 | 0,757 |
| AR(1) | -0,902 | 0,061 | -14,734 |
| AR(2) | 0,135 | 0,064 | 2,113 |
| AR(3) | 0,161 | 0,040 | 3,985 |
| MA(1) | 0,939 | 0,044 | 21,015 |
| Sigmas(Q) | 0,000 | 0,000 | 20,352 |

ARMA(3,1) tahmin çıktısına ait değerler Tablo 4'de gösterilmektedir.

Tablo 4: ARMA(3,1) Tahmin Edici Sonuçları

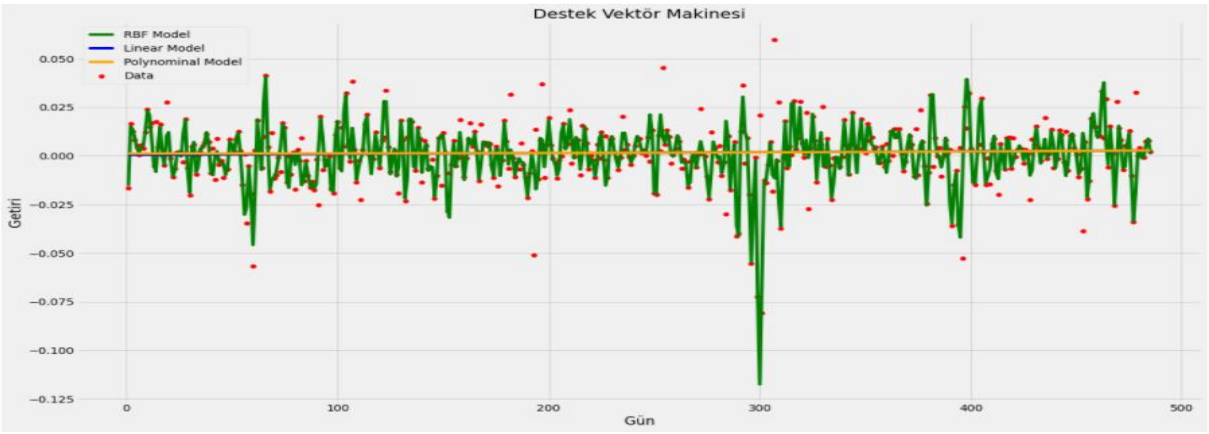
| $R^2$ | Düzeltilmiş $R^2$ | Hata Kareleri Toplamı | Prob. (F istatistiği) | Bağımlı Değişken Ortalaması | Bağımlı Değişken Standart Sapması | Akaike Bilgi Kriteri (AIC) | Schwarz Bilgi Kriteri (SIC) |
|---|---|---|---|---|---|---|---|
| 0,036 | 0,025 | 0,095 | 0,006 | 0,000 | 0,015 | -5,572 | -5,516 |

ARMA(3,1) model sonuçlarının yer aldırğı Tablo 4 incelendiğinde $R^2$ değeri 0.036 hesaplandığı, RMSE (RootMeanSquaredError) 0.014, AIC -5.572, SIC -5.516 olarak gerçekleşmektedir. ARMA(3,1) model sonuçlarına göre ARMA tahmin sonucunun öngörü için yeterli olmağı tabloda ifade edilmektedir. Bu sebeple zaman serisi tahminlerinde makine öğrenmesi algoritmaları kullanılmaktadır.

Önerilen algoritmalar ile tahminler gerçekleştirilerek destek vektör makinesine ilişkin tahmin ile gerçek

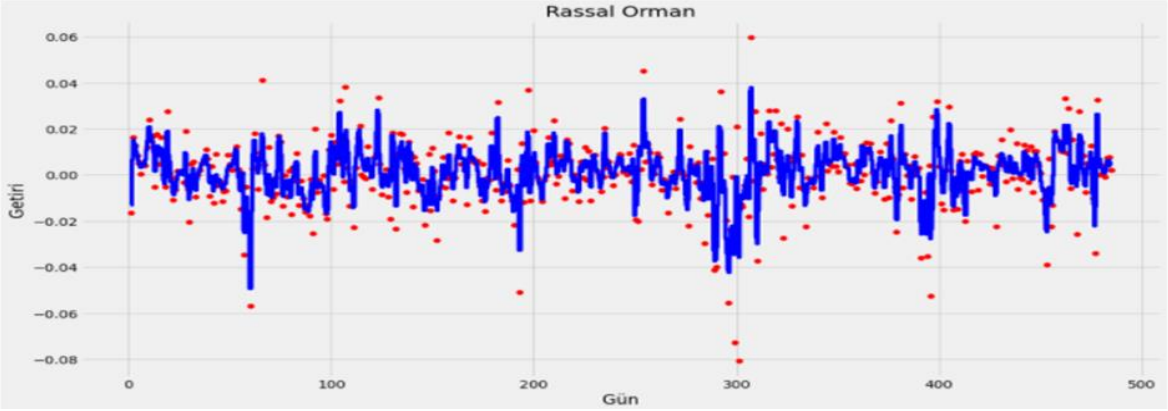
değerleri Grafik 2'de sunulmaktadır. Grafiği incelediğimizde DVR-RBF tahminin neredeyse tüm verileri içine alarak tahmin gerçekleştirdiğini göstermekte iken DVR- Linear ve DVR-Polinominal modellerinin çalışmadığını göstermektedir.

Grafik 2: Destek Vektör Makinesi




Rassal orman algoritması ile regresyon tahmini gerçekleştirdiğimizde Grafik 3 elde edilmektedir. Grafik incelendiğinde rassal orman algoritmasının tahmini ile gerçek değerlerin iyi denilecek şekilde örtüştüğünü görülmektedir.

Grafik 3: Rassal Orman




Önerilen yöntemlerin uygulanması ile elde edilen sonuçlar Tablo 5'de verilmektedir. Tüm tahmin sonuçları incelendiğinde gerçek değere en yakın tahmin gerçekleştiren modelin RBF-DVR ve Rassal Orman olduğu görülmektedir. Buna rağmen hata istatistik değerlerinde en iyi tahminin RBF-YSA olduğu sunulmaktadır.

Tablo 5: Makine Öğrenmesi Algoritmalarının Tahmin ve Hata İstatistik Değerleri

| YÖNTEM | TAHMİNİ DEĞER | MSE | RMSE | RMSPE | MAPE |
|---|---|---|---|---|---|
| **Doğrusal-DVR** | 0.0028066 | 0.0002261 | 0.0150376 | 821575.7 | 34849.07 |
| **Polinom-DVR** | 0.0027661 | 0.0002258 | 0.0150296 | 807150.2 | 35337.30 |
| **RBF-DVR** | **0.0088428** | 0.0002993 | 0.0170312 | 6911007.3 | 213001.67 |
| **MLP-YSA** | -0.0059679 | 0.0006923 | 0.0263124 | 9863892.3 | 374099.56 |
| **RBF-YSA** | 0.0022879 | **0.0002192** | **0.0014807** | **285854.2** | **12981.82** |
| **Rassal Orman** | **0.0065278** | 0.0002889 | 0.0169970 | 4929515.2 | 166559.26 |

## 5. SONUÇ

Zaman serisi tahminlerinde kullanılan AR(I)MA öngörü tahmin yönteminin başarısız tahmin sonucu vermesi sebebi ile önerilen makine öğrenmesi algoritmaları kullanılarak öngörü yapılabildiği görülmektedir. Gerçek tahmin sonucuna en iyi tahmin gerçekleştiren modellerin RBF-DVR ile Rassal Orman olduğu görülmektedir. Hata değerleri incelendiğinde ise en az hata istatistik değeri olan algoritma RBF-YSA olmaktadır. AR(I)MA model ile makine öğrenmesi hataları karşılaştırıldığında makine öğrenmesi algoritmalarının çok daha iyi öngörü performansı gerçekleştirdiği görülmektedir. Geleneksel yöntemlerin aksine öngörü tahmininde makine öğrenmesi algoritmalarının ekonometrik analizlerdeki kullanımı her ne kadar tartışma konusu olsa, yapılan çalışmalardan elde edilen olumlu sonuçlar makine öğrenmesi algoritmalarının ekonometrik analizlerde giderek daha çok yer almasına olanak sağlamaktadır.

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# Fen Bilimleri Dersi Öğretim Programındaki Yaşam Becerilerinin 7. Sınıf Ders Kitabındaki Yansımaları[1]

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**Özet:** Çağdaş eğitimin ve gelişen teknolojinin getirdiği yeniliklere uyum sağlayabilmek için bireylerde mevcut bilgi dağarcığı ve beceriler değişmeli, genişlemeli ve gelişmelidir. Bunu sağlayabilmenin en iyi yolu eğitim-öğretimden geçmektedir. Eğitim-öğretim sürecinde planlı ve etkili ilerlemeyi sağladığı için öğretim programları büyük öneme sahiptir. Mevcut fen bilimleri dersi öğretim programında, öğrencilerin günlük hayatlarını kolaylaştırmalarını ve topluma faydalı bireyler olmalarını sağlayacak bazı becerilerin kazandırılması hedeflenmektedir. Bunlar, "Yaşam Becerileri" başlığı altında; analitik düşünme, yaratıcı düşünme, karar verme, girişimcilik, takım çalışması ve iletişim becerileri olarak isimlendirilmiştir. Ders kitaplarının eğitim-öğretimdeki önemine bakılırsa, öğretim programının hedeflerine uygun bir şekilde hazırlandığında, öğrencilerden istenen bilgi ve becerilerin kazandırılmasına büyük ölçüde katkı sağlayabileceği için ders kitaplarının analiz ve değerlendirilmesi yapılarak ilgili birimlere doğru dönütler verilmesi, hedeflere doğru ve etkili şekilde ulaşabilmek açısından çok önemlidir. Çalışma, 2020-2021 Eğitim-Öğretim Yılında okutulması kararlaştırılan fen bilimleri ders kitabında, öğretim programı ile kazandırılması hedeflenen yaşam becerilerine ne kadar yer verildiğini belirleme amacıyla yürütülmüştür. Araştırmanın amacı ve daha önce bu konuda yeterli çalışma yapılmamış olması göz önünde bulundurulursa bu çalışma, ders kitaplarının geliştirilmesi ve yenilenmesi konusunda program geliştirme uzmanlarına, ders kitabı yazarlarına ve müfredat geliştiricilere yol gösterebilecek ve literatüre göz ardı edilemeyecek bir katkıda bulunabilecektir. Araştırma probleminin doğası gereği çalışma, nitel araştırma yaklaşımına dayandırılarak doküman incelemesi yöntemi kullanılmıştır. Verileri ise ders kitabı incelemesi sonunda elde edilen bulgular oluşturmuştur. Araştırmada 7. Sınıf Fen Bilimleri Ders Kitabı'nda 5,6 ve 7. Üniteler incelenerek hazırlanmış olan Ders Kitabı Yaşam Becerileri İnceleme Formu'na göre analiz edilmiştir.

**Anahtar Kelimeler:** Fen Bilimleri Öğretimi, Fen Bilimleri Dersi Öğretim Programı, Yaşam Becerileri, Fen Bilimleri Ders Kitabı

# The Reflections of the Life Skills Mentioned in the Science Curriculum in the 7th Grade Textbook

**Abstract:** In order to adapt to the innovations brought by modern education and technology, existing knowledge and skills must change, expand and develop. The best way to achieve this is education. Programs are of great importance in the education process because they provide planned and effective progress. In the current Science Education Program, it is aimed to provide students with some skills that will enable them to facilitate their daily lives and become individuals who are beneficial to society. These are analytical thinking, creative thinking, decision-making, entrepreneurship, teamwork and communication skills gathered under the title of "Life Skills". Considering the importance of textbooks in education, when the textbooks are prepared in accordance with the objectives of the curriculum, it will be able to greatly contribute to gaining the knowledge and skills expected from students. Therefore, analyzing and evaluating the textbooks and giving correct feedback to the relevant units is very important in order to reach the targets correctly and effectively.The aim of study is to determine how much life skills that are aimed to be acquired are included in the science textbook, which is decided to be taught in the 2020-2021 Academic Year. Considering the purpose of the research and the lack of sufficient work on this subject before, this study be able to guide curriculum development experts, textbook authors and curriculum developers in the development and renewal of textbooks and it will able to undeniable contribution to the literature. Due to the nature of the research problem, the study was based on qualitative research approach and document analysis method was used. The data consisted of the findings obtained at the end of the textbook review. In the research, Units 5, 6 and 7 in the 7th Grade Science Textbook were examined and analyzed according to the "Textbook Life Skills Review Form".

**Keywods:** Science Teaching, Science Curriculum, Life Skills, Science Textbook

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## 1. GİRİŞ

Dünyada yeni ihtiyaçlar doğrultusunda teknolojide ilerleme sağlanırken teknolojinin gelişmesi de beraberinde yine yeni ihtiyaçlar doğurmuştur. Eğitimde modernleşmeye gidilmiş, topluma kazandırılması hedeflenen insan profili de değişmiştir. Gelişen teknoloji ve çağdaş eğitim, 21. Yüzyılda daha üretken, yenilikçi, girişimci bireylerin yetiştirilmesini gerekli kılmıştır. Gelişen ve modernleşen dünyada, olduğu yerde sayan bir millet, kısa süre içinde gerilemekte olan ülkeler arasına girmeye mahkûm olacaktır. Bu yüzden 21. Yüzyılın beklediği becerileri kazanabilmek ve gelişen teknolojiyi yakalayabilmek bir ülkenin kalkındırılmasında büyük öneme sahiptir. Bunu sağlayabilmenin en iyi yolu ise eğitim ve öğretimden geçmektedir. Çünkü eğitim hayat boyu devam eden; öğretim ise eğitime planlı bir şekilde büyük ölçüde katkı sağlayan bir süreçtir ve becerileri küçük yaşlardan itibaren kazandırmanın en kolay ve etkili yolu da dolayısıyla eğitim-öğretimdir.

Eğitim-öğretim sürecinde de hedeflere daha planlı ve etkili bir şekilde ulaşabilmek için öğretim programları oluşturulur. Öğretim programları öğretmenlere hedefe ulaşma yolunda rehber görevindedir. Dolayısıyla öğrencilere kazandırılmak istenen bilgi ve beceriler ile bunların nasıl kazandırılacağına dair yol gösteren kılavuz olarak tanımlanabilir. Eğitim-öğretim sürecinde programların öneminden hareketle dünyada yeni gelişmeler oldukça eğitim sistemlerinde de kaçınılmaz bir yenileşme söz konusu olduğundan bu yenilikler programlara da yansıtılmalı ve dolayısıyla programlarda da sıklıkla güncellemeler yapılmalıdır. Aksi takdirde yeniliklere ayak uydurmak yine zorlaşacak ve geride kalmış bir eğitim sistemi söz konusu olacaktır. Ülkemizde de eğitim sistemimizde sıklıkla çağdaşlaşma ve yenileşmeye gidilmektedir.

Dünyada ve yurdumuzda yaşanan toplumu ve toplumun kültürünü ilgilendiren gelişmeler, teknoloji ve bilimdeki ilerlemeler, öğrencilere dair beklentilerin bu yönde değişmesini ve artmasını da beraberinde getirmiştir. Öğretmenler de umutla baktığımız gelecek nesilleri bilgi ve beceri yönünden kendini daha geliştirmiş bireyler olarak yetiştirmek zorunda kalmıştır. Bu doğrultuda öğretim programlarında da düzenleme yapılmıştır (MEB, 2020).
Öğretim programlarındaki hedef davranışlar kazandırılırken hedefe göre strateji, yöntem ve teknik seçilmelidir. Daha sonra bunların uygulamaya geçirilmesi esnasında bazı materyaller kullanılmalıdır. Bunlara öğretim araçları denir ve öğretim araçları içerisinde en çok kullanılanı okul ders kitaplarıdır (Kılıç&Seven, 2008). Dolayısıyla ders kitapları analiz edilip eksiklikleri belirlenerek ilgili birimlere dönütler sağlanmalıdır. Çünkü hedeflere ulaşabilmek için ders kitaplarının içeriğinin müfredata uygun bir şekilde hazırlanması çok önemlidir.

## 2. TÜRKİYE'DE FEN ÖĞRETİM PROGRAMLARI

Ülkemizde fen öğretimi için pek çok öğretim programının hazırlandığı ve uygulamasının yapıldığı görülmektedir. Bu çalışmada 2019-2020 öğretim yılında yürürlükte olan Fen bilgisi dersi öğretim programında öğrencilerden beklenen becerilerden "yaşam becerileri" başlığı altında toplanan analitik düşünme, işbirliği, takım çalışması, karar verme, yaratıcı düşünme ve iletişim becerileri üzerinde durulacaktır. Burada, çalışmanın daha anlaşılır olması amacıyla ülkemizde uygulaması yapılan fen bilgisi öğretim programlarının son üç tanesinin içeriklerine kısaca değinilmiş ve sonrasında programda yer alan "yaşam becerileri" tek tek açıklanmıştır.

**2005 Yılı Fen ve Teknoloji Dersi Öğretim Programı Temel Yaklaşımı**

Fenin, değişmez bilgiler bütünü olmamakla birlikte yeni delillere ve bilgilere ulaştıkça olguları daha iyi açıklayabilmek için değiştirildiği düşüncesi kazandırılmaya çalışırken aynı zamanda fen okur-yazarlığı çevresinde bilimsel yöntemlerin de yerleştirilmesi hedeflenmiştir. Dolayısıyla bu programın "yapılandırmacı yaklaşımı" kabul ettiği söylenebilir (MEB, Fen Ve Teknoloji Öğretim Programı, 2005: s7).

**2013 Yılı Fen Bilimleri Dersi Öğretim Programı Temel Yaklaşımı**

*Derslerin planlanması ve uygulanması sürecinde öğrencinin aktif, öğretmenin ise rehber olacağı öğrenme ortamları hedeflenmiştir. Öğrencinin bilgiyi daha kalıcı ve anlamlı kazanabilmesi için öğrenme ortamları*

*"araştırma-sorgulamaya dayalı öğrenme stratejisine" göre düzenlenir (*MEB, Fen Bilimleri Öğretim Programı, 2013: sIII).

**2018 Yılı Fen Bilimleri Dersi Öğretim Programı Temel Yaklaşımı**

*Öğrenme ortamları "araştırma-sorgulamaya dayalı öğrenme stratejisine" göre düzenlenirken fenin günlük hayatta uygulama ve ekonomiye katkı sağlama özelliği önem kazanmıştır. Buna göre ünite, konu ve kazanımlar günlük hayattaki gereksinimleri karşılayacak ürünler oluşturulmasını hedefleyen bir yaklaşıma göre düzenlenmiştir (*MEB, Fen Bilimleri Öğretim Programı, 2018: s11).

## 3. YAŞAM BECERİLERİ

Yaşam becerileri, hayat boyu birçok alanda karşımıza çıkabilecek ve deneyimleyebileceğimiz, genel ve kapsamlı becerilerdir. Yaşam becerilerinin eğitiminin verilmesi, günlük yaşamın güçlükleri ve isteklerinin hakkından gelebilmek için lazım olan becerilerin kazandırılması ve ilerletilmesi bakımından önem taşımaktadır (WHO, 1999). Çünkü yaşam becerileri günlük yaşamı kolaylaştıracak olan beceri ve yeterliliklerle ilişkilidir ve onları desteklemektedir. Bu yüzden de yaşam becerilerinin kazandırılması, öğrencilere karşılarına çıkabilecek problem veya güçlüklerde çözüme daha kolay ulaşabilmelerini sağlayacaktır. W.V. Goethe'nin "Eğitim, insanın güç sandığı ya da gerçekten kolay alt edilebilen engelleri, nasıl aşacağını öğretme sanatından başka bir şey değildir." Sözü de yaşam becerilerinin öğrencilere kazandırılmasındaki önemini desteklemektedir.

Yaşam becerileri, hayatı kolaylaştıran ve toplumda üretken bireyler olmaya yarayan becerilerdir. Çocuklar yaşam becerilerini geliştirdikçe problemlerle başa çıkabilme olasılıkları artar ve hayatı kendi seçtikleri şekilde yaşamak için daha fazla fırsata sahip olurlar. Ayrıca yaşam becerileri eğitimi öğrencileri problemlere karşı güçlendirmeyi ve kendi kapasitelerini artırmalarını hedefler (Rooth, 2007: 6,12).

**İletişim:** Simge, sembol, yazı, jest ve mimikler gibi araçlarla duygu ve düşünceleri diğer kişilere ve toplumlara iletmeyi ve karşılıklı etkileşim halinde olmayı sağlayan süreçtir. (Demirel, 2006: 178). İletişim becerisi, kültürümüze ve statülerimize uygun bir şekilde kendimizi hem sözlü hem de sözsüz olarak ifade edebilme, anlatabilme becerisidir. Bu beceri, fikir ve düşüncelerimizin yanı sıra isteklerimizi, arzularımızı ve korkularımızı da ifade edebilmeyi, ihtiyaç anında yardım ve tavsiye alıp verebilmeyi gerektirir (Murthy, 2016: 58).

**İşbirliği:** Ortak bir amacı gerçekleştirmek için birden fazla kişinin birlikte çalışması ve çabalaması olarak tanımlamıştır. Bu kişilerin başarıya ulaşabilmeleri için grup oluşturabilme, iyi bir iletişim kurabilme ve fikir alışverişinde bulunma, görev paylaşımı yapabilme ve sorumluluk alma gibi işbirliği becerilerine sahip olmaları gerekmektedir (Tuncel&Demirel, 2010).

**Analitik düşünce:** Analiz, geniş bir tanımla bir bütünü parçalara ayırıp parçalar üzerinde çalışma yapmaktır(Yılmaz, 2019). Bloom Taksonomisi'nin analiz basamağı incelendiğinde analitik düşünebilen öğrencilerden bir durum karşısında elindeki tüm verileri tek parça haline getirme; kıyaslama, düzenleme, kavram ve zihin haritası çizebilme, ilişkilendirme, farklılık ve benzerlikleri bulma, gruplara ayırma gibi yeterlilikler beklenmektedir. Bunların yanı sıra gereken durumda bir yap-boz gibi ekleme, çıkarma, düzeltme yapabilmelidir (Günaydın, 2018).

**Yaratıcılık:** Yaratıcılık bir kişinin yaşamı boyunca öğrendiklerini, birbirleri arasında ilişki kurarak karşılaştığı bir problem durumunu çözebilmesi ve ortaya özgün bir ürün çıkarabilmesidir (Güleryüz, 2000, akt. Gömleksiz&Kan, 2009: 41). Yaratıcılık, aynı tür veya farklı tür maddelerden oluşmuş objeleri ve olguları bir problemi çözecek veya kişiyi daha iyiye taşıyacak bir durumla karşılaşıldığında işe yarayan bir materyal/model üzerinde kullanabilmek, eldeki verileri ve malzemeleri birbiriyle ilişkilendirerek bunları bir modele bütünleştirebilmektir (Arat, 2015: 43).

**Girişimcilik:** Girişimcilik becerileri; problem çözme, yaratıcılık, ikna etme, plan yapma, doğru karar verme, kendine güven duyma, özerk olma, kendine yetebilme, başarıya yönelme, çok yönlü olma, becerikli ve dinamik olma şeklinde sıralanmaktadır (Iredale&Motsa, 2002; akt. Gömleksiz&Kan, 2009: 41) Girişimcilik becerisine sahip bireyler görev ve sorumluluklardan kaçmayan özgüveni yüksek bireylerdir. Aynı zamanda iletişim ve işbirliği becerileri ile hitabet yeteneğine sahiplerdir.

**Karar verme:** Bir problem karşısında, probleme alternatif çözüm yolları bulup bu çözüm yollarının olası sonuçlarını tahmin etme, değerlendirme ve sonucunda en iyi çözüme ulaşma; ya da bir durum karşısındaki birkaç seçenek arasında kıyaslama ve değerlendirme yapıp en uygun seçeneği seçmektir.

Karar verme, kişide var olan bilgi ve fikirlerin doğrultusunda mevcut olayın veya problemin algılanarak çözüm yolları ve seçenekleri ile bunların olası neticelerini değerlendirmek, kontrol etmek ve en uygun çözüm yoluna giderek bunu uygulamak şeklinde tanımlanabilir (Doğan, 2010: 11).

## 4. FEN BİLİMLERİ DERS KİTABI YAŞAM BECERİLERİ İNCELEME FORMU

7. sınıf fen bilimleri ders kitabında 5. 6. Ve 7. Üniteler hazırlanan forma göre analiz edilmiş ve incelemeler burada sunulmuştur.

Fen Bilimleri Ders Kitabı Yaşam Becerileri İnceleme Formu

| İletişim Becerisi Ölçütleri | Evet | Kısmen | Hayır |
|---|---|---|---|
| Öğrencinin düşüncelerini açıklamasını sağlar. | X | | |
| Detay:158. 165. 186. sayfada öğrenciden ilgili konudaki düşüncelerini arkadaşları ile tartışması isteniyor.<br>189. ve 196. sayfada öğrenciden ulaştığı sonuçları arkadaşlarıyla paylaşması isteniyor. | | | |
| Öğrencinin, fikirleri tartışırken başka fikirlere saygı duymasını aşılar. | | | X |
| Detay: | | | |
| Öğrencinin fikir alışverişinde bulunmasını sağlar. | X | | |
| Detay: 158. Ve 186. Sayfada öğrenciden fikirlerini arkadaşlarıyla tartışması isteniyor.<br>189. sayfada öğrenciden araştırma sonuçlarını arkadaşlarıyla tartışması isteniyor. | | | |
| Öğrencinin, arkadaşları ile malzeme ve bilgi paylaşımı yapmasını sağlar. | | | X |
| Detay: | | | |
| Öğrencinin jest ve mimiklerini kullanmasını sağlar. | | | X |
| Detay: | | | |
| Öğrencinin düşüncelerini sembollerle aktarmasını sağlar. | | | X |
| Detay: | | | |
| Öğrencinin dinleme becerisini geliştirmesini sağlar. | | X | |
| Detay: 158. 165. 186. Ve 189. Sayfada öğrenciyi fikirlerini arkadaşları ile tartışmaya yönlendirerek öğrencinin dinleme becerisini geliştirmeye katkı sağlıyor. | | | |
| Öğrencinin empati yeteneğini geliştirir. | | | X |
| Detay: | | | |
| **Karar Verme Becerisi Ölçütleri** | **Evet** | **Kısmen** | **Hayır** |
| Öğrencinin bağımlı-bağımsız değişken türlerini bir ölçüte göre belirlemesini sağlar. | | X | |
| Detay: 196. Sayfadaki tabloda öğrenciden değişkenleri belirlemesi isteniyor. | | | |
| Öğrencinin en uygun olan cevaba ulaşmasını sağlar. | X | | |
| Detay:177. ve 191. Sayfada öğrenciden kavramlara eş gelen açıklamaları bulması isteniyor.<br>178. 202. 203. 218. Ve 2019. sayfada öğrenciden boşluklar için uygun kavramları bulması isteniyor.<br>219. sayfada öğrenciden yargıların doğru-yanlış durumuna göre doğru cevaba ulaşması isteniyor. | | | |
| Öğrencinin bir bilginin doğruluğu veya yanlışlığı hakkında yargıya varmasını sağlar. | X | | |
| Detay: 178. 202. Ve 218. Sayfada öğrenciden verilen cümlelerin doğruluğu veya yanlışlığını belirlemesi isteniyor.<br>219. sayfada öğrenciden yargıların doğru-yanlış durumuna göre doğru cevaba ulaşması isteniyor. | | | |
| Öğrencinin çoktan seçmeli sorularda şıklar arasında seçim yapmasını sağlar. | X | | |
| Detay: 181. 182. 183. 205. 220. Ve 221. Sayfada çoktan seçmeli sorular yer almaktadır. | | | |
| Öğrencinin bir şema/tabloya bakarak bir sonuca varmasını sağlar. | | X | |
| Detay: 204. Sayfada öğrenciden tabloya bakarak soruları cevaplaması isteniyor. | | | |
| Öğrencinin bir durumun olası sonuçlarını tahmin etmesini sağlar. | X | | |
| Detay: 204. Sayfada öğrenciye bir durumun olası sonucu soruluyor.<br>211. sayfada öğrenciden ampullerden biri söndüğünde diğerine ne olacağını tahmin etmesi isteniyor.<br>212. sayfada öğrenciye vanalardaki su geçişine dair olası sonuç soruluyor. | | | |
| Öğrencinin karşılaştırma yaparak doğru cevaba ulaşmasını sağlar. | X | | |
| Detay: 159. Sayfada öğrenciden bardakları kıyaslayarak soruyu cevaplaması isteniyor.<br>172. sayfada öğrenciden mercekleri kıyaslayarak soruyu cevaplaması isteniyor. | | | |
| Öğrencinin bir durumun olumlu/olumsuz yönlerini belirlemesini sağlar. | X | | |

| | | | |
|---|---|---|---|
| Detay: 158. Sayfada öğrenciye güneş enerjisinin yaygınlaştırılmasının yararları soruluyor.<br>212. Sayfada öğrenciden seri ve paralel bağlamada avantaj ve dezavantajları belirlemesi isteniyor.<br>217. Sayfada öğrenciden paralel bağlamanın avantaj ve dezavantajları belirlemesi isteniyor. | | | |
| Öğrencinin ihtiyaçlara göre doğru seçimler yapmasını sağlar. | X | | |
| Detay: 150. Sayfada öğrenciden güneş altındaki ve gölgedeki banklar arasında seçim yapması isteniyor.<br>176. Sayfada öğrenciden görüntüleme aracı tasarlaması, dolayısıyla probleminin çözümüne yönelik doğru malzemeleri seçerek ürün oluşturması isteniyor.<br>216. Sayfada öğrenciden aydınlatma aracı tasarlaması, dolayısıyla probleminin çözümüne yönelik doğru malzemeleri seçerek ürün oluşturması isteniyor. | | | |
| Analitik Düşünme Becerisi Ölçütleri | Evet | Kısmen | Hayır |
| Öğrenciyi ilgili konu hakkında araştırma yapmaya yönlendirir. | | X | |
| Detay: 189. Sayfada öğrenciden araştırma yapması isteniyor. | | | |
| Öğrencinin elde ettiği bilgiyi yorumlamasını sağlar. | X | | |
| Detay: 189. Sayfada öğrenciden araştırma sonucunda elde ettiği verileri arkadaşlarıyla tartışması isteniyor.<br>209. sayfadaki etkinlikte öğrenciden gözlemleri sonucunda bir yargıya varması isteniyor.<br>216. sayfadaki etkinlikte öğrenciden gözlemleri sonucu soruları cevaplaması isteniyor. | | | |
| Öğrencinin problem durumu bileşenlerine ayırmasını sağlar. | X | | |
| Detay: 176. Sayfada öğrenciden bilimsel yöntem ve mühendislik tasarım döngüsü basamaklarına göre probleme yönelik çözüm yolları üretip ürün tasarlaması isteniyor.<br>216. Sayfada öğrenciden bilimsel yöntem ve mühendislik tasarım döngüsü basamaklarına göre probleme yönelik çözüm yolları üretip ürün tasarlaması isteniyor. | | | |
| Öğrencide var olan bilgileri yeni durumlarda kullanmasını sağlar. | X | | |
| Detay: Ders kitabının her bölümünde, özellikle de ünite sonu değerlendirmeleri olmak üzere öğrencinin var olan bilgisini kullanarak cevaba ulaşmasını sağlayan birçok soru var. | | | |
| Öğrencinin kavramlar arasında ilişkilendirme yapmasını sağlar. | X | | |
| Detay: 154. Sayfada öğrenciden güneş ışığı ile renkler arasında ilişkilendirme yapması isteniyor.<br>162. sayfada öğrenciden görüntü oluşumu ile ayna uzaklığı arasında ilişkilendirme yapması isteniyor.<br>166. sayfada öğrenciden ışığın izlediği yol ile ortam yoğunluğu arasında ilişki kurması isteniyor.<br>191. Sayfada öğrenciden kavramlarla açıklamaları eşleştirmesi isteniyor.<br>205. sayfada öğrenciden kavramları eşleştirmesi isteniyor.<br>214. ve 215. sayfada öğrenciden gerilim ile akım arasında ilişkilendirme yapması isteniyor. | | | |
| Öğrencinin kıyaslama yapmasını sağlar. | X | | |
| Detay: 151. Sayfadaki etkinlikte öğrenciden cisimlerin sıcaklıkları arasında kıyaslama yapması isteniyor.<br>153. Sayfadaki etkinlikte öğrenciden suların sıcaklıkları arasında kıyaslama yapması isteniyor.<br>186. Sayfada öğrenciden kıyaslama yapması isteniyor.<br>196. sayfada öğrenciden tohumunu diğer tohumlarla karşılaştırması isteniyor.<br>209. sayfadaki etkinlikle öğrenciden ampul parlaklıklarını kıyaslaması isteniyor.<br>217 sayfada öğrenciden ampul parlaklıklarını karşılaştırması isteniyor. | | | |
| Öğrencinin bir durumun nedenlerini belirlemesini sağlar. | X | | |
| Detay: 152. Sayfada öğrenciden açık ya da koyu renk giysi tercihinin nedenini belirlemesi isteniyor.<br>153. sayfadaki etkinlikte öğrenciden sulardan birinin sıcaklığının neden daha fazla arttığını açıklaması isteniyor.<br>159. sayfada öğrenciden sıcaklık artışı arasındaki farkın nelere bağlı olduğunu açıklaması isteniyor.<br>169. sayfadaki etkinlikte öğrenciden kaptaki parayı neden su doldurduktan sonra görebildiğini açıklaması isteniyor.<br>177. sayfada öğrenciden bir durumun nedenlerini açıklaması isteniyor.<br>186. Sayfada fotoğraflar arasındaki farklılığın sebeplerini açıklaması isteniyor. | | | |
| Öğrencinin sıralama yapmasını sağlar. | | X | |
| Detay: 191. Sayfada öğrenciden kavramları sıralaması isteniyor.<br>205. sayfada öğrenciden sıralama yapması isteniyor. | | | |
| Öğrencinin sonuçlar/gözlemler hakkında değerlendirme yapmasını sağlar. | X | | |
| Detay: 151. Ve 153. Sayfada ölçüm sonucunda bir yargıya varması isteniyor.<br>166. sayfada öğrenciden yaptığı deney sonucunda bir yargıya varması isteniyor.<br>189. Sayfada öğrenciden araştırma sonuçları hakkında arkadaşlarıyla tartışması isteniyor.<br>197. ve 216. sayfadaki etkinlikte öğrenciden gözlem yapması istendikten sonra soruları cevaplaması isteniyor.<br>209. sayfadaki etkinlikte öğrenciden gözlemleri sonucunda bir yargıya varması isteniyor. | | | |
| Öğrencinin gözlem yapmasını sağlar. | X | | |
| Detay: 155. 162. 166. 195. 197. 209. Ve 215. Sayfadaki etkinlikte öğrenciden gözlem yapması isteniyor. | | | |
| Öğrencinin bağımlı ve bağımsız değişkenleri bir ölçüte göre belirlemesini sağlar. | | X | |

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| Detay: 196. Sayfadaki tabloda öğrenciden değişkenleri belirlemesi isteniyor. | | | |
| Öğrencinin nesnelerdeki benzerlik ve farklılıkları belirlemesini sağlar. | X | | |
| Detay: 162. Sayfada öğrenciden aynalar arasındaki farklılıkları belirlemesi isteniyor.<br>171. ve 172. sayfada öğrenciden mercekler arasındaki benzerlik ve farklılıkları belirlemesi isteniyor.<br>186. Sayfada fotoğraflar arasındaki farklılıkları bulması isteniyor.<br>197. sayfadaki etkinlikte öğrenciden çiçeklerin benzerlik ve farklılıkları belirlemesi isteniyor.<br>208. sayfada öğrenciye elektrik devreleri arasındaki fark soruluyor. | | | |
| Öğrencinin elindeki parçaları/verileri bütün haline getirmesini sağlar. | X | | |
| Detay: 176. Ve 216. Sayfada öğrenciden bilgilerini ve malzemeleri kullanarak ürün tasarlaması isteniyor. | | | |
| Öğrencinin ilgili konuda kavram haritası çizmesini sağlar. | | X | |
| Detay: 201. Sayfada öğrenciden kavram haritasını doldurması isteniyor ancak direkt olarak kavram haritası çizdirilmiyor. | | | |
| Öğrencinin sınıflandırma yapmasını sağlar. | | X | |
| Detay: 165. Ve 201. Sayfadaki kavram haritası üzerinde öğrenciden sınıflandırma yapması sağlanıyor.<br>171. sayfada öğrenciden mercekleri sınıflandırması isteniyor. | | | |
| Öğrencinin bir durumun olumlu/olumsuz yönlerini belirlemesini sağlar. | X | | |
| Detay: 158. Sayfada öğrenciye güneş enerjisinin yaygınlaştırılmasının yararları soruluyor.<br>212. sayfada öğrenciden paralel ve seri bağlamanın avantaj ve dezavantajlarını belirlemesi isteniyor.<br>217. sayfada öğrenciden paralel bağlamanın avantaj ve dezavantajlarını belirlemesi isteniyor. | | | |
| Öğrencinin tahmin-kestirim-çıkarım yapmasını sağlar. | X | | |
| Detay: 153. 192. 208. Ve 213. Sayfadaki etkinlikte öğrenciden ilgili konuda tahmin yapması isteniyor. | | | |
| İşbirliği Becerisi Ölçütleri | Evet | Kısmen | Hayır |
| Öğrencinin grup içi sorumluluklarının farkına varmasını sağlar. | | | X |
| Detay: | | | |
| Öğrencinin adalet duygusunu geliştirir. | | | X |
| Detay: | | | |
| Öğrencinin, bir arkadaşının görevinde tamamlayıcı/yardımcı rol almasını sağlar. | | X | |
| Detay: 169. Sayfadaki etkinlikte öğrencinin deneyi bir arkadaşı ile birlikte yapması, biri komut verirken diğerinin gözlem yaparak yardımcı olması isteniyor. | | | |
| Öğrencinin saygı çerçevesinde tartışma ortamına girmesini sağlar. | X | | |
| Detay: 158. 165. Ve 186. Sayfada öğrenciden düşüncelerini arkadaşları ile tartışması isteniyor.<br>189. ve 196. sayfada öğrenciden ulaştığı sonuçları arkadaşlarıyla tartışması isteniyor. | | | |
| Öğrencinin iş paylaşımı yapabilmesini sağlar. | | X | |
| Detay: 169. Sayfadaki etkinlikte öğrencinin deneyi bir arkadaşı ile birlikte yapması isteniyor. | | | |
| Öğrencinin grup halinde hareket etmesini sağlar. | | | X |
| Detay: | | | |
| Girişimcilik Becerisi Ölçütleri | Evet | Kısmen | Hayır |
| Öğrenciye görev vererek sorumluluk almasını sağlar. | X | | |
| Detay: 176. Sayfada öğrenciden görüntüleme aracı tasarlaması ve tanıtım hazırlaması isteniyor.<br>189. Sayfada öğrenciden araştırma yapması ve afiş hazırlaması isteniyor.<br>195. sayfada öğrenciden tohum çimlendirmesi istenerek sorumluluk alması sağlanıyor.<br>201. sayfada öğrenciden bir canlının bakımını üstlenmesi isteniyor.<br>216. Sayfada öğrenciden özgün bir aydınlatma aracı tasarlaması ve tanıtım hazırlaması isteniyor. | | | |
| Öğrencinin ilgili konuda düşünce/fikirlerini açıklamasını sağlar. | X | | |
| Detay: 158. Sayfada öğrenciden güneş enerjisine dair fikirler üretmesi ve arkadaşlarıyla tartışması isteniyor.<br>186. Sayfada öğrenciden arkadaşları ile tartışması isteniyor.<br>189. sayfada öğrenciden araştırma sonuçlarını arkadaşlarıyla tartışması isteniyor.<br>211. sayfada öğrenciye soru yönelterek düşüncesini açıklaması sağlanıyor. | | | |
| Öğrencinin becerikli ve dinamik olmasını sağlar. | X | | |
| Detay: 176. Sayfada öğrenciden özgün bir görüntüleme aracı tasarlaması ve tanıtım hazırlaması isteniyor.<br>189. Sayfada öğrenciden afiş hazırlaması isteniyor.<br>195. sayfadaki etkinlik öğrencinin tohum çimlendirmesini istiyor.<br>197. sayfadaki etkinlik, öğrenciden deneyi yapıp model oluşturmasını istiyor.<br>209. sayfadaki etkinlik, öğrenciden elektrik devresi kurmasını istiyor.<br>216. Sayfada öğrenciden özgün bir aydınlatma aracı tasarlaması ve tanıtım hazırlaması isteniyor. | | | |
| Öğrencinin günlük hayatla ilgili problem cümlesi oluşturup bu probleme çözüm üretmesini sağlar. | X | | |
| Detay: 176. Sayfada öğrenciden görüntüleme aracı tasarlaması isteniyor. Bunun için önce problem cümlesi | | | |

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| oluşturup bunun çözümüne yönelik ürününü oluşturması istiyor.<br>216. Sayfada öğrenciden özgün bir aydınlatma aracı tasarlaması isteniyor. Bunun için önce problem cümlesi oluşturup bunun çözümüne yönelik ürününü oluşturması istiyor. | | | |
| Öğrencinin ürün oluşturmasını sağlar. | X | | |
| Detay: 189. Sayfada araştırmada elde ettiği verilerle afiş hazırlaması isteniyor.<br>176. Sayfada öğrenciden görüntüleme aracı tasarlayıp oluşturması ve buna tanıtım hazırlaması isteniyor.<br>216. Sayfada öğrenciden özgün bir aydınlatma aracı tasarlayıp oluşturması ve buna tanıtım hazırlaması isteniyor. | | | |
| Öğrencinin tek başına bir işi yapabilmesini sağlar. | X | | |
| Detay: 176. Sayfada öğrenciden görüntüleme aracı tasarlaması isteniyor.<br>195. Sayfadaki etkinlik, öğrenciden tohum çimlendirmesini istiyor.<br>197. sayfadaki etkinlik, öğrenciden deneyi yapıp model oluşturmasını istiyor.<br>209. sayfadaki etkinlik, öğrenciden elektrik devresi kurmasını istiyor.<br>216. sayfada öğrenciden aydınlatma aracı tasarlaması isteniyor. | | | |
| Öğrencinin yeni fikirler sunmasını sağlar. | X | | |
| Detay: 158. Sayfada öğrenciden güneş enerjisine dair fikirler üretmesi isteniyor.<br>176. Sayfada öğrenciden görüntüleme aracı tasarlaması isteniyor. Bunun için öncesinde birden fazla fikir ve çözüm yolu sunması isteniyor.<br>216. Sayfada öğrenciden aydınlatma aracı tasarlaması isteniyor. Bunun için öncesinde birden fazla fikir ve çözüm yolu sunması isteniyor. | | | |
| Öğrencinin şema/şekil/tablo çizmesini sağlar. | X | | |
| Detay: 166. Sayfadaki etkinlikte öğrenciden gözlemlerini çizmesi isteniyor.<br>173. ve 175. Sayfada öğrenciden gözlem sonuçlarını çizmesi isteniyor.<br>176. ve 216. sayfada öğrenciden tasarımını çizimle ortaya koyması isteniyor.<br>197. Sayfadaki etkinlik öğrenciden çiçek modeli çizmesini istiyor.<br>201. sayfada öğrenciden tablo oluşturması isteniyor. | | | |
| Öğrencinin yönergeleri takip ederek deney yapmasını sağlar. | X | | |
| Detay: 153. 155. 162. 166. 169. Ve 172. Sayfada öğrenciden yönergelere göre deney yapması isteniyor.<br>195. 197.ve 209. Sayfada öğrenciden verilen etkinliği yapması isteniyor.<br>176. ve 216. sayfada öğrenciden bilimsel yöntem ve mühendislik tasarım döngüsü basamaklarına göre ürün isteniyor. | | | |
| Öğrencinin bir planı gerçekleştirebilmek için gerekli şartları belirlemesini sağlar. | X | | |
| Detay: 189. Sayfada öğrenciden embriyonun sağlıklı gelişebilmesi için gerekli tedbirleri belirlemesi isteniyor.<br>195. sayfadaki etkinlik, öğrencinin çimlenmeye etki eden faktörleri öğrenmesini sağlıyor.<br>205. sayfa 2. Soruda öğrenciden gerekli olmayan unsuru seçmesi isteniyor.<br>213. sayfada öğrenciden elektrik akımının oluşabilmesi için gerekli şartları belirlemesi isteniyor. | | | |
| Yaratıcılık Becerisi Ölçütleri | Evet | Kısmen | Hayır |
| Öğrencinin bir olayın nasıl gerçekleştiğine dair tahmin yürütmesini sağlar. | X | | |
| Detay: 154. Sayfada öğrenciden yağ birikintisindeki renklerin nasıl oluştuğuna dair fikir sunması isteniyor.<br>169. sayfada öğrenciden kaptaki parayı neden su doldurduktan sonra görebildiğine dair tahmin yürütmesi isteniyor.<br>192. Sayfada öğrenciden bireylerin kendilerine benzer canlıları nasıl meydana getirdiğini tahmin etmesi isteniyor.<br>208. sayfada öğrenciden elektrik enerjisinin nasıl dağıtıldığına dair tahmin yürütmesi isteniyor.<br>213. sayfada öğrenciden günlük hayattaki aletlere elektrik enerjisinin nasıl aktarıldığına dair tahmin yürütmesi isteniyor. | | | |
| Öğrenciyi yeni düşünce ve fikirler üretmeye teşvik eder. | X | | |
| Detay: 158. Sayfada öğrenciden güneş enerjisine dair fikirler üretmesi isteniyor.<br>176. Sayfada öğrenciden görüntüleme aracı tasarlaması isteniyor. Bunun için öncesinde birden fazla fikir ve çözüm yolu belirlemesi ve en uygununu seçmesi isteniyor.<br>216. Sayfada öğrenciden aydınlatma aracı tasarlaması isteniyor. Bunun için öncesinde birden fazla fikir ve çözüm yolu belirlemesi ve en uygununu seçmesi isteniyor. | | | |
| Öğrencinin ihtiyaca yönelik materyal tasarlamasını sağlar. | X | | |
| Detay: 176. Ve 216. Sayfada öğrenciden cihaz tasarlaması ve tanıtım hazırlaması isteniyor.<br>189. Sayfada araştırmada elde ettiği verilerle afiş hazırlaması isteniyor.<br>197. sayfadaki etkinlikte öğrenciden model oluşturması isteniyor. | | | |
| Öğrencide var olan bilgileri modele dökerek somutlaştırmasını sağlar. | X | | |
| Detay: 176. Ve 216. Sayfada öğrenciden cihaz tasarlaması ve tanıtım hazırlaması isteniyor.<br>197. Sayfadaki etkinlikte öğrenciden oyun hamuruyla çiçek modeli oluşturması isteniyor. | | | |
| Öğrencinin bir olayın olası sonuçlarını tahmin etmesini sağlar. | X | | |

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| Detay: 158. Sayfada öğrenciye güneş enerjisinin yaygınlaştırılmasının ne gibi faydaları olabileceği soruluyor.<br>177. sayfada öğrenciden pet şişlerin ormanlık arazilere atılmasının olası sonuçlarını açıklaması isteniyor.<br>204. Sayfada öğrenciye sigara kullanımının olası sonucu soruluyor.<br>211. sayfada öğrenciden ampullerden biri sönerse diğerinin durumunun ne olacağını tahmin etmesi isteniyor.<br>212. sayfada öğrenciden vanalardaki su geçişine dair olası sonucu belirlemesi isteniyor.<br>214. sayfada öğrenciden devre pilinin diğer cihazları çalıştırıp çalıştıramayacağına dair tahminde bulunması isteniyor. | | | |
| Öğrencinin var olan bilgileri ile bir probleme çözüm yolları geliştirmesini sağlar. | X | | |
| Detay: 176. Sayfada öğrenciden görüntüleme aracı tasarlaması isteniyor. Bunun için öncesinde birden fazla çözüm yolu belirlemesi ve en uygununu seçmesi isteniyor.<br>216. Sayfada öğrenciden aydınlatma aracı tasarlaması isteniyor. Bunun için öncesinde birden fazla çözüm yolu belirlemesi ve en uygununu seçmesi isteniyor. | | | |
| Öğrencinin kafasında oluşturduğu şekli kâğıda aktarmasını sağlar. | X | | |
| Detay: 176. ve 216. sayfada öğrenciden tasarımını çizimle ortaya koyması isteniyor.<br>197. Sayfadaki etkinlik öğrenciden çiçek modeli çizmesini istiyor.<br>208 ve 209. Sayfada öğrenciden elektrik devresi çizmesi isteniyor. | | | |
| Öğrencinin elindeki verileri ve malzemeleri birbiriyle ilişkilendirmesini sağlar. | X | | |
| Detay: 176. sayfada öğrenciden bilgilerini kullanarak görüntüleme aracı tasarlaması isteniyor.<br>189. Sayfada araştırmada elde ettiği verilerle afiş hazırlaması isteniyor.<br>216. sayfada öğrenciden bilgilerini kullanarak aydınlatma aracı tasarlaması isteniyor. | | | |
| Öğrencinin aynı malzemelerle farklı farklı materyal tasarlamasını sağlar. | | | X |
| Detay: | | | |
| Öğrencinin sınırlı ve basit malzemelerle bir probleme en düşük maliyetle çözüm üretmesini sağlar. | | | X |
| Detay: | | | |
| Öğrencinin günlük hayatla ilgili problem cümlesi oluşturup bu probleme çözüm üretmesini sağlar. | X | | |
| Detay: 176. Sayfada öğrenciden görüntüleme aracı tasarlaması isteniyor. Bunun için önce problem cümlesi oluşturup bunun çözümüne yönelik ürününü oluşturması istiyor.<br>216. Sayfada öğrenciden özgün bir aydınlatma aracı tasarlaması isteniyor. Bunun için önce problem cümlesi oluşturup bunun çözümüne yönelik ürününü oluşturması istiyor. | | | |

## 5. SONUÇ

7. sınıf fen bilimleri ders kitabında yapılan inceleme neticesinde, kitabın içeriğinin öğrencilerin başta girişimcilik becerisi olmak üzere yaratıcı düşünme, analitik düşünme ve karar verme becerisini geliştirmeye katkıda bulunabilecek yönde hazırlandığı görülmüştür. Ancak iletişim ve işbirliği becerilerini geliştirmeye yönelik etkinlik, okuma parçası veya soruya neredeyse hiç rastlanmamıştır.

Bireyin kendisini etkili bir şekilde anlatabilmesi ve iyi bir dinleyici olabilmesi, sosyalleşen ve küreselleşen dünyamızda iletişim kurabilmek adına büyük önem taşımaktadır. İletişim sayesinde bireyler fikir, bilgi ve düşünce paylaşımı yaparak bilgi birikimlerini artırabilir, bakış açılarını genişletebilir ve daha duyarlı, çözüm odaklı ve üretken bireyler olma konusunda kendilerini geliştirebilirler. Ayrıca fikirlerini açıkça beyan edebilen bireyler, ihtiyaçlara ve problemlere yönelik çözüm ve üretkenlik konusunda da daha hızlı ve doğru kararlar alabileceklerdir. iletişimin bu türlü katkıları sayesinde, toplumsal konulara duyarlılığı artan, empati yeteneği gelişen bireyler, toplumsal hayatta işbirliğine de gereken önemi göstereceklerdir. Öyle ki, işbirliği; bireylerin karşılıklı olarak eksiklerini tamamlaması, görev dağılımı yapabilmesi ve sorumluluk alma duygusunu geliştirebilmesi sayesinde, çalışmaların daha çabuk sonuçlanmasını veya toplumsal problemlerin daha hızlı çözülmesini sağlayacaktır. Aynı zamanda insanları bir araya getirerek dayanışma ve yardımlaşmayı sağlayabileceğinden toplumsal bütünlüğe de katkıda bulunabilecektir.

Bunlardan hareketle, bu çalışma sonucunda, 7. Sınıf fen bilimleri ders kitabındaki bu eksikliğe daha fazla önem verilerek iletişim ve işbirliği becerilerini geliştirmeye yönelik etkinliklerin, okuma parçalarının ve öğrenciye verilebilecek sorumlulukların sayısının artırılması, aynı zamanda gerçekleştirilebilecek proje ve ödev başlıklarının eklenmesi gibi içerik düzeltme çalışmalarının yapılmasının gerekli olduğu

düşünülmektedir. Bunların, 21. Yüzyılda kazanılması gerekli görülen ve müfredatın kazandırmayı hedeflediği becerilerin edinilmesine katkıda bulunabileceği kanaatine varılmıştır.

## 6. KAYNAKÇA

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# Impact of Simplified Profit Tax for SMEs on Factual Budget Revenues from this Tax

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**Abstract:** Small and medium enterprises are the engine of the Albanian economy. They represent 99% of Albanian registered enterprises and generate more than 80% of jobs in the labor market and also contribute with 60-75% of Gross Domestic Product. This is a positive trend because if we compare it with other countries which have the same economic developement they have almost the same number of these enterprises. Studying these enterprises for the great importance they have in the Albanian economy is very valuable, although there have been numerous studies about them by local researchers, we wanted to study how the simplified corporate profit tax rate affects on budget revenues, does this factor have an impact and how has it changed over the years. Turnover and number of employees has increased for SMEs, while revenues collected from this tax have decreased. Referring to the official secondary data that we have used by analyzing a considerable period of time from 2010 -2019, through an econometric model, we will study whether the Simplified Profit Tax is important and if affects budget revenues. Further we will see what measures the Albanian government has taken for the post - Covid 19 period, to come in help of small and medium enterprises. At the end we will give our recommendations based on the conclusions of the econometric model.

**Key words:** SME, growth, employment, turnover, panel data analysis

**JEL:** F21, H25.

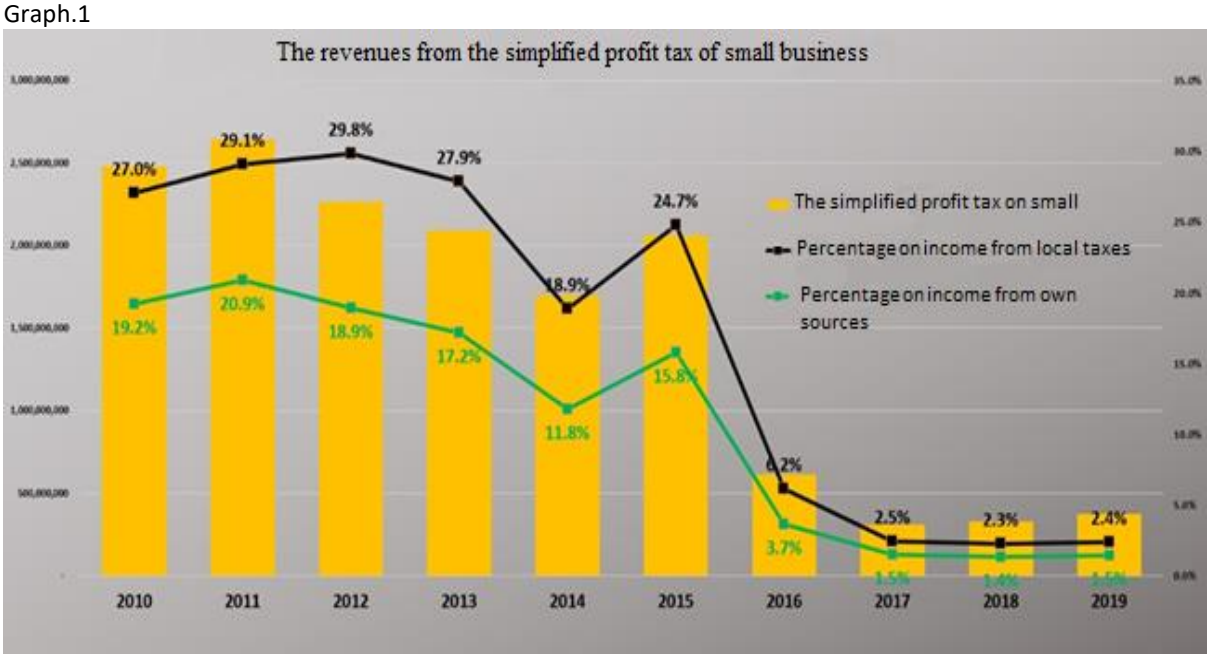
## Introduction

Small and medium enterprises play a major role in countries that are with a growing economy or are in a transition period like Albania. They are the engine of the Albanian economy because they represent 99% of registered businesses and generate more than 80% of jobs in the labor market, also contribute 60-75% of Gross Domestic Product. Small and medium enterprises play a major role in creating new jobs and reducing unemployment. Throughout the transition period, Albanian governments have made continuous efforts through various specific programs to help increase their performance, but these efforts have been insufficient. Many legislative and institutional reforms have been undertaken to support SMEs over the years. To improve the business climate and SME-s development, this are some of the reforms that have been made: Business registration facilitation, permits and licenses, regulatory impact assessment / RIA, ICT support, free trade agreement, CEFTA, provision of financial instruments, training, electronic communications growth, etc. Albania has embraced all the principles of small business, the Act (SBA). This is one of the most important agreements on the European Commission agenda for the development of SMEs, not only for the EU Member States, but also for the countries of the Western Balkans, the implementation of which has already been applied in Albania. In the period that we have studied from 2009-2019, the Albanian governments have applied two different fiscal regimes, the first regime 2009-2014 and the second regime, 2014-2019 where it is represented by different political directions. From the first political direction, in the first fiscal period, a flat tax of 10% was imposed until 2014, aiming to increase the tax base, which would be achieved if the economy had more investment and consumption capacity, and higher income, to achieve the goal of increasing tax revenue. In 2014, with the change of political direction, fiscal policy brought the ideology of fair taxation by increasing the tax burden to 15% for profit tax, dividend tax and income tax, while the simplified profit tax for small and medium enterprises changed in this period by applying an escalated tax. During the same period that we have studied, the definition of SMEs has changed too. Until 2014 they were defined according to the criteria of Albanian legislation, while after 2014 they were classified according to EU principles. Although this frequent fiscal variability affects the achievement of accurate results for each study done in this period, what we have highlighted in this article is how the Simplified Profit Tax Rate of small and medium enterprises affect the Factual Budget Revenues. How much impact does this tax have on local and municipal tax revenues? During[1] 2019, according to the Annual Report of Local Finance, published by Coplan and the Ministry of Finance, the revenues collected from the simplified profit tax on small business were 376.3 million ALL, by marking an increase of 46.8 million ALL compared with year 2018. The percentage of these revenues in the total revenues

[1] Annual Report of Local Finance, Coplan and the Ministry of Finance, 2019

from local taxes is 2.4% and they contribute 1.5% to the revenues from the sources of the municipalities. Referring[2] to the period taken for the study, as can be seen from the graph below, the revenues collected from the simplified Profit tax of small and medium enterprises have decreased (Source INSTAT 2019). This has been the reason that guided us to see if the tax rate of the simplified profit tax of small and medium enterprices affects this income, so whether it is important or not and through an econometric model we have proved its connection and importance.

Graph.1




According to the fiscal issues study center ALTAX, the simplified profit tax for SMEs occupies 0.02% of the Gross National Product for 2019, a number that hasn't changed for the last three years 2017,2018,2019. We can't say the same for the whole period that we have studied, so from 2009 -2012 it was 0.2% of GDP, in 2013 -2015 there was a decrease and this item occupied 0.1% and in 2016 occupied 0.04% of GDP.

Table.1

% GDP

| Tax revenue | 1993 | 1994 | 1995 | 1996 | 1997 | 1998 | 1999 | 2000 | 2001 | 2002 | 2003 | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 15.7 | 16.1 | 14.8 | 12.8 | 13.8 | 18.9 | 18.8 | 20.8 | 20.3 | 21.1 | 21.5 | 22.5 | 22.9 | 23.5 | 23.6 | 24.5 | 23.7 | 23.3 | 23.4 | 22.6 | 22.2 | 24.1 | 23.9 | 25.1 | 25.7 | 25.7 | 25.2 |
| *From taxes and customs* | 12.7 | 12.6 | 10.7 | 8.4 | 9.8 | 14.3 | 14.3 | 16.2 | 15.6 | 16.1 | 16.1 | 16.7 | 16.9 | 17.8 | 18.3 | 19.0 | 18.3 | 18.0 | 18.1 | 17.5 | 17.0 | 18.2 | 18.0 | 18.7 | 18.9 | 18.7 | 18.0 |
| *Income from Special Funds* | 2.6 | 2.9 | 3.5 | 3.8 | 3.7 | 4.1 | 4.1 | 4.0 | 4.0 | 4.2 | 4.2 | 4.5 | 4.5 | 4.5 | 4.3 | 4.4 | 4.4 | 4.3 | 4.4 | 4.3 | 4.4 | 5.0 | 5.0 | 5.4 | 5.6 | 5.7 | 5.8 |
| *Revenues from local government* | 0.4 | 0.6 | 0.6 | 0.6 | 0.3 | 0.4 | 0.5 | 0.6 | 0.7 | 0.9 | 1.2 | 1.3 | 1.5 | 1.3 | 1.0 | 1.0 | 1.1 | 1.0 | 0.9 | 0.8 | 0.8 | 0.9 | 0.8 | 1.0 | 1.2 | 1.3 | 1.4 |
| *Local tax* | 0.05 | 0.2 | 0.3 | 0.4 | 0.2 | 0.2 | 0.2 | 0.3 | 0.4 | 0.4 | 0.7 | 0.8 | 1.0 | 1.0 | 0.7 | 0.7 | 0.7 | 0.6 | 0.6 | 0.5 | 0.5 | 0.5 | 0.4 | 0.7 | 0.9 | 1.0 | 1.0 |
| *Property tax (buildings)* | | | | | | | | | | | | | | | | 0.1 | 0.1 | 0.2 | 0.1 | 0.2 | 0.2 | 0.3 | 0.3 | 0.3 | 0.3 | 0.3 | 0.3 |
| *Simplified profit tax of small business* | 0.4 | 0.4 | 0.3 | 0.2 | 0.1 | 0.2 | 0.3 | 0.3 | 0.4 | 0.4 | 0.4 | 0.6 | 0.5 | 0.3 | 0.2 | 0.2 | 0.2 | 0.2 | 0.2 | 0.2 | 0.1 | 0.1 | 0.1 | 0.04 | 0.02 | 0.02 | 0.02 |

As we can see, the Simplified Profit Tax has been variable for the entire period under study.

[2] INSTAT 2019

## 1. Definition of small and medium enterprises

Small and medium enterprises are enterprises that have income, assets or the number of employees below a certain threshold. The most common criteria for classifying them by size used by many countries are: number of employees, turnover and / or value of assets. Until 2014, Albania applied its own criteria for the classification of SMEs, since that the Albanian economy in terms of size is very small compared to other EU countries.

According to this economic definition, are considered as small enterprises the economic enterprises which met the three following criteria:

1. They own a relatively small part of their market
2. They are managed by the owners themselves and not through a formal management structure
3. They are not part of a big business, they are independent,

On the other hand, Law[3] no.8957, dated 17.10.2002, "On small and medium enterprises" used the following classification:

1. Micro enterprices, with up to 5 employees
2. Small enterprises, with 6 to 20 employees
3. Medium enterprises, with 21 to 80 employees.

The European Commission, to solve the problem of defining small and medium-sized enterprises, took the initiative to unify a single definition at EU level. After almost a decade it became necessary to revise this definition of the European Commission and so in 2005, a new definition for SMEs was adopted.[5]

An enterprise is an entity engaged in an economic activity regardless of its legal form. This definition has been given in advance by the European Court of Justice. So, it is the economic activity, the determining factor and not the legal form of business.[16]

The new EU definition adopted in 2005[4] considers the three following criteria: 1) number of employees, 2) annual turnover, and 3) annual balance sheet. Based on these three criteria, enterprises are divided into 3 categories, with the following characteristics:

Table 2. European Commission Classification of SMEs

| Category | No. of employees | Annual turnover | Annual balance sheet |
|---|---|---|---|
| Medium | <250 | <€ 50 million (in 1996: € 40 million) | <€ 43 million (in 1996: €27 million) |
| Small | <50 | ≤€ 10 million (in 1996, € 7 million) | ≤ € 10 million (in 1996: €5 million) |
| Micro | <10 | ≤ € 2 million (wasn't previously defined) | ≤ € 2 million (wasn't previously defined) |

Source: European Commission Recommendation of 6 May 2003 on the definition of micro, small and medium-sized enterprises.

So the EU[5] and a large number of OECD[6] countries, transition and developing countries have set the maximum limit of number of employees for SMEs at 200-250, with a few exceptions: such as Japan (leading up to 300 employees) and in the US (500 employees) (OECD 2004).

Currently in Albania, the simplified Profit Tax for SMEs is determined on the basis of annual turnover. Enterprises that have an annual turnover of up to 5 million ALL, the tax is zero. For enterprises with a turnover

[3] Ministry of Finance, Law no.8957, dated 17.10.2002, "On small and medium enterprises"

[4] EC, 2005, The New SME definition, User Guide and Model Declaration, pg.12

[5] European Commission Recommendation of 6 May 2003 on the definition of micro, small and medium-sized enterprises.

[6] OECD 2002, pg.2

of 5 to 14 million ALL per year, which are also considered small enterprises, this tax is 5% and for enterprises with a turnover over 14 million ALL per year, which are considered medium and large, the profit tax is 15%.

## 2. SMEs and their performance for on 2018-2019

According to the latest data from the Institute of Statistics (INSTAT 2019), by the end of 2019 the number of active SMEs was 162,342, almost the same as in 2018. Their main activity is trade and enterprises in this sector occupy 23.0% of enterprises registered during 2019, compared to 23.2% registered during 2018. While small enterprises as a result of fierce competition that the trade chains are creating more and more, as well as the weak consumption of the economy are in great difficulty. According to INSTAT[7] 2019 the number of small enterprises with 1-4 employees, excluding agriculture sector was 116.6 thousand in 2019 marking a decrease of 2.5% due to the closure of about 4 thousand enterprises.

The trade and industry sectors had the largest contraction in business. In the trade sector this decline has been with 2300 businesses and continues to decline. The same can be said for the industry sector, where there were a decrease of 2000 thousand less active businesses, compared to 2018 as a result of closing their activity and 600 new businesses less compared to 2018. While the construction sector, telecommunications and other services have grown. To reduce the negative effects of "Covid 19", the government has implemented two financial rescue packages focusing on employees and the self-employed in small enterprises. The government has also approved packages that guarantee business support funds, through which it helped but didn't solve the whole business problem. The International Monetary Fund[8] (IMF) has estimated that Albania's direct and indirect support packages were equal to 2.9% of GDP, from 5.8% for the Western Balkans average, due to the high public debt which reached 79.9%. Also, there has been a reduction to -23.8% of the simplified profit tax on small business during the period 2015-2019. This income created from the simplified profit tax for small businesses according to the law "On local taxes" goes to municipalities budget. The government through the tax administration collects this tax which is allocated to 98% in the municipal budget while only 2% goes to the government budget. Following the measures taken, the current government issued the decision that starting from 2021 to 2029 will remove the profit tax for entities with an annual turnover of up to 14 million ALL per year, for SMEs which were most affected by the pandemic. According to General Directorate of Taxes data, there are 91 thousand enterprises with turnover from 0 to 14 million ALL per year in the whole country, 80% of which or 72,800 businesses declare less than 5 million ALL annual turnover. Only a difference of 18,200 enterprices are in the category with annual turnover between 5-14 million ALL, who pay a simplified profit tax of 5%. So is the number of businesses that benefit from the prime minister's promise. According to the ALTAX[9] study center, this decision does not violate the law, but, "It is not a good thing, as long as it does not reconcile with all factors." Experts estimate that the head of government is promising the abolition of a tax that actually belongs to the local government, while no alternative is given as how the municipal budget will compensate for this missing revenue.

**Hypothesis: The simplified[10] Profit Tax Rate on SMEs affects the level of budget revenues.**

To analyze and validate the above hypothesis, we have created an econometric model, through the regression model.

In this connection, we have considered as an independent variable the profit tax rate, while as a dependent variable the factual budget revenues from this tax. Based on the data obtained from the following tables, table 5 shows the profit tax rate applied in Albania for SMEs from 2009 - 2019, and table 6 showing the revenues from the simplified profit tax of small business for this period as well, we have found the conection between these two variables which is expressed by the respective equation:

**Income = 15.36-6.16 rates**

Model 7: KVZ, on the sample 2009-2019 (T = 11)

[7] INSTAT, the performance of enterprises with 1-4 employees (2018-2019)

[8] Academy of Political Studies (ASP) on reforms and important policy development in the country 2020

[9] Eduart Gjokutaj, expert from the ALTAX research center

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Dependent variable: the factual budget revenues

Table 3.

| | *Coefficient* | *Std Error* | *t-Student* | *Critic P* | |
|---|---|---|---|---|---|
| const | 15,3746 | 3,62343 | 4,243 | 0,0022 | *** |
| Rate | −6,16184 | 1,79167 | −3,439 | 0,0074 | *** |

| | | | | |
|---|---|---|---|---|
| The average dif. var. | 3,061833 | Dev. std. change var. | 2,672619 |
| Square residual amount | 30,86539 | Standard regression error | 1,851888 |
| R-square | 0,567887 | R- corrected square | 0,519874 |
| F (1, 9) | 11,82787 | Crtic P for F | 0,007400 |
| Log-gjasa | −21,28289 | Akaike criterion | 46,56579 |
| Schwarz criterion | 47,36158 | Hannan-Quinn criterion | 46,06415 |
| rho | 0,128276 | Stat. Durbin-Watson | 1,152421 |

**Econometric model: Income = 15.36-6.16 norms**

**With an increase of 1% of the tax rate, the factual budget revenues will decrease by 6.16%.**

R2 = 57%, indicates that 57% of the change in annual budget revenues depends on the tax rate.

**The test is for heteroskedasticity**

KVZ, on sample 2009-2019 (T = 11)

Dependent variable: the factual budget revenues

| | *Coefficient* | *Std Error*. | t-Student | *Critic P* |
|---|---|---|---|---|
| | | | | |
| const | −107,742 | 141,993 | −0,7588 | 0,4697 |
| l_Norma | 110,607 | 148,835 | 0,7431 | 0,4786 |
| sq_l_Norma | −27,0095 | 38,0551 | −0,7097 | 0,4980 |
| | | | | |

Uncorrected R-square = 0.144114

Test statistics: TR^2 = 1,585251,

with Critic P = P (Hi – square (2) > 1,585251) = 0,452655

**H0:** Heteros missing

**H1**: Heteros not missing

Prob = 0.45 greater than 0.05, H0 stands.

**Autocorrelation & Stationery**

Breusch-Godfrey test for autocorrelation of order 1

KVZ, on sample 2009-2019 (T = 11)

Dependent variable: the factual budget revenues

Table 4.

| | *Coefficient* | *Std Error*. | t-Student | *Critic P* |
|---|---|---|---|---|
| | | | | |
| const | 0,318496 | 3,90430 | 0,08158 | 0,9370 |
| l_Norma | −0,156496 | 1,92997 | −0,08109 | 0,9374 |
| uhat_1 | 0,134704 | 0,360487 | 0,3737 | 0,7184 |
| | | | | |

Uncorrected R-square = 0,017154

Test statistics: LMF = 0,139631,

with Critic P = P(F(1,8) > 0,139631) = 0,718

Alternative statistics: TR ^ 2 = 0.188699,

with Critic P = P (Hi- square (1) > 0,188699) = 0,664

Ljung-Box Q' = 0,231915,

with Critic P = P (Hi- square (1) > 0,231915) = 0,63

**Ho: Stationary series**

**H1: Non-stationary series**

**Prob = 0.63 greater than 0.05, H0 stands, stationary series (Test Q)**

*Autocorrelation*

**H0: There is no autocorrelation of any order.**

**H1: Has autocorrelation of at least one order**

**Prob=0,718 greater than 0,05 , H0 stands.**

In this way we confirmed the above hypothesis that**: The simplified Profit Tax Rate for SMEs affects the level of budget revenues with a strong negative correlation and impact.**

Table 5

| | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2018 |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | Prior |
| TOTAL INCOME | 324,721 | 330,469 | 330,384 | 327,178 | 366,721 | 379,206 | 407,021 | 430,397 | 449,465 |
| Monetary assistance | 4,605 | 3,811 | 5,559 | 5,737 | 10,186 | 11,215 | 14,639 | 11,085 | 8,133 |
| *of which: budget support from CE* | | | | | | | 3,562 | 2,738 | 2,251 |
| Tax revenue | 288,564 | 303,927 | 300,862 | 299,888 | 335,868 | 342,308 | 369,884 | 398,629 | 419,334 |
| *From taxes and customs* | 223,019 | 235,509 | 232,591 | 229,031 | 253,413 | 258,882 | 275,780 | 293,386 | 304,318 |
| *Value added tax* | 113,998 | 119,189 | 116,533 | 111,940 | 123,730 | 125,783 | 131,390 | 139,541 | 143,464 |
| *Profit tax* | 17,606 | 19,712 | 16,853 | 15,119 | 28,852 | 24,968 | 29,151 | 31,645 | 34,461 |
| *Axcise* | 38,788 | 40,403 | 36,421 | 38,151 | 32,606 | 39,027 | 41,896 | 45,105 | 44,987 |
| *Personal income tax* | 27,058 | 27,967 | 27,989 | 29,570 | 21,479 | 29,661 | 31,412 | 32,102 | 36,517 |
| *National* | 18,295 | 21,388 | 28,677 | 28,454 | 40,894 | 33,647 | 35,794 | 38,502 | 38,673 |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| *taxes and other* | | | | | | | | | |
| *Customs tax* | 7,274 | 6,850 | 6,118 | 5,797 | 5,852 | 5,796 | 6,137 | 6,492 | 6,217 |
| *Revenues from local government* | 11,898 | 11,791 | 10,859 | 10,825 | 12,447 | 11,700 | 14,951 | 18,447 | 21,863 |
| *Local tax* | 7,684 | 7,279 | 6,210 | 6,396 | 7,060 | 5,746 | 9,675 | 13,273 | 16,354 |
| *Property tax (buildings)* | 1,896 | 1,942 | 2,506 | 2,454 | 3,678 | 3,921 | 4,678 | 4,879 | 5,192 |
| *Simplified profit tax of small business* | 2,318 | 2,570 | 2,143 | 1,975 | 1,709 | 2,033 | 598 | 296 | 316 |

Simplified profit tax rate 2010-2021

Table 6

| Year | Enterprises by annual income (All) | Rate |
|---|---|---|
| 2010 | Flat tax | 10% |
| 2011 | Flat tax | 10% |
| 2012 | Flat tax | 10% |
| 2013 | Flat tax | 10% |
| 2014 | 0 - 2 million | All 25,000 |
| | 2 - 8 million | 7.5% |
| 2015 | 0 - 2 million | All 25,000 |
| | 2 - 8 million | 7.5% |
| 2016 | 0 -5 million | 0% |
| | 5 - 8 million | 5% |
| 2017 | 0 -5 million | 0% |
| | 5 - 8 million | 5% |
| 2018 | 0 -5 million | 0% |
| | 5 - 8 million | 5% |
| 2019 | 0 - 14 million | 5% |
| 2020 | 0 - 14 million | 5% |
| 2021 | 0 - 14 million | 0% |

## Conclusions:

1. In developing countries like Albania, SMEs have a major influence on economic growth and employment, also they generate more than 80% of jobs and also contribute with 60-75% of Gross Domestic Product.
2. According to the latest data from the Institute of Statistics (INSTAT 2019), by the end of 2019 the number of active SMEs was 162,342, almost the same as 2018. Their main activity is trade, and enterprises in this sector occupy 23.0% of enterprises registered during 2019, compared to 23.2% registered during 2018. According to INSTAT 2019 the number of small enterprises with 1-4 employees, excluding agriculture sector was 116.6 thousand in 2019 marking a decrease of 2.5% due to the closure of about 4 thousand enterprises.

3. Albania has supported all the principales of small businesses, Act (SBA). This is one of the most important agreements on the European Commission agenda for the development of SMEs, not only for the EU Member States, but also for the countries of the Western Balkans, the implementation of which has already been applied in Albania.
4. During 2019, according to the Annual Report of Local Finance, published by Coplan and the Ministry of Finance, the revenues collected from the simplified profit tax on small business were 376.3 million ALL. The percentage of these revenues in the total revenues from local taxes is 2.4% and they contribute 1.5% to the revenues from the sources of the municipalities. Referring to the period taken in the study 2009-2019, the revenues collected from the simplified Profit tax on small and medium enterprises have decreased.
5. The tax rate of the simplified profit tax for SME-s during the period we have studied, has been variable and not a long-term fiscal policy and this has led to the reduction of revenues collected from this rate
6. Through our econometric model, we confirmed the hypothesis that the tax rate of the simplified profit tax has a strong negative correlation with the factual budget revenues collected from this tax. If the tax rate increases by 1%, the factual budget revenues will decrease by 6.16%.

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9. Eduart Gjokutaj, expert from the ALTAX research center
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# Petrol Fiyat Endeksi ve Gayrisafi Yurt İçi Hasıla Arasındaki Uzun Dönem Saklı Eşbütünleşme İlişkisi

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**Özet:** Sanayi devrimi sonrasında artarak devam eden enerji ihtiyacının karşılanmasında kıt olmayan ve doğaya daha az zarar veren yenilenebilir enerji kaynakları yerine fosil kaynak niteliğine sahip yenilenemeyen enerji kaynaklarının kullanılmasında çevreye zararlı salınımlarda bulunulmaktadır. Türkiye'nin enerji ihtiyacı göz önüne alındığında, ekonomik büyümeden daha hızlı şekilde artan enerji tüketimine karşılık sınırlı rezerv miktarının bulunması petrolle bağımlılığı ortaya çıkarmaktadır. Temel enerji kaynaklarından olan petrolün fiyatındaki değişimler makroekonomik büyüklükler ve dolayısıyla ekonomik faaliyetler üzerinde etkili olarak belirsizlik yaratmaktadır. Petrolde dışa bağımlı yapıya sahip olan ülkeler ele alındığında, fiyatlarda meydana gelen artış maliyet enflasyonda yükselme ve üretimde, yatırımlarda, istihdamda ve milli gelirde azalma meydana getirerek ekonomik daralmaya neden olabilmektedir. Çalışma kapsamında, petrol fiyat endeksi ve gayrisafi yurt içi hasıla arasındaki uzun dönem asimetrik ilişkilerin ortaya çıkartılması amaçlanmaktadır.

**Anahtar Kelimeler***:* Saklı eşbütünleşme analizi, asimetrik etkiler, doğrusal olmama

# Long-Term Hidden Cointegration Relation Between Oil Price Index and Gross Domestic Product

**Abstract:** Environmentally harmful emissions are made in the use of non-renewable energy resources that are fossil resources instead of renewable energy resources that are not scarce and less harmful to nature in meeting the increasing energy need after the industrial revolution. Considering Turkey's energy needs, limited amount of reserves in response to energy consumption increasing faster than economic growth reveals dependence on oil. Changes in the price of oil, one of the main energy resources, create uncertainty over macroeconomic magnitudes and thus on economic activities. Considering the countries that have a foreign-dependent structure in oil, the increase in prices can cause an increase in cost inflation and a decrease in production, investments, employment and national income, causing economic contraction. Within the scope of the study, it is aimed to reveal the long-term asymmetric relations between the oil price index and gross domestic product.

**Keywords:** Hidden cointegration analysis, asymmetric effects, nonlinearity

## 1. GİRİŞ

Sanayi devrimi ve sonrasında artarak devam eden enerji ihtiyacının karşılanmasında kullanılan enerji kaynakları dönüştürülebilirliklerine ve kullanışlarına göre ikiye ayrılmaktadır. Birincil enerji kaynaklarının belirli işlemlerden geçirilmesi sonucunda ise ikincil enerji kaynakları ortaya çıkmaktadır. Bitkisel kaynaklı yakıtların kullanımının azalımı, maliyetlerinin artışı ve ısıl değer düşüklüğü sonucu enerji talebinin karşılanmasında farklı enerji kaynaklarına yönelim gerçekleşmektedir (Pipe ve Jim, 2012). Ülkelerin gelişmişlik ve kalkınmışlık göstergelerinden olan enerji tüketimindeki artış ve enerji kaynak çeşitliliğindeki gelişmeler, ülkeler arası rekabet koşullarının artmasına ve enerji arz güvenliğinin iktisadi, sosyal ve siyasal açıdan ön plana çıkmasına neden olmaktadır (Akgün, 2006). Kesintisiz biçimde temiz, güvenilir ve farklı kaynaklardan uygun fiyat/miktarda enerjinin tedarik edilmesini ve yüksek verimlilik ile kullanılmasını ifade eden enerji güvenliğinin sağlanması ve fosil yakıtlardaki sınırlı ve dengesiz dağılım sonucu oluşan fiyat dalgalanmalarının önüne geçilmesi için alternatif enerji kaynaklarına yönelim gözlemlenmektedir (Sevim, 2012).

Farklı basınç ve sıcaklık koşulları altında katı/sıvı/gaz halinde bulunan petrolün kullanım alanı ve miktarı, yakıt çeşitliliği ve endüstriyel gelişmeyle birlikte artmaktadır. Temel enerji kaynağı olarak görülen petrol,

sektördeki gelişim sonucu rekabetin ve ticaretin artmasını sağlayarak ekonomik denge üzerinde dönüştürücü etkiye sahip olmaktadır. Petrol üretim eğilimlerinin öngörülebilmesi için rezerv ve üretim ilişkisinin iyi kurgulanması gerekmektedir. Petrole ilişkin rezerv miktarının ve ekonomik yapı içindeki ağırlığının yanı sıra petrol ithal eden ülkelerin yapısal özellikleri de petrol piyasa yapısı üzerinde etkili olmaktadır. Ek olarak, petrol arama ve üretiminde yatırım maliyetlerin yüksek olması, teknolojik altyapı özelliklerindeki, ülkelere ilişkin politik yapıdaki ve muhasebeleştirme ile raporlamadaki farklılaşmalar da petrol piyasası üzerinde etkili olmaktadır. Petrol piyasasında yoğun ve güçlü sermaye mekanizması bulunmaktadır (Önertürk, 1983). Petrol piyasalarında arz ve talep dengesi hassas olduğundan, talepte ortaya çıkması muhtemel ani sıçramaların engellenmesi ve fiyat kontrolünün sağlanabilmesi için petrol üretimi planlı şekilde gerçekleştirilmektedir. Petrol ihracatçısı ülkeler ellerindeki kaynakları olabildiğince verimli şekilde değerlendirmeyi, petrol ithalatçısı ülkeler ise maliyetleri en alt seviyede tutarak petrole sahip olmayı amaçlamaktadır (Ercan,1996). Petrol ithalatçısı ülkelerden petrol ihracatçısı ülkeye satın alma gücünün aktarılması petrol fiyatındaki şokların ekonomik aktiviteye etkisini göstermektedir. Petrol ihracatçısı ülkede satın alma gücünde ve toplam talepte artma yaşanırken; petrol ithalatçısı ülkede satın alma gücünde ve toplam talepte azalma yaşanmaktadır (Brown, 2002: 3).

Aktaş (2010), petrol fiyatları ile dış ticaret haddi ve işsizlik arasında negatif ilişkiyi vurgulamaktadır. Özsağır ve Şentürk (2011), ham petrol fiyatlarındaki hareketliliğin GSYİH büyümesi üzerinde etkili olduğunu vurgulamaktadır. Mucuk (2016), petrol fiyatlarındaki artışın gayrisafi yurtiçi hasılayı artırdığını ifade etmektedir. Algan vd. (2017), petrol fiyatlarındaki dalgalanmaların sanayi üretimini azalttığını belirtmektedir. Yılancı (2017), petrol fiyatları ile ekonomik büyüme arasında uzun dönem bir bağıntı bulunmadığını ortaya koymaktadır. Şengönül (2018), petrol şoklarının uzun dönemde ihracatı olumlu yönde etkilediğini vurgulamaktadır. Awunyo ve Vitor (2019), petrol fiyatlarının ekonomik büyüme faaliyetleri üzerine uzun dönem etkisi olduğunu belirtmektedir. Aykut (2020), petrol fiyatlarından ekonomik büyümeye doğru pozitif yönde ilişki olduğunu vurgulamaktadır. Ünal (2021), petrol fiyatları ve büyüme arasında tek yönlü nedensellik ilişkisi olduğu göstermektedir. Çalışma kapsamında, ilk bölümde konuya giriş yapıldıktan sonra ikinci bölümde değişkenler arasındaki saklı eşbütünleşmenin ortaya çıkartılması için kullanılan ekonometrik metodoloji hakkında bilgi verilmektedir. Üçüncü bölümde petrol fiyat endeksi ve gayrisafi yurtiçi hasıla arasındaki ilişki yapısı belirlendikten, sonra son bölüm bulgu ve önerilere ayrılmaktadır.

## 2. Ekonometrik Metodoloji

Ekonomi kuramında değişkenler arasında denge ilişkilerinin belirlenmesinde durağanlık kavramı öne çıkmaktadır. Makroekonomik seriler genellikle durağanlık koşulunu sağlanamamakta ve durağan olmayan zaman serileri ekonometrik analizde çoğunlukla sorunlu olarak nitelendirmektedir. Durağan olmayan seriler kullanılarak yapılan tahminlerde sahte regresyon sorunu ile karşılaşılabilmektedir (Granger ve Newbold ,1974). Eşbütünleşme kavramı ekonomik değişkenlerin uzun dönemli dengede olması ile yakından ilişkili olmaktadır. Eşbütünleşme ile her biri ayrı ayrı durağan olmayan iki ya da daha fazla zaman serisi arasındaki ilişki açıklanabilmektedir. Değişkenler eşbütünleşik ise denge ilişkisinden olan sapma sıfırıncı dereceden bütünleşik olmaktadır (Banerjee, 1993).Eşbütünleşme analizinin uygulandığı durumlar tek denklemli modeller ve denklemler sistemi olmak üzere iki gruba ayrılmaktadır. Engle-Granger (1987), tek denkleme dayalı eşbütünleşme analizini geliştirilirken; Johansen (1988), tek denge yapısı varmış gibi kısıtlamaya gidilmesini engelleyerek çoklu eşbütünleşme vektörünün tahmin edilmesini sağlamaktadır (Sevüktekin ve Nargeleçekenler, 2010). Fark alma işlemi serilerdeki dalgalanmaları ortadan kaldırmakta ve veri kaybına uğrayan seride serinin geçmiş dönemlerde maruz kaldığı şoklar giderildiği gibi uzun dönemli ilişkiler de ortadan kalkmaktadır (Tarı, 2010).

Granger ve Yoon (2002), değişkenler arasında uzun dönem bir ilişki olmasa bile, değişkenlerin negatif ve pozitif bileşenlerine ayrıldıktan sonra bir ilişki ortaya çıkması halinde değişkenler arasında saklı bir ilişki olacağını ifade etmektedir. $\varepsilon_t$ ve $\eta_t$ hata terimi ve $x_t$ ile $y_t$ rassal yürüyüş sürecine sahip olmak üzere

$$x_t = x_{t-1} + \varepsilon_t = x_0 + \sum_{i=1}^{t} \varepsilon_t$$

$$y_t = y_{t-1} + \eta_t = y_0 + \sum_{i=1}^{t} \eta_t$$

(1)

şeklinde gösterilmektedir. d eşik değeri, $\varepsilon_i = \varepsilon_i^- + \varepsilon_i^+$ ve $\eta_i = \eta_i^- + \eta_i^+$ olmak üzere,

$$\varepsilon_i^- = \min(\varepsilon_i, d)$$

$$\varepsilon_i^+ = \max(\varepsilon_i, d)$$

$$\eta_i^- = \min(\eta_i, d)$$

$$\eta_i^+ = \max(\eta_i, d)$$

(2)

şeklinde gösterilmektedir. Eşitlik (1) ve Eşitlik (2) birlişterildiğinde,

$$x_t = x_{t-1} + \varepsilon_t = x_0 + \sum_{i=1}^{t} \varepsilon_i^- + \sum_{i=1}^{t} \varepsilon_i^+$$

$$y_t = y_{t-1} + \eta_t = y_0 + \sum_{i=1}^{t} \eta_i^- + \sum_{i=1}^{t} \eta_i^+$$

(3)

elde edilmektedir. $x_0$ ve $y_0$ sabit olduğu bilgisi altında, $x_t^+ = \sum_{i=1}^{t} \varepsilon_i^+$ , $x_t^- = \sum_{i=1}^{t} \varepsilon_i^-$ ve $y_t^+ = \sum_{i=1}^{t} \eta_i^+$, $y_t^- = \sum_{i=1}^{t} \eta_i^-$ olmak üzere,

$$x_t = x_0 + x_t^- + x_t^+$$

$$y_t = y_0 + y_t^- + y_t^+$$

(4)

elde edilmektedir. $\Delta x_t^- = \varepsilon_i^-$, $\Delta x_t^+ = \varepsilon_i^+$ ve $\Delta y_t^- = \eta_i^-$,$\Delta\, y_t^+ = \eta_i^+$ olarak verilebilmektedir. Granger ve Yoon (2002) saklı eşbütünleşme yaklaşımı, Engle Granger (1987) temeline dayandığından, ayrıştırma ile elde edilen serilere Engle Granger (1987) eşbütünleşme analizi uygulanmaktadır.

Değişkenleri arasında eşbütünleşme ilişkisinin belirlenmesi durumunda saklı hata düzeltme modeline

$$\Delta Y_t^+ = \psi_0 + \psi_1 \varepsilon_{t-1} + \sum_{i=1}^{k} \psi_{xi} \Delta X_{t-i}^+ + \sum_{j=1}^{k} \psi_{yj} \Delta Y_{t-j}^+ + \nu_t$$

$$\Delta X_t^+ = \gamma_0 + \gamma_1 \varepsilon_{t-1} + \sum_{i=1}^{k} \gamma_{xi} \Delta X_{t-i}^+ + \gamma_{yj} \Delta Y_{t-j}^+ + \upsilon_t$$

(5)

geçiş yapılmaktadır.

### 3. Petrol Fiyat Endeksi Ve Ekonomik Büyüme Arasındaki İlişkinin Belirlenmesi

Çalışma kapsamında, Brent, West Texas İntermediate ve Dubai Fateh' e ait 3 spot fiyatı ortalamasından elde edilen ham petrol fiyat endeksi değişiminin ekonomik büyüme üzerindeki etkisini incelemek amacıyla 1989:Q4-2020:Q4 dönemlerine ait üçer aylık veriler kullanılmaktadır. Veri seti Türkiye Cumhuriyet Merkez Bankası (TCMB) elektronik veri dağıtım sisteminden (EVDS) ve Uluslararası Para Fonu (IMF) veri tabanında elde edilmektedir. Farklı temel yıllarına ait farklı dönem verileri 1989 temel yıl baz alınarak düzenlenmektedir. Tablo 1.' de birim kök test sonuçları incelendiğinde serilerin durağan dışı özellik sergilendiği ve aynı dereceden entegre oldukları tespit edilmektedir. Birim köke sahip seriler arasındaki ilişki en küçük kareler tahmincileriyle incelendiğinde seride mevcut olan trend yapısı gerçekte var olmayan ilişkilerin ortaya çıkmasına neden olmaktadır. Bu nedenle değişkenler arasındaki uzun dönem denge ilişkisi Engle ve Granger yöntemi kullanılarak ele alınmaktadır. Tablo 1. incelendiğinde, ekonomik büyüme ve petrol fiyatları arasında eşbütünleşme olmadığını ifade eden yokluk hipotezi hem sabit hem de sabit ve trend terimli durumlar göz önüne alındığında reddedilmediğinden değişkenlerin bağımlı değişken olarak alındığı her iki durumda da uzun dönem denge ilişkisinin tüm önem düzeylerinde mevcut olmadığı belirlenmektedir.

Tablo 1. Değişkenlere ilişkin uzun dönem bulguları

| Birim Kök Test Sonuçları | | | | |
|---|---|---|---|---|
| | EB | | PF | |
| | Düzey | I.Fark | Düzey | I.Fark |
| ADF | -3,22185 | -1,43719* | -2,50192 | -1,02551* |
| PP | -3,04811 | -1,50475* | -2,3646 | -1,20442* |
| Engle Granger Eşbütünleşme Sonuçları | | | | |
| | | t-ist. | | z-ist. |
| Sabit ve trend yok | | | | |
| EB | | -1,89868 | | -6,44757 |
| PF | | -1,86964 | | -6,44854 |
| **Sabit** | | | | |
| EB | | -1,84445 | | -8,29136 |
| PF | | -2,53873 | | -13,5004 |
| **Sabit ve doğrusal trend** | | | | |
| EB | | -3,24907 | | -19,874 |
| PF | | -2,52966 | | -13,2403 |
| **Kuadratik Trend** | | | | |
| GSYİH | | -4,18435 | | -30,7541 |
| PTF | | -2,99734 | | -16,6158 |

*,** ve *** sırasıyla 0.01, 0.05 ve 0.10 test kritik değerleri için kullanılmaktadır.

Engle-Granger yönteminde asimetri dikkate alınmadığından şoklara karşı aynı tepkinin verildiği göz önüne alınmaktadır. Değişkenler arasında uzun dönem ilişkinin belirlenememesine karşılık değişkenler negatif ve pozitif bileşenlere ayrılarak aralarındaki saklı ilişki ve saklı hata düzeltme modeli Tablo 2.'de incelenmektedir. Hata düzeltme katsayıları incelenerek uzun dönem ayarlama hızı ve gecikme fark değişken katsayıları incelenerek kısa dönem ayarlama hızları gösterilmektedir. Tablo 2.'de ekonomik büyüme değişkenine pozitif (EBP) ve negatif (EBN) ve petrol fiyatı değişkenine pozitif (PFP) ve negatif (PFN) olmak üzere dönüştürme işlemi uygulanmaktadır. Saklı ilişkinin sınanaması için ayrıştırılan serilerde eşbütünleşme ilişkisi Granger ve Yoon (2002) yöntemi uygulanarak araştırılmaktadır. Granger ve Yoon (2002 sonuçları incelendiğinde %5 önem düzeyinde $EB^+, PF^+$ ve $EB^+, PF^-$ arasında uzun dönem ilişkisinin olduğu belirlenmektedir.

Tablo 2. Engle-Granger Saklı Eşbütünleşme Uzun Dönem

| $EB^+, PF^+$ | | | $EB^+, PF^-$ | | |
|---|---|---|---|---|---|
| | t-ist. | z- ist. | | t-ist. | z- ist. |
| Sabit ve trend yok | | | | | |
| EB | 2,5006*** | -12,2726 | EB | 2,69118*** | -14,2027 |
| PF | 2,5155*** | -12,3403 | PF | 2,6785*** | -14,1388 |
| Sabit | | | | | |
| EB | -2,79097 | -15,4651 | GSYİH | -2,69317 | -14,1483 |
| PF | -2,8096 | -15,5459 | PTF | -2,67439 | -14,1572 |
| **Sabit ve doğrusal trend** | | | | | |
| EB | -4,05301** | -32,1382 | EB | -4,0159** | -33,6429 |
| PF | -2,67827** | -13,2813 | PF | -2,30051** | -13,5456 |
| **Kuadratik Trend** | | | | | |
| EB | -4,40277* | -39,8136 | EB | -4,22421 | -38,6272 |
| PF | -2,71398 | -13,5665 | PF | -2,77645 | -15,8277 |
| $EB^-, PF^+$ | | | $EB^-, PF^-$ | | |
| | t-ist. | z- ist. | | t-ist. | z- ist. |
| Sabit ve trend yok | | | | | |
| EB | -1,53138 | -4,64097 | EB | -1,7874 | -6,60418 |
| PF | -1,51372 | -4,56101 | PF | -1,72337 | -6,37135 |
| Sabit | | | | | |
| EB | -1,9203 | -6,60862 | EB | -1,9942 | -7,58441 |
| PF | -1,79164 | -6,02164 | PF | -1,81543 | -6,86692 |
| **Sabit ve doğrusal trend** | | | | | |
| EB | -1,94606 | -7,07838 | EB | -1,96626 | -7,3004 |
| PF | -2,59671 | -12,5595 | PF | -1,81543 | -12,2237 |
| **Kuadratik Trend** | | | | | |
| EB | -2,1657 | -12,823 | EB | -3,06942 | -20,4016 |
| PF | -2,50602 | -12,01 | PF | -3,6663 | -22,7433 |

**$(EB^+, PF^+)$**

| Uzun dönem | | | |
|---|---|---|---|
| PFP | | 0,241568*** | |
| C | | 0,034981*** | |
| Saklı hata | | | |
| Bağımlı değişken:EB | | Bağımlı değişken:PF | |
| C | 0,01244*** | | 0,064952*** |
| Δ(PFP(-1)) | 0,029890*** | C | -1,72101*** |
| Δ (EBP (-4)) | -0,22672*** | Δ (EBP(-10)) | -1,82811*** |
| ECT(-1) | -0,05108*** | Δ (EBP (-3)) | 0,269257*** |
| Δ (EBP (-8)) | -0,23032*** | ECT(-1) | -1,11065*** |
| Δ (PFP (-5)) | -0,03301*** | Δ (PFP (-7)) | |
| Δ (PFP (-7)) | -0,03166*** | | |

**$(EB^+, PF^-)$**

| Uzun dönem | | | |
|---|---|---|---|
| PFN | | -0,29875*** | |
| C | | 0,012092 | |
| Saklı hata | | | |
| Bağımlı değişken:EB | | Bağımlı değişken:PF | |
| C | 0,007042*** | C | -0,07969*** |
| Δ (PFN(-2)) | -0,05061*** | Δ (EBP (-2)) | 1,459627*** |
| Δ (PFN(-7)) | -0,04187*** | Δ (EBP (-5)) | 1,626414*** |
| Δ (EBP (-4)) | -0,20949*** | Δ (EBP (-9)) | 1,881922*** |

| | | | |
|---|---|---|---|
| | | $\Delta$ (EBP (-1))<br>$\Delta$ (PFN(-2)) | 1,39605***<br>-0,17149*** |

*,** ve *** sırasıyla 0.01, 0.05 ve 0.10 test kritik değerleri için kullanılmaktadır.

Tablo 2.'de $EB^+, PF^+$ modeline ilişkin uzun dönem denge denkleminin katsayıları istatistiksel olarak anlamlı bulunmaktadır. Petrol fiyatlarında meydana gelen %1 oranında pozitif şok, ekonomik büyüme üzerinde %0,24 oranında etki yaratmaktadır. Hata düzeltme katsayısının negatif ve istatistiksel olarak anlamlı olması sistemin uzun dönem dengesine ulaştığını göstermektedir. $PF^+$ değişkeninin bağımlı değişken olarak alındığı saklı hata düzeltme tahmininde hata düzetlme katsayısının pozitif ve istatistiksel olarak anlamlı olması $PF^+$ değişkeninin kalıcı bileşen olduğunu ve $EB^+$ değişkenin ise geçici değişken olduğu göstermektedir. Pozitif şoklar dikkate alındığında petrol fiyatları ile ekonomik büyüme arasında tek yönlü uzun dönem asimetrik nedensellik belirlenmektedir. Bununla birlikte, $EB^+ ve\ PF^-$ uzun dönem denge denklemine ilişkin katsayılar anlamlı bulunsa bile hata düzeltme katsayısı istatistiksel olarak anlamsız bulunduğundan uzun dönem dengesine ulaşılamamaktadır.

## 4. SONUÇ

Petrol fiyatlarındaki artışın, Türkiye'nin ithalatçı olmasından dolayı, ekonomik büyüme üzerindeki etkilerinin olumsuz olması beklenmektedir. Petrol harcamalarının gelir içindeki payının yüksek olmasının yanı sıra petrol tüketiminin giderek artması ve diğer enerji kaynaklarına yönelim imkanının kısıtlı olmasından dolayı iki değişken arasındaki ilişkinin yapısının ortaya çıkartılması önem arz etmektedir. Petrol fiyatları ve ekonomik büyüme arasında uzun dönem ilişkisinin belirlenememesi, iki değişken arasındaki etkileşimin doğrusal olarak ele alınmasından kaynaklandığı sonucuna varılmaktadır. Bu kapsamda, özellikle fiyatların ülke dışında belirlendiği ve ithalatçı konumda olunan makroekonomik değer ve etkilere sahip ürünlerin, ekonomik yapı içindeki etkileri incelenirken asimetri etkisinin göz önünde bulundurulması gerekliliği ortaya konmaktadır.

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# Gri İlişkisel Analiz Yöntemiyle Finansal Performans Değerlendirilmesi

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**Özet:** Faaliyet sürdürülebilirliği ve karlılık algısı işletmeler arasında rekabet ve performans kavramlarını ön plana çıkarmaktadır. Şirketlere ilişkin yatırımlar yüksek maliyetleri gelecek dönemlerdeki belirsizliklerden dolayı risk faktörü olarak değerlendirildiğinden işletmelerin finansal sağlamlığı sürdürülebilirlik için önem arz etmektedir. Finansal performanslara ilişkin risklerin etkilerinin azaltılması ise finansal yapının sağlamlaştırılması ile gerçekleşmektedir. Performans ölçümlemesi ile gelişim ve değişim içinde olan ihtiyaçlar belirlenerek, gelişen rekabet koşulları altında ön plana çıkılabilmektedir. Sermaye piyasalarındaki derinlik ve yatırım araçlarının çeşitliliği ele alındığında, rekabet koşulları altında, finansal paydaşlar ve yatırımcılarda etkin olarak piyasalarda rol almaktadır. Performans kriterleri ele alınarak alternatifler arasından en iyinin seçilmesi belirsizlik durumları altında doğru sonuçlar vermeyebilmektedir. Kesinlik içermeyen veya eksik bilginin olduğu durumlarda karar verme yöntemlerinden Gri ilişkisel analiz yöntemi kullanılarak derecelendirme ve sınıflandırma yapılabilmektedir. Çalışma kapsamında, sabit sermaye yatırımlarının yüksek ve riskli olduğu enerji sektöründe faaliyet gösteren işletmelerin finansal performans değerlendirilmesinde Gri ilişkisel analiz yöntemi kullanılarak çözümlemeler elde edilerek hem uygun politika önerileri yapılmakta hem de model karşılaştırmaları gerçekleştirilmektedir.

**Anahtar Kelimeler:** Gri İlişkisel Analiz, Finansal Performans, Enerji Sektörü

**Abstract:** The perception of operational sustainability and profitability highlights the concepts of competition and performance among businesses. Financial stability of the enterprises is important for sustainability, as the high costs of investments in companies are considered as a risk factor due to uncertainties in the future. Reducing the effects of risks on financial performance is achieved by strengthening the financial structure. Developing and changing needs can be identified with performance measurement, and it can come to the fore under developing competitive conditions. Given the depth of capital markets and the diversity of investment instruments, financial stakeholders and investors actively play a role in the markets under competitive conditions. Selecting the best among alternatives by considering performance criteria may not give correct results under uncertainties. In cases where there is incomplete or incomplete information, grading and classification can be made by using Gray relational analysis method, one of the decision-making methods. Within the scope of the study, in evaluating the financial performance of enterprises operating in the energy sector, where fixed capital investments are high and risky, appropriate policy recommendations are made and model comparisons are made using the Gray relational analysis method.

**Key Words:** Gray Relational Analysis, Financial Performance, Energy Sector

## 1. GİRİŞ

Toplumların sürdürülebilir gelişimi için güvenli ve erişilebilir enerji kaynaklarına ihtiyacı bulunmaktadır. Nüfus artışı, sanayileşme, kentleşme ve teknolojik gelişmelerin artarak kullanım yoğunluğunun genişlemesi enerji tüketiminde artış yaratmaktadır. Enerji sektörünün alt sektörleri ele alındığında, enerji talebinin büyük çoğunluğu dengesiz dağılım gösteren fosil yakıtlara bağlı olmakta ve enerji arzında farklılaşmalara neden olmaktadır. Dışa bağımlılık yapısı göz önüne alındığında, enerji arzının sağlanması için şeffaf-rekabetçi-mali açıdan enerji sektörünün gelişiminin desteklenmesi gerekmektedir. Enerji sektörüne yapılan yatırımlar karlı olsa bile, yatırım maliyetinin yüksek olması sektör için temel risk faktörü oluşturmaktadır. Risk faktörünün ortadan kaldırması ve yatırımların karlı hale dönüşmesi için sektördeki firmaların hem üretim faaliyetlerini geliştirmeleri hem de finansal alt yapılarını güçlendirmeleri gerekmektedir. Türkiye'de enerji politikaları talebin karşılanması ve arz güvenliği temeline dayanmaktadır. 2002 yılı itibariyle enerji alanındaki özelleştirme faaliyetleri sonucu kurumsal yapının değişmesiyle Türkiye'de faaliyet gösteren enerji üretim ve dağıtım sektöründeki firmaların finansal performanslarının değerlendirilmesi önem arz etmektedir.

Peker ve Baki (2011), sigorta sektöründe faaliyette bulunan üç firmanın performanslarını karşılaştırılmalı olarak ortaya koymaktadır. Elitaş ve diğ. (2012), İstanbul Menkul Kıymetler Borsası (İMKB)'nda işlem gören 7 sigorta şirketinin finansal performansları karşılaştırarak finansal başarının en önemli unsurunun likidite oranları olduğunu saptamaktadır. Tayyar ve diğ. (2014), Borsa İstanbul'a kayıtlı bilişim ve teknoloji sektöründe faaliyet gösteren işletmelerin finansal performanslarını değerlendirmektedir. Meydan ve diğ. (2016), BIST'te işlem gören gıda firmalarının finansal performanslarını klasik finansal oran analizi ile karşılaştırmalı olarak incelemektedir. Başdeğirmen ve Tunca (2017), etkinlik ve verimlilik kapsamında sektördeki firmaların finansal performansını etkileyen faktörlerin başında öz sermaye ve toplam aktifler geldiğini belirtmektedir. Ayçin (2018), Borsa İstanbul'da menkul kıymet yatırım ortaklıkları endeksinde yer alan işletmelerin finansal performanslarını değerlendirmektedir. Güleç ve Özkan (2018), 2005-2016 yılları arasında Borsa İstanbul'da faaliyet gösteren 16 çimento şirketinin finansal performanslarını inceleyerek hisse senedi getirileriyle gri ilişkisel analiz değerleri arasındaki ilişkinin son derece zayıf olduğunu ve sıralamaların birbirinden farklılaştığını belirtmektedir. Başdeğirmen ve Işıldak (2018), gri ilişkisel analiz yönteminden yararlanarak ulaştırma sektöründe faaliyet gösteren işletmelerin finansal performanslarını incelemektedir. Şengül ve Ece (2018), 2005-2017 yılları arasında BIST 100 şirketlerinin finansal performanslarını inceleyerek gri ilişkisel analiz değerleri ile hisse senedi getirileri arasındaki ilişki ortaya koymaktadır. Günay ve diğ. (2018), Türkiye'nin önde gelen şirketlerinin finansal performansları net satış gelirleri açısından değerlendirilmektedir. Tezergil (2018), Türk finans sektöründe faaliyet gösteren portföy yönetim şirketlerinin finansal performanslarının karşılaştırmaktadır. Ersoy (2020), finansal performans değerlendirmesinin yoğun rekabet ortamında varlığını devam ettirmek isteyen işletmeler için hassas ve dikkate alınması gereken önemli bir süreç olduğunu belirtmektedir.

Finansal piyasaların genişlemesi ve gelişmesi olarak tanımlanan finansal gelişme sonucunda artan entegrasyon finansal krizlerin sıçramalarını kolaylaştırabildiğinden ülkelerin makroekonomik performanslarını etkileyerek sektörel firmaların finansal performanslarını ve finansal durumlarını etkilemektedir. Firmalara ilişkin değer yaratma süreci finansal performans ölçümüyle sağlanmaktadır. Çalışma kapsamında, Borsa İstanbul (BIST) elektrik, gaz ve buhar sektörlerinde faaliyet gösteren firmaların finansal performansının çok kriterli karar verme yöntemleri (ÇKKV) arasında yer alan entropi ile ağırlıklandırma yapılan gri ilişkisel yöntemi ele alınarak değerlendirilmektedir. Firmaların finansal performanslarının değerlendirilmesi firmaların gelecek dönemlerde göz önüne alınması gereken adımların belirlenmesini sağlayabilmektedir. Çalışmanın ilk bölümünde konuya giriş yapılarak ikinci bölümünde ekonometrik metodoloji ile ilgili teorik bilgi sağlanmaktadır. Üçüncü bölümde finansal performans açısından sektörel firmalar karşılaştırılarak son bölümde elde edilen bulgular değerlendirilmektedir.

## 2. EKONOMETRİK METODOLOJİ

Çok kriterli karar verme yöntemlerinde kriter ağırlıkları, bilgi ve deneyimlerle belirlen öznel ağırlık ve ölçüm verilerine dayanan objektif ağırlık olarak iki şekilde belirlenmektedir. Sistemdeki düzensizliğin ve belirsizliğin ölçüsü olarak tanımlanan entropi yöntemi, istatistiksel özelliklere ve ölçüm yöntemlerine dayanmaktadır. Entropi yönteminin ilk aşamasında j.değerlendirme kriterine ($j$ = 1,2, … . , $n$) göre i. alternatifin ($i$ = 1,2, … . , $m$ ) aldığı değer $x_{ij}$ olmak üzere, karar matrisi

$$D = \begin{bmatrix} x_{11} & x_{12} & \dots & x_{1n} \\ x_{i1} & x_{i2} & \dots & x_{in} \\ x_{m1} & x_{m2} & \dots & x_{mn} \end{bmatrix}$$

(1)

elde edilmektedir. Farklı birim cinslerine sahip kriterlerin [0,1] aralığına indirgenmesi için

$$P_{ij} = \frac{x_{ij}}{\sum_{i=1}^{m} x_{ij}} \qquad (2)$$

şeklinde normalizasyon gerçekleştirilmektedir. Değerlendirme kriterine ilişkin entropi (belirsizlik ölçüsü) değerleri, $k = (\ln(m))^{-1}$ ve $0 \le ej \le 1$ olmak üzere,

$e_{ij} = -k.\sum_{j=1}^{n} p_{ij} . \ln(p_{ij})$ $\quad i$ = 1,2, … , $m$ $ve$ $j$ = 1,2, … , n

(3)

şeklinde hesaplanmaktadır. Kriteriere ilişikn entropi değerleri kullanılarak kriterlere ilişkin ağırlık değerleri

$$x_j = \frac{1-e_j}{\sum_{j=1}^{n}(1-e_j)}$$

(4)

elde edilmektedir.

Gri sistem teorisi küçük örneklem ve zayıf bilginin yer aldığı problemler için önerilmektedir (Julong,1982). Gri İlişkisel analiz stokastik/bulanık yöntemlerle belirlenemeyen bilinmeyen (belirsiz) sistemlerin davranışlarının sınırlı veri kaynağı ile belirlenmesini sağlamaktadır (Feng-Wang, 2000). Kesin olarak ifade edilemeyen ve değişkenlerdeki/sistem yapısındaki/sistem sınırlarındaki/sistem davranışındaki bilgi eksikliğine sahip durumlarda gri bilgiler olarak ele alınmaktadır (Chih-Hung ve Ching-Liang, 2003). Ek olarak, gri sistemler çoklu veri girdilerin ve ayrık verilerin analizinde kullanılabilmektedir (Lin ve Liu, 2004). İdeal bir çözümde mesafenin kullanılmasına dayanan gri ilişkisel analiz sınıflandırma ve derecelendirme tekniği olarak ele alınmaktadır. Verilerin az olması sistemin faktörleri arasındaki temel ilişkilerin belirlenmesine engel olmadığından diğer yöntemlerdeki gibi sınırlayıcı olmamaktadır (Feng ve Wang, 2000). Dizi olarak tanımlanan her bir faktör ile kıyas yapılan referans serisi arasındaki ilişki derecesini belirlenebilmektedir. Faktörler arasında etki derecesi gri ilişkisel derece (0 ile 1 arasında) olarak ifade edilmektedir (Üstünışık, 2007). Karmaşık faktörler arasında niceliksel ve niteliksel ilişkilerin belirlenebilmesinde etkili olan yöntem, diziler arasındaki ilişkiyi mantıksal ve sayısal olarak ölçümleyebilmektedir. Elemanlar arasındaki değişim sürekli ve birlikte meydana geliyorsa elemanlar arasında yüksek ilişki ve değişim sürekli ve birlikte meydan gelmiyorsa düşük ilişki ortaya çıkmaktadır (Altan ve Candoğan, 2014). Gri ilişkiler analizi karar verme sürecinde tek başına ya da diğer yöntemlerle etkileşimli olarak bütünleşik olarak uygulanabilmektedir (Wu,2002).

Karar problemiyle ilgili karşılaştırmaya tabii tutulacak faktör serisi;

$$x_i = (x_i(j), \dots, x_i(n)), \quad i = 1,2,\dots,m \quad ve \quad j = 1,2,\dots,n$$

(1)

ve faktörleri kıyaslamak için belirlenen referans serisi, $j.$ kriterin normalize değerler içindeki en uygun değer $x_0(j)$ olmak üzere,

$$X_0 = (x_0(j)), \qquad ve \quad j = 1,2,\dots,n$$

(2)

belirlenmektedir. $x_i$ faktörü seçenekleri ve seçeneklerin her bir kritere göre aldığı performans değerleri olmak üzere, karar matrisi

$$X = \begin{bmatrix} x_1(1) & \cdots & x_1(n) \\ \vdots & \ddots & \vdots \\ x_m(1) & \cdots & x_m(n) \end{bmatrix}$$

(3)

şeklinde gösterilmektedir. Karar matrisinde yer alan her bir kriterin en iyi değeri alınarak elde edilen referans serisi karar matrisine ilk satır olarak eklenerek karşılaştırma matrisine dönüştürülmektedir. Gri ilişki katsayılarının hesaplanmasında göstergeler arasında birbirinden farklı kriterlerin kullanılmasından dolayı göstergelerin karşılaştırılabilmesi için veriler fayda, maliyet veya en uygun (optimum) duruma göre standartlaştırılmaktadır (Yıldırım, 2014). j. kriterin hedef değeri $x_{0b}(j)$ belirlenen optimum değer ve $max_j x_i(j) \geq x_{0b}(j) \geq min_j x_i(j)$ olmak üzere, fayda yönlü kriter durumunda; seri değerlerinden maksimum değerin seçilmesi amaca uygun olduğundan normalizasyon,

$$x_i^* = \frac{x_i(j) - max_j x_i(j)}{max_j x_i(j) - min_j x_i(j)}$$

(4)

maliyet yönlü kriter durumunda; seri değerlerinden minimum değerin seçilmesi amaca uygun olduğundan normalizasyon,

$$x_i^* = \frac{max_j x_i(j) - x_i(j)}{max_j x_i(j) - min_j x_i(j)}$$

(5)

ve optimum durumda seri değerinin ortalamasının seçilmesi amaca uygun olduğundan normalizasyon,

$$x_i^* = \frac{|x_i(j) - x_{0b}(j)|}{max_j x_i(j) - x_{0b}(j)}$$

(6)

şeklinde gerçekleşmektedir (Yıldırım, 2014:234). Karar matrisi normalize edilmiş matrise

$$x_i^* = \begin{bmatrix} x_1^*(1) & \cdots & x_1^*(n) \\ \vdots & \ddots & \vdots \\ x_m^*(1) & \cdots & x_m^*(n) \end{bmatrix}$$

(7)

dönüştürülmektedir. $x_0^* \; ile \; x_i^*$ arasındaki mutlak değer farkı

$$\Delta_{0i}(j) = |x_0^*(j) - x_i^*(j)|, \qquad i = 1,2,\ldots,m \qquad ve \quad j = 1,2,\ldots,n$$

(8)

olarak elde edilmekte ve

$$\Delta_{0i}(j) = \begin{bmatrix} \Delta_{01}(1) & \cdots & \Delta_{01}(n) \\ \vdots & \ddots & \vdots \\ \Delta_{0m}(1) & \cdots & \Delta_{0m}(n) \end{bmatrix}$$

(9)

şeklinde mutlak değer matrisi oluşturulmaktadır. Gri ilişkisel katsayı matrisi, $\zeta$ parametresi ayırıcı katsayı ve $[0,1]$ aralığında bir değer olmak üzere,

$$\gamma_{0i}(j) = \frac{\Delta\, min \; + \; \zeta \Delta max}{\Delta_{0i}(j) + \zeta \Delta max}$$

$$\Delta max = max_i max_j \Delta_{0i}(j) ve \Delta min = min_i min_j \Delta_{0i}(j)$$

(10)

elde edilmektedir. $\zeta$ parametresi $\Delta_{0i}$ ile $\Delta_{max}$ arasındaki farkı düzenlemekte ve $\Delta_{max}$ veri dizisindeki en uç değer olma ihtimalini ortadan kaldırmaktadır. Genellikle 0,5 değeri alan $\zeta$ ayırıcı katsayısı genel sıralamayı etkilemediği söylenebilmektedir (Hsu ve Wen, 2000). Karşılaştırmalı seriler $(x_i^*)$ ile referans seri $(x_0^*)$ arasındaki geometrik benzerliğin ölçüsü olan gri ilişki analizi karşılaştırılmalarda kullanılabilmektedir. İlişki derecesinin büyüklüğü referans seri arasında kuvvetli bir ilişki olduğunu göstermektedir. Eğer karşılaştırılan iki seri birbirinin aynı ise, gri ilişki derecesi 1 olarak bulunur. Gri ilişkisel derecesi serilerin referans seriye benzerliğini göstermekte ve seriler birbirinin aynı ise gri ilişki derecesi bir(1) olmaktadır (Üstünışık, 2007). Gri ilişki derecesi $\Gamma_{0i}$ ve j. kriterin önem derecesi $w_i$olmak üzere, kriterlerin önem derecelerinin eşit olduğu durumda gri ilişki derecesi

$$\Gamma_{0i} = \frac{1}{n}\sum_{j=1}^{n} \gamma_{0i}(j), \qquad i = 1,\ldots,m$$

(11)

ve önem derecelerinin farklı olduğu durumlarda gri ilişki derecesi

$$\Gamma_{0i} = \frac{1}{n}\sum_{j=1}^{n} [w_i(j)\gamma_{0i}(j)], \qquad i = 1,\ldots,m$$

(12)

olarak elde edilmektedir. Gri ilişki derecesi hesaplandıktan sonra büyükten küçüğe doğru sıralama yapılmakta ve ilk sıradaki seçenek en uygun alternatif olarak belirlenmektedir.

## 3. ENERJİ SEKTÖRÜNE İLİŞKİN FİNANSAL PERFORMANSIN DEĞERLENDİRİLMESİ

Çalışma kapsamında, Akenerji Elektrik Üretim A.Ş. (AKENR), Aksa Enerji Üretim A.Ş. (AKSEN), Aksu Enerji ve Ticaret A.Ş. (AKSUE), Ayen Enerji A.Ş. (AYEN), Bomonti Elektrik Mühendislik Müşavirlik İnşaat Turizm ve Ticaret A.Ş. (BMELK), Enerjisa Enerji A.Ş. (ENJSA), Odaş Elektrik Üretim Sanayi Ticaret A.Ş. (ODAS), Zorlu Enerji Elektrik Üretim A.Ş. (ZOREN) olmak üzere 8 işletme finansal performans değerlendirilmesi açısından incelenmektedir. 2018 yılına ait finansal oranlarının (likidite, finansal yapı, finansman ve karlılık) elde edilmesinde Kamuoyu Aydınlatma Platformu (KAP) veri dağıtım sisteminden faydalanılmaktadır. Likidite çerçevesinde incelenen cari oran (CO) ve asit-test oranı (ATO) maksimum yönlü olmaktayken; finansal yapı altında ele alınan kaldıraç oranı (KO) ve borçlanma katsayısı (BK) minimum yönlü oranlar olmaktadır. Ek olarak, finansman olarak ele alınan aktif devir hızı (ADH) ve öz sermaye devir hızı (ÖDH) maksimum yönlü oranlar iken; karlılık altında ele alınan aktif karlılığı (AK) ve öz sermaye karlılığı (ÖK) maksimum yönlü oranlar olarak ele alınmaktadır.

Finansal performans değerlendirmesi için seçilen oranlar entropi ile ağırlıklandırıldıktan sonra gri ilişkisel analiz yöntemi uygulanarak firmalar performans değerlendirmeleri açısından sıralanmaktadır. Ele alınan değerler pozitif olduğu için herhangi bir işlem yapılmadan karar matrisi oluşturulmaktadır. Tablo 1.'de karar matrisine ilişkin normalizasyon süreci gerçekleştirildikten sonra, normalize edilmiş entropi matrisindeki değerler kullanılarak nihai entropi ağırlıkları elde edilmektedir.

Tablo 1: Enerji sektörü ve kriterlere ilişkin karar matrisi

| Karar matrisinin oluşturulması | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | CO | ATO | KO | BK | ADH | ÖDH | AK | ÖK |
| AKENR | 0,2217 | 0,2089 | 0,9193 | 11,386 | 0,3884 | 4,8109 | 0,0089 | 0,0076 |
| AKSEN | 0,8597 | 0,7354 | 0,7176 | 2,5414 | 0,7252 | 2,5684 | 2,8715 | 2,9836 |
| AKSUE | 0,3778 | 0,336 | 0,6652 | 1,9866 | 0,1514 | 0,4523 | 1,5169 | 2,6126 |
| AYEN | 0,572 | 0,572 | 0,7914 | 3,7936 | 0,2917 | 1,3982 | 2,466 | 2,8359 |
| BMELK | 0,1244 | 0,1244 | 0,7072 | 2,4159 | 0,0712 | 0,2432 | 1,3114 | 2,5071 |
| ENJSA | 0,8489 | 0,8293 | 0,7276 | 2,6713 | 0,7934 | 2,9127 | 2,9581 | 3,0145 |
| ODAS | 0,38 | 0,2902 | 0,7257 | 2,6452 | 0,2882 | 1,0507 | 1,819 | 2,6444 |
| ZOREN | 0,55 | 0,5485 | 0,862 | 6,2448 | 0,3921 | 2,8406 | 2,6484 | 2,9143 |
| Normalize edilmiş entropi değerler | | | | | | | | |
| | CO | ATO | KO | BK | ADH | ÖDH | AK | ÖK |
| AKENR | 0,056348 | 0,057316 | 0,150311 | 0,338016 | 0,125226 | 0,295564 | 0,000571 | 0,000389 |
| AKSEN | 0,218503 | 0,201772 | 0,117332 | 0,075446 | 0,233815 | 0,157793 | 0,184068 | 0,152848 |
| AKSUE | 0,096022 | 0,092189 | 0,108764 | 0,058976 | 0,048814 | 0,027788 | 0,097236 | 0,133842 |
| AYEN | 0,145381 | 0,15694 | 0,129398 | 0,112621 | 0,094048 | 0,0859 | 0,158075 | 0,145282 |
| BMELK | 0,031618 | 0,034132 | 0,115631 | 0,071721 | 0,022956 | 0,014941 | 0,084063 | 0,128438 |
| ENJSA | 0,215758 | 0,227536 | 0,118967 | 0,079303 | 0,255803 | 0,178946 | 0,189619 | 0,154431 |
| ODAS | 0,096582 | 0,079622 | 0,118656 | 0,078528 | 0,09292 | 0,064551 | 0,116601 | 0,135471 |
| ZOREN | 0,139789 | 0,150492 | 0,140942 | 0,185389 | 0,126419 | 0,174516 | 0,169767 | 0,149298 |
| Entropi değerlerinin bulunması. | | | | | | | | |
| | CO | ATO | KO | BK | ADH | ÖDH | AK | ÖK |
| AKENR | -0,16207 | -0,16388 | -0,28485 | -0,36663 | -0,26017 | -0,36025 | -0,00426 | -0,00306 |
| AKSEN | -0,33233 | -0,32296 | -0,25141 | -0,19498 | -0,33979 | -0,29136 | -0,31153 | -0,2871 |
| AKSUE | -0,225 | -0,21977 | -0,2413 | -0,16694 | -0,1474 | -0,09957 | -0,22662 | -0,26917 |
| AYEN | -0,28035 | -0,29064 | -0,2646 | -0,24593 | -0,22233 | -0,21085 | -0,2916 | -0,28026 |
| BMELK | -0,10921 | -0,11528 | -0,24946 | -0,18898 | -0,08664 | -0,06281 | -0,20816 | -0,26359 |
| ENJSA | -0,33089 | -0,33685 | -0,25327 | -0,20099 | -0,34875 | -0,30791 | -0,31529 | -0,28848 |
| ODAS | -0,22575 | -0,20148 | -0,25292 | -0,1998 | -0,22078 | -0,17689 | -0,25058 | -0,27081 |
| ZOREN | -0,27505 | -0,28501 | -0,27616 | -0,31244 | -0,26145 | -0,30466 | -0,30105 | -0,28394 |
| Kriter ağırlıklarının oluşturulması | | | | | | | | |
| $e_j$ | 0,933252 | 0,930956 | 0,997368 | 0,902499 | 0,907604 | 0,872491 | 0,918072 | 0,93602 |
| $(1-e_j)$ | 0,066748 | 0,069044 | 0,002632 | 0,097501 | 0,092396 | 0,127509 | 0,081928 | 0,06398 |
| $w_j$ | 0,110925 | 0,11474 | 0,004374 | 0,162033 | 0,153548 | 0,211901 | 0,136153 | 0,106326 |
| k | 0,480898 | | | | | | | |

Tablo 2.'de karar problemine ait alternatiflerin değerlendirilmesi için kullanılan kriterlerin maksimum ve minimum değerleri belirlenmektedir. Normalizasyon işleminin gerçekleştirilmesinde kriterlerin fayda ve maliyet durumları belirlenerek referans sistemi serileri elde edilmektedir. Minimum ve maksimum değerler belirlendikten sonra, karar matrisinin referans serilerine göre mutlak değerleri elde edilmektedir. Minimum sıfır, maksimum bir ve ayırıcı katsayı değeri 0,5 olarak belirlenmektedir. Gri ilişkisel derece ile ele alınan serisinin referans serisine benzerliği Tablo 2'de ortaya konmaktadır. Ek olarak, entropi yöntemiyle belirlenen kriter ağırlıkları gösterilmektedir.

Tablo 2. Aynı önem derecelerine göre gri ilişkisel analiz bulguları

Karar problemine ait veri seti

| | Maks. | Maks. | Min. | Min. | Maks. | Maks. | Maks. | Maks. |
|---|---|---|---|---|---|---|---|---|
| | CO | ATO | KO | BK | ADH | ÖDH | AK | ÖK |
| AKENR | 0,2217 | 0,2089 | 0,9193 | 11,386 | 0,3884 | 4,8109 | 0,0089 | 0,0076 |
| AKSEN | 0,8597 | 0,7354 | 0,7176 | 2,5414 | 0,7252 | 2,5684 | 2,8715 | 2,9836 |
| AKSUE | 0,3778 | 0,336 | 0,6652 | 1,9866 | 0,1514 | 0,4523 | 1,5169 | 2,6126 |
| AYEN | 0,572 | 0,572 | 0,7914 | 3,7936 | 0,2917 | 1,3982 | 2,466 | 2,8359 |
| BMELK | 0,1244 | 0,1244 | 0,7072 | 2,4159 | 0,0712 | 0,2432 | 1,3114 | 2,5071 |
| ENJSA | 0,8489 | 0,8293 | 0,7276 | 2,6713 | 0,7934 | 2,9127 | 2,9581 | 3,0145 |
| ODAS | 0,38 | 0,2902 | 0,7257 | 2,6452 | 0,2882 | 1,0507 | 1,819 | 2,6444 |
| ZOREN | 0,55 | 0,5485 | 0,862 | 6,2448 | 0,3921 | 2,8406 | 2,6484 | 2,9143 |

Referans serisinin belirlenmesi.

| | Maks. | Maks. | Min. | Min. | Maks. | Maks. | Maks. | Maks. |
|---|---|---|---|---|---|---|---|---|
| | CO | ATO | KO | BK | ADH | ÖDH | AK | ÖK |
| ref seri | 0 | 0,8293 | 0,6652 | 1,9866 | 0,7934 | 4,8109 | 2,9581 | 3,0145 |
| AKENR | 0,2217 | 0,2089 | 0,9193 | 11,386 | 0,3884 | 4,8109 | 0,0089 | 0,0076 |
| AKSEN | 0,8597 | 0,7354 | 0,7176 | 2,5414 | 0,7252 | 2,5684 | 2,8715 | 2,9836 |
| AKSUE | 0,3778 | 0,336 | 0,6652 | 1,9866 | 0,1514 | 0,4523 | 1,5169 | 2,6126 |
| AYEN | 0,572 | 0,572 | 0,7914 | 3,7936 | 0,2917 | 1,3982 | 2,466 | 2,8359 |
| BMELK | 0,1244 | 0,1244 | 0,7072 | 2,4159 | 0,0712 | 0,2432 | 1,3114 | 2,5071 |
| ENJSA | 0,8489 | 0,8293 | 0,7276 | 2,6713 | 0,7934 | 2,9127 | 2,9581 | 3,0145 |
| ODAS | 0,38 | 0,2902 | 0,7257 | 2,6452 | 0,2882 | 1,0507 | 1,819 | 2,6444 |
| ZOREN | 0,55 | 0,5485 | 0,862 | 6,2448 | 0,3921 | 2,8406 | 2,6484 | 2,9143 |
| Min. | 0,1244 | 0,1244 | 0,6652 | 1,9866 | 0,0712 | 0,2432 | 0,0089 | 0,0076 |
| Maks. | 0,8597 | 0,8293 | 0,9193 | 11,386 | 0,7934 | 4,8109 | 2,9581 | 3,0145 |

Karar matrisinin normalize edilmesi.

| | CO | ATO | KO | BK | ADH | ÖDH | AK | ÖK |
|---|---|---|---|---|---|---|---|---|
| Ref . seri | 1 | 1 | 0 | 0 | 1 | 1 | 1 | 1 |
| AKENR | 0,132327 | 0,119875 | 1 | 1 | 0,439214 | 1 | 0 | 0 |
| AKSEN | 1 | 0,86679 | 0,206218 | 0,059025 | 0,905566 | 0,509053 | 0,970636 | 0,989724 |
| AKSUE | 0,344621 | 0,300184 | 0 | 0 | 0,11105 | 0,045778 | 0,511325 | 0,866341 |
| AYEN | 0,608731 | 0,634984 | 0,496655 | 0,192246 | 0,305317 | 0,252862 | 0,833141 | 0,940603 |
| BMELK | 0 | 0 | 0,165289 | 0,045673 | 0 | 0 | 0,441645 | 0,831255 |
| ENJSA | 0,985312 | 1 | 0,245573 | 0,072845 | 1 | 0,58443 | 1 | 1 |
| ODAS | 0,347613 | 0,235211 | 0,238095 | 0,070068 | 0,300471 | 0,176785 | 0,61376 | 0,876916 |
| ZOREN | 0,578811 | 0,601646 | 0,774498 | 0,453029 | 0,444337 | 0,568645 | 0,894988 | 0,966677 |

Değerlerin mutlak değerlerinin bulunması

| | CO | ATO | KO | BK | ADH | ÖDH | AK | ÖK |
|---|---|---|---|---|---|---|---|---|
| AKENR | 0,867673 | 0,880125 | 1 | 1 | 0,560786 | 0 | 1 | 1 |
| AKSEN | 0 | 0,13321 | 0,206218 | 0,059025 | 0,094434 | 0,490947 | 0,029364 | 0,010276 |
| AKSUE | 0,655379 | 0,699816 | 0 | 0 | 0,88895 | 0,954222 | 0,488675 | 0,133659 |
| AYEN | 0,391269 | 0,365016 | 0,496655 | 0,192246 | 0,694683 | 0,747138 | 0,166859 | 0,059397 |
| BMELK | 1 | 1 | 0,165289 | 0,045673 | 1 | 1 | 0,558355 | 0,168745 |
| ENJSA | 0,014688 | 0 | 0,245573 | 0,072845 | 0 | 0,41557 | 0 | 0 |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| ODAS | 0,652387 | 0,764789 | 0,238095 | 0,070068 | 0,699529 | 0,823215 | 0,38624 | 0,123084 |
| ZOREN | 0,421189 | 0,398354 | 0,774498 | 0,453029 | 0,555663 | 0,431355 | 0,105012 | 0,033323 |
| Gri ilişki katsayı matrisinin oluşturulması. | | | | | | | | |
| AKENR | 0,365584 | 0,362286 | 0,333333 | 0,333333 | 0,471348 | 1 | 0,333333 | 0,333333 |
| AKSEN | 1 | 0,789627 | 0,707997 | 0,894414 | 0,841137 | 0,504568 | 0,94453 | 0,979861 |
| AKSUE | 0,432759 | 0,416731 | 1 | 1 | 0,359984 | 0,343826 | 0,505727 | 0,789068 |
| AYEN | 0,560998 | 0,578024 | 0,501678 | 0,722286 | 0,418521 | 0,400918 | 0,749784 | 0,89382 |
| BMELK | 0,333333 | 0,333333 | 0,751553 | 0,916299 | 0,333333 | 0,333333 | 0,472431 | 0,747669 |
| ENJSA | 0,971463 | 1 | 0,670625 | 0,872836 | 1 | 0,546108 | 1 | 1 |
| ODAS | 0,433882 | 0,395323 | 0,677419 | 0,877088 | 0,41683 | 0,377867 | 0,564181 | 0,802461 |
| ZOREN | 0,542777 | 0,556573 | 0,392311 | 0,524643 | 0,473636 | 0,536852 | 0,826431 | 0,937518 |
| Entropi yöntemiyle belirlenen kriter ağırlıkları | | | | | | | | |
| wj | 0,110925 | 0,11474 | 0,004374 | 0,162033 | 0,153548 | 0,211901 | 0,136153 | 0,106326 |

Kriter önem derecelerinin farklı olduğu durumlarda $\Gamma_{0i}$ (gri ilişki dereceleri) elde edilmesi için gri ilişki katsayı matrisinin elemanları ilgili kriter ağırlıkları kullanılarak elde edilmektedir. Tablo 3.'de gri ilişkisel dereceleri kriterlerin eşit öneme sahip olması ve farklı önem derecelerine (entropi ile ağırlıklandırma) sahip olmalarına göre hesaplanmaktadır.

Tablo 3. Eşit ağırlık ve Entropi ağırlıklandırılmasına göre gri ilişkisel analiz bulguları

| Gri ilişki dereceleri ve sıralama. | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | CO | ATO | KO | BK | ADH | ÖDH | AK | ÖK | $\Gamma_{0i}$ | Sıralama |
| AKENR | 0,365 | 0,362 | 0,333 | 0,333 | 0,471 | 1 | 0,333 | 0,333 | 0,441 | 8 |
| AKSEN | 1 | 0,789 | 0,707 | 0,894 | 0,841 | 0,5045 | 0,944 | 0,979 | 0,832 | 2 |
| AKSUE | 0,432 | 0,416 | 1 | 1 | 0,359 | 0,343 | 0,505 | 0,789 | 0,606 | 3 |
| AYEN | 0,560 | 0,578 | 0,501 | 0,722 | 0,418 | 0,400 | 0,749 | 0,893 | 0,603 | 4 |
| BMELK | 0,333 | 0,333 | 0,751 | 0,916 | 0,333 | 0,333 | 0,472 | 0,747 | 0,527 | 7 |
| ENJSA | 0,971 | 1 | 0,670 | 0,872 | 1 | 0,546 | 1 | 1 | 0,882 | 1 |
| ODAS | 0,433 | 0,395 | 0,677 | 0,877 | 0,416 | 0,377 | 0,564 | 0,802 | 0,568 | 6 |
| ZOREN | 0,542 | 0,556 | 0,392 | 0,524 | 0,473 | 0,536 | 0,826 | 0,937 | 0,598 | 5 |
| Kriter önemini dikkate alan gri ilişki dereceleri ve sıralama. | | | | | | | | | | |
| | CO | ATO | KO | BK | ADH | ÖDH | AK | ÖK | $\Gamma_{0i}$ | Sıralama |
| Wi | 0,110 | 0,114 | 0,004 | 0,162 | 0,153 | 0,211 | 0,136 | 0,106 | | |
| AKENR | 0,040 | 0,041 | 0,001 | 0,054 | 0,072 | 0,211 | 0,045 | 0,035 | 0,502 | 7 |
| AKSEN | 0,110 | 0,090 | 0,003 | 0,144 | 0,129 | 0,106 | 0,128 | 0,104 | 0,818 | 2 |
| AKSUE | 0,048 | 0,047 | 0,004 | 0,162 | 0,055 | 0,072 | 0,068 | 0,083 | 0,543 | 6 |
| AYEN | 0,062 | 0,066 | 0,002 | 0,117 | 0,064 | 0,084 | 0,102 | 0,095 | 0,594 | 4 |
| BMELK | 0,036 | 0,038 | 0,003 | 0,148 | 0,051 | 0,070 | 0,064 | 0,079 | 0,492 | 8 |
| ENJSA | 0,107 | 0,114 | 0,002 | 0,141 | 0,153 | 0,115 | 0,136 | 0,106 | 0,878 | 1 |
| ODAS | 0,048 | 0,045 | 0,002 | 0,142 | 0,064 | 0,080 | 0,076 | 0,085 | 0,544 | 5 |
| ZOREN | 0,060 | 0,063 | 0,001 | 0,085 | 0,072 | 0,113 | 0,112 | 0,099 | 0,609 | 3 |

## 4. SONUÇ

Sanayi faaliyetleri başta olmak üzere İktisadi gelişmelerin temel yapı taşı olarak anılan enerji sektöründeki gelişmeler göz önüne alındığında, sektöre yatırım yapmak hem kazanç sağlamakta hem de yatırım maliyetlerin yüksekliği ve kaybın telafisinin zor olması dolayısıyla diğer sektörlere göre daha riskli olmaktadır. Enerji sektöründeki yatırımların finansal sağlamlılık olgusuna dayanması gerekmektedir. Bu nedenle, enerji sektöründeki firmaların finansal performans değerlendirmelerinin hem yatırım yapılacağı dönemde hem de yatırım ilerleyen dönemlerinde incelenmesi önem arz etmektedir. Çalışma kapsamında, enerji sektöründe faaliyet gösteren şirketlerin faaliyetleri eşit ağırlıklandırma ve entropi ağırlıklandırma ile ortaya çıkartılmaktadır. Entropi yöntemi sonuçlarına göre en önemli finansman oranı öz sermaye devir hızı olarak belirlenmektedir. Öz sermaye devir hızının yüksek olması maksimizayon yönlü olduğu için firmanın performansın olumlu yönde etkilediği söylenebilmektedir. Her iki ağırlıklandırma döneminde ilk sırada 2018 yılında işlem görmeye başlayan ENJSA firması yer almaktadır. Hem üretim hem dağıtım faaliyetinde bulunan firmalar finansal performansını artırmak isteyen firmalar maksimizasyon yönlü kriterlerini arttırmak ve minimizasyon yönlü kriterlerini azaltmak için farklı yollara başvurabilmektedir. Eşit ağırlıklı gri ilişki analizine göre sürdürülebilirlik performansı kapsamında ENJSA birinci sırada yer alırken, AKSEN ikinci sırada, AKSUE üçüncü sırada, AYEN dördüncü sırada, ZOREN beşinci sırada, ODAS altıncı sırada, BMELK yedinci sırada ve AKENR sekizinci sırada yer almaktadır. Entropi yöntemi ile ağırlıklandırma yapıldığında ise, ENJSA birinci sırada yer alırken, AKSEN ikinci sırada, ZOREN üçüncü sırada, AYEN dördüncü sırada, ODAS beşinci sırada, AKSUE altıncı sırada, AKENR yedinci sırada ve BMELK sekizinci sırada yer almaktadır. Bu çerçevede, ilk iki firma ve son iki firmaya ilişkin performans sıralamalarında herhangi bir değişiklik bulunmamakla birlikte; diğer durumlarda eşit ağırlıklandırma ve entropi ağırlıklandırma arasında büyük farklılıklar olduğu gözlemlendiğinden, performans sıralamalarında eşit ağırlıklandırmanın tercih edilmemesi önerilmektedir.

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# Geçmişten Günümüze Türkiye – İran Ilişkileri ve İktisadi Yansimalari

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**Özet:** Türkiye ile İran arsında geçmişten günümüze hem siyasi hem de iktisadi olarak çok farklı ve düzensiz bir ilişki seyretmiştir. Türkiye ile İran arasındaki ticari ekonomik ilişkileri ele aldığım bu yazıda Türkiye'nin İran ile ticari ilişkileri inişli çıkışlı bir seyir izlemektedir. Bunun başlıca nedenlerinden biri her iki ülkenin de değişen siyasi yapısı ve iyi ilişkiler sırasında ülkelerde olan darbeler başlıca sebebidir. Kendi düzenine oturtulamamış olan iktisadi yapı her değişkenden çok fazla etkilen hassas bir hal almış olmasından sadece iki ülke arasında olan ilişkileri kötü veya iyi olmasının dışında diğer güçlü iktisadi yapıya sahip ülkelerin uygulamış oldukları yaptırım ve ambargolar ile daha da yıpranmıştır. İki ülke arsındaki ticari ilişkilerin artmasındaki bir diğer etken Türkiye'nin 2000'li yıllardan itibaren yürüttüğü ve ülkenin dış politikasında benimsediği komşularla sıfır sorun politikasıdır, Türkiye ile İran arasındaki ilişkileri etkileyen ve yakınlaştıran bir politika olarak söyleye biliriz. Türkiye'nin İran ile 1996 yılında yaklaşık 1 milyar dolar civarında olan dış ticaret hacmi, 2012 yılında 21,89 milyar dolara seviyelerine kadar çıkmış, 2018 yılına geldiğimizde ise ticaret hacmi azalarak 9,3 milyar dolar seviyesine gelmiştir. En nihayetinde sonuç olarak iki ülke arasındaki ilişkiler gidişatına göre ülkelerin ekonomileri aynı doğrultuda şekil almaktadır. Son dönemlere baktığımızda bu durumu olabildiğince talere etmeye çalışan Türkiye ve İran ticaret hacimlerini arttırmış ve belirli bir düzlemde tutmayı sağlamışlardır. Kısaca Türkiye ile İran ticari ilişkileri ne sadece iktisadi yapıyla alakalı nede ülkelerin yaşamış oldukları siyasi olaylarladır, ticari ilişkiler biraz önce saymış olduğumuz faktörlerin birleşimi sonucunda oluşmakta ve gelişmektedir.

**Anahtar Kelimeler:** Ticari ilişkiler, Ticaret hacmi, İktisadi yansıma, Ekonomik İş birliği, Ekonomik Kriz

## 1. Giriş

Türkiye İran arasındaki geçmişteki ilişkilere baktığımızda Osmanlı devletinin son zamanlarından itibaren iki devlet arasında çoğunlukla olumsuz yönde bir ilişki görülmektedir. Bunun nedeni ise Tanzimat döneminde devlet adamları İran'ı potansiyel bir tehlike oluşturabileceğini düşünmesi, iki ülkenin farklı mezheplerde olması ve çatışmanın dinsel bir boyuttan da devam etmesinden, bölgede hâkimiyet ve güç çatışmasın kaynaklanmaktadır. Bu doğrultuda İran'ın Doğu Anadolu bölgesindeki Ermeni örgütlerini desteklemesi sonucunda Osmanlı devletini zor bir duruma düşmüştür. Bu örgütlerin en önemli destekleyicisi ise İran'da yaşayan Ermenilerdir. İşte bu durum iki ülkenin arasında bir sorun oluşturmuş ve hatta ilerleyen zamanlarda bu durum İran tarafından Osmanlı devletine karşı bir tehdit aracı olarak kullanılmıştır. Bu ve bunun gibi karşılıklı olarak yıpratılan ilişkiler her iki ülkeyi de ekonomik, siyasi, bulundukları coğrafyada hâkimiyetlerinin azalması ve bunun gibi birçok olumsuz yönden etkilenmiştir. 1930 yılına geldiğimizde ise İran ile iyi ilişikler kurulmaya başlanmış ve bu iyi ilişkiler Rıza Şah'ın 1934 yılında Türkiye ziyaret etmesi ile daha da artmış olsa da iyi giden bu ilişki Dünya savaşı ile azalmış ve birazda yıpranmıştır (ÇETİNSAYA, 2016).

Tablo 1: 1969 – 1984 Yılları Arasında Türkiye-İran Ticaret İstatistikleri (Dolar)

| YILLAR | İHRACAT | İTHALAT | HACİM | DENGE |
|---|---|---|---|---|
| 1969 | 4.795.410 | 1.168.827 | 5.964.237 | 3.626.583 |
| 1970 | 5.245.295 | 34.643 | 5.279.938 | 5.210.652 |
| 1971 | 4.131.406 | 4.610.169 | 8.741.575 | -478.763 |
| 1972 | 12.042.936 | 14.602.473 | 26.645.409 | -2.559.537 |
| 1973 | 11.967.758 | 14.719.035 | 26.686.793 | -2.751.277 |
| 1974 | 15.065.918 | 42.347.968 | 57.413.886 | -27.282.050 |

| | | | | |
|---|---|---|---|---|
| 1975 | 37.101.320 | 26.113.672 | 63.214.992 | 10.987.648 |
| 1976 | 33.552.772 | 109.366.372 | 142.919.144 | -75.813.600 |
| 1977 | 48.562.783 | 165.030.377 | 213.593.160 | -116.467.594 |
| 1978 | 44.732.534 | 488.497.974 | 533.230.508 | -443.765.440 |
| 1979 | 11.815.229 | 175.861.470 | 187.676.699 | -164.046.241 |
| 1980 | 84.820.742 | 802.502.828 | 887.323.570 | -717.682.086 |
| 1981 | 233.569.450 | 514.834.975 | 748.404.425 | -281.265.525 |
| 1982 | 791.065.240 | 747.706.840 | 1.538.772.080 | 43.358.400 |
| 1983 | 1.087.716.908 | 1.222.051.874 | 2.309.768.782 | -134.334.966 |
| 1984 | 751.061.530 | 1.565.662.140 | 2.316.723.670 | -814.600.610 |

Kaynak: TÜİK Verilerinden Derlenmiştir.

1974 yılından sonra ise iki ülke arasındaki ilişkiler İran hükumeti lehine bir yol almış ve her ne kadar İran hükumeti Türkiye'yi destekler nitelikte olsa da Türkiye'nin Amerika'nın ambargosuyla karşı karşıya kalması ve bunun sonucunda her yönden zayıflamaya başlamış olmasıyla birlikte İran'ın bu süreçte Türkiye'nin aksine, güçlenmesi İran'ın Türkiye karşısında bir avantaj sağlamıştır ve İran bu avantajı korumaya çalışmıştır. 1979 yılına geldiğimizde ise İran'da İran İslam Devrimi meydana gelmiştir. İran'da yeni kurulan hükumet ile Türkiye hükumeti arasındaki ilişkiler eski dönemdeki ilerlemeye göre daha da gelişmiştir. İki ülke arasındaki ilişkilerin bu denli hızlı gelişmesinin sebeplerinden birisi ise Türkiye'nin ekonomisinin kötü bir seyir izlemesi ve bunla birlikte Türkiye'de 1980 yılında bir darbe olmasıyla birlikte Türkiye ekonomik olarak kendini düzeltebilmenin yollarından biri olarak İran ile yapılacak olan ticaret ile ekonomisini canlandırmaya çalışması hem İran hem de Türkiye için karşılıklı iyi bir gelişme olmuştur. Türkiye İran'ın petrol, doğalgaz gibi kaynaklarından daha da faydalanmak ve siyasi ilişkileri arttırmak ve bu iyileşmeyi artık sistematik bir hale getirmek için 1985 yılında Türkiye, İran ve Pakistan arasında Ekonomik İşbirliği Teşkilatı kurulmuştur. Bu hem siyasi hem de ekonomik bakımdan önemli bir adım olmuştur (ÇETİNSAYA, 2016).

Tablo 1'de de görüldüğü gibi ithalat ihracat dengesi 1970 yılından itibaren Türkiye hep açık vermiştir. Bunun yanında Türkiye ile İran arsındaki ticaret hacmi de giderek artmıştır. Özellikle 1980 yılında imzalanan "Uluslararası Karayolu Taşımacılığı Anlaşması" ile birlikte ticaret hacmi 1979 yılında 187 milyon dolar iken 1980 yılında büyük bir sıçrama yaparak 887 milyon dolar seviyesine çıkmıştır. Bu dönemde siyasi ilişkilerinde iyi gitmesin sonucunda iki ülke arasındaki ticaret her geçen yıl artmaya devam etmiş ve 1984 yılında 2,3 milyar doların üzerinde seyir etmiştir.

Tablo 2: 1985 – 2000 Yılları Arasında Türkiye-İran Ticaret İstatistikleri (1000 $)

| YILLAR | İHRACAT | İTHALAT | HACİM | DENGE |
|---|---|---|---|---|
| 1985 | 1.078.851 | 1.264.654 | 2.343.5050 | -185.803 |
| 1986 | 564.358 | 221.343 | 785.701 | 343.015 |
| 1987 | 439.699 | 947.593 | 1.389.292 | -507.894 |
| 1988 | 545.600 | 659.800 | 1.205.400 | -114.200 |
| 1989 | 561.033 | 233.474 | 794.507 | 327.559 |
| 1990 | 495.482 | 492.399 | 987.881 | 3.083 |
| 1991 | 486.903 | 90.537 | 577.440 | 406.366 |
| 1992 | 455.285 | 364.822 | 820.107 | 90.463 |
| 1993 | 289.546 | 667.026 | 958.572 | -377.480 |

| | | | | |
|---|---|---|---|---|
| 1994 | 249.815 | 692.408 | 942.223 | -442.593 |
| 1995 | 268.433 | 689.476 | 957.909 | -421.043 |
| 1996 | 297.521 | 806.335 | 1.103.856 | -508.814 |
| 1997 | 307.007 | 646.401 | 953.408 | -339.394 |
| 1998 | 194.696 | 433.026 | 627.722 | -238.330 |
| 1999 | 157.814 | 635.928 | 793.742 | -478.114 |
| 2000 | 235.784 | 815.730 | 1.051.514 | -579.946 |

Kaynak: TÜİK Verilerinden Derlenmiştir.

1985 – 2000 yılları arasında en yüksek ticaret hacmini 1985 yılında 2 milyar doların üzerinde iken hemen bir yıl sonra 1986 yılında en düşük ticaret hacmi olan 785 milyon dolar seviyesine düşmüş. 1987 ve 1988 yılında yeniden 1 milyar doların üzerine çıkması, 1989 ve 1990 yılların da ise ticaret hacminin yeniden 1 milyar doların altına düşmüştür. Bir yıl arayla bu denli bir yükseliş ve azalış seyir eden ticari ilişkilerin bu dönemde tam olarak oturmadığını ve 1985 yılında ekonomik işbirliği yapılmış olsa da bu teşkilatlanmanın tam olarak düzene girmediği anlaşılmaktadır. Bu tabloda dikkat çeken diğer bir husus ise iki ülke arasındaki ticaret hacminin sadece en düşük olduğu zamanlarda Türkiye'nin ithalat – ihracat dengesi pozitif olmuştur. Özellikle 1991 yılında İran ile yapılan ticarette bu yıllar içerisinde en yüksek ihracat fazlası bir değere yükselmiştir. Türkiye ile İran arasındaki ticarette bu denli bir ihracat ithalat farkının olmasının en önemli faktörü olarak Türkiye'nin İran'dan ithal ettiği doğalgaz petrol gibi enerji ithalatından kaynaklanmaktadır. Bir diğer faktör ise 1980'li yıllarda temelleri atılan "ticaret devleti" politikasıdır diyebiliriz. O zamanlarda Turgut Özal tarafından uygulanmaya başlanan ve ithalat ikame stratejisini biryana bırakıp ülkenin artık ihracat odaklı büyümesi teşvik edilmiştir. Ticaret devleti tanımını kısaca ülke hükumetinin uyguladığı dış politikalar ile ticareti birlikte yürüten ve ekonomik faaliyetler doğrultusunda dış politikaya şekil veren devlet olarak açıklayabiliriz (Sarıaslan, 66).

## 2. Literatür

Özal'ın oluşturmuş olduğu bu ekonomik sistem Türkiye'nin 1990 yıllarındaki koalisyon döneminde sürdürülememiş ve bu doğrultuda Türkiye ile İran arasında siyasi anlaşmazlıklar yeniden başlamış ve 1990'lı yıllardaki koalisyon hükumetlerinin döneminde karşılıklı siyası suçlamalardan dolayı ekonomik ilişkilerin 1980'lerinde gerisine gitmesine sebep olmuştur. 1996 yılına geldiğimizde ise dönemin başbakanı olan Necmettin Erbakan'ın Türkiye ile İran arasında ilişkileri iyileştirmek için bununla birlikte Türkiye'nin doğal gaza olan ihtiyacını alternatif ülke olarak İran ile doğalgaz antlaşmasını ve Türkiye ile İran'ın öncülüğünde kurulan D-8 İslam Örgütü'nü kurmuştur. Fakat maalesef yine ekonomiye siyasi çıkarların bir müdahalesi olmuş ve Türkiye'nin iç siyasi yapısı bu durumu, bu antlaşmaları Erbakan hükumetinin Türkiye'yi İran'ın rejim sistemine benzetmeye çalıştığını öne sürülmüş ve bu duruma karşı çıkılmış. Bu gibi nedenler ile Türkiye ile İran arasında ekonomik ve siyasi yapının Özal hükumeti zamanındaki gibi bir iyileşmenin aksine, olumsuz seyir etmiştir (İnat, 2015: 9-10). 1990'lı yıllarda yaşanan olumsuz durumlar ekonomiyi de doğrudan veya dolaylı bir şekilde etkisini göstermiş ve 1990 – 2000 yılları arasında ekonomik ilişkiler tablo 2'de de anlaşıldığı gibi iki ilke arsındaki ekonomik ilişkiler çok dalgalı bir seyir izlemiş ve çoğunlukla azalan bir seğir izlemiştir. 1996 ve 2000 yılında 1 milyar seviyesinin üzerine çıkan ve bu iki yıl dışındaki bütün yıllarda 1 milyar doların altında seyreden ticaret hacmi iki ülke arasında yaşanan siyasi vb. olumsuzlukların ticaret üzerindeki etkisini açık bir şekilde göstermektedir. 1996 yılındaki yaşanan ekonomik hacmin artışının bir sebebi olarak 1996 yılında dönemin Başbakanı Necmettin Erbakan Tahran'da 23 milyar dolarlık bir doğalgaz anlaşması imzalaması ve bununla doğru orantıda ülkelerin o zamanda ilişkilerin iyileşme potansiyeli oluşturmasından kaynaklanmaktadır.

Tablo 3: 2000 – 2018 Yılları Arasında Türkiye-İran Ticaret İstatistikleri (1000$)

| YILLAR | İHRACAT | İTHALAT | HACİM | DENGE |
|---|---|---|---|---|
| 2000 | 235.784 | 815.730 | 1.051.515 | -579.945 |

| | | | | |
|---|---|---|---|---|
| 2001 | 360.535 | 839.800 | 1.200.336 | -479.264 |
| 2002 | 333.962 | 920.971 | 1.254.934 | -587.009 |
| 2003 | 533.786 | 1.860.682 | 2.394.469 | -1.326.896 |
| 2004 | 813.031 | 1.962.058 | 2.775.090 | -1.149.027 |
| 2005 | 912.940 | 3.469.706 | 4.382.646 | -2.556.766 |
| 2006 | 1.066.901 | 5.626.610 | 6.693.512 | -4.559.708 |
| 2007 | 1.441.190 | 6.615.394 | 8.056.584 | -5.174.204 |
| 2008 | 2.029.760 | 8.199.689 | 10.229.449 | -6.169.929 |
| 2009 | 2.024.546 | 3.405.986 | 5.430.532 | -1.381.440 |
| 2010 | 3.044.177 | 7.645.008 | 10.689.185 | -4.600.831 |
| 2011 | 3.589.635 | 12.461.532 | 16.051.167 | -8.871.897 |
| 2012 | 9.921.602 | 11.964.779 | 21.886.381 | -2.043.177 |
| 2013 | 4.192.511 | 10.383.217 | 14.575.728 | -6.190.706 |
| 2014 | 3.886.190 | 9.833.290 | 13.719.480 | -5.947.100 |
| 2015 | 3.663.760 | 6.096.242 | 9.760.002 | -2.432.482 |
| 2016 | 4.966.176 | 4.699.777 | 9.665.953 | +266.399 |
| 2017 | 3.259.270 | 7.492.104 | 10.751.374 | -4.232.834 |
| **2018** | **2.393.608** | **6.931.257** | **9.324.865** | **-4.537.649** |

Kaynak: TÜİK Verilerinden Derlenmiştir.

2000'li yıllara gelindiğimizde "ticaret devleti" politikası yeniden uygulanmaya başlamış ve Türkiye ile İran arasındaki ticari ilişkiler yeniden canlanmaya başlamıştır (Sarıaslan, 67). 2000'li yıllarda AK Parti iktidarının uyguladığı ekonomik sistem Özal hükumetinin İran ile yaptığı ekonomik kalkınma yaklaşımını daha da geliştirilmiş bir şekilde siyasi çatışmaları bir kenara bırakılarak ekonomik ilişkilerin gelişmesi için çalışılmıştır. Bu doğrultuda iki ülke arasındaki ilişkiler iyi bir hal almış ve ticaret hacmi sekiz yıl gibi kısa bir sürede 2008 yılında 10 milyar doların üzerine çıkmıştır. İlerleyen zamanda Türkiye ile İran arasında orta doğuda yaşanan olayların iki ülke arasındaki siyasi yapı olumsuz etkisi olmuş olsa da gerek Türkiye gerekse İran bu olumsuz siyasi yapının ekonomik ilişkileri olumsuz etkilemeden devam ettirmişlerdir (İnat, 2015: 10). Siyasi gerginliğin olmasına rağmen ekonomik ilişkilerin seyrinin kötü bir hal almadan iki ülke arasında kurulmuş olan ekonomik düzlemin devamı sağlanmıştır.

Türkiye ile İran arasındaki ilişkilerde iş birliğiyle birlikte 2003 yılında Amerika'nın Irak işgaliyle birlikte Türkiye'yle İran ülke Amerika'nın Irak'a karşı müdahalesine karşı çıkmış ve Irak'ın toprak bütünlüğünün sağlanması yolunda ortak görüş birliği içerisinde olmaları ve Türkiye'nin Ortadoğu bölgesinde aktif bir dış politika izlemesi, iki ülke ilişkilerinin artmasında ve bölgedeki çıkarları uyumlu hale gelmesinde önemli katkı sağlamıştır. Bu doğrultuda iki ülkenin birbirleriyle izlediği siyasi ve ekonomik ilişkiler ilerleyerek ticaretin artmasına sağlamakla birlikte hem ekonomik hem de stratejik birliktelik olmuş bu birliktelik ile komşu iki ülkenin birlikte hareket etme ve aynı doğrultuda hareketleri coğrafyada bulunan kendi üstünlüklerini belirlemede önemli bir öğreti olmuştur (SAYIN, 245). İşte bu ve bunun gibi örnekler komşu ülkelerin birbirlerini rakip görüp çatışması değil asıl birlikte hareket edip birlikte daha da ilerlemesinde örnek ve ilerleyici bir yol göstermektedir.

2000 yılında Türkiye ile İran arasındaki ticaret hacmi 1 milyar dolar olan ticaret hacmi 2008 yılına geldiğimizde 10 milyar doları aşmıştır. Bunun sebeplerinden birisi Türkiye'nin o dönemlerde uygulamış olduğu ılımlı politikalardır. Tablo 2'de 2009 yılında gözüken azalmanın sebebi ise o dönemde dünya çapında olan ekonomik krizden kaynaklanmaktadır. Ama dünya çapında olan ekonomik krize rağmen Türkiye ile İran arasındaki ticari ilişki çok çabuk toparlanıp 2012 yılında zirve nokta olan 21 milyar doların üzerine çıkmıştır. İki ülke arası ticaret dengesine baktığımızda Türkiye'nin İran ile yapmış olduğu bu ticaret akışında hep açık verdiği görülmektedir. Bu doğrultuda aslında Türkiye ile İran arasındaki ekonomik ilişkilerde İran'ın Türkiye'deki pazarına, Türkiye'nin İran'daki pazarına olan ihtiyacından daha fazladır çünkü bu ikili ilişkide bu zamana kadar tabloda da görüldüğü gibi İran hep kârlı çıkan taraf olmuştur. Yukarıda da değinildiği gibi önceki dönemlerde iki ülke arasındaki rekabetin etkisiyle aralarındaki ticari ilişkilerin olumsuz etkisi 2000 yılından sonra ciddi bir artış ivmesi ile 2012 yılında ticaret hacmi 21 milyar dolar seviyesini üstüne kadar çıkmıştır. 2012 yılından sonraki dönemlerde düşüş olmuş olsa da bu düşüş sadece iki ülkenin arasındaki oluşan olumsuz ilişkiler değil dünya ekonomisindeki küçülmenin etkisi vs. diğer etkilerden kaynaklanmaktadır.

Amerika'nın 2010-2016 yıllarında İran'a karşı uygulamış olduğu ambargo ve yaptırımın en önemli nedeni İran'ı uluslararası finansal sistemden çıkarmak istemektedir. Amerika'nın Türkiye'ye bu konuda yapmış olduğu baskı bankacılık sektöründe olmuştur. İran'dan petrol ve doğalgaz almayı devam ettiren Türkiye ise bu konuda İran ile uluslararası finans sistemiyle çalışamaması sonucunda yeni bir yol bulmuş ve bu ticari ilişkiyi altın üzerinden finanse etmeye başlamışlardır. Yeni yaptırım yasasıyla birlikte İran'la enerji ticaretine devam eden ama finansal olarak bir işlem yapamayan Türkiye'nin finansal işlemler için kullandığı Halk Bankasını da bu yaptırımların delinmemesi için finansal olarak işlem yapılmaması için yaptırımlara ek madde olarak içerisine eklemiş ve yeni engeller koyulmuştur. (ÖZDAĞ, 239-243).

İran'a karşı, giderek şiddeti artan uluslararası yaptırımlar özellikle 1990'lı yallardan beri İran'ın sürdürmeye çalıştığı neoliberal ekonomik kalkınma hedefini ve küresel kapitalizme yeniden katılabilme ve adapte olabilme çabalarını olumsuz etkilemiştir. Bankacılık ve enerji sektöründe uygulanan yaptırımların etkisiyle İran ekonomik olarak zayıflarken, maden sanayisine getirilen yaptırımlarla birlikte bu alanda çalışan ve 22 milyona yaklaşık İranlı işçilerin yüzde 10'unu istihdam eden bir diğer önemli sektörde büyük zarar görmüştür. Böylelikle Amerika'nın petrol ve doğalgaz sanayisi gibi İran için büyük bir öne sahip olan bu sektörleri hedef alan yatırım ve ambargolarının kapsamını genişletmiştir ve Amerika'nın yapmış oldu bu aksiyon ile İran ekonomisinin ana öğesi olan ve belkemiğini oluşturan kamu teşebbüslerindeki çalışan mavi yakalı diye anılan çalışanların istihdamını hedef almaktadır (ŞEN, 93).

Türkiye ile İran arasında siyasi ve güvenlik alanında yaşanan sorunların doğrudan veya dolaylı olarak ekonomik alanda belirmesi ve bununla birlikte her iki ülkede olumsuz etkilenmiştir. Türkiye ile İran arasındaki ticaret hacminin 2013 yılındaki düşüş sonrasında 2014 yılını da yaklaşık aynı şekilde bir azalışla ticaret hacmi 13,7 milyar dolar seviyesine kadar düşmüştür. 2014 yılına geldiğimizde daha da gelişerek artması gereken ticaret hacmi düşüş yaşamış ve sonunda 2011 yılındaki 16 milyar dolarlık ticaret hacminin gerisinde kalmıştır. 2014 yılında Türkiye ve İran aralarındaki bu ilişkiyi güven ve işbirliği temeli üzerinde ilerletmiş olsalardı çok rahat bir şekilde "TIR Krizi" ve "doğalgaz fiyatı" sorununu çözebilecekken maalesef bu süreci çözmekte her iki ülkede zorlanmıştır (YEĞİN, 141-142).

İran'a uygulanan uluslararası ambargolar ve yaptırımlar İran da 1980'li yıllardan itibaren Amerika, Birleşmiş Milletler Güvenlik Konseyinin ve Avrupa Birliği'nin benzer yaptırımları sonucunda, İran'a giden ticari malların gönderilmesi ve nükleer faaliyetle ilgili her türlü malların ticareti ve yatırımı yasaklanmış, ayrıca İranlı bazı tüzel ve özel kişilerin yurtdışı varlıkları dondurulmuştur. Bu kararlar doğrultusunda Avrupa Birliğindeki ülkelerin İran ile yatırım ve mali ilişki yapmaları tamamen yasaklanmıştır. Bu olumsuz durum doğrultusunda İran'a yabancı para girişinin azalmasına neden olmuştur. İran'ın nükleer programına ilişkin olarak İran ile yaptırım uygulayan ülkelerin öncüsü olan altı devlet ile İran arasında 2013 tarihinde imzalanan geçici Anlaşma ve onu takiben 2015 yılında Ortak Kapsamlı Eylem Planı imzalanmış ve yaptırımlar istisnalar haricinde 2016 yılı itibarıyla kaldırılmıştır (Konya Ticaret Odası, 5).

Türkiye ile İran arasında 2015 yılının ocak ayında Tercihli Ticaret Anlaşması olmuştur. Bu anlaşmayla Türkiye 125 sanayi ürününde imtiyaz almıştır ve 140 tarım ürününde ise İran'a tercihli tarife başlamıştır. Bu anlaşma kapsamında İran Devleti tarafından indirim yapılan ürünlere ise şöyledir; temizlik malzemeleri, sağlık malzemeleri, tekstil ürünleri, kimya sektörü, plastik ve mamulleri, ağaç ve orman

ürünleri, cam sektörü, mobilya gibi çeşitli ürünler bulunmaktadır. Anlaşmanın içerisindeki ürünlere baktığımızda bu ürünler Türkiye'nin ihracatının önemli bir kısmını oluşturduğu anlaşılmaktır (Usta, 2019: 66).

Türkiye ile İran arasındaki ilişkilerin en son ki kısa zamana baktığımızda İran'ın komşu ülkelerindeki savaşlara ve nükleer faaliyetleri sebebiyle İran' uygulana yaptırımların etkisiyle iki ülke arasındaki ticaret hacminin düşmüş olsa bile bu düşüş 2018 yılında 10 milyar dolar civarında olmuştur. İki ülke arasındaki ekonomik ilişkilerin çok fazla düşüş yaşamaması iyi bir şey olsa da, Türkiye ile İran arasındaki ticaret hacmi ülkelerin genel ekonomik faaliyetlerine baktığımızda yapılabilecek potansiyel ticari faaliyetin altında kalmıştır. Bu doğrultuda baktığımızda iki ülke arasındaki ticari ilişkiler karşılıklı ekonomik bağımlılık oluşturduğu söylenemez (Pulat, 2018: 96). Aslında her ne kadar anlaşmazlıklar olsa da bu anlaşmazlıkların ekonomik yansıması her iki ülkede de uzun veya kısa bir tahribat oluşturmaktadır. İşte bu tahribatı engellemek ve boşa harcanan ekonomik ilişkilerin artık yeni bir düzlemde olmasını sağlamak için iktisadi ilişkileri siyaseten ve geçici çıkarlar doğrultusunda alınabilecek kararlar doğrultusundan olabildiğince ayrı bir şekilde tutarak iktisadi ilişkileri kendi düzleminde ilerlemeye devam etmek her ülkenin elindedir. Şimdi veya daha sonra oluşacak siyasi gerginliğin ticari ilişkilere olumsuz bir hal almasını nasıl engelleyeceğimiz konusunda geçmişten edindiğimiz bilgiler sonucunda uzlaşmacı bir dil ile birlikte olumlu bir bakış açısıyla siyasi bir üslup yürütmeyle ekonomik ilişkilerin seyrini düzgün bir şekilde tutabiliriz.

## 3. SONUÇ

Sonuç olarak Türkiye ile İran arasındaki siyasi ilişkilerin gidişatına göre iki ülkenin birbirine komşu olması ve diğer ülkelerin kendi siyasi çıkarları bağlamında istediği zaman ambargo uygulaması hem Türkiye'nin iktisadi yapısını hem de İran'ın iktisadi yapısını olumsuz yönde etkilerken bu iki komşu ülke bölgesel veya başka siyasi nedenler ile birlikte kendilerini daha zor bir ekonomik duruma sokmamak ve birbirlerinin den destek alıp karşılıklı olarak sürdürebilecekleri ticaret potansiyelini boşa atmamaları iki ülkeyi de her açıdan daha iyi bir konuma getirmiştir. Siyasi ilişkiler hangi doğrultuda hareket ederse iktisadi ilişkilerde aynı doğrultuda şekil almaktadır. İşte bu nedenle sadece komşu olmanın ve karşılıklı birbirine ihtiyaç duymanın gerekçeyle bile yapılabilecek olan bu uyum belli başlı geçici ideolojik reflekslerle çöpe atılmayıp. Birlikte daha güçlenerek ve birbirimizi geliştirerek ilerleyebileceğimiz bir ortamda her iki ülke içinde iyi olacaktır.

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# Impacts of Exchange Rate On Economic Growth of China

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**Abstract:** This article examines the impact of the exchange rate, foreign direct investment, exports, and imports on the economic growth of China, China is mostly accused of devaluation of the Renminbi's exchange rate for increasing exports and economic growth. Thus the relationship among RMB's exchange rate, Foreign direct investment, exports, imports as independent variables, and gross domestic product per capita income as a dependent variable is analyzed by using time series data for the period of 1982 to 2018, with the execution of ARDL (Autoregressive-Distributed Lag) and VECM (Vector Error Correction) models to find out the relationships between these variables.

In conclusion, it was found that there is a significant and negative relationship between gross domestic product per capita income and exchange rate for instance with a 1% increase in exchange rate GDP per capita is decreased by 1.2% in long run. However, foreign direct investment and export have a significant and positive relationship with GDP per capita income, with a 1% increase in FDI and exports the GDP per capita is augmented by 1.4% and 0.26%. On the other hand, the relationship between GDP per capita and imports is insignificant.

**Keywords:** Exchange rate, Economic Growth, ARDL & VECM Models, FDI, Export.

## 1. INTRODUCTION

The exchange rate is defined as it is the price of one currency in terms of obtaining another country or economic zone currency in a specific period. Exchange rate regimes are adopted by a country's monetary authority generally and monetary authority (The Central Bank) has the power to adopted the exchange rate regime that is according to the economic strategy, monetary policy, economic situation, and benefits of that country.

According to Policonomics (2017), each exchange rate regime has its pros and cons, it is not easy work to find out the most suitable exchange rate system for a country because the economy is highly affected by the exchange rate system instance import, export, GDP, etc. can be affected very much by the decision.

There are many exchanges rate regimes, and most known exchange rate regimes are floating and fixed exchange rate regimes, although many other exchange rate regimes exist that are elaborated as under;

1. Monetary Union: A country has low independence over it, like Eurozone.
2. No Separate Legal Tender: It is a situation where the currency of another country is used in another country and they have very low independence over the exchange rate of that currency.
3. Currency Board: It is a clear contract on a stable exchange rate between two or more countries.
4. Target Zone Agreement: This is a situation where the exchange rate can increase or decrease but within certain limitations.
5. Crawling Peg: It is an exchange system that limits the fluctuation of the currency mainly defined characteristics such as the fixed exchange rate of the currency are often reviewed and adjusted because of market elements such as inflation and a group of other rates.
6. Managed floating: This is an exchange rate that is elastic but with government intervention in the Market.
7. Free/floating Exchange Rate: The exchange rate is determined by the market (Policonomics, 2017).

Based on another article by Ahmad (2013) the exchange rate is a vital economic factor, and economists are interested in the effect of the exchange rate on economic growth. The exchange rate means with

how many units of the domestic currency we can buy how many units of external currency. If we omit inflation from the exchange rate it is called the exchange rate if we don't omit inflation from the exchange rate, then it is called a nominal exchange rate. If the exchange rate is controlled by the government, it is called the Controlled exchange rate, and if it is not controlled it is called a floating exchange rate and in the middle, it is called a managed floating exchange rate which is the semi-controlled exchange rate.

According to The New York Times "The Trump administration labeled China a currency manipulator on Monday after China allowed the value of its currency to fall" it is mostly observed that the US has accused the government of China for devaluation of its currency Swanson (2019). According to the economists, the dumping policy is followed for decreasing exporting products price in the US and Europe markets that will lead to a high economic growth rate in China.

It is beneficial for import oriented countries to keep their currencies exchange rate high because they importing products will be at reasonable price or cheap although for export-oriented countries that are exporting more and exporting technological and capital assets they need to keep their low exchange rate is better for enhancing their exports in the international market plus and keeping their products demand high, compare to other countries products.

In this article, we aim to find whether the fall or rise of RMB's exchange rate impacts economic growth or the relationship between the exchange rate and the economic growth of China for the period of 1982 to 2018 will be investigated.

## 2. LITERATURE REVIEW

Officially the People's Republic of China is the largest country, economy, exchange reserve, and exporter in the world with a $14.34 trillion gross domestic product (GDP) and 1.4 billion populations, an unemployment rate of 3.62%, inflation rate of 2.9%, an exchange rate of RMB (Renminbi) 6.91/$, a current account balance of 141.3 billion USD, the trade balance of 165 billion USD, export 2.5 trillion U.S. dollars, import 2.08 trillion U.S. dollars at the end of 2019. The economy of China has experienced amazing economic growth in the last few decades that has captured the title of the second-largest economy in the world. In 1978 when China launched the economic reform program the country ranked 9th in nominal GDP and 35 years later it jumped to the 2nd biggest economy in the world (Export Entreprises SA, 2021).

Based on a research paper by (Thorbecke, 2009), China's exports increase by about 22% in the year 2005 to 2008 and its current account surplus surpassed 9% of GDP in 2006 and 11% of GDP in 2007. Its economic growth is 10% more than every year between 2004 and 2007. Quite a few economists think that China's balance of payment (BOP) is in disequilibrium and China must let the RMB exchange rate appreciate. On the other hand, the Chinese government has rejected suggestions for the quicker rise of RMB's exchange rate, due to unfavorable effects of RMB appreciation on the reduction of labor-intensive exports of China and will lead to the ruining of those industries across China.

Based on a study that analyzed the growth shocks and China RER (price exchange rate) in long run, it shows that with the decline of the labor force of China in the long run the real exchange rate will have increase, and in the short-run financial capital, inflows are effective in RMB's exchange rate (Tyers, 2007). In another paper the possibility of RMB's reform and RMB becoming the regional trading currency in the region plus stable exchange rate important for China. Secondly, the reasons affecting RMB's exchange rate in long run have been analyzed (Hokroh, 2013).

A research paper regarding effects of the appreciation of RMB's exchange rate on social and economic factors in 29 provinces of China from 1987-2008 by using GMM method forecasting has conducted and resulted from research shows that an increase in the exchange rate of RMB has a negative result over GDP growth and employment in those provinces (HUA, 2011).

According to Su (2017) research paper that analyzed the RMB and real Gross domestic productions relationship of China three-time phases such as 1952-1979, 1979-1993, and 1993-2014 by using the Vector error correction model, the result shows that in the first period it has no significant effect on GDP

and after RMB's exchange rate reform shows that there is a positive and significant correlation in this time from 1979 to 1993 between RMB's exchange rate depreciation and GDP growth and lastly in 1993-2014 there is a negative relationship between RMB's exchange rate appreciation and GDP growth for example with an increase in RMB's exchange rate the GDP is negatively affected.

In an empirical study regarding the panel study of countries from 1978-2007 regarding the RER and economic growth, In this study quantile regressions method have been used and resulted that in long run it is very efficient, effective and lead to economic growth and development if countries have a stable and competitive real exchange rate (Missio, 2015).

The Chinese government is worried that the RMB exchange rate increase will decrease labor-intensive exports. It is investigated by Thorbecke (2009) that an increase in the exchange rate of RMB will lead to a decrease in China's exports of labor-intensive products such as furniture, clothing, footwear, etc.

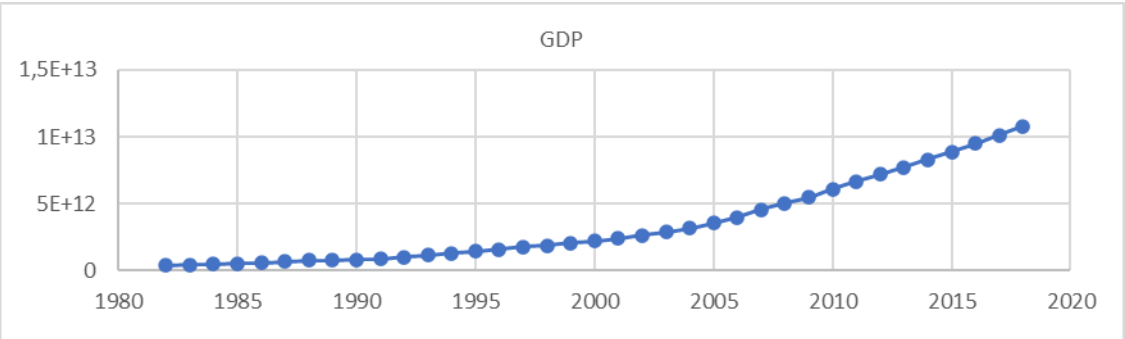
As per research regarding the impact of nominal exchange rate on economic development of Kuwait by Paul (2019), by using time-series data from 1975 to 2015 and Least Square method and BG test. The result approves that the exchange rate plays a vital role in the economic development of Kuwait. The study expresses that an increase in the nominal exchange rate leads to a significant and positive impact on economic growth. Consequently, it is suggested that Kuwait should devaluate its currency to increase its exports. It is also suggesting that Kuwait should increase nonpetroleum export due to the non-renewability characteristic of petroleum, plus it will absorb an enormous amount of foreign direct investment in the country, therefore, an increase in nonpetroleum products will highly affect the economic growth and development in Kuwait.

On the other hand, a study by Ahmad, (2013), regarding the impact of inflation, nominal exchange rate, foreign direct investment (FDI), and capital stock on the economic development of Pakistan with time-series data from 1975 to 2011 by using the OLD method. The resulted of the investigation shows that the exchange rate and inflation have a negative impact on economic growth, for instance, a percent increase in the exchange rate will reduce the GDP by 0.55 and a percentage increase in inflation will decrease GDP by 0.29 percent. Furthermore, a percentage increase in FDI will increase the GDP by 0.37 percent although capital stock does not significantly affect GDP.

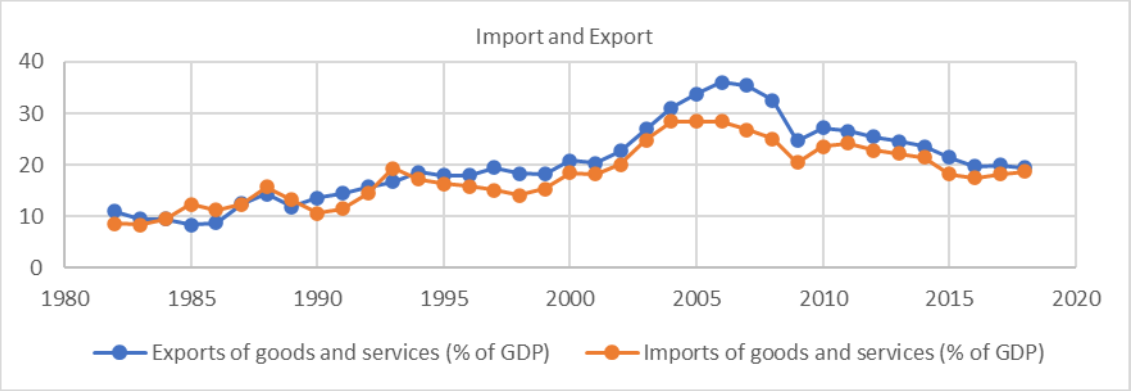
Hence, the article by Ahmad (2013) regarding the Pakistan exchange rate suggests that due to a higher increase in the exchange rate of Pakistan for instance Pakistani currency has lost its value from 1980, 1 dollar equal to 10 Rupees to 90 Rupees in 2011. Thus, Pakistan mostly exports raw materials and agricultural products but importing costly products for example machinery petrol, and technology products and that's why Pakistan's balance of trade remained negative for a long time. Therefore, it's suggested for policymakers to adopted an exchange rate system that could result in the economic development of Pakistan. For instance, the devaluation of Pakistani Rupees can lead to an increase in export and effecting the imports negatively thus people will buy domestic products and this mechanism will lead to economic growth and development.

Graphical Representation of China's Economy from 1982 to 2018.

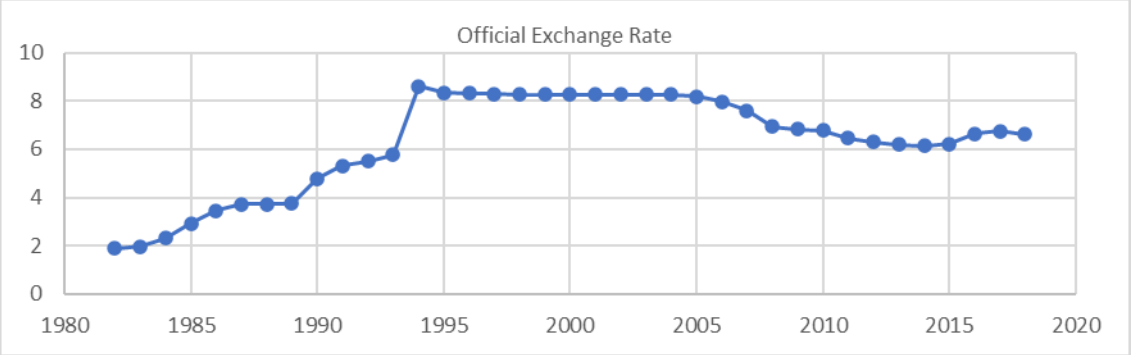
Graph 1: Gross domestic product of China



Graph 2: Import and export of China




Graph 3: Official exchange rate of China




Note: The above graphs are the authors' work; data is taken from World Bank Data Bank Development indicators.

Many have commended the appreciation of RMB by 20% against the dollar, although RBM has depreciated by 35% against Euro during September 2008. This decision of appreciation against dollar and depreciation against Euro has been very beneficial for China due to the fact that the crowding of exports like furniture and footwear of China in European markets which made European officials upset regarding this decision of China and will respond regarding the absence of floating exchange rate system in China thus this policy will negatively effect on free trade in the world (Thorbecke, 2009).

According to Thorbecke (2009) due to the surplus of both current and capital account of China, it's appropriate to appreciate RMB's exchange rate but the Chinese government has rejected the appreciation of RMB faster because that will negatively affect labor-intensive exports of China and Chinese government fears that they will lose the competitiveness with other exporting nations in the international market due to appreciation of RMB.

According to recent studies, researchers suggest that the RMB undervaluation should take place up to 10-30% because the revaluation during 2005 is assumed insufficient to affect China's BOP disequilibrium. Inside China, there is the existence of massive concerns regarding the adverse effect of exchange rate revaluation on employment mostly in the labor-intensive exporting sector. In this paper, the researcher has aimed and analyzed the structural effect of exchange rate evaluation on the current account surplus by 4% using a 17 sector quantifiable Chinese economies equilibrium model.

A study by Willenbockel (2006) finds out that there are several requests for the RMB's revaluation both by the international Tang l community and internal observers, according to internal observers that they are expressing regarding a substantial ambiguous situation and suggest that rearrangement of the exchange rate belongs to the Chinese government and their interest.

According to a study by Tang (2008) which have studied the impact of exchange rate and Economic growth in China using the CVAR model, resulted in contrast to many other pieces of research that China has not benefited from the exchange rate of RMB, and there no direct relationship between exchange rate and economic growth of China in the long-time. Remarkably, it expresses the massive economic

growth of China is due to export and inflow of foreign capital based on analyses of this study and also proposes that the long-run exchange rate is mutually recognized by the foreign reserves, FDI, and foreign trade. Additionally, the 2005 RMB appreciation did not adversely impact the China economy, though as an alternative it has led to the stable economic growth of China. China might maintain a managed floating exchange rate policy creating partial changes to the RMB's daily floating limits in reply to the requests from international communities.

## 3. RESEARCH METHODOLOGY AND DATA

The analyzed data regarding this research paper is secondary data time series data it's taken from the World Bank data bank, variables such as GDP Per capita income as a dependent variable and foreign direct investment (FDI), export, import are considered as independent variables and the period of research study is from 1982-2018. According to the Augmented Dicky Fuller Test of Unit root test of variables, and stationary level the ARDL model (Autoregressive-Distributed Lag model) is applied and the statistical model for our research is below (Ahmad, 2013).

$$Ln(EGt)=ϐ0+ϐ1ln(FDIt)+ϐ2ln(ERt)+ϐ3ln(NXt)+Ɛt$$

Where
EG=Economic Growth= GDP Per Capita income
FDI=Foreign Direct Investment
ER= Exchange Rate
NX= (Export-Import)
Ɛt=Stochastic Error Term
Where, β0, β1, β2, β3, β4 are the respective parameters.

To find out the Unit Root of Variables we use the Augmented Dickey-Fuller test of the variables so that it can be estimated what technique is appropriate for our model. The results of the unit-roots test are given in table 1 below;

Table 1: Augmented Dicky Fuller Unit Root Test

| Variables | t-Statistics | Prob.* | Stationarity level |
|---|---|---|---|
| GDP_PCI | -4.497948 | 0.0053 | I(1)** |
| FDI | -4.853278 | 0.0021 | I(1)** |
| ER | -5.804517 | 0.0002 | I(1)** |
| EXPORT | -4.597337 | 0.0041 | I(1)** |
| IMPORT | -4.782535 | 0.0026 | I(1)** |

As per the above test, ***, ** and * indicate the 1%, 5%, and 10% level of significance and observing the result of the test the null hypothesis is rejected, as it can be explained that all variables are integrated of order 1 [I (1)], thus the ARDL model (Autoregressive-Distributed Lag model) can be executed for finding a relationship among mentioned variables. The test required before executing the ARDL model is as below.

Lag length criteria for our variables are below Using VAR model to find optimal lag length Criteria for our variables.

Table 2: VAR Lag Length Test

| Lag | LogL | LR | FPE | AIC | SC | HQ |
|---|---|---|---|---|---|---|
| 0 | -347.8592 | NA | 1334.235 | 21.38541 | 21.61215 | 21.46170 |
| 1 | -216.3129 | 215.2575 | 2.136382 | 14.92806 | 16.28852* | 15.38581 |
| **2** | **-177.1808** | **52.17617*** | **1.014688*** | **14.07156** | **16.56574** | **14.91078*** |
| 3 | -153.4389 | 24.46135 | 1.496273 | 14.14781 | 17.77571 | 15.36849 |
| 4 | -120.9125 | 23.65558 | 1.932918 | 13.69167* | 18.45328 | 15.29380 |

Based on VAR Lag order selection criteria 2 lag is considered as an optimal lag, and as a result of Unit Root Test and Peseran and Shin (2003) research on the ARDL model, it is optimum to execute the ARDL model.

Bounds test is done to see if there is a long-run relationship between our variables or not.

Table 3: ARDL Bound Test

| Test Statistic | Value | k |
|---|---|---|
| F-statistic | 10.97706 | 4 |
| Critical Value Bounds | | |
| Significance | I0 Bound | I1 Bound |
| 10% | 2.45 | 3.52 |
| 5% | 2.86 | 4.01 |
| 2.5% | 3.25 | 4.49 |
| 1% | 3.74 | 5.06 |

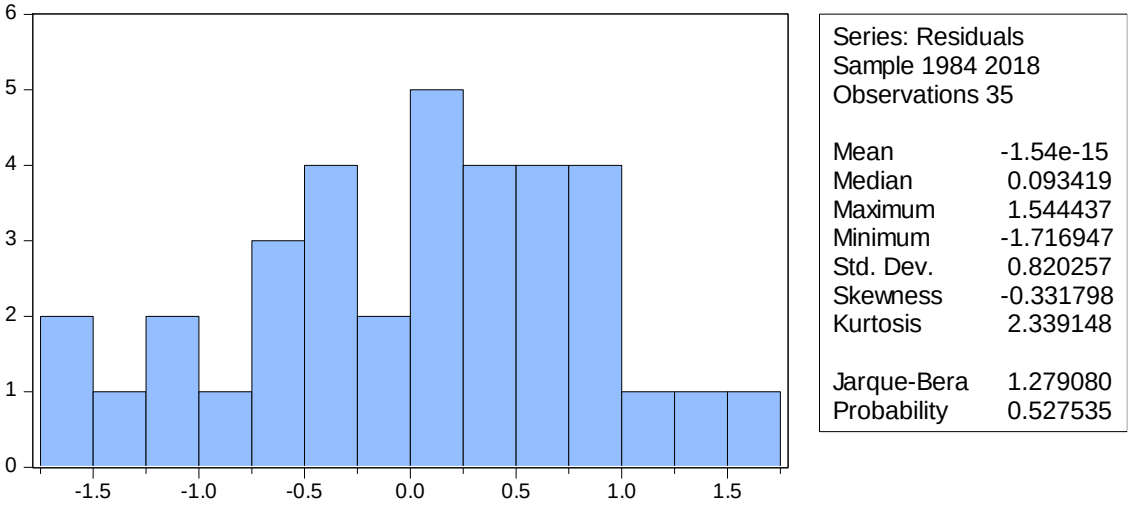
As per the above analysis of the ARDL Bound Test, the value of F-statistic is higher than the Lower and upper bound (I0 and I1) thus we can reject the Null hypothesis and which means there is, the existence of a long-run relationship between variables.

Table 4: ARDL Cointegrating and Long-Run Model

| Variable | Coefficient | Std. Error | t-Statistic | Prob. |
|---|---|---|---|---|
| D(GDP_PCGR(-1)) | 0.559083 | 0.106571 | 5.246132 | 0.0000 |
| D(FDI) | 0.186406 | 0.287297 | 0.648827 | 0.5232 |
| D(EXCHANGE) | -2.741984 | 0.602536 | -4.550739 | 0.0002 |
| D(IM) | -0.531142 | 0.174404 | -3.045473 | 0.0059 |
| D(IM(-1)) | 0.865170 | 0.182468 | 4.741495 | 0.0001 |
| D(X) | 0.137866 | 0.164938 | 0.835866 | 0.4122 |
| D(X(-1)) | -0.481943 | 0.121461 | -3.967878 | 0.0007 |
| CointEq(-1) | -0.715586 | 0.104756 | -6.830972 | 0.0000 |
| Cointeq = GDP_PCGR - (1.6775*FDI -1.3257*EXCHANGE -0.3102*IM +0.1678*X + 15.1648 ) | | | | |
| Long Run Coefficients | | | | |
| Variable | Coefficient | Std. Error | t-Statistic | Prob. |
| FDI | 1.677455 | 0.371919 | 4.510274 | 0.0002 |
| EXCHANGE | -1.325702 | 0.336414 | -3.940688 | 0.0007 |
| IM | -0.310239 | 0.315344 | -0.983810 | 0.3359 |
| X | 0.167763 | 0.237553 | 0.706213 | 0.4875 |
| C | 15.164766 | 1.959513 | 7.739048 | 0.0000 |

According to the above ARDL Cointegration model, equation, and probability value, the result is robust and Cointegration Equation (-1) = -0.715586 and 5% probability value we can express that the test is significant, besides the equilibrium time is 1.4 years. After finding the ARDL result we are bound to test the below tests to see the normality and serial correlation, and VECM for finding the correlation between variables.

Graph 5: Histogram Normality Test




**Note: Graphs 5 is authors' work.**

According to the above test and Jarque-Bera Probability value which is more than 5%, the Null hypothesis is rejected and it is concluded that the executed ARDL model is robust, for furthermore robustness of ARDL model result, Heteroskedasticity test is performed as below.

Table 5: Heteroskedasticity Test: Breusch-Pagan-Godfrey

| | | | |
|---|---|---|---|
| F-statistic | 1.001800 | Prob. F(12,22) | 0.4786 |
| Obs*R-squared | 12.36732 | Prob. Chi-Square(12) | 0.4166 |
| Scaled explained SS | 3.271777 | Prob. Chi-Square(12) | 0.9933 |

Based on the above analyses Null Hypothesis is rejected as per P-value which is more than 5% in Prob. F (12,22) 47% thus there is not Heteroskedasticity in our model and analyses.

Furthermore, for finding out whether variables have serial correlation or not, the Breusch-Godfrey Serial Correlation LM Test is executed.

Table 6: Breusch-Godfrey Serial Correlation LM Test:

| | | | |
|---|---|---|---|
| F-statistic | 0.282697 | Prob. F(2,20) | 0.7567 |
| Obs*R-squared | 0.962237 | Prob. Chi-Square(2) | 0.6181 |

As per the above test result, the Null Hypothesis is rejected because the value of P is more than 5% in Prob. F (2,20) 75%, thus there is no serial correlation in the model. According to the above tests, it is concluded that the model and analyses are significant, meaningful, have no Serial Correlation, Heteroskedasticity and it is normal.

Therefore, Cointegration for a long-run relationship test is executed, thus Vector Error Correction Model (VECM) test is performed.

Table 7: Vector Error Correction Model (VECM)

| | Coefficient | Std. Error | t-Statistic | Prob. |
|---|---|---|---|---|
| C(1) | -0.408084 | 0.123928 | -3.292915 | 0.0013 |
| C(2) | 0.409623 | 0.148003 | 2.767670 | 0.0064 |
| C(4) | 0.702022 | 0.202663 | 3.463993 | 0.0007 |
| C(9) | 0.078516 | 0.033582 | 2.338060 | 0.0208 |
| C(12) | 0.336292 | 0.114759 | 2.930419 | 0.0040 |
| C(13) | -0.087211 | 0.043266 | -2.015704 | 0.0457 |

Equ1:D(LGDP)=C(1)*(LGDP_PC-1.206*RER-0.53247*IMP+1.491*FDI+0.2676*X+16.3498)+ C(2)*D(LGDP_PCGR(-1))+C4IMP(-1)

| | | | |
|---|---|---|---|
| R-squared | 0.638355 | Mean dependent var | 0.066471 |
| Adjusted R-squared | 0.560860 | S.D. dependent var | 2.487331 |
| S.E. of regression | 1.648296 | Sum squared resid | 76.07259 |
| Durbin-Watson stat | 2.024939 | | |
| Equ2: D(RER)=C(9)*D(LGDP_PC(-1))+C(10)*D(RER(-1))+C(11)*D(IM(-1))+C(12)*D(FDI(-1))+C(13)*D(X (-1)) | | | |

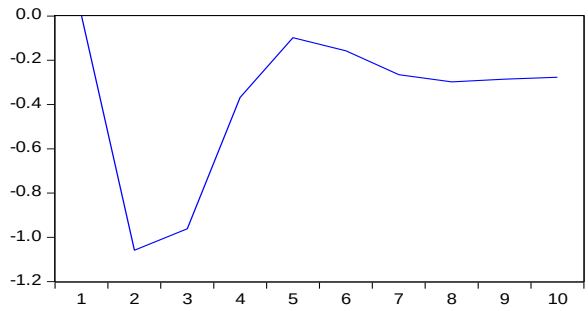
Note: Table 1-7 are the authors' work.

Based on the above Victor Error Correction Model analyses and Probability value of less than 5%, the result for long term relationship is significant and it is expressed as below:

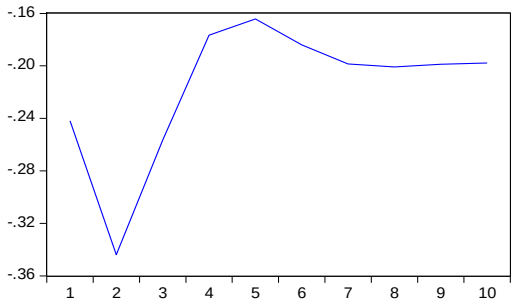
1. Based on Equation number 2 there is a long-run and meaningful relationship between GDP, Exchange Rate, Foreign Direct Investment, and Export but import has no meaningful relationship.
2. The exchange rate and GDP per capita income have a long-run and negative relationship, for instance, a percentage increase in RMB's exchange rate will lead to a 1.2 percent negative effect on the GDP Per capita income of Chinese people.
3. Foreign Direct Investment and GDP Per capita income have a positive and significant relationship for example for a percentage increase in FDI will lead to a 1.4 percent increase in GDP per capita income.
4. Export and GDP Per capita income has a positive and significant relationship, for instance, a percentage increase in Export will lead to a 0.26 percent increase in GDP per capita income.

After VECM analyses, the long-run impulse response of the variables on each other is tested, which means in 10 years how each variable affects another variable.

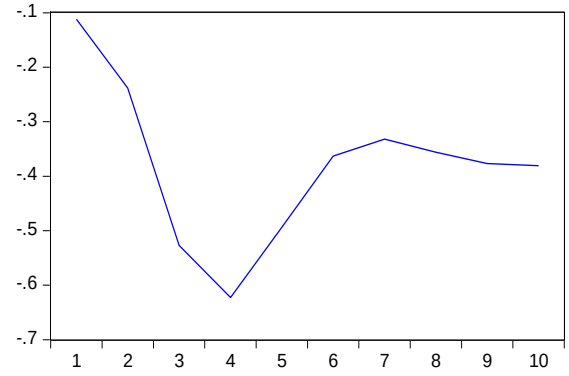
Graph 6: GDP per Capita Income to Exchange Rate



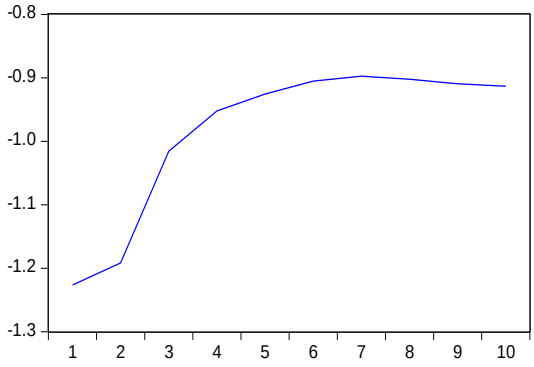

Graph 7: FDI to Exchange Rate




Graph 8: Export to Exchange Rate




Graph 9: Imports to Exchange Rate




Note: The above graphs are the authors' work.

As per the above Impulse response analyses of variables for 10 years, it can be explained as below:

1. Response of GDP per capita income to exchange rate; As per Graph 7, it is clear that the response of GDP per capita income to exchange rate in 2 starting years negative up to 1.1% and later on it has an upward trend but as a whole, the increase in RER will impact negatively on the GDP per capita income.

2. The response of FDI to exchange rate: Response of FDI to exchange rate in according to graph 8 is a downtrend in the first two years but later on, it has an uptrend and positive.
3. The response of Export to Exchange Rate: Exports have a downtrend up to 4$^{th}$ year and later on, it is an upward trend but it is still it has a negative effect on the long run on the exports of China.
4. The response of Imports to Exchange rate: As per graph 10 on the response of Imports to exchange rate, there is a positive impact of imports with the increase in the exchange rate for instance an upward trend from -1.2 to -0.9 which means import will increase by an increase in the exchange rate.

## 4. CONCLUSION

As it was several times requested and demanded that the Chinese government should appreciate its currency but the government of China has resisted doing so the reasons behind its resistance are the multiple negative effect RMBs' exchange rate revaluations on macro-economic factors. The data analyses of our study which is driven from the World bank data bank from 1982-2018 for 37 years and based on executed ARDL and VECM models, we have reached a vital result regarding this research concerning the impact of RMB's exchange rate on GDP Per capita income and other macroeconomic factors like FDI, Export, and Import that there is a long-run and meaningful relationship between GDP per capita, exchange rate, foreign direct investment, and export but import has no meaningful relationship.

Exchange rate and GDP per capita income have long-run and negative relationships, for instance, a percentage increase in RMB's exchange rate will lead to a 1.2 percent negative effect on the GDP per capita income of Chinese people.

Foreign direct investments, exports, and GDP per capita income have a positive and significant relationship, for example, a percentage increase in FDI will lead to a 1.4 percent increase in GDP per capita income, besides a percentage increase in export will lead to a 0.26 percent increase in GDP per capita income.

The impulse response of GDP per capita income to exchange rate in long term (10 years) shows that in first two years it is negatively affected up to 1.1% and later on it has an upward trend but as whole the trend is negative. The impulse response of FDI to the exchange rate for the first two years has a deep downtrend but after that, it has an upward trend. Moreover, the response of export to exchange rate is downtrend until 4th year and after that, it is uptrend but still in the negative region.

The result of this investigation shows that there is a significant and negative relationship between exchange rate and GDP per capita for 1982-2018 years based on ARDL and VECM model.

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# Covid 19 Sürecinin Dijital Dönüşüme Etkileri

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**Özet:** Covid – 19 dünya çapında ülkelerin karantina ve kapama sürecine girdiği bir dönem olarak hayatın her alanını etkilemektedir ve "Büyük Buhran" dan sonra ekonomiyi etkileyen en büyük krizlerden biri haline gelmiştir. Salgın olarak nitelendirilen bu dönem sadece insanların sağlığını değil, ülke ekonomilerini ve dolayısıyla işletmelerin çalışma biçimlerini değiştirmiştir. Bu süreçte insanlar çok daha yoğun bir şekilde internet trafiği oluşturmuş ve bu durum işletmelerin dijitalleşme süreçlerinde daha hızlı olmaları gerektiğimi göstermiştir.

Dijital dönüşüm kavramı internetin yaygın kullanımı ve dijitalleşme kavramının artmasıyla birlikte günümüzde artık tüm sektörleri kapsamaktadır. Dijital dönüşüm işletmelerin iş yapış biçimlerini değiştirmektedir. İş yapış biçimlerinin değişmesi aynı zamanda işletmelerin gelirlerini ve ekonomik yapılarını da etkilemektedir. Dünya çapında dijital ekonomi artan bir ivme ile hareket etmektedir. Ayrıca dijital dönüşüm yatırımları için harcamalar da giderek artmaktadır. Dijital dönüşüm doğru bir şekilde işletmeye entegre edildiğinde yapılan harcamaların aslında gereklilik olduğu sonucu da ortaya çıkmaktadır.

Çalışma içerisinde dijital dönüşüm konusundaki istatistiki veriler üzerinden değerlendirmeler yapılmaktadır. Dijital dönüşüm harcamaları, işletmelere ve endüstriye olan etkileri çalışma içerisinde yer almaktadır. İşletmelerin Covid 19 sürecinde önceliklerinin neler olduğu ve bu öncelikler hakkında olan değerlendirmelere yer verilmektedir. Dijital dönüşüm tüm işletmeler ve işletmelerin departmanlarında kendisini göstermektedir. Günümüzde Covid 19 dijital dönüşüm sürecini hızlandırma anlamında büyük bir etki oluşturmuştur. Diğer bir açıdan yöneticilerin de talep ve öncelikleri de değişmiştir. Bu çalışmada tüm bu değerlendirmeler dijital dönüşümün geleceği konusunda çeşitli fikir ve öneriler getirmektedir.

**Anahtar Kelimeler:** Covid 19, Dijital Dönüşüm, Dijitalleşme

**Abstract:** Covid - 19 has become one of the major crises affecting the economy after the "Great Depression", as a period in which life has entered into a world-wide quarantine and shutdown transformation. This period, which is described as an epidemic, has changed not only the health of people, but also the styles of the country's economies and residences. In this process, people have created much more intense internet traffic, and this is how businesses transformed faster in the digitalization processes.

Digital transformation now covers all sectors with the widespread use of the internet and the increase in the concept of digitalization. Digital transformation is changing the way businesses do business. Changing the forms of business also does not affect the income and economic structures of the enterprises. The digital economy around the world is moving with increasing momentum. Also, expenditures for digital transformation investments are also increasing. It turns out that words that are turned into a digital transformation right tab actually need it.

Evaluations are made on the working volume of digital transformation statistical data. Digital transformation spending, the cause of the business and its impact on the industry are the most workplace. What are the Covid priorities of businesses and the progress on these priorities are given. Digital transformation shows sustainability in all businesses and departments of businesses. Today, Covid 19 has made a huge impact speeding up the digital transformation time. The demands and priorities of another manager have also changed. These free reviews bring various ideas and suggestions about the future of digital transformation.

**Key Words:** Covid 19, Digital Transformation, Digitalization

## 1. GİRİŞ

Her kriz ortamı bazı zararlar oluştursa da yanında bazı fırsatları da sunmaktadır. Günümüzde son yüzyılın en büyük salgını ile karşı karşıyayız. Salgın dönemi çok fazla sayıda vakanın ve salgına bağlı ölümlerin olduğu bir dönem olarak hala deva etmektedir. Yalnız, bu süreç sadece insanlar için değil, işletmeler içinde zorlu olmaktadır. Fakat dijitalleşme anlayışı ve beraberinde gelen dijital dönüşüm bu kriz ortamının fırsatı olarak ortaya çıkmaktadır. Salgından öncede büyüyen ve giderek daha fazla talep edilen dijitalleşme anlayışı, bu dönemde zirve denebilecek bir noktaya ulaşmıştır. Bunun en basit nedenlerinden bir tanesi de şirketlerin iş yapma biçimleri değişmiştir. Uzaktan çalışma metodu, online siparişlerin artışı, temasın azalması vb. nedenler ile hem işletmeler hem de bireyler daha fazla dijitalin

içinde yer almaktadır. İşletmeler için bir fırsat ve öncelikleri değiştiren bir olgudur aslında pandemi süreci. Dijitalleşme ve dijital dönüşüm artık daha yoğun olarak hissedilecektir.

## 2. DİJİTALLEŞME

Dijitalleşme, ilk bakışta, İnternet üzerinden büyük miktarda verinin kullanıma sunulduğu ve bulutta analiz edilebildiği Büyük Veri trendi gibi verilere odaklanıyor gibi görünmektedir. Toplanan verilerin çoğu, genellikle ham ve yapılandırılmamış bir biçimde, gerçek dünyanın birikimlerini tanımlamaktadır. Bununla birlikte, bu veri setlerinden bilgi elde etmek istiyorsak, genel soruları yanıtlamak için ilgili özellikleri ve pek çok ilgisiz ayrıntıdan özet toplamak gerekmektedir. Bu toplu soyutlamalar, aynı zamanda, yapay nesnelerin, mekanizmaların ve durumların paylaşılan ve dolayısıyla genelleştirilebilir fenomenlerini tanımlayabilen ve aynı zamanda bilim adamlarının ve genel olarak insanların dünyanın belirli yönlerini anlamasına izin veren bireysel benzersiz özelliklerini tanımlayabilen modellerdir. Bu, genel olarak dünya için olduğu kadar bireysel alanlar için de geçerlidir. Örneğin, iş alanlarında dijitalleşme genellikle neyin nereden alınıp satılacağını, nasıl reklam verileceğini, nasıl verimli bir şekilde üretilip nakledileceğini ve müşteriyle nasıl iletişim kurulacağını bildirir. Üretim modunda dijitalleşme, aynı zamanda ürünleri dijital biçimde tasarlamak, ürünü üretmeden önce bileşenleri sanal olarak oluşturmak, uygulamak ve satılan veya kiralanan bir ürün, kullanıcılar ve üretici firma arasındaki ilişkiyi sürdürmek anlamına gelir (Gray & Rumpe, 2015).

Dijitalleşme, Dördüncü Sanayi Devrimi ve Nesnelerin İnterneti tarafından tetiklenen, iş süreçlerine ve faaliyetlerine yaklaşım ve düşünme şeklini değiştiren temel bir güçtür. Giderek artan bu dijital çağda, kuruluşlar (yani şirketler, devlet kurumları ve diğerleri) ile müşteriler arasındaki ilişkiler yeniden şekillenmekte ve yeni iş modelleri ortaya çıkarılmaktadır. Günümüzde, endüstrilerdeki şirketler yeni iş fırsatlarını takip etmek ve hızla değişen küresel iş ortamına ayak uydurmak için çevikliğe, hıza, esnekliğe ve hızla geri dönüş yeteneğine ihtiyaç duymaktadırlar. Dijitalleşme, ileri teknolojinin tüm süreçlerin, ürünlerin ve hizmetlerin merkezine yerleştirilmesinin önemini vurgulamaktadır. Ancak, iş ve toplum için dijitalleşmenin vaat edilen değerinin çoğu henüz tam olarak gerçekleşmiş değildir. Modern toplumda ve endüstriyel ortamlarda, örgütsel işletim sistemleri giderek daha karmaşık ve otomatik hale gelmektedir. Bu sistemler; insanları, makineleri, iş istasyonlarını, cihazları, robotları ve uygun izleme, sensörler ve kontrol sistemlerine sahip diğer varlıkları içerir. Bu sistemlerle ilgili sürekli yaşanan zorluk, dijitalleşme, işletim süreçlerinde sık değişiklikler, rastgele kesintiler ve önemli ölçüde dalgalanan piyasa taleplerini içeren yeni teknolojilerin eklenmesidir. Sürekli olarak yeni iş modelleri ve yenilikçi teknolojiler icat edilmektedir ve bu icatlar, etkin yenilik ve organizasyonun alakalı, bağlantılı ve gelecek eğrisinin önünde kalması için keskin bir odaklanma gerektirmektedir. Dijitalleşme sadece kağıtsız olmak demek değildir; bu, iş ve toplum için değer yaratma, sürdürülebilirlik ve yeni fırsat yaratma için dijital verileri yönetmek, düzenlemek, kontrol etmek ve bunlardan değer üretmek için çözümleri entegre edebilmek anlamına gelmektedir (Parida, 2018: 23).

Dijital bir devrim karşısında, ulusal ve bölgesel hükümetler dijitalleşmeyi giderek stratejik bir öncelik olarak tanımlamakta ve bilim, endüstri ve toplumun dijital dönüşümünü teşvik etmek için büyük ölçekli girişimler oluşturmaktadır. Dijitalleşme endüstri ile araştırma iş birliklerine girmek için daha fazla fırsat yaratır. Dijital teknolojilerin her yerde mevcut olmasıyla, şirketler geleneksel çalışma yöntemlerine hapsolmuş hissetmekte ve araştırma ve öğretimde inovasyon projeleri için üniversitelere daha sık yaklaşmaktadırlar. Öğrencilerden - dijital yerliler olarak - ve araştırmacılardan, endüstrilerindeki dijital fırsatlara dışarıdan bir bakış sağlamalarını ve dijital iş modellerini, ürünlerini ve hizmetlerini yenilemelerine ve geliştirmelerine yardımcı olmalarını beklemektedirler (Legner vd, 2017: 2).

### 2.1. Dijitalleşmenin Örgütsel Etkileri

Dijitalleşme, kuruluşların performanslarını iyileştirmek için kullanabilecekleri dijital varlıkların kullanımını ve bu teknolojilerin örgüte olan etkilerini ölçebilmek anlamına gelir. Dijitalleşmenin örgütsel etkilerindeki temel yönler şunlardır: Örgütsel çeviklik, Örgütsel Öğrenme, Dijital Yenilikler ve İş Ekosistemleri (Kuusisto, 2017: 342).

**Örgütsel Çeviklik**

Örgütsel çeviklik, günümüzün hızlı tempolu dünyasında bir amaçtan çok bir gereklilik olarak görülmektedir. Economist Intelligence Unit tarafından yapılan bir araştırmada, yöneticilerin büyük çoğunluğu (%88) çevikliği küresel başarı açısından kilit bir unsur olarak tanımlamaktadır. Çevikliğin iki ana faydası vardır: birincisi, iş tehditlerine zamanında yanıt verebilmektir. İkincisi ise, fırsatları kendilerini sunarken belirleme ve bunlardan yararlanma yeteneğidir. Örgütsel çeviklik, şirket performansında uzun vadeyi destekleyen farklı ve taklit edilemez bir avantaj olarak görülebilir (Alavi vd., 2014).

**Örgütsel Öğrenme**

Örgütsel öğrenme, inovasyonu ve süreç etkinliğini sağladığı için şirketler açısından önemlidir. Örgütsel öğrenme, organizasyonun performansını ve sonuçlarını iyileştirmesini sağlayan ayırt edici yetkinliklerin üretilmesine ve geliştirilmesine yönelik, bireyleri ve grupları aracılığıyla organizasyonun kalbinde üretilen dinamik bilgi yaratma süreci olarak tanımlanmaktadır (Real vd., 2006: 506).

**Dijital Yenilikler**

Büyük dijital yenilikler, eskisinden çok daha kısa aralıklarla ortaya çıkmaktadır. 1980'lerde, her on yılda bir büyük bir yeni teknoloji ortaya çıkarken; milenyum itibariyle herhangi bir zamanda birçok farklı atılım olmaktadır. Fichman vd. (2014: 330) dijital inovasyonu şu şekilde tanımlamaktadır: Dijital inovasyon oldukça geniş bir şekilde yeni olarak algılanan, benimseyenler tarafında bazı önemli değişiklikler gerektiren ve içinde somutlaşan veya etkinleştirilen bir ürün, süreç veya iş modeli olmaktadır.

**İş Ekosistemleri**

İş ekosistemi, aynı pazara veya ürüne odaklanan ve genellikle birbirleriyle etkileşime giren iş grubu için kullanılan bir terimdir. Terimin kökenleri biyolojiden gelmektedir. The New Oxford English Dictionary (1993) biyolojik bir ekosistemi "bir habitat işgal eden ve içinde yaşadıkları çevre ile etkileşime giren bir canlı türler topluluğu" olarak tanımlar (Kuusisto, 2017: 352).

## 3. DİJİTAL DÖNÜŞÜM

Dijital dönüşüm kavramı, kişisel ve kurumsal bilgi teknolojileri ortamlarının birleşmesi ile oluşur ve sosyal, mobil, analitik, bulut teknolojileri ve Nesnelerin İnterneti gibi yeni dijital teknolojilerin dönüşüm etkisini kapsar. Daha geniş anlamda dijital dönüşüm, dijital teknolojiler ile iş süreçlerinin dijital bir ekonomiye entegrasyonu olarak sunulmaktadır. Karşılaştırmalı diğer bir görüş, girişimlerin yürütülmesini veya erişimini radyal olarak artırmak için yeniliğin kullanılmasıdır (Ziyadin vd., 2020: 409). Farklı bir tanıma göre dijital dönüşüm; yıkıcı veya kademeli bir değişim sürecidir. Dijital teknolojilerin benimsenmesi ve kullanılmasıyla başlar, ardından bir kuruluşun örtük bir bütünsel dönüşümüne veya kasıtlı olarak değer yaratma amacına evrilir (Henriette vd., 2016: 3).

Dijital dönüşüm, üretkenliği, değer yaratmayı ve sosyal refahı artırmak için güncel teknolojileri benimsemekle ilgilidir. Birçok ulusal hükümet, çok taraflı kuruluş ve endüstri birliği, uzun vadeli politikalarını temel almak için stratejik öngörü çalışmaları üretmiştir. Dijital dönüşüm ile ilgili kamu politikalarının uygulanmasını önererek, bu tür gruplar Tablo 1'de listelenen hedeflere ulaşmayı beklemektedir (Ebert & Duarte, 2018: 16).

Tablo 1: Dijital Dönüşüm Hedefleri

| | |
|---|---|
| Sosyal | Endüstride ve toplumda daha yenilikçi ve iş birliğine dayalı bir kültürün gelişimini teşvik edin |
| | Dijital çalışma ve toplumda mükemmelliğe ulaşabilmeleri için kişilere yeni beceriler ve geleceğe yönelim sağlamak için eğitim sistemini değiştirin. |
| | Dijital iletişim altyapıları oluşturun ve sürdürün ve yönetişimini, |

| | |
|---|---|
| | erişilebilirliğini, hizmet kalitesini ve uygun fiyatını sağlayın |
| | Dijital veri korumasını, şeffaflığı, özerkliği ve güveni güçlendirin |
| | Nüfusa sunulan dijital hizmetlerin erişilebilirliğini ve kalitesini iyileştirin |
| Ekonomik | Yeni ve yenilikçi iş modellerini uygulayın |
| | Ekonomide gelir üretimini, üretkenliği ve katma değeri artırmak |
| | Düzenleyici çerçeveyi ve teknik standartları iyileştirin |

Kaynak: Ebert ve Duarte (2018: 16).

2020 boyunca, farklı sektördeki kuruluşlar küresel bir salgın karşısında eşi görülmemiş zorluklarla karşılaşmıştır ve karşılaşmaya da devam etmektedir. Birçoğu, iş modellerini hızla uyarlarken, aynı zamanda birdenbire uzak, dağınık bir işgücünü yönetmek zorunda kalmıştır. Salgın sonrası dünya "yeni normale" dönüşürken, liderler ihtiyaçlarını yeniden değerlendirmek zorunda kalmaktadırlar. Böylece, dijital dönüşüm artık sadece “hoş” bir şey değil; daha ziyade, yeni iş gücü modeli için evrimleşmenin temel bir bileşeni haline gelmiştir (Batti, 2021).

Dijital dönüşüm, şirketlerin iş modelinde önemli değişiklikleri yönlendirmek için dijital teknolojilerin kullanılmasını ifade etmektedir. COVID-19 süreci, işletmelerin ve perakende, restoranlar ve eğitim gibi tüm endüstrilerin dijital dönüşümünü hızlandırmıştır. Örneğin, e-öğrenme pandemiden önce var olmuş olsa da COVID-19 salgını, kısıtlama sırasında ve aynı zamanda yeni normalde faaliyetlerine devam etmenin tek olası yolu olarak geleneksel eğitim organizasyonlarının dijital dönüşümünü hızlandırmış ve genişletmiştir. Kısıtlama sırasında okulların ve üniversitelerin işlerini dijital olarak nasıl dönüştürdüklerine dair sonuçlar oldukça iyi görünmektedir. Aksine, halihazırda çevrimiçi satış yapan bazı tanınmış geleneksel mağazalar, yüksek talebi karşılamak için gereken dahili süreç dönüşümünün olmaması nedeniyle kısıtlama sırasında zamanında sipariş teslimatına katılamamıştır (Acosta, 2020: 261).

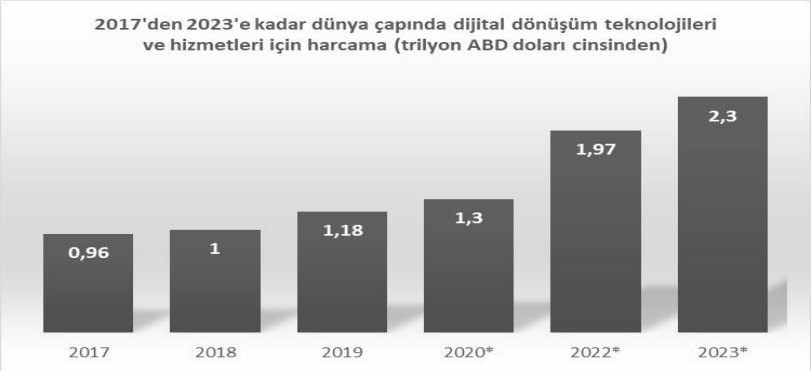
## 4. COVID 19 VE DİJİTAL DÖNÜŞÜM

COVID-19 salgınının neden olduğu mevcut durumda, şirketler sosyal mesafeyi ele almak ve yeni normale uyum sağlamak için dijital teknolojileri düşünmektedirler. Yapay zeka, robotik ve diğer dijital teknolojilerin manuel olarak tekrarlanan görevleri otomasyonla değiştirme potansiyelini kimse inkar edemeyecektir. Tüm bunlara rağmen, kuruluşların teknolojiyle benzersiz insan yetkinliklerinden yararlanmanın yine de kopyalanmasının zor olduğunun farkında olması gerekir. Yaratıcılık, empati, muhakeme, sezgi, kişilerarası duyarlılık, problem çözme, makinelerin şu anda sahip olmadığı bazı özel kişilerarası insan yetkinlikleridir (Acosta, 2020: 262).

Dijital dönüşüm konusunda yapılan istatistiki çalışmalara bakıldığında karşımıza birçok çalışma çıkmaktadır. Aşağıda yer alan grafiklerde dijital dönüşüm konusunda Statista tarafından yapılan istatistiksel ve anket çalışmalarının sonuçları yer almaktadır.

Dijital dönüşüm teknolojileri ve buna uygun olarak yapılan hizmet harcamaları giderek artmaktadır. Özellikle COVID 19 ile birlikte bu süreç çok daha hızlı gerçekleşmektedir. 2020 ile 2023 yılları arasında dijital dönüşüme yapılan doğrudan yatırımların toplam 6,8 trilyon ABD dolarına ulaşacağı tahmin edilmektedir. Başlangıçta, yalnızca 2023 için dünya çapında dijital dönüşümü mümkün kılan teknolojilere ve hizmetlere yapılan harcamaların 2,3 trilyon ABD doları olması beklenmektedir (IDC, 2020).

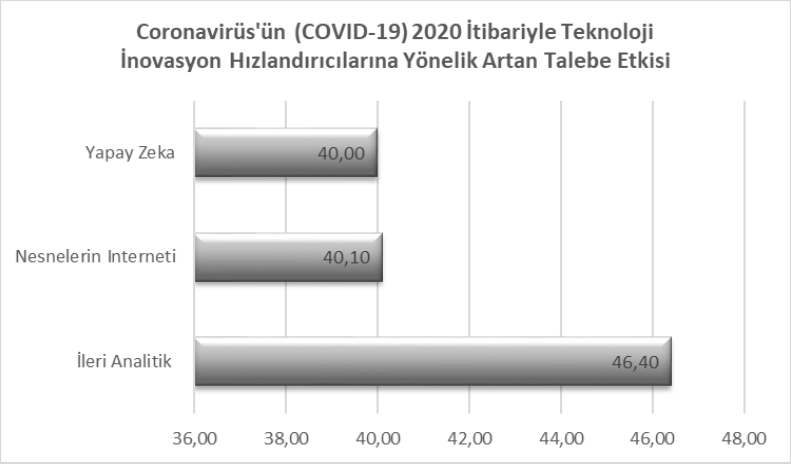
Şekil 1: Dijital Dönüşüm Teknolojileri ve Hizmetleri Harcamaları




Kaynak: IDC: Statista (2020)

COVID-19'un yapay zeka gibi inovasyon hızlandırıcılara olan talep üzerindeki etkisi Şekil 2'de gösterilmektedir. Ankete göre, katılımcıların% 46,4'ü kuruluşlarının gelişmiş analitik talebinin önemli ölçüde veya orta düzeyde arttığını ifade etmektedir.

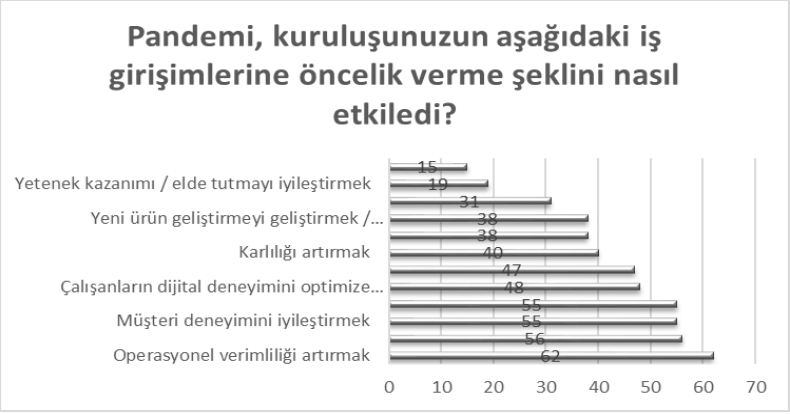
Şekil 2: Teknoloji ve İnovasyon Hızlandırıcılarına Yönelik Artan Talep




Kaynak: IDC (2020)

Operasyon verimliliğini artırmak, mevcut iş süreçlerini dönüştürmek ve müşteri deneyimini iyileştirmek, 2020'de koronavirüs (COVID-19) salgını ortasında en önemli iş girişimleridir ve CIO (Chief Information Officer) katılımcılarının yüzde 62, 56 ve 55'ine göre bu üç işletme girişimi için artan öncelik bulunmaktadır (IDG, 2020).

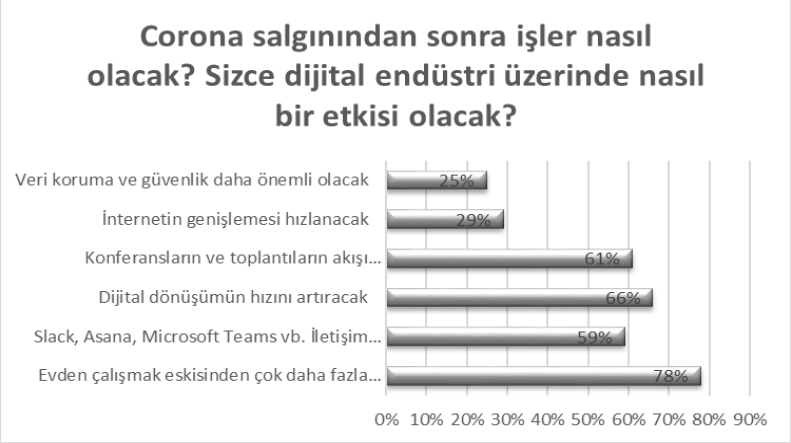
Şekil 3: Pandemi Dönemi Girişimlere Öncelik Verme




Kaynak: IDG Research Services (2020)

Ankete katılan uluslararası dijital karar vericilerin çoğu, COVID-19 salgınının dijital dönüşümün hızını artıracağı görüşündedir. Ankete katılanların çoğu, salgının bir sonucu olarak uzaktan çalışmanın ve işbirliği araçlarının kullanımının daha yaygın olacağı ifadelerine de katılmaktadır (DMEXCO, 2020).

Şekil 3: Pandeminin Dijital Endüstri Üzerine etkisi




Kaynak: DMEXCO (2020)

Bir CIO anketine göre, işletmelerinin COVID-19 salgını sırasında korunmalarına yardımcı olmak için en önemli üç öncelik sorulduğunda, yanıt veren CIO'ların yüzde 37'si dijital dönüşüm etkinliklerini ve uzaktan çalışma deneyimlerini listelerinin en üstüne koymaktadır. Salgın sosyal mesafenin yaygın bir şekilde uygulanmasına yol açtıkça, uzaktan çalışma birçok işletmenin yeni gerçeği haline gelmiştir (IDG, 2020).

Şekil 4: Pandemi Dönemi CEO Öncelikleri




Kaynak: IDG Research Services (2020)

## 5. SONUÇ

Dijitalleşme gösteriyor ki, ”dijital” kavramı artık işletmeler için ihtiyaç değil bir zorunluluk halini almaktadır. Yerelde ya da küreselde işletmeler dijitalleşme süreçlerinin tümüyle içinde yer almalıdır. İşletmelerin iç yapılarının dijitale uyumlu hale getirilmesi bu süreçten fayda sağlamayı hızlandırıcı bir çalışma olacaktır.

Dijital dönüşüm konusunda bazı şirketler ciddi yatırımlara başlamışken, bazı şirketler yatırım konusunda hala istenilen seviyeye ulaşamamıştır. Fakat verilere baktığımızda gelecekte büyük bir yatırım alanı olacağı görülmektedir. 2020 yılında dijital dönüşüm alanına 1.3 Trilyon Dolar yatırım yapılmış ve 2023 yılında bu yatırımın 2.3 Trilyon Dolar'a çıkması beklenmektedir. Bu durum gösteriyor ki bu alanda yapılan/yapılacak yatırımlar bazı ülkelerin GSYİH'ından bile büyük rakamlara ulaşmaktadır.

Dijital dönüşüm içerisinde inovatif teknolojileri barındımaktadır. Dijtal dönüşüme yatırım yapmak isteyen ya da bu dönüşümü işletmelerinde kullanmak isteyenlerin de bu teknolojilere olan talepleri de giderek artmaktadır. Özellikle pandemi sürecindeki dijitalleşme talebi ile birlikte ileri analitik teknolojilere olan talep büyük bir hızla artmıştır. Bunun yanında yapay zeka kavramı da giderek benimsenmektedir. Bu ve benzeri teknolojilere olan ihtiyacın artış göstermesinde pandemi sürecinin etkisinin büyük olduğu da net bir şekilde görülmektedir.

Pandemi süreci ile birlikte işletme içi faaliyetler ve girişimlerinde öncelikleri değişmiştir. Bir işletme için temel amaç kar olmakla birlikte, pandemi sürecinde bu durum yanına başka amaçlar ve öncelikler de getirmiştir. Dönem dönem hem Türkiye'de hem de dünyada yaşanan "kısmi/tam kapanma" süreçleri işletmelerin operasyonel anlamda zorlanmasına neden olmuştur. Bundan dolayı da bu süreçte işletmeler için önemli olan önceliklerden biri de operasyonel faaliyetlerdeki verimliliği artırmak olmuştur. Bunun yanında mevcut iş süreçlerini değiştirmek ve müşteri deneyimi konusunda yapılacak ola çalışmalar işletmelerin dijital dönüşümden daha fazla faydalanmasını sağlayacaktır.

En çok merak edilenlerden bir tanesi de "yeni normal"de işlerin nasıl yürütüleceği konusu olmaktadır. Bu konuda da aslında çalışanlar artık işlerin bir kısmını evden yapabileceğini ve işletmeler de bazı işler için çalışanların ofiste olmasına ihtiyacı olmadığıı anlamıştır. Salgın süreci dijitalleşmedeki bu süreci daha da hızlandıracaktır. Çalışanlar "evden çalışma yönteminde" artık daha fazla online oturum programlarını kullanmaktadır. Diğer yandan bazı işler için ofis ihtiyacı da tamemen ortadan kalkacaktır.

İşletmelerin aslında büyük bir zorluk yaşayrak başladığı bu süreçte liderliğin ne kadar önemli olduğu bir kez daha ortaya çıkmıştır. Sadece hükümetler düzeyinde değil, aynı zamanda işletmeler açısından da liderden beklenenler daha fazla olmaya başlamıştır. Liderler dijital dönüşüm sürecine liderlik edecek ve bu süreci başarılı şekilde atlatan liderler, çok daha güçlü bir şekilde yoluna devam edecektir.

Pandemi süreci her ne kadar kriz olarak tanımlansa da her krizin getirdiği fırsatlar olmuştur. Pandemi süreci de beraberinde aslında gelişen dijital dönüşümü hızlandırma fırsatı sunmuştur. Çevik ve sektöre hızlı adapte olabilen şirketler bu süreci iyi bir şekilde ve hatta rakiplerini ekarte edecek şekilde atlatacaktır. Diğer yandan dijital dönüşüm alanında talep ve ihtiyaçların önümüzdeki on yılda şu ana kıyasla kat ve kat artacağı da görülmektedir.

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# Türkiye'nin Organik Tarım Potansiyeli

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**Özet:** Bu çalışmada, Türkiye'nin organik tarımsal üretiminde gerçekleşen değişimleri değerlendirmek amaçlanmıştır. Bu kapsamda bitkisel üretim için 2002-2019 yıllarına ait veriler, hayvansal üretim için ise 2008-2019 yıllarına ait veriler kullanılmıştır. Buna ek olarak, 2019 yılında Türkiye'nin coğrafi bölgelerinde gerçekleştirilen organik bitkisel üretim ile ilgili göstergeler ortaya konmuştur. Sonuçlar; Türkiye'de organik bitkisel üretim alanları açısından birinci sıradaki coğrafi bölgenin Doğu Anadolu Bölgesi (%47,30) olduğunu, bunu sırasıyla Ege Bölgesi (%24,53) ve Karadeniz Bölgesi'nin (%12,21) takip ettiğini göstermiştir. Organik bitkisel üretim gerçekleştiren çiftçilerin %32,96'sı Ege Bölgesi'nde bulunurken, bunu sırasıyla %31,27'lik oranla Karadeniz Bölgesi ve %24,93'lük oran ile Doğu Anadolu Bölgesi takip etmektedir. 2019 yılı verilerine göre Türkiye'de toplam organik bitkisel üretim 1374535,69 ton olarak gerçekleşirken, organik ürünler ihracatı 203 milyon dolar düzeyindedir. Aynı dönemde organik bitkisel üretimin iller bazında dağılımı incelendiğinde; üretim miktarı, alan ve çiftçi sayısı göstergeleri açısından birinci sıradaki ilin Aydın olduğu, bunu organik alan açısından Kars'ın, çiftçi sayısı açısından ise Rize'nin takip ettiği görülmektedir. Yıllara göre organik üretim istatistikleri incelendiğinde; bitkisel üretim ile ilgili göstergelerin dalgalı bir seyir izlemekle beraber genel olarak artış eğiliminde olduğu, hayvansal üretimde ise yumurta ve arı ürünleri üretiminde önemli artışlar sağlanmasına karşın et ve süt üretiminin özellikle son yıllarda azalış eğilimi gösterdiği belirlenmiştir.

**Anahtar Kelimeler:** Organik Tarım, Bitkisel Üretim, Hayvansal Üretim

**Abstract:** This study aimed to evaluate the changes that occur in organic agricultural production in Turkey. Within this scope, the data for crop production between the years of 2002-2019 and for animal production between the years of 2008-2019 were used. In addition, the indicators related to the organic crop production that is conducted in Turkey's geographical areas in 2019 are presented. The results showed that in terms of organic crop production areas in Turkey the Eastern Anatolia Region is on the first rank (% 47,30) that are followed by the Aegean Region (24.53%) and the Black Sea Region (12.21%) . 32.96% of the farmers making organic crop production are located in the Aegean Region, followed by the Black Sea Region with 31.27% and Eastern Anatolia Region with a rate of 24.93%. According to the data in 2019 while the total organic crop production in Turkey is 1374535.69 tons, the organic products export is around $ 203 million. When the distribution of organic crop production on the province basis is examined in the same period, Aydın is on the first rank in terms of production amount, area and the number of farmers, followed by Kars in the way of organic land and Rize in the number of farmers. When organic production statistics by years are examined; it has been determined that even though the indicators related to crop production have a fluctuating course, they tend to increase in general, but in animal production meat and milk production has shown a downward tendency especially in recent years, in spite of the increase in the production of eggs and bee products.

**Key Words:** Organic Agriculture, Crop Production, Animal Production

## 1. GİRİŞ

Artan dünya nüfusu ile birlikte tarım ve gıda ürünlerine olan talep artmış, bu durum konvansiyonel tarımın yaygınlaşmasını hızlandırmıştır (Eryılmaz ve Kılıç, 2018: 624). Konvansiyonel tarım terimi, çoğu hükümet ve tarımsal işletme grubu tarafından teşvik edilen ve dünya genelindeki üreticiler tarafından uygulanan baskın çiftçilik yaklaşımlarını ifade etmektedir (Kristiansen ve Merfield, 2006: 3). Konvansiyonel tarım; önemli verim ve üretim artışları sağlamış, ancak birtakım çevresel sorunları da beraberinde getirmiştir (Rehber, 1991:155-156). Bu üretim şeklinde çevresel etkilerin göz ardı edilmesi nedeniyle, sürdürülebilirlik ile ilgili kaygılar yaşanmaya başlamış ve bunun sonucunda günümüzde organik tarım olarak adlandırılan üretim sisteminin uygulamaları yaygınlaşmıştır.

Yerel kaynakların etkin bir şekilde kullanımını maksimize ederek toprak verimliliğini arttıran bir tarım sistemi olarak ifade edilen organik tarım (Gomiero ve ark., 2011: 96), doğal dengeyi maksimum düzeyde korumaya ve aynı zamanda insan ve hayvan sağlığına zararlı kalıntıları yasaklayarak yüksek kaliteli gıda

üretimi gerçekleştirmeye çalışmaktadır (Mondelaers ve Ark., 2009: 1098). Organik tarım; sentetik pestisitlerin, inorganik gübrelerin ve genetiği değiştirilmiş organizmaların kullanımından kaçınıldığı, canlıların sağlığını ve üretkenliğini optimize etmeyi ve kirliliği (hava, su ve toprak) azaltmayı amaçlayan bir üretim sistemidir (Nandwani ve Nwosisi, 2016: 2). Organik tarım terimi, ürünün üretilmesinden nihai tüketiciye ulaştırılmasına kadar gerçekleştirilen işlemlerin çevreye saygılı yöntemler kullanılarak yapıldığı bir süreci ifade etmektedir (Scialabba ve Hattam, 2002: 3). Esasında organik tarım kavramının kökenleri, binlerce yıl boyunca sayısız kırsal toplumda gelişen geleneksel çiftçilik uygulamalarında yatmaktadır (Behera ve Ark. 2012: 290). Günümüzde organik tarım uygulamaları; geleneksel üretim uygulamaları ile modern teknolojileri, çevresel sürdürülebilirliği gözeterek bir araya getirmektedir.

Organik tarım faaliyetleri, önemli bir ekonomik değer meydana getirmektedir. Sertifikalı organik ürünler, üreticiler için daha yüksek gelir seçenekleri sunarak çevrenin bilinçli bir şekilde kullanılması için piyasaya dayalı bir teşvik sağlamaktadır (Scialabba ve Müller-Lindenlauf, 2010: 165).

Türkiye organik tarıma ihracatçı firmaların talepleri doğrultusunda ihracat yapmak niyetiyle 1986 yılında başlamıştır (Rehber ve Turhan, 2002: 382). Organik tarım faaliyetleri başlangıçta; kuru üzüm, kuru incir, kuru kayısı, fındık, nohut, fasulye, mercimek, zeytin ve zeytinyağı gibi geleneksel ihracat ürünlerinin üretimi için gerçekleştirilirken (Turhan ve Ark., 2008: 318), 2019 yılında organik bitkisel üretim kapsamında (geçiş süreci dahil) 213 ürünün üretimi yapılmıştır (TOB, 2021). Başladığı dönemden günümüze kadar önemli aşamalar kateden Türkiye'de organik tarım, 2019 yılı organik bitkisel üretim verilerine göre 53782 çiftçi tarafından 386074 ha alanda gerçekleştirilmiştir (TOB, 2021). Dış ticaret istatistikleri incelendiğinde; Türkiye'nin 2019 yılında 203 milyon dolarlık ihracat gerçekleştirdiği ve Türkiye'de organik ürün ihracat faaliyetlerinde bulunan 209 gerçek veya tüzel kişi bulunduğu görülmektedir (TOB, 2021, FiBL, 2021a). İhracat değerinin 2009 yılında 27 milyon dolar, 1999 yılında ise 24 milyon dolar (TOB, 2021) düzeyinde olduğu göz önünde bulundurulduğunda; bu alanda önemli artışlar gerçekleştiği ifade edilebilir. Türkiye'nin dünya organik ürün tüketiminin önemli bir bölümünü gerçekleştiren Avrupa'ya yakınlığı ve organik tarımsal üretim noktasında sahip olduğu potansiyel göz önünde bulundurulduğunda, uygun politikalar ile organik ürünlerin üretimi ve ihracatı konusunda çok daha iyi noktalara gelinebileceği düşünülmektedir.

Bu çalışmada, Türkiye'de organik tarımsal üretim; bu konudaki çeşitli göstergeler ortaya konularak analiz edilmiştir. Analiz sonuçlarının, politika yapıcılar ve organik tarım ile ilgili kurum ve kuruluşların politika geliştirmeleri konusunda yardımcı olabileceği düşünülmektedir.

## 2. Materyal ve Yöntem

Çalışmanın ana materyalini Tarım ve Orman Bakanlığı (TOB) organik tarım istatistiklerinden (Geçiş süreci hariç) elde edilen veriler oluşturmaktadır. Konu ile ilgili ulusal ve uluslararası düzeyde yayınlanan raporlar ve yayınlardan da çalışma kapsamında yararlanılmıştır.

Organik bitkisel üretimde gerçekleşen değişimi analiz etmek amacıyla 2002-2019 yıllarına ait organik bitkisel üretim verileri için tablolar oluşturulmuş, organik bitkisel üretimin güncel durumunu ortaya koymak adına; coğrafi bölgeler ve seçili iller için üretim göstergelerine yer verilmiştir. Coğrafi bölgeler için organik üretim göstergeleri; iller için paylaşılan organik bitkisel üretim istatistiklerinden yararlanılarak orijinal hesaplamalar ile oluşturulmuştur. İlçeler için organik bitkisel üretim istatistikleri bulunmaması nedeniyle bazı ilçeleri farklı coğrafi bölgelerde olan illerin, il merkezlerinin bulunduğu coğrafi bölge dikkate alınarak hesaplama yapılmıştır. Hayvansal üretimde gerçekleşen değişimleri değerlendirmek için 2008-2019 yıllarında üretilen; et, süt, yumurta ve arı ürünleri için tablolar hazırlanmıştır.

## 3. Bulgular

Türkiye'de 2002-2019 yıllarında organik bitkisel üretim ile ilgili göstergelere Tablo 1'de yer verilmiştir. Tablo 1. incelendiğinde; organik tarım faaliyetlerinde bulunan üretici sayısının dalgalı bir seyir izlediği görülmekle beraber genel olarak artış eğilimi gösterdiği ve üretici sayısının 2019 yılında 2002 yılına göre %332.74'lük bir artışla 53782'ye ulaştığı görülmektedir. Aynı dönemde benzer eğilimler gösteren üretim

alanı ve üretim miktarı, 2019 yılında 2002 yılına göre sırasıyla %329.79 ve %343.22 oranında artışla 386074 ha'a ve 1374536 tona ulaştığı görülmektedir. Türkiye'de organik tarım alanlarının toplam tarım alanları içerisindeki payı istatistikleri incelendiğinde ise 2006 yılında %0,4 olan oranın 2017 yılına gelindiğinde %1,4'e ulaştığı görülmektedir (Lernoud, J., Willer, H., 2019; Willer, H. ve ark., 2008)[1].

Tablo 1. Türkiye'de Organik Bitkisel Üretim (2002-2019)

| Yıllar | Çiftçi Sayısı | Alan (Ha)* | Üretim Miktarı (Ton) |
|---|---|---|---|
| 2002 | 12428 | 89826,69 | 310124,58 |
| 2003 | 13044 | 103190 | 291876 |
| 2004 | 9314 | 162193 | 278726 |
| 2005 | 9427 | 175074 | 289082 |
| 2006 | 8654 | 162131 | 309522 |
| 2007 | 10553 | 135360 | 431203 |
| 2008 | 9384 | 141752 | 415380 |
| 2009 | 19706 | 469558 | 318165 |
| 2010 | 11179 | 191785 | 331361 |
| 2011 | 15642 | 325445 | 639811 |
| 2012 | 24406 | 398897 | 876372 |
| 2013 | 26181 | 558838 | 922624 |
| 2014 | 33738 | 660807 | 1065567 |
| 2015 | 36732 | 349063 | 1164202 |
| 2016 | 45991 | 379042 | 1627106 |
| 2017 | 51796 | 382288 | 1610913 |
| 2018 | 54666 | 456487 | 1714769 |
| 2019 | 53782 | 386074 | 1374536 |
| Ortalama | 24812 | 307101 | 776186 |

Kaynak: TOB (2021).

* TOB (2021) istatistiklerinde; 2002-2009 yıllarında "üretim alanı", 2010-2019 yıllarında "toplam alan" adıyla paylaşılan verilerin her yıl için genel toplamı alınmıştır.

Tablo 1'de de görüldüğü üzere üretici sayısında yıllık en yüksek artış oranı %109,99 ile 2009 yıllında gerçekleşmiştir. Üretim alanlarında en yüksek artış %231,25 ile 2009 yılında ve üretim miktarında en yüksek artış %93,08 ile 2011 yılında gerçekleşmiştir.

Tablo 2'de 2019 yılında organik bitkisel üretim miktarı en yüksek 10 il ve bu iller ile ilgili göstergelere yer verilmiştir. Tablo 2. incelendiğinde, üretim miktarı açısından birinci sıradaki ilin; toplam üretimin %13,81'ini gerçekleştiren Aydın olduğu, bunu sırasıyla Manisa ve Kars illerinin takip ettiği görülmektedir. Üretim miktarı en yüksek 10 il dışında kalan diğer şehirlerin ise üretimin %32,08'ini gerçekleştirdiği görülmektedir.

Tablo 2. Türkiye'de Organik Bitkisel Üretimi En Yüksek İller (2019)

| İl | Çiftçi Sayısı | | Toplam Alan | | Üretim Miktarı | |
|---|---|---|---|---|---|---|
| | Kişi | % | Ha | % | Ton | % |
| Aydın | 11107 | 20,65 | 56190,70 | 14,55 | 189800,97 | 13,81 |

[1] Organik tarım alanı verileri; geçiş süreci dahil, sertifikalı üretim alanı verileridir. Kullanılan organik tarım alanı verileri; FİBL istatistikleri ile oluşturulmuş ve güncel FiBL (2021b) verileri ile eşleşmektedir. Lernoud ve Willer (2019) çalışmasındaki veri (520886 ha) ile güncel FiBL (2021b) verisi (520885 ha) ile 1 ha sapma göstermektedir.

| | | | | | | |
|---|---|---|---|---|---|---|
| Manisa | 2441 | 4,54 | 13784,72 | 3,57 | 167417,00 | 12,18 |
| Kars | 3177 | 5,91 | 46380,04 | 12,01 | 97229,43 | 7,07 |
| Erzurum | 1561 | 2,90 | 21304,77 | 5,52 | 88492,23 | 6,44 |
| Van | 2493 | 4,64 | 31040,72 | 8,04 | 82725,43 | 6,02 |
| Ağrı | 1366 | 2,54 | 32961,02 | 8,54 | 80075,59 | 5,83 |
| Niğde | 399 | 0,74 | 3409,53 | 0,88 | 66162,26 | 4,81 |
| İzmir | 2227 | 4,14 | 15157,53 | 3,93 | 61283,83 | 4,46 |
| Malatya | 1077 | 2,00 | 6471,00 | 1,68 | 56794,37 | 4,13 |
| Muş | 1946 | 3,62 | 24813,86 | 6,43 | 43604,28 | 3,17 |
| Diğer | 25988 | 48,32 | 134560,17 | 34,85 | 440950,32 | 32,08 |
| Genel Toplam | 53782 | 100,00 | 386074,04 | 100,00 | 1374535,69 | 100,00 |

Kaynak: TOB (2021).

Üretim miktarı açısından birinci sırada olan Aydın'ın, üretim alanı (%14,55) ve üretici sayısı açısından da birinci sırada yer aldığı görülmektedir. Aydın ilini; üretim alanı açısından %12,01 ile Kars ve %8,54 ile Ağrı illeri takip etmektedir. Çiftçi sayısı açısından ikinci sıradaki il ise %19,49 ile Rize'dir. Coğrafi bölgelere göre organik bitkisel üretim istatistikleri Tablo 3'de verilmiştir.

Tablo 3. Türkiye'nin Coğrafi Bölgelerine Göre Organik Bitkisel Üretimi (2019)

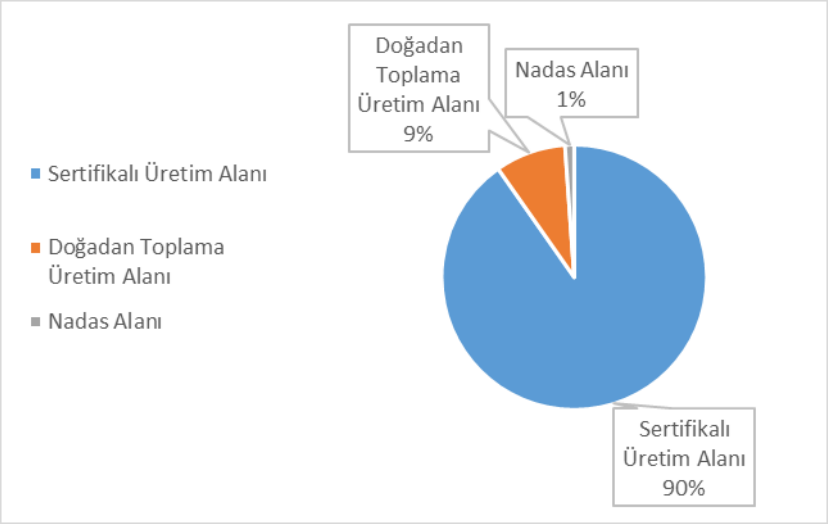
| Coğrafi Bölgeler | Çiftçi Sayısı | | Toplam Alan | | Üretim Miktarı | |
|---|---|---|---|---|---|---|
| | Kişi | % | Ha | % | Ton | % |
| Doğu Anadolu Bölgesi | 13408 | 24,93 | 182594,22 | 47,30 | 517348,74 | 37,64 |
| Ege Bölgesi | 17724 | 32,96 | 94722,28 | 24,53 | 476398,43 | 34,66 |
| İç Anadolu Bölgesi | 1812 | 3,37 | 18548,74 | 4,80 | 137653,11 | 10,01 |
| Karadeniz Bölgesi | 16818 | 31,27 | 47138,55 | 12,21 | 92575,34 | 6,74 |
| Güneydoğu Anadolu Bölgesi | 2422 | 4,50 | 21356,60 | 5,53 | 87615,46 | 6,37 |
| Akdeniz Bölgesi | 610 | 1,13 | 15251,87 | 3,95 | 40767,44 | 2,97 |
| Marmara Bölgesi | 988 | 1,84 | 6461,76 | 1,67 | 22177,17 | 1,61 |
| Toplam | 53782 | 100,00 | 386074,04 | 100,00 | 1374535,69 | 100,00 |

Kaynak: TOB (2021), Orijinal Hesaplamalar.

Tablo 3. incelendiğinde, Türkiye'de organik üretim miktarı en yüksek olan bölgenin %37,64'lük oran ile Doğu Anadolu Bölgesi olduğu görülmektedir. Bunu sırasıyla Ege Bölgesi (%34,66) ve İç Anadolu Bölgesi (%10,01) takip ederken, üretim miktarı en düşük bölge Marmara Bölgesi (%1,61) olarak belirlenmiştir. Üretici sayısı istatistikleri incelendiğinde; üretim miktarı açısından ikinci sırada yer alan Ege Bölgesi'nin bu alanda birinci sırada olduğu, bunu sırasıyla %31,27'lik oran ile Karadeniz Bölgesi ve %24,93'lük oran ile Doğu Anadolu Bölgesi'nin takip ettiği belirlenmiştir.

Üretim alanı incelendiğinde ise bu alanda birinci sıradaki coğrafi bölgenin Doğu Anadolu Bölgesi olduğu, bunu sırasıyla Ege Bölgesi ve Karadeniz Bölgesi'nin takip ettiği belirlenmiştir. Tablo 3'de verilen üretim alanı istatistikleri, TOB istatistiklerinde bulunan üretim alanı, nadas alanı ve doğadan toplama üretim alanı verilerinin toplamıdır. 2019 yılı verilerine göre bu göstergelerin toplam üretim alanı içerisindeki payı Şekil 1'de verilmiştir.

Şekil 1. Organik Üretim Alanlarının Dağılımı (2019)




Kaynak: TOB (2021).

Şekil 1 incelendiğinde Türkiye'de toplam organik bitkisel alanların %90'ının sertifikalı üretim alanı, %9'unun doğadan toplama üretim alanı ve %1'inin ise nadas alanı kategorisinde bulunduğu görülmektedir. Bu alanların önemli bir bölümünde üretilen ürünlerin; hububat, zeytin ve sert kabuklu ürünler olduğu ifade edilebilir.

Türkiye'de organik et, süt ve yumurta üretimi, 2008-2019 yılları aralığında değerlendirilmiş ve elde edilen göstergeler Tablo 4'de verilmiştir. Veriler incelendiğinde, Türkiye'de ilgili yıllardaki ortalama organik et üretiminin 2060,29 ton, süt üretiminin 17548,16 ton ve yumurta üretiminin 77634454 adet olduğu görülmektedir. Verilere göre Tablo 4'de bulunan organik hayvansal ürünlerin üretimi ile uğraşan çiftçi sayısı (arıcılık ile uğraşanlar hariç) 2008 yılına göre 2019 yılında %448,38 oranında artmıştır. Organik hayvansal üretim ile uğraşan çiftçi sayısında en yüksek rakama ise 2013 yılında ulaşılmıştır.

Tablo 4. 2008-2019 Yıllarında Türkiye'de Organik Hayvansal Üretim (Et, Süt ve Yumurta)

| Yıllar | Çiftçi Sayısı | Et Üretimi (ton) | Süt Üretimi (ton) | Yumurta (adet) |
|---|---|---|---|---|
| 2008 | 31 | 554,42 | 8711,00 | 4424000 |
| 2009 | 38 | 376,58 | 12994,00 | 11767400 |
| 2010 | 105 | 6803,01 | 11604,75 | 17889808 |
| 2011 | 137 | 1358,78 | 14793,55 | 26236920 |
| 2012 | 151 | 480,69 | 17627,06 | 36105556 |
| 2013 | 1632 | 4970,07 | 54780,93 | 48040778 |
| 2014 | 216 | 2107,09 | 15509,72 | 64898912 |
| 2015 | 179 | 2605,00 | 19739,00 | 58938769 |
| 2016 | 173 | 1609,00 | 21431,00 | 147600367 |
| 2017 | 119 | 1352,00 | 15109,00 | 161254080 |
| 2018 | 148 | 1687,73 | 12883,51 | 174675362 |
| 2019 | 170 | 819,12 | 5394,46 | 179781501 |
| **Ortalama** | **258,25** | **2060,29** | **17548,16** | **77634454** |

Kaynak: TOB (2021).

Organik et üretimi incelendiğinde, üretim miktarının genel olarak dalgalı bir seyir izlediği ve üretim miktarında en yüksek rakama 6803,01 ton ile 2010 yılında ulaşıldığı, bunu 4970,07 ton ile 2013 yılının takip ettiği görülmektedir. Organik et üretimi ile benzer şekilde dalgalı bir seyir gösteren organik süt

üretimi istatistiklerine bakıldığında, üretimin en yüksek olduğu yıl 54780,93 ton ile 2013 yılı olarak belirlenirken, bunu 21431 ton ile 2016 yılı takip etmektedir. 2019 yılında ise organik süt üretimi 2008 yılına göre %38,07, 2018 yılına göre ise %58,12 oranında azalarak 5394,46 ton olarak gerçekleşmiştir. Tablo 4'de verilen diğer hayvansal ürün üretim göstergelerinden farklı olarak neredeyse her yıl artış gösteren yumurta üretimi incelendiğinde, üretimin 2019 yılında; bir önceki yıla göre %2,92, 2008 yılına göre ise %396,37 oranında artarak 179781501 adete ulaştığı görülmektedir.

Organik arı ürünlerinin üretimi ile ilgili 2008-2019 yılı verilerine Tablo 5'de yer verilmiştir. İlgili yıllarda organik arı ürünleri üretimi ile uğraşan üretici sayısı genel olarak artış eğilimi gösterirken üretici sayısının en yüksek olduğu yıl 355 ile 2012 yılı olarak gerçekleşirken bunu 334 ile 2018 yılı takip etmiştir.

Tablo 5. 2008-2019 Yıllarında Organik Arı Ürünleri Üretimi ile İlgili Göstergeler

| Yıllar | Çiftçi Sayısı | Kovan Sayısı | Üretim (Ton) |
|---|---|---|---|
| 2008 | 93 | 11207 | 181,21 |
| 2009 | 147 | 14917 | 206,54 |
| 2010 | 191 | 14699 | 208,15 |
| 2011 | 205 | 19105 | 221,31 |
| 2012 | 355 | 47065 | 516,84 |
| 2013 | 279 | 32342 | 344,04 |
| 2014 | 321 | 36.391 | 280,00 |
| 2015 | 322 | 38.296 | 674,54 |
| 2016 | 276 | 40.371 | 349,00 |
| 2017 | 318 | 48.153 | 393,20 |
| 2018 | 334 | 51742 | 494,93 |
| 2019 | 249 | 50100 | 576,76 |
| **Ortalama** | **257,50** | **33699** | **370,54** |

Kaynak: TOB (2021).

Organik arı ürünleri üretiminde kullanılan kovan sayısı istatistikleri incelendiğinde, sayının yıllar içerisinde genel olarak artış eğiliminde olduğu görülmektedir. Bu gösterge için bir önceki yıla göre en yüksek oranda artış %146,34 ile 2012 yılında gerçekleşirken, 2019 yılında kovan sayısı 2008 yılına göre %347,04 artış ile 50100'e ulaşmıştır.

Veriler incelendiğinde ilgili yıllarda genel olarak dalgalı bir eğilim gösteren organik arı ürünleri üretimi; 2015 yılında 674,54 ton ile en yüksek seviyeye ulaşırken, bunu sırasıyla 576,76 tonluk üretim ile 2019 yılı ve 516,84 tonluk üretim ile 2012 yılı takip etmiştir.

## 4. Sonuç

Bu çalışma, Türkiye'de organik tarımsal üretimi, yıllar içerisinde gerçekleşen değişimleri ortaya koyarak analiz etmeyi amaçlamaktadır. Hem bitkisel üretim hem de hayvansal üretim ile ilgili göstergeler incelendiğinde, üretimin genel olarak incelenen başlangıç yılına (Bitkisel üretim için 2002, hayvansal üretim için 2008) kıyasla 2019 yılında önemli ölçüde arttığı görülmektedir. Ancak organik et ve süt üretiminde en yüksek üretim miktarına sırasıyla 2010 ve 2013 yıllarında ulaşılmıştır ve 2019 yılında gerçekleştirilen et ve süt üretimi; belirtilen yıllardakine göre sırasıyla %87,96 ve %90,15 oranında azalmıştır. Bu durum, Türkiye'nin organik et ve süt üretimi konusunda önemli bir potansiyele sahip olduğunun ve bu potansiyeli daha iyi bir şekilde değerlendirmesi halinde ilgili ürünlerin üretiminde önemli konumlara ulaşabileceğinin bir göstergesi olarak yorumlanabilir.

Organik tarım ürünleri üretiminde yıllar içerisinde gerçekleşen azalmaların önüne geçmek için bu alanda üretici örgütlenmesinin sağlanması ve pazarlama kanallarının geliştirilmesinin önem taşıdığı düşünülmektedir.

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# The Meaning, Determination And Management Of Inventory

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**Abstract:** In every company, in one context or another, we come across the term inventory. The size of inventories determines the concept of operation of enterprises. That is, inventories are one of the most important items in accounting. Determining the size of inventories is a real challenge for any manager. This confirms how important they are.

That is, inventory management is necessary to be able to realistically know at any time how much they are.

In fact, to enable work that will take place in an easy and simple way. Through this data, managers will always be able to achieve a positive result with the lowest costs.

That is, accounting control that needs to take place continuously in order to meet the requirements and claims. But also to keep costs low.

Namely, the results that are presented for a certain period depend on many factors. This includes inventories (raw materials that are prepared to enter the work process and then receive a new output in the form of products or services). But in another case, the inventory implies stored material that is provided for a future period of operationalization.

In fact, inventories are assets from which a certain benefit is expected in a certain period and they act in the operating process only once.

Therefore, they have current assets treatment and their shelf life is one year. But you can also find inventories that are used repeatedly and the shelf life will certainly be longer than one year.

**Keywords:** current assets, stored material, raw materials, accounting control, inventories.

## INTRODUCTION

Inventories are stored for multiple purposes. They can be like work items and small inventory that are consumed in the production process.

They can also appear as unfinished production, ie as finished products of own production for further sale or as purchased goods that are intended for future sale.

Therefore, the question arises: what should be the optimal size of inventories to achieve the required economy and the required rationality in operation?

The answer would be: in order to achieve optimal inventory, it is necessary to determine the diagnostic substrates that set the normal to the smallest and largest amount of inventory.

Of course, this will be achieved by harmonizing the quantity of inventory with the needs of production, the needs of the provision of services, the composition of the means of inventory and the state of the inventories on the market.

Therefore, in order to achieve the economic efficiency of the operation, it is necessary to manage them correctly and accurately.

From this point of view, accounting should constantly monitor the situation and provide information to the managers in charge of conducting the inventory policy in the company.

Here it is necessary to emphasize the importance of continuous inventory monitoring, not only for maintaining the optimal level of inventory, but also for maintaining the optimal level of costs. Because, in the total operating costs of the enterprise, the cost of inventory makes up a fairly large percentage. This means that inventory costs include all procurement costs (invoice price, import and other duties, transport costs, storage costs, etc.)

In fact, valuing inventory in accounting is really very important.

## 1. ACCOUNTING CONTROL OF INVENTORIES

Accounting control of inventories, as well as their management is one of the most important tasks of any company. Certain shortcomings may arise that burden business entities in finding the optimal level of inventory.

Namely, it is necessary for the company to hire an experienced manager who will always face the problems and certain difficulties that will appear during the operation. Because there is unpredictability in claims, unreliable suppliers, a wide range of items, different lengths of delivery, a certain interest in a product, etc. For all these reasons, it is very important to keep track of the inventories of raw materials.

**Inventory planning**

Since business entities, in large part, cannot function without inventory, it is necessary to constantly determine their sizes.

They contribute to the successful solution of many problems that arise when procurement is shifted, possible delays in sales, etc.

It is well known that in many businesses the principle - just in time- is used

However, this means working without inventory or stocks that are provided just before the start of a job task. This means that not every company needs the same level of inventory. This means that inventories need to be kept at an acceptable level, where the amount of inventory will determine the opportunity cost, which can be a risk if they do not have inventory.

Namely, determining the size of inventories is influenced by the type of work, observance of the principle of continuity, the duration of the procurement phase, how much the costs for storing inventories are, as well as the risk of inventory storage or vice versa, the risk of non-storage.

**Accommodation and storage of inventory**

Inventories are accommodated and stored in depots, warehouses, large refrigerators, etc. This means that the storage can be in its own space, area, building. But it can also be rented space for a certain period and agreed rent.

Namely, it depends on the type of accommodation, as well as the conditions and the manner of storage.

Then, it depends on what materials, finished products, small inventory, goods that require special storage conditions to prevent spoilage. Differentiation of all inventory, from an accounting point of view is necessary because all items are kept separately on a separate account.

**Nomenclature and inventory encryption**

Each inventory has its own specifics. Therefore, in addition to the type of inventory, it is necessary that they have the correct name and list the other technical properties of the product.

Namely, the inventory needs to be numbered and have a nomenclature with which it will be marked.

Therefore, in the continuous functioning, ie movement of the large number of stored products, items and other materials, there is a need for accurate marking. All this is in the interest of the company because confusion is very unlikely.

In this way, through encryption, it is very easy to recognize which inventory is in question, and at the same time the way of accounting is facilitated, ie. posting. In analytical accounting, encryption and ciphering are of great importance.

That is, the inventory and their grouping and sorting in any form of storage is done very easily.

This means that encryption takes place using the letters of the alphabet, numbers, and can be mixed in the form of alphanumeric codes. It is choice of the company itself or the type of inventory imposes the concept of marking, ie encryption.

For illustration only, the European Union uses its own product encryption system called European Article Numbering (EAN). This code is also imprinted on a sticker in the form of a bar code, which reads as Optical Character Recognition - OCR.

**Recording (bookkeeping) of inventories**

As we pointed out earlier in the paper, the inventory needs to be constantly monitored.

That is, the information and data about them should be constantly accurately processed and presented in reports. The operational activities would move in the right direction when, at any moment, we know the inventory situation. This means that the accountant, ie the accounting function, needs to make a chronological record of the events in the trade books, and hence to have a constant insight in the warehouses and other depots.

Namely, the managers will make the right decisions, if they receive the financial statements in a timely manner and with accurate and objective data.

Therefore, the records are kept in the general ledger, analytical accounting and auxiliary accounting records.

In fact, the accounting task mainly consists of records of procurement data. All procurement is performed by the procurement department, ie the procurement function which is responsible for each product to take special care.

This refers to the monitoring of prices, as well as the markets, the timeliness of delivery and the correctness of the order.

Namely, the connection between the procurement and accounting function is correlated and they are cautious in choosing the suppliers. The chief accountant continuously controls the whole procedure.

In the general ledger, different accounts are kept for each type of inventory, as well as for each individual item.

This confirms the importance of control and the need for analytical accounting.

In this way, the records enable the improvement of the operation of the enterprise.

Meanwhile, the auxiliary accounting records control and monitor the minimum, optimal and maximum inventory. And, of course, we will emphasize that, after a certain period of time, it is necessary to perform inventory, inspection and harmonization of all types of inventory.

**Documentation for the procured raw materials (inventories)**

The documentation is also very important, because it confirms the principle of materiality.

When keeping inventory, bookkeepers need to have complete documentation of their procurement and sales.

Namely, the various documents (invoices, delivery notes, requests, etc.) confirm the correctness of the accounting records and the final results obtained in a certain period.

In addition to the confirmation of the accuracy and correctness of the financial and material indicators, the documentation should be submitted in a timely manner.

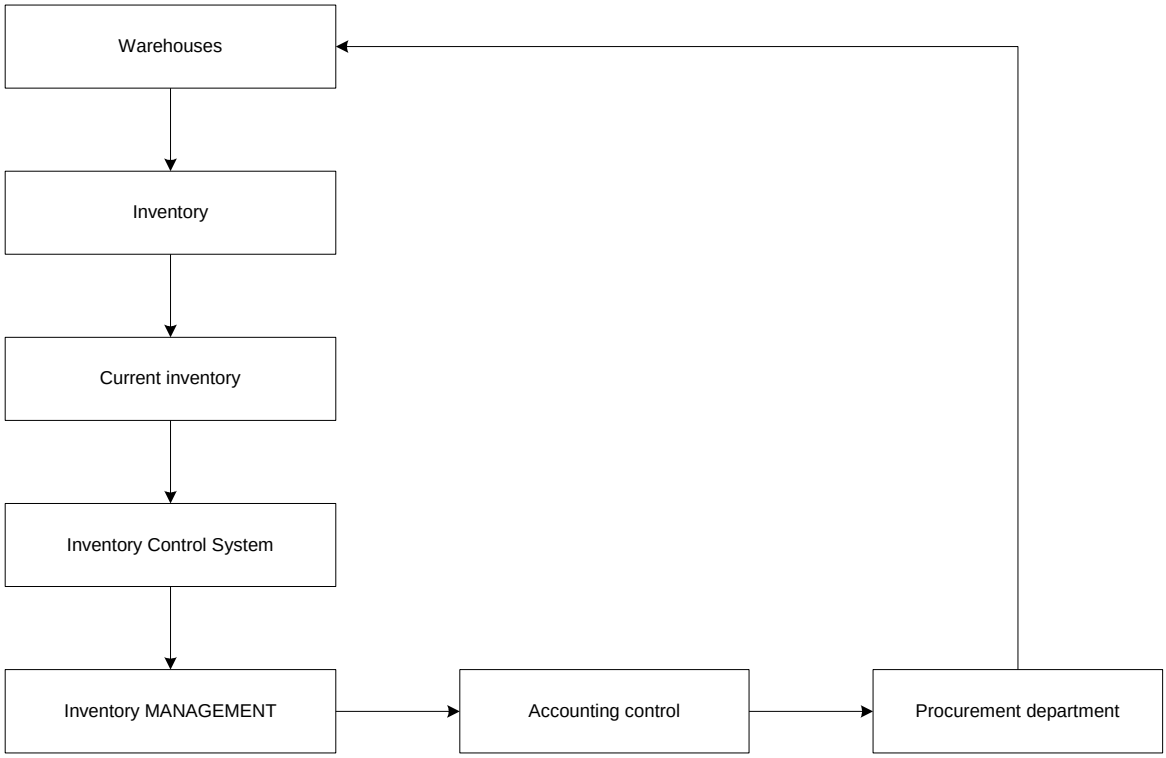
In fact, the accounting department, in the accounting information system is required to collect and classify all documents.

Hence, it will be possible at any time to inspect the condition of inventories and to enable proper direction of operational activities.

However, we will emphasize that all this depends on the dynamics of procurement and turnover with them. The classification of documents begins with whether the inventories are from own production, whether they are commercial goods or whether they are inventories that are items of work.

Namely, the forms themselves are different so that the accountants can more easily classify and record them.

Picture 1. Inventory management and control




## 2. FRAMEWORK FOR INVENTORY RECOGNITION AND MEASUREMENT

## (IAS 2 – Inventories)[1]

The purpose of this Standard is to prescribe the inventory accounting procedure according to the cost system. The basic issue in inventory accounting is the amount of expense that should be recognized as an asset that should be kept in the records until the appropriate revenue is recognized.

This value is recognized as an asset in the enterprise until the related revenue is recognized (ie when inventories are sold), at which point inventories are recognized as an expense (ie cost of sales).

IAS 2 provides guidance on determining the cost and subsequent recognition as an expense, including any deductions from net realizable value.

[1] IAS (1999)

Revised IAS 2 contains guidance on cost formulas used to evaluate inventories.

Under IAS 2 Inventories, they are defined as assets:

- which are kept for sale in the regular course of operations;
- in the production process intended for such sale; and
- in the form of raw materials or auxiliary materials that are consumed in the production process or in the provision of services.

Net realizable value is the estimated selling price in the ordinary course of business, less the estimated cost of completion and the estimated cost of selling.

The net realizable value refers to the net amount that the business entity expects to realize from the sale of inventories in the regular course of operations. Fair value is the amount for which an asset can be exchanged or a liability settled, in a transaction under commercial terms, between parties sufficiently informed and willing to accept the transaction arbitrarily.

Namely, the fair value reflects the amount by which the same stocks could be exchanged in the market, between known and prepared buyers and sellers.

**Inventory measurement**

Inventories, like most assets, are accounted for at cost.

Namely, inventory according to IAS 2 are measured

1) according to costs, or
2) according to the net realizable value, which can be realized on the market if it is lower than the measurement according to the costs.

When inventories are measured at cost, the cost of inventories includes the cost of purchasing inventory, conversion costs, and all other costs.

When inventories are measured at cost, the cost of inventories includes inventory costs, conversion costs and other costs. Inventory costs include the cost of inventory, customs duties, non-refundable taxes, transport costs and transport insurance costs, then handling costs and all other costs directly attributable to the purchase of inventory.

Namely, conversion costs are direct labor costs, but also each separate part fixed overheads and each separate part of the variable overhead costs. When fixed costs are allocated to conversion costs, production capacity is used. This means that the fixed part of the costs, which refers to the unused part of the capacity, cannot be realization costs, instead of being settled as an expense in the period in which they arose. Other costs incurred in bringing inventory to a specific location in a specific location time includes the cost of designing products that are designed for specific customers.

Namely, the inventories, as stated above, need to be measured according to the amount of costs or net realizable value. That is, depending on which of them is lower.

Inventory measurement is extremely important in accounting.

Because in the financial statements according to IAS 2 they should disclose:

a) Inventory accounting policies adopted, including the cost method used,
b) The total accounting amount of inventories and the accounting amount in the appropriate classifications for the enterprise,
c) The accounting amount of the inventories expressed at the net realizable value,
d) The amount of any reimbursement of write-offs recognized as income in the period in accordance with IAS 2, paragraph 31;

e) Circumstances or events that led to the replenishment of write-offs in accordance with IAS 2, item 31, and

f) The accounting amount of the inventories pledged to secure the liabilities.

## CONCLUSION

Inventories are crucial assets for the operation of the enterprise. They are inevitable. But also inventory management is a key foundation on which the company operates. For that reason, it is necessary to observe the principles in determining and procuring inventories.

That is, first of all, care should be taken to respect the principle of continuity, ie. determining the size of inventory.

Then, the principle of dynamics and consumption of inventories, ie determining the time and quantity used for production and trade with them.

It is also very important to observe the principle of control, or to coincide the accounting control with the warehouse control. Inventory control ensures maintained quality and optimal inventory level. And, the principle of accounting control, monitoring of each process of entry and exit of inventories. Inventories generate costs for which a special plan should be made in their procurement.

Therefore, it is first necessary to adopt which methods will be used in determining the costs.

Inventory costs are determined using the method first in - ~~the~~ first out or known as the FIFO method.

This method requires that items in inventory with the earliest purchase date be the first to be sold or issued. And everything else in that order.

However, the weighted average cost method can also be used.

According to this method, the cost of each item in inventory is determined based on the weighted average cost. The average can be calculated periodically or depending on the circumstances. The FIFO method or, last in - first out can also be applied. This method requires reverse selling from the FIFO method.

This means that the purchased items with the latest date are sold or issued first and again the other stocks in order.

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# Seeking Incentives for a Successful Second and Third Business Opportunity after Bankruptcy in Times of Economic and Coronavirus Pandemic Crises*

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***Abstract:*** In the years of the economic /financial / sovereign debt and coronavirus pandemic crisis in Greece, many viable businesses that are facing financial difficulties are led to liquidation rather than timely restructuring, with very few entrepreneurs having a second chance. This corporate failure faced by Greek companies in recent years may have been caused by either endogenous and exogenous factors or a combination of these two. In this paper we investigate the factors (economic, social, political) that will help to facilitate entrepreneurs' access to a second and third opportunity taking also into account socially vulnerable groups such as people with disabilities and women entrepreneurs. Moreover, we try to find the characteristics that would encourage honest bankrupt entrepreneurs for a second business venture and the sectors where a second chance may have increased chances of sustainability in Greece. The aim of our research is to lead Greece to higher rates of self-employment, reduction in unemployment and exit from the crises.

**Keywords:** bankruptcy, second chance, Greece

## 1. INTRODUCTION

In the years of the financial crisis in Greece, many viable businesses that are facing financial difficulties are led to liquidation rather than timely restructuring, with very few entrepreneurs having a second chance. In this paper we investigate the factors (economic, social, political) that will help to facilitate entrepreneurs' access to a second and third opportunity. Moreover, we try to find the characteristics that would encourage entrepreneurs and mainly honest bankrupt entrepreneurs for a second business venture and the sectors where a second chance may have increased chances of sustainability in Greece. The corporate failure faced by Greek companies in recent years may have been caused by either endogenous and exogenous factors or a combination of the two. However, it is difficult to separate the impact of external factors, such as the economic downturn, from the impact of the company's particular characteristics, which are the result of its management in the event of bankruptcy. The cost of a possible corporate failure is high for the company but also for society.

Indicatively, we mention the following consequences: increasing unemployment with the wider social consequences that this entails, reduction of living standards, high inflation, insufficient utilization of resources and especially human resources, with consequences for the national economy, instability of the banking system due to the inability to repay the loan funds, financial losses for shareholders due to

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the deterioration of the value of the company's share, financial market instability resulting in higher borrowing costs for businesses.

During the last years, the unfavorable economic environment seems to have affected the perceptions of individuals in general, let alone the socially vulnerable, about whether they have sufficient knowledge and skills to cope with the increasing difficulties of the current environment in doing business. In addition, over time in Greece the index, which concerns the fear of failure, as a deterrent to doing business, moved to higher levels than most countries that participated in the World Entrepreneurship Observatory (GEM) survey. Of particular interest is the trend of the index before and after the crisis. Specifically, after 2009 the index seems to show an upward trend mainly as a result of the economic crisis, while it remains above the long-term average over time.

## 2. LITERATURE REVIEW FOR A SUCCESSFUL ENTREPRENEURS SECOND CHANCE

Hegarty et al (2020), while acknowledging that the amendments to the Bankruptcy Laws are in the right direction, barriers to accessing finance remain. Additional, propose that training programs can help eliminate the stigma of corporate failure. Musulin, M., & Gregov, Z. (2019), conducted a survey of companies in Croatia and emphasizes the need of expert assistance (business, legal, psychological) during and after the bankruptcy for honest entrepreneurs. Nielsen, K., & Sarasvathy, S. D. (2016), investigate business restarts in Denmark from 1980 to 2007, and stresses the need of appropriate education in order to learn from failure experience and increase the chance of a successful business restart.

Tajti, T. (2018), argue that lawmakers in order to develop a law framework for a successful entrepreneurs second chance policy, need to have fully understand the impact of bankruptcy stigma. Wagner, J. (2002), in his research in Germany, also emphasizes the problem of 'stigmatization of failure' as a barrier to a second business opportunity. Simmons et al (2014) recognize the complexity of the second business chance problem and note the need to develop a framework to encourage these entrepreneurs.

Moreover, foreign direct investment (FDI) can help entrepreneurs for a second chance. Especially, for Greece Vlachos *et al* (2019) investigate the barriers to inward (FDI) in Greece. According to their survey, they found that the main barriers to Greece's inward FDI are bureaucracy and excessive taxation. Other barriers less important are the high VAT, corruption, macroeconomic instability, lack of transparency, the unstable legal framework and the lack of enforcement of the laws. Some of these barriers are also mentioned by Bitzenis *et* al (2014). By giving a second chance to entrepreneurs who have gone bankrupt with simultaneous support in business education, psychological support and financing, growth can be achieved. Related to this is a more recent article by Tsitouras *et al* (2020). In their survey conclude that foreign direct investments and the quality of human capital are important drivers of economic growth for Greece.

## 3. RESEARCH METHODOLOGY

Our study aims to find the characteristics that would encourage entrepreneurs and mainly honest bankrupt entrepreneurs for a second business chance. For this reason we use questionnaire analysis. This type of analysis has many positives as Queirós *et al* (2017) describe in their work. We fist conducted a literature review and according to this review, the questions of our questionnaire were created.

So, we run a questionnaire for every business and every entrepreneur operating in Greece regardless of the country of origin of the owners in order:

- to seek the opinion of entrepreneurs on the need for a second chance for entrepreneurs who fail
- to see if entrepreneurs believe that in Greece there are favorable proposals regarding the political, economic and social conditions that affect business activity in our country

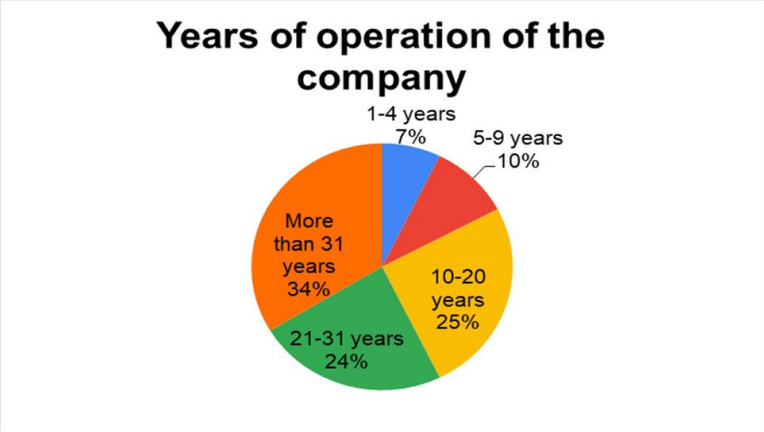
- to investigate if entrepreneurs believe that a business failure stigmatizes the "failed" businessman and if the Greek state makes efforts and actions to prevent this stigma

The questionnaire was sent by e-mail, using the contact details of companies from ICAP databases to which we had access. We have to mention that due to the coronavirus pandemic there were problems and delays in the collection of answers, as due to lockdown it was difficult to collect questionnaires with closed companies and difficult to impossible to reach entrepreneurs for lifelong communication. For this reason the response rate in this initial pilot survey was 5% (number of respondents: 110).

## 3. EMPIRICAL RESULTS

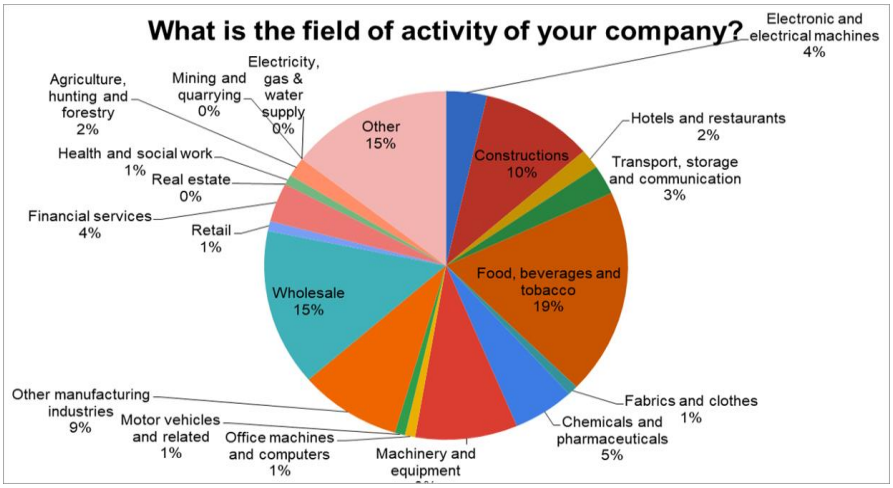
The most of our respondents operate their companies for more than 10 years. Moreover, for 34% of the respondents the years of operation are more than 31.

Figure 1: Years of operation of the company



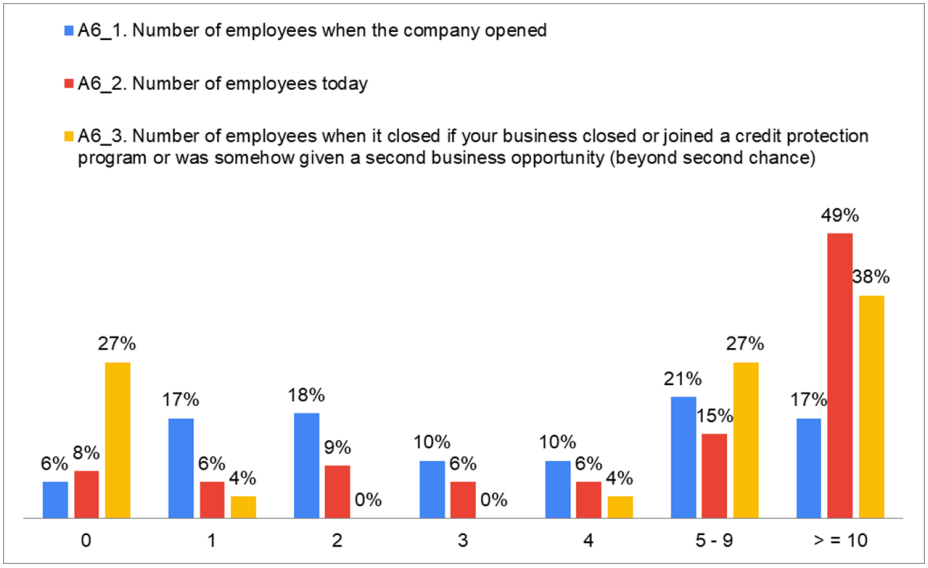

There is also a wide range of sectors in our survey. Food, beverages and tobacco (19%), wholesale companies (15%), constructions (10%), machinery and equipment (9%), other manufacturing industries (9%), chemicals and pharmaceuticals (5%), etc.

Figure 2: Field of activity




In figure 3 we can see that many companies today employ more than 10 employees. However, 38% of the companies when they closed also employ more than 10 employees which implies the impact of bankruptcy on rising unemployment in Greece.

Figure 3: Number of employees




Regarding the possibilities of financing in Greece, there is a severe lack of sources of financing for new and growing businesses. Respondents emphasize the lack of a stock market for financing new companies and the insufficient bank lending.

Table 1: Financing in Greece

| | Not at all | A little | Moderate | Very | Very much |
|---|---|---|---|---|---|
| B1. Financing: In Greece… [there is sufficient equity for new and growing businesses] | 19% | 45% | 30% | 5% | 1% |
| B1. Financing: In Greece… [there is sufficient foreign capital for new and growing businesses] | 31% | 45% | 18% | 6% | 0% |
| B1. Financing: In Greece… [there is sufficient bank lending] | 44% | 38% | 11% | 7% | 0% |
| B1. Funding: In Greece… [there are sufficient government grants for new and growing businesses] | 18% | 39% | 32% | 9% | 2% |
| B1. Funding: In Greece… [there are sufficient other financial tools for start-ups] | 29% | 42% | 25% | 5% | 0% |
| B1. Funding: In Greece… [venture capitalists are an important source of private support for new and growing businesses] | 27% | 45% | 18% | 7% | 3% |
| B1. Financing: In Greece… [there is a stock market that financially supports new and growing companies] | 67% | 28% | 3% | 1% | 1% |

Entrepreneurs are also frustrated with government policy not only at national government level but also at local government level. Bureaucracy, level of taxation, corruption and legislative instability are reported as deterrents to new business ventures by the majority of entrepreneurs.

Table 2: Government policy in Greece

| | Not at all | A little | Moderate | Very | Very much |
|---|---|---|---|---|---|
| B 2. Government policy: In Greece ... [government policies are constantly favoring new businesses] | 33% | 37% | 24% | 5% | 2% |
| B 2. Government policy: In Greece ... [supporting young and growing businesses is a high priority at national government level] | 27% | 32% | 31% | 7% | 3% |
| B 2. Government policy: In Greece ... [supporting young and growing businesses is a high priority at the local government level] | 30% | 38% | 22% | 7% | 3% |
| B 2. Government policy: In Greece ... [bureaucracy is a deterrent to new and growing businesses] | 4% | 6% | 11% | 21% | 58% |
| B 2. Government policy: In Greece ... [the level of taxation is a deterrent to new and growing businesses] | 0% | 9% | 11% | 30% | 50% |
| B 2. Government policy: In Greece ... [corruption is a deterrent to new and growing businesses] | 5% | 9% | 21% | 24% | 42% |
| B 2. Government policy: In Greece ... [legislative instability and the constant change in tax laws is a deterrent to new and growing businesses] | 2% | 3% | 15% | 24% | 57% |

Concerning technology parks and incubators we observe that according the answers of th respodents in our survey, are not considered to operate as efficiently as they should. The same view applies for government programs supporting young and growing businesses. There is also frustration with the behavior of civil servants in supporting young and growing businesses.

Table 3: Government programs in Greece

| | Not at all | A little | Moderate | Very | Very much |
|---|---|---|---|---|---|
| B3. Government programs: In Greece… [technology parks and incubators provide effective support to new and growing businesses] | 18% | 41% | 29% | 10% | 2% |
| B3. Government programs: In Greece… [government programs to support young and growing businesses are effective] | 19% | 34% | 34% | 11% | 3% |
| B3. Government programs: In Greece… [there is a sufficient number of government programs to support young and growing businesses] | 18% | 47% | 28% | 5% | 2% |
| B3. Government programs: In Greece… [anyone who needs help with a government program for new and growing businesses can find what they need] | 27% | 31% | 26% | 14% | 2% |
| B3. Government programs: In Greece… [civil servants are competent and effective in supporting new and growing businesses] | 45% | 31% | 17% | 4% | 4% |

Regarding the degree to which a businessman who has failed is stigmatized, our results are according to the relevant literature. Society, public services and especially banks seem unwilling to give a new chance to a failed entrepreneur.

Table 4: Businessman stigmatization

| | Not at all | A little | Moderate | Very | Very much |
|---|---|---|---|---|---|
| B4. A businessman who has gone bankrupt to what extent do you consider yourself stigmatized: [in society?] | 2% | 13% | 30% | 38% | 17% |
| B4. A businessman who has gone bankrupt to what extent do you consider yourself stigmatized: [in public services?] | 5% | 8% | 19% | 29% | 39% |
| B4. A businessman who has gone bankrupt, to what extent do you consider yourself stigmatized: [in the banks?] | 1% | 0% | 7% | 19% | 73% |
| B5. To what extent do you consider that ... [banks finance a new business if they know that a shareholder has gone bankrupt in the past?] | 54% | 29% | 14% | 2% | 2% |
| B6. To what extent do you consider that ... [lack of discharge and / or long-term and burdensome debt repayments make it difficult to finance a second business opportunity?] | 2% | 6% | 12% | 34% | 46% |

It is impressive the fact that there is not enough information about the second business opportunity programs managed by OAED. Only 34% of the respodents answer that they knew these programs.

Figure 4: OAED programs

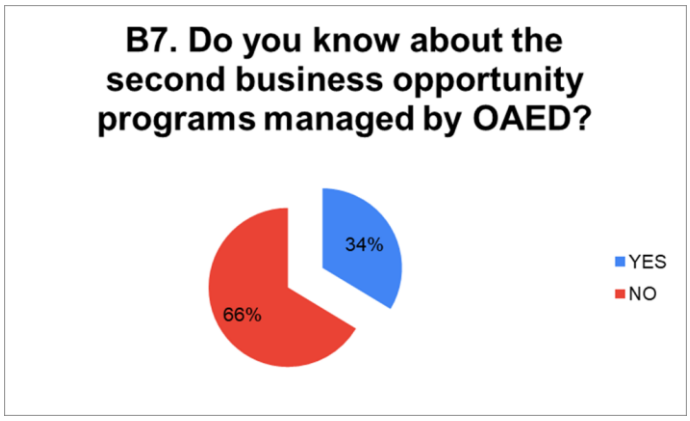


Table 5: Oportunity programs

| | Not at all | A little | Moderate | Very | Very much |
|---|---|---|---|---|---|
| B8. If so, [how effective do you think they are? [Not at all (1), Little (2), Moderate (3), Very (4), Too Much (5)]] | 24% | 38% | 29% | 7% | 2% |
| B9. To what extent do you think the following actions can contribute to a successful second or even third business opportunity? [second business opportunity programs from OAED] | 12% | 44% | 31% | 14% | 0% |
| B9. To what extent do you think the following actions can contribute to a successful second or even third business opportunity? [Adoption in the legislation of fast procedures of liquidation and discharge of long-term and burdensome debt repayments for honest entrepreneurs] | 4% | 12% | 19% | 65% | 0% |
| B9. To what extent do you think the following actions can contribute to a successful second or even third business opportunity? [increased networking between entrepreneurs / entrepreneurs] | 5% | 29% | 42% | 24% | 0% |
| B9. To what extent do you think the following actions can contribute to a successful second or even third business opportunity? [development of a system for recognizing honest versus dishonest entrepreneurs] | 5% | 14% | 21% | 60% | 0% |
| B9. To what extent do you think the following actions can contribute to a successful second or even third business opportunity? [second-hand entrepreneurs' access to funds, cash flows and credit, with few restrictions and no long debt repayment periods recorded in the bankruptcy process] | 5% | 15% | 30% | 51% | 0% |

However, they do not believe or they are not sure that these programs can contribute to a successful second or even third business opportunity. On the other hand, they believe that the development of a system for recognizing honest versus dishonest entrepreneurs (60%) and second-hand entrepreneurs' access to funds, cash flows and credit, with few restrictions and no long debt repayment periods recorded in the bankruptcy process (51%), can really can contribute to a successful second or even third business opportunity.

## 4. CONCLUSIONS AND POLICY RECOMMENDATIONS

It is confirmed in our research that the entrepreneur who failed once is stigmatized in the banks and in society, creating obstacles for a second successful business opportunity. Some policy recommendations could be the following:

- adoption in the legislation of fast procedures of liquidation
- discharge of long-term and burdensome debt repayments for honest entrepreneurs,
- development of a system for recognizing honest versus dishonest entrepreneurs,
- attracting foreign investment funds,
- development of special financing banking products,
- increasing the possibilities of state financing,
- creating / strengthening the capital market especially for startups and / or second chance entrepreneurs,
- reducing bureaucracy and corruption,
- better staff behavior in government services to better serve entrepreneurs,
- increase state programs to support new businesses,
- strengthening technology parks opening them up to honest entrepreneurs who had failed in the past

It is imperative that entrepreneurs, who fail, get back on their feet faster and make a new effort with the wisdom of experience. If the characteristics of a framework for a second chance are identified in these entrepreneurs, they will largely achieve better results due to past experience. According to

European Commission statistics, only 5 out of 100 bankrupts are fraudulent. The rest are honest. So with the 2nd Opportunity, tens of thousands, maybe even hundreds of thousands of Greeks, immediately rejoin the production process. This means: new job positions, revenue for the State, psychological uplift for a huge number of Greeks who have fallen, immediate cessation by a significant number of companies of delinquent conduct to which they are necessarily led, having gone bankrupt in practice but are not officially bankrupt due to the lack of a Second Chance framework.

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## ENDNOTE

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# Senior Tourism In Bulgaria In The Conditions Of The COVID-19 Pandemic. Intermediate Results Of The Survey

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***Abstract:***
**The Aim** of this study is to present the intermediate results of a survey of the tourist activities of Bulgarian citizens in the period April 2020 – March 2021 in the conditions of the COVİD-19 pandemic.
**Material and methods**. The main method of gathering information is the questionnaire. 257 Bulgarian citizens aged 60 and over took part in the survey. The survey was conducted by students at VUARR as part of their training in the bachelor's program "Economics ofTourism". For this purpose, the Internet application Google Forms was used. The questionnaire was improved after testing it in a previous research on the same topic conducted in 2018. As a result of the research, the profile of the Bulgarian senior tourist is outlined. A comparison of the results obtained in 2018 and 2021 is made and on this basis the relevant conclusions are drawn and the relevant summaries are made.
**Conclusion.** Despite the reduced activity due to the pandemic situation, the profile of the Bulgarian senior tourist has not undergone significant changes.

**Keywords:** senior tourism, questionnaire, profile of the Bulgarian senior tourist.

## 1. Introduction

The basic aim of this study is to present the intermediate results of a survey of tourist activities of Bulgarian citizens from April 2020 to March 2021 in the conditions of the COVİD - 19 pandemic. The study is part of the project "Silver Tourism in Bulgaria", included in the Research Plan of UARD.

The main method of gathering information is the questionnaire. 257 Bulgarian citizens aged 60 and over took part in the survey. The survey is conducted by students at UARD as part of their training in the bachelor's program "Economics of Tourism". For this purpose, the Internet application Google Forms was used. The questionnaire was improved after testing in previous surveys on the same topic, conducted in 2018 - one of the strongest for Bulgarian domestic and international tourism. Their results are presented in publications of students surveyed (Aleksandrova, Neykova, 2018) and the Head of examines (Levkov, 2019). A literary review on the topic has been made in them, so we will not present it here.

A total of 18 questions were included in the survey (App. 1). They are grouped in two blocks. The questions from the first block (№ 1 - № 7) reveal some socio-demographic characteristics of the surveyed persons - age, sex, place of residence, marital status, education, employment status, income. These characteristics influence the formation of the tourist needs of the people and determine the possibilities for their satisfaction.

The answers to the questions from the second block (№ 9 - № 20) characterize the tourist activities of the surveyed persons, carried out during the last 12 months (at the time of the survey).

As more surveys are to be conducted in the autumn of 2021, we assume that the results obtained this spring are not final.

## 2. Results and Discussion.

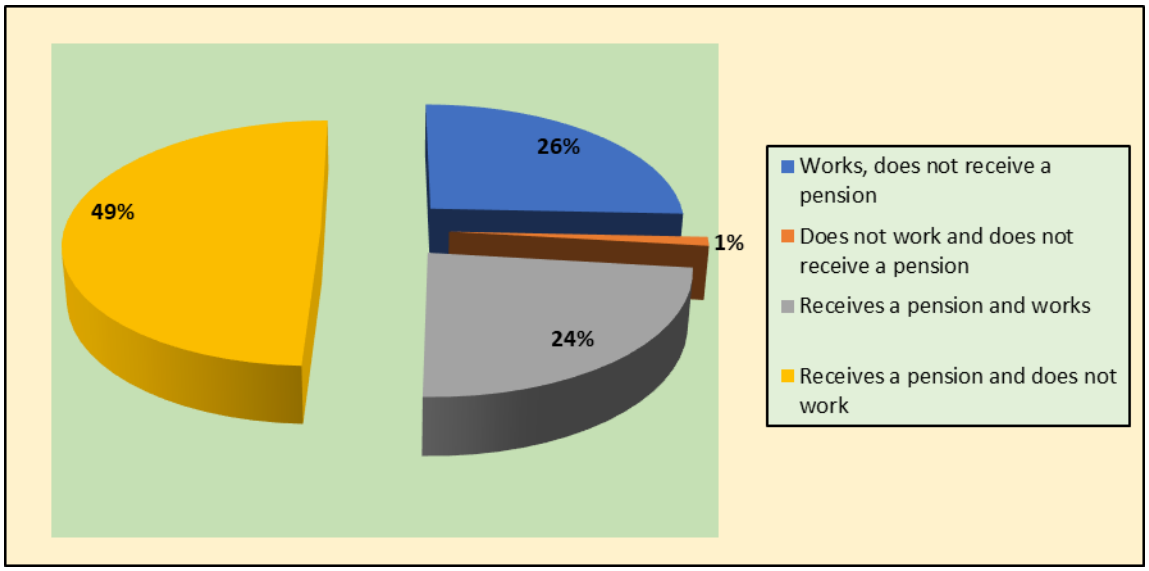
### 2.1. Socio-demographic profile of the surveyed persons.

According to the National Statistical Institute at the end of 2020 the population of Bulgaria is 6916548 people. Of these, 1.972 million people or 28.5% of the total population of the country are aged 60 and over. The structure of this two million contingent by age groups is as follows: 60-64 years - 23.7%; 65 - 69 years - 22.9%; 70-74 - 21.7%; 75 and more years - 31.7%.

The analysis of the data in table. 1 gives grounds for the following findings related to the answers to the first block of questions:

- Question 1. Over 40% of the surveyed 257 persons are aged 60 to 64. It is no coincidence that they are the focus of our study. The process of transition from active work to a calmer rhythm of life in them is only now beginning. Some people in this group receive income from more than one source (eg pension and salary) and have the opportunity to allocate funds to meet their tourism needs.
- Question 2. A slight predominance of the surveyed women (52.5%) over the men (47.5%) was found.
- Question 3. Almost half of the respondents live in district centers, and about ¼ - in small towns and villages. This relatively accurately reflects the settlement structure of the Bulgarian population. City residents have a decisive role in the formation of the contingent of adult tourists.
- Question 4. The marital status of the respondents is determined by the predominance of family members (59%) and widows (25%). The share (about 8% each) of the other two categories is low - divorced and unmarried.
- Question 5. Over 85% of the respondents have secondary or higher education. The established educational level is a favorable condition for the formation of various tourist needs.
- Question 6. Only half of the surveyed persons are “classic” pensioners (fig. 1). About ¼ are working pensioners and people who have not yet retired and are also working. People from the last two groups objectively have more financial resources and less free time, while the ratio in the first group is the opposite.

Figure 1. Labor status of the respondents




- Question 7. The distribution of the surveyed persons by income is diverse and shows the strong social stratification in the Bulgarian society and in particular among the elderly. Despite the increase in income in the last two years, more than half of the respondents still have a monthly

income of less than BGN 700 and have difficulty in allocating funds to meet their tourist needs. About 20% of the respondents indicated incomes over BGN 1,000. They form a small group of relatively solvent potential tourists.

The presented in table. 1 socio-demographic profile of the surveyed persons in 2020 is similar to that of 2018. Due to the small number of respondents in 2020, we will not make a comparison between the data from the two surveys.

Table 1: Socio-demographic characteristics of the surveyed persons

| Question № | | 2020 | 2018 |
|---|---|---|---|
| **1.** | **Age distribution (%)** | | |
| | 60 – 64 | 43.6 | 35.6 |
| | 65 – 69 | 23.0 | 34.2 |
| | 70 – 74 | 22.2 | 20.0 |
| | 75+ | 11.3 | 10.2 |
| **2.** | **Gender distribution (%)** | | |
| | Male | 47.5 | 43.5 |
| | Female | 52.5 | 56.5 |
| **3.** | **Distribution by Place of Residence** | | |
| | City (District center) | 45.1 | 45.0 |
| | Town | 28.0 | 34.4 |
| | Village | 26.8 | 20.6 |
| **4.** | **Marital status** | | |
| | Married | 58.8 | 64.8 |
| | Divorced | 7.8 | 10.8 |
| | Widows | 24.9 | 23.8 |
| | Unmarried and others | 8.5 | 0.6 |
| **5.** | **Education** | | |
| | Higher | 29.2 | 38.8 |
| | Secondary | 56.4 | 52.7 |
| | Primary or lower | 14.4 | 8.5 |
| **6.** | **Labor status** | | |
| | Works, does not receive a pension | 25.7 | 18.8 |
| | Does not work and does not receive a pension | 1.2 | 1.0 |
| | Receives a pension and works | 23.7 | 29.2 |
| | Receives a pension and does not work | 49.4 | 51.0 |
| **7.** | **Income** (net monthly income in BGN from all sources: salary, pension, rents, annuities, etc.) | | |
| | to 299 | 14.8 | 18.9 |
| | 300-499 | 25.3 | 29.4 |
| | 500 - 699 | 17.1 | 17.9 |
| | 700 – 999 | 23.0 | 19.0 |
| | 1000 – 1999 | 14.0 | *10.0 |
| | 2000 and more | 5.8 | **5.0 |

* 1000 - 1499

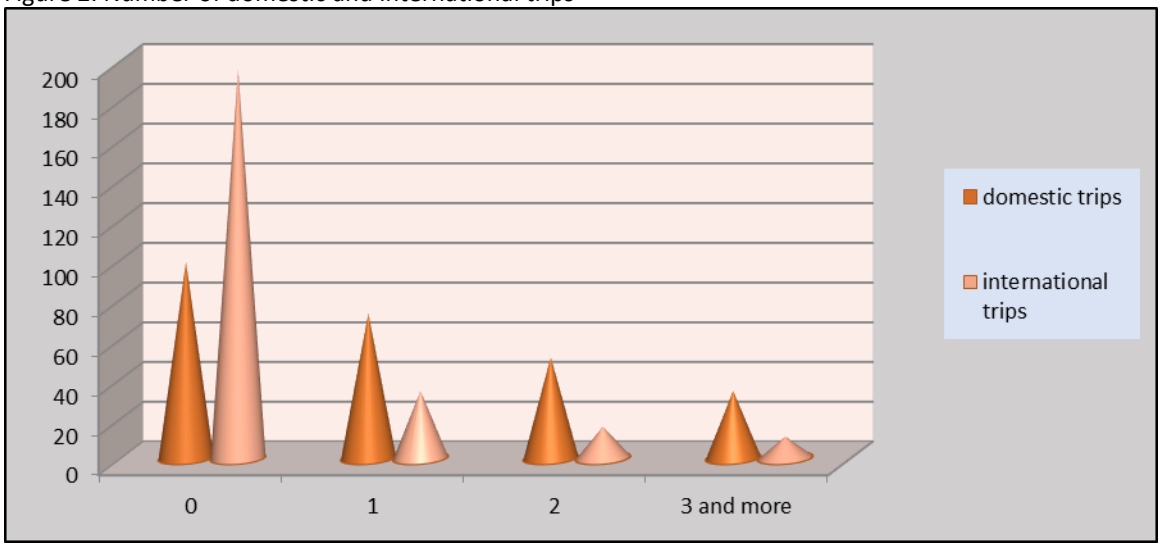
** 1500 and more

## 2.2. Tourist activity of the surveyed persons.

The information in table. 2 characterizes the tourist activities of senior tourists in Bulgaria in the one-year period since the beginning of the Kovid-19 pandemic. It should be noted that, unlike the previous study, the current one allowed questions 11 and 12 to be given not only 1 but two answers.

- The answers to questions № 8 and № 9 show that during the pandemic the elderly Bulgarian tourists limited their travels almost entirely within the country. More than 1/3 of them have not made a single tourist trip. The decrease compared to 2018 is not large, as even then the activity of senior Bulgarian tourists is not very high. Domestic tourism remains basic, but reduces the number of tourist trips undertaken, and is usually limited to 1-2 per year. The reduction is even stronger for international travel. Only 24% of the respondents have taken such measures, compared to 35% in 2018.

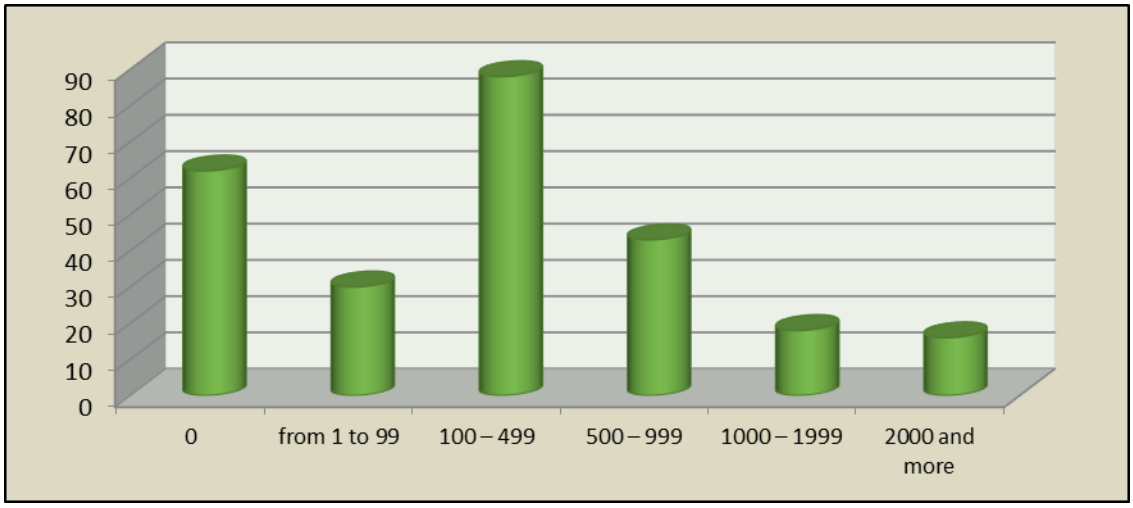
Figure 2. Number of domestic and international trips




- Question 10. Preferences for different organizational forms of tourist travel are strongly influenced by the pandemic situation. Interest in unorganized tourism has increased - individual, family and group (a total of 58%).
- Question 11. The most preferred means of transport for tourist trips remain those with a smaller capacity - a car and a bus. Travel by train is typical for domestic tourism, and those by plane - for international.
- Question 12. Hotels remain the most used accommodation places for elderly tourists (51% of respondents). Followed by guest houses with 34% and holiday sanitation with 28%. Most of the sites of health tourism are referred to the latter. Almost ¼ of the respondents visited friends and relatives, and 13% had their own home as a destination, different from the main one, located in another village. The high share of guest houses, own homes and those of friends and relatives proves that during the pandemic, preferences for accommodation with limited capacity are growing, which are supposed to guarantee more limited contacts and higher security.
- Question 13. The preferences of older tourists, established in the previous study, are confirmed. Over 40% is the share of accommodation without category. These include not only their own homes and those of friends and relatives, but also those to which respondents do not indicate the category. From the categorized accommodation places, the most frequent are the 3-star hotels - at ¼ of the respondents.
- Question 14 allows for up to 3 answers. Despite the established great species diversity, maritime, cultural and health tourism are emerging as the main ones for the elderly tourists in Bulgaria. The same species were most often mentioned two years earlier, which shows the relative stability of the preferences of the contingent of adult tourists in Bulgaria.
- Question 15. The costs incurred for tourist trips and stays are one of the main indicators characterizing the tourist activities. About ¼ of the respondents did not incur any travel expenses in the first year of the pandemic, as they did not undertake tourist trips. Two years

earlier, their share was significantly lower - only 14%. In both surveys, the highest share of respondents (about 1/3) made expenses between BGN 100 and 499. These are usually costs that provide one or a maximum of two short trips in the country. Expenses over BGN 1,000 are most often realized when traveling abroad. The share of respondents who reported such costs during the pandemic decreased from 20% to 13%.

Figure 3. Travel expenses




- Question 16. The answers received confirm that, as two years earlier, relatives and friends remain the main source of tourist information for elderly Bulgarian tourists. About тях of them are informed in this way and much less often use other sources, such as materials of travel agencies, print and electronic media and the Internet.
- Question 17. Over 40% of the respondents state that they have not used discounts or special conditions in their tourist trips. Another 30% rarely receive discounts (for no more than 1/3 of their trips). Only 20% use such discounts often, and only 8% - always.
- Question 18 allows up to 3 answers. About 1/3 of the respondents did not answer, probably because they had not had tourist trips in the last 12 months. Discounts are most often provided by accommodation and travel agencies - in over 40% of cases. In third place with 38% are NSSI / NHIF.

Table 2. Tourist activity of the surveyed persons

| Question № | | 2020 | 2018 |
|---|---|---|---|
| **8** | **Number of tourist trips in the country** | | |
| | 0 | 38.5 | 28.8 |
| | 1 | 28.4 | 29.0 |
| | 2 | 19.8 | 21.7 |
| | 3 and more | 13.2 | 20.6 |
| **9** | **Number of tourist trips abroad** | | |
| | 0 | 76.3 | 65.0 |
| | 1 | 13.2 | 22.1 |
| | 2 | 6.2 | 7.9 |
| | 3 and more | 4.3 | 5.0 |
| **10** | **Organizational forms of tourist travel** | | |
| | Organized group tourism | 28.8 | 31.0 |
| | Organized individual or family tourism | 13.2 | 26.9 |
| | Unorganized group tourism | 13.2 | 11.0 |
| | Unorganized individual or family tourism | 44.7 | 31.0 |
| **11** | **Used vehicles** | * | |

| | | | |
|---|---|---|---|
| | Bus | 55.6 | 39.2 |
| | Car | 63.0 | 43.3 |
| | Train | 16.0 | 5.2 |
| | Airplane | 13.6 | 10.6 |
| | Ship | 1.9 | 0.0 |
| | Something else | 0.8 | 1.7 |
| **12** | **Accommodation used** | * | |
| | Hotel | 51.0 | 42.3 |
| | Guesthouse | 34.2 | 19.3 |
| | Hostel | 1.9 | 1.9 |
| | Tourist hut | 14.4 | 4.6 |
| | Holiday resort (incl. Departmental and health tourism sites) | 27.6 | 16.5 |
| | Own dwelling other than the main one (in another settlement) | 13.2 | 9.2 |
| | Other (visiting friends or relatives, etc.) | 23.7 | 6.5 |
| **13** | **Category of accommodation used** | | |
| | No category | 42.4 | 47.7 |
| | 1 or 2 stars | 17.5 | 17.9 |
| | 3 stars | 25.3 | 25.4 |
| | 4 or 5 stars | 14.8 | 9.0 |
| **14** | **Commonly practiced type of tourism **** | | |
| | Seaside | 50.2 | 37.1 |
| | Winter | 22.6 | 11.9 |
| | Kultural | 44.7 | 32.5 |
| | Rural | 27.2 | 19.4 |
| | Ecological | 11.3 | 8.3 |
| | Health | 41.6 | 37.1 |
| | Religious | 13.6 | 3.8 |
| | Others | 3.1 | 8.1 |
| **15** | **Travel expenses (BGN)** | | |
| | 0 | 24.1 | 13.8 |
| | 1 – 99 | 11.7 | 12.7 |
| | 100 – 499 | 34.2 | 31.0 |
| | 500 – 999 | 16.7 | 22.3 |
| | 1000 – 1999 | 7.0 | 12.5 |
| | 2000 and more | 6.2 | 7.7 |
| **16.** | **Sources of tourist information *** | | |
| | Travel agencies | 25.7 | 18.8 |
| | Advertisements in print and electronic media | 24.1 | 9.4 |
| | Internet | 26.1 | 26.7 |
| | Relatives and friends | 72.8 | 75.8 |
| | Others | 5.8 | 1.7 |
| **17** | **Frequency of discounts or special conditions used** | | |
| | Never | 42.4 | 37.9 |
| | Rarely | 30.0 | 35.2 |
| | Often | 19.8 | 13.8 |
| | Alwais | 7.8 | 13.1 |
| **18** | **Who provides the discounts? **** | | |
| | Travel agencies | 44.5 | 21.5 |
| | Accommodation Places | 48.0 | 19.6 |
| | Restaurants | 19.7 | 3.5 |
| | Museums | 13.3 | n.d. |
| | National Social Security Institute / National Health Insurance Fund | 38.2 | 22.3 |
| | Trade unions | 1.2 | 0.4 |
| | The employer | 5.2 | 2.7 |
| | Other organizations (churches, political parties, NGOs, etc.) | 9.8 | 10.8 |

***** up to 2 answers
****** up to 3 answers

## 2.3. Profile of the Bulgarian senior tourist.

The Bulgarian senior tourist undertakes tourist trips relatively infrequently and for a short time - 1 or 2 times a year, usually in the country and much less often abroad. He prefers unorganized individual or family domestic tourism, followed by organized group international tourism. The most commonly used vehicles are of small capacity - car and bus, less often - train for domestic travel and aircraft for international. Preferred accommodation is three-star hotels, but also guest houses and holiday resorts; in the conditions of a pandemic, the share of visits to friends and relatives has sharply increased. Bulgarian senior tourists have a steady interest in seaside, cultural, health and rural tourism. Their tourist trips and stays are economical and rarely exceed BGN 1,000 per year. Relatives and friends remain the main source of tourist information for elderly tourists in our country. A small part of them use discounts or special conditions, most often offered by tourist companies and NSSI / NHIF.

## 3. Conclusion

As a result of the research, the profile of the Bulgarian senior tourist is outlined. A comparison of the results obtained in 2018-2019 and 2020-2021 is made. The main conclusion is that the profile of the Bulgarian senior tourist is relatively stable and has not undergone significant changes in recent years. The pandemic situation has negatively affected tourist activity, but it has not caused serious changes in preferences for organizational forms and types of tourism, the means of transport and accommodation used, as well as the preferred sources of tourist information. Older people in Bulgaria represent a significant contingent of real and potential tourists, but the country still lacks a targeted policy to stimulate their tourism activities.

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Appendix 1. Questionnaire „Senior Tourism in Bulgaria”

| | |
|---|---|
| 1. | Age (years of age): 60-64; 65–69; 70-74; 75+ |
| 2. | Sex: male; female |
| 3. | Residence - big city (district center); small town; village |
| 4. | Marital status - unmarried; married; divorced; widower / widow; something else |
| 5. | Degree of education - primary or lower; secondary; higher |
| 6. | Work status - working, not receiving a pension; does not work or receives a pension; receives a pension and works; gets a pension and does not work |
| 7. | Net monthly income in BGN from all sources (wages, pensions, rents, etc.) - up to 299; 300-499; 500-699; 700-999; 1000-1999; 2000 and above |
| 8. | How many tourist trips in Bulgaria with a minimum of 1 night you have taken in the last 12 months - 0; 1; 2; 3 and above |
| 9. | How many trips abroad with a minimum of 1 night you have taken in the last 12 months - 0; 1; 2; 3 and above |
| 10. | What is the usual form of your tourist trips - organized group tourism (through a intermediary - tour operator or tour agent); organized individual or family tourism (through a intermediary); unorganized group tourism (without intermediaries); unorganized individual or famil tourism (without intermediaries) |
| 11. | A commonly used means of transport (up to 2 answers) - airplane; bus; train; car (own or rented); ship; something else |
| 12. | Type of commonly used accommodation (up to 2 answers) - hotel; guesthouse; hostel; hut; holiday House; own dwelling other than the main one (in another settlement); other (eg visiting friends or relatives) - specify |
| 13. | Category of commonly used accommodation - no category; 1 or 2 stars; 3 stars; 4 or 5 stars |
| 14. | Typically practiced type of tourism (up to 3 answers) - seaside holiday; winter; cultural; rural; ecological; |

| |
|---|
| health; religious; others - specify |
| 15. What amount (in BGN) you spent in the last 12 months for tourist trips, incl. transport, accommodation, food and additional tourist services (attractions, entertainment, shopping, etc.) - 0; 1-99; 100-499; 500 - 999; 1000 - 1999; 2000 and beyond |
| 16. Which major sources of information you use when planning travel trips (up to 2 answers) - travel agency materials; ads from television and print media; information from the Internet; information from relatives and friends; others - specify |
| 17. How often on your travels you use discounts or special conditions and programs designed for elderly people - never; rarely (less than 1/3 of the cases); often (around and over half of the cases); always |
| 18. If you have used such preferential terms, who has provided them (up to 3 answers) - travel agencies; places of accommodation; eating establishments; museums; The National Social Security Institute / The National Health Insurance Fund; trade unions; the employer; others (e.g. the church; political parties; NGOs and others) - specify |

# Bağımsız Denetçilerin Kilit Denetim Konularının Denetim Raporunda Bildirilmesine Yönelik Algılamaları ve Demografik Özellikleriyle İlişkisi Üzerine Pilot Bir Araştırma[1]

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**Özet:** 2000'li yılların başlarında yaşanan muhasebe ve denetim skandalları, denetim raporlarına olan güveni ciddi anlamda sarsmıştır. Bu da bilgi kullanıcılarının işletmeler hakkında daha açık, ayrıntılı ve güvenilir bilgi ihtiyacını gündeme getirmiştir. Bu ihtiyacı gidermek üzere denetim raporlarının şekli, kapsamı, anlaşılabilirliği ve taşıdığı değer yoğun bir şekilde tartışılmıştır. Bu tartışmalar neticesinde gerek uluslararası gerekse ulusal düzeydeki düzenleyici otoriteler yeni denetim standartları yayınlamışlardır. Uluslararası Muhasebeciler Federasyonu (IFAC), "ISA 701: Communicating Key Audit Matters in The Auditor's Reports" ve ülkemizde de Kamu Gözetimi Muhasebe ve Denetim Standartları Kurumu "BDS 701: Kilit Denetim Konularının Bağımsız Denetçi Raporunda Bildirilmesi" başlıklı yeni standartları yürürlüğe koymuşlardır. Standartlar denetim raporunda kilit denetim konularının bildirilmesine ilişkin denetçinin sorumluluğunu düzenlemektedir. Bu çalışmada, Türkiye'de faaliyet gösteren bağımsız denetçilerin kilit denetim konularının denetim raporunda bildirilmesine yönelik algılamaları ile demografik özellikleri arasındaki ilişkinin incelenmesi amaçlanmıştır. Kilit denetim konularının denetim raporunda bildirilmesine yönelik bağımsız denetçi algıları ile denetçinin demografik özellikleri arasındaki ilişkiyi gösteren çalışmalar bakımından literatürde önemli bir boşluk olduğu görülmüştür. Böylelikle, hem literatüre hem de uygulamaya yönelik bulgular sunması nedeniyle çalışmanın önemli olduğu düşünülmektedir. Araştırma kapsamında 106 sayıda bağımsız denetçiye yönelik anket çalışması gerçekleştirilmiştir. Çalışmada, konuya yönelik geliştirilen "kilit denetim konuları ölçeği"nden yararlanılmıştır. Veriler SPSS programında analiz edilmiştir. Araştırma sonucunda bağımsız denetçilerin demografik özelliklerinin (cinsiyet, yaş, öğrenim durumu, mesleki unvan, mezun oldukları bölüm ve faaliyette bulunulan il) kilit denetim konularına yönelik algılamalarında herhangi bir farklılık oluşturmadığı belirlenmiştir.

**Anahtar Kelime:** Kilit Denetim Konuları, Bağımsız Denetçi, Denetim Raporu

**Abstract:** The accounting and auditing scandals experienced in the early 2000s seriously shaken the confidence in audit reports. This situation has brought the users' need for more transparent, detailed, and reliable information about businesses. The form, content, comprehensibility, and value of the audit reports have been discussed intensively to fulfill this need. As a result, regulatory authorities at both international and national levels have issued new auditing standards. The International Federation of Accountants (IFAC) has issued new standards titled "ISA 701: Communicating Key Audit Matters in The Auditor's Reports" and, also in our country, Public Oversight, Accounting, and Auditing Standards Authority of Turkey "TSA 701: Communicating Key Audit Matters in the Independent Auditor's Report". The standards in question regulate the auditor's responsibility for communicating key audit matters in the audit report. This study examines the perceptions of independent auditors operating in Turkey for sharing key audit matters in the audit report and the relationship between their demographic characteristics. It has been observed that there is an essential gap in the literature in terms of studies showing independent auditors' perceptions regarding the communication of key audit matters in the audit report and the relationship between auditors' demographic characteristics. Therefore, the research is considered important, mainly because it presents both literature and practice findings. Within the scope of the study, a survey has been conducted with the participation of 106 independent auditors. In the study, the scale of key audit matters developed for this purpose has been used. The data have been analyzed in the SPSS program. As a result of the study, it has been determined that the demographic characteristics (gender, age, educational status, professional title, department from which they graduated, and province where they conduct activity) of the independent auditors do not make any difference in their perceptions about key audit matters.

**Keywords:** Key Audit Matters, Independent Auditor, Audit Report

[1] Bu çalışma ikinci yazarın danışmanlığında yürütülmekte olan doktora tezinden türetilmiştir.

## 1. GİRİŞ

Denetim ile ilgili ilk gelişmeler M.Ö 2000'li yıllarda Roma, Mısır ve Yunan uygarlıklarına dayanmaktadır. Sanayi devrimi sonrasında işletmeler çok uluslu yapıda faaliyet göstermeye başlamış ve işletmeler için denetim kavramı ayrı önem kazanmıştır. Denetim ile ilgili en önemli çalışmalar 13.yy'da Avrupa kıtasında gerçekleşmiştir. Denetim kavramı ilk defa 1844 yılında İngiltere de ortaya çıkmıştır (Philomena, 2007, 3).

2. Dünya Savaşından sonra büyük burhan etkileri azalmış, işletmeler ekonomik sıkıntıları geride bırakarak, yatırım sürecine girmiştir. İşletmelerin yatırım hızlarındaki gelişmeler denetim kavramını 1920 yıllarda İngiltere'den, Amerika kıtasına kaymasına neden olmuştur (Philomena, 2007, 3). 1920'li yıllarda denetim kavramının Amerika kıtasına kayması, birçok yeni kuruluşun Amerika Kıtasında oluşmasına neden olmuştur. Bunların en önemlisi, Uluslararası Muhasebeciler Federasyonu (International Federation of Accountants – IFAC)) ve bu kuruma bağlı Uluslararası Muhasebe Standartları Kuruludur (IASB - International Accounting Standards Board). Uluslararası Denetim Standartları kurulunun en temel amacı, uluslararası denetim standartlarının hazırlanması, yayılması ve geliştirilmesinin sağlanmasıdır (Durmuş, 2017,20).

Küreselleşmenin etkisiyle işletmeler kendi ülkelerin dışında faaliyet göstermeye başlamış ve Dünya'nın her yerinde geçerli olacak, tek tip kurallardan oluşan muhasebe standartlarına ihtiyaç duyulmaya başlanmıştır. Dünya'da geçerli tek tip muhasebe standartlarına uygun hazırlanan finansal tablolar uluslararası denetim standartlarının oluşmasını sağlamıştır. Uluslararası Denetim Standartlarının temeli Uluslararası Muhasebeciler Federasyonu tarafından oluşturulmuştur. Uluslararası Denetim ve Güvence Standartları Kurulu (International Auditing and Assurance Standard Board- IAASB) tüm dünyada geçerli olan Uluslararası Denetim Standartları (UDS) oluşturmuştur. Ülkemizde bu konuyla ilgili yetkili resmi kurum, Kamu Gözetim Kurumu (KGK) olup, uluslararası denetim standartlarını Türkiye şartlarına uyarlayarak Türkiye Denetim Standartlarını (TDS) oluşturmuştur (Can, 2017,30).

Uluslararası Denetim ve Güvence Standartları Kurulu, yeni denetim raporu tasarısı altında 2010 yılında ilk defa *"kilit denetim konuları"* başlığını oluşturarak, denetim kalitesini artırmak için gerekli olan bilgi ihtiyacını karşılamayı hedeflemiştir. Şubat 2013 yılında gerçekleşen toplantı sonucunda Uluslararası Denetim Standartları: 701, ilk olarak ayrı bir standart olarak tanımlanmıştır. Haziran 2013 yılında taslak olarak onaylanmış, diğer standartlar ve bölümlere uyumluluk araştırmaları tamamlandıktan sonra Ocak 2015'te yayınlanmıştır (Sarısoy, 2018, 68). Ülkemizde "BDS 701: Kilit Denetim Konularının Bağımsız Denetçi Raporunda Bildirilmesi Standardı", 09.03.2017 tarihinde, 30002 sayılı Resmi Gazetede yayınlanarak yürürlüğe girmiştir. BDS 701, Türk Ticaret Kanunun, 6102 Sayılı Kanunu uyarınca bağımsız denetime tabi şirketler için 01.01.2018 tarihinden sonraki dönemler için yürürlüğe girmiştir. Kilit denetim konularının denetim sektörüne getirmiş olduğu yenilik ve önemden dolayı bu çalışmada, Türkiye'de faaliyet gösteren bağımsız denetçilerin, kilit denetim konularının denetim raporlarında bildirilmesi ile ilgili yapılan değişiklerle ilgili görüşlere katılma düzeylerinin, denetçilerinin demografik özellikleri bakımından, farklılık olup olmadığının tespit edilmesi amaçlanmıştır.

## 2. KİLİT DENETİM KONULARI

Kilit denetim konuları, bağımsız denetçilerin bağımsız denetim sürecinde işletmeler için önemli olan konuları belirleyerek üst yönetime bildirilen konulardır. Denetçiler üst yönetime bildirmiş olduğu kilit denetim konularını belirlerken aşağıda yer alan hususları göz önünde bulundurmaktadır.

a. Önemli yanlışlık risklerinin yüksek olduğu denetim bölümleri,

b. Karmaşık ve anlaşılmayan muhasebe tahminleri,

c. Önemli işlem ve denetim olaylarının etkisi,

d. Denetim öncesi denetçilerin planlamış olduğu yaklaşımlarda meydana gelen önemli değişik içeren bölümler (KGK, BDS 701, 2013, 9).

Bağımsız denetçiler, bağımsız denetim sürecinde kilit denetim konularını belirlerken aşağıda yer alan özelliklere dikkat etmesi gerekmektedir.

a. Belirlenen konular işletmeye özgü olmalıdır,
b. Bağımsız denetim raporlarında kilit denetim konularının bildirilmesinde genel ve standartlaşmış kalıplar kullanılmamalıdır,
c. Kilit denetim konularında, uygulan denetim prosedürlerini detaylı bir şekilde aktarmak yerine, kilit denetim konularının işletmeye etkileri belirtilmedir,
d. Kilit denetim konularında raporda bildirilmesi, raporun görüşünü etkilememelidir,
e. Kilit denetim konularında raporda bildirilmesi, işletmelerin ilgili sorunları çözemediği imha edilmemeli ve konuların çözüm yollarını ilişkin bir bildirimde bulunulmamalıdır,
f. Kilit denetim konuların bildirilmesinde uzun listelerden kaçınılmalıdır (Şirin, 2016, 7-10).

Kilit denetim konularının bağımsız denetim raporlarında ayrıca belirtilmesinin temel amacı, bağımsız denetimin kalitesini artırmak ve finansal tablo okuyucularının finansal tabloları anlama kapasitesinin artırılmasını sağlamaktır (Can, 2017, 82).

## 2.1. Kilit Denetim Konularının Denetim Raporunda Bildirilmesi

Bağımsız denetçiler, denetim esnasında tespit ettikleri yanlışlıkları önemlilik seviyesine göre mesleki muhakeme, muhasebe standartları ve etik standartlar çerçevesinde değerlendirerek, işletmeye özgü kilit denetim konularını belirleyerek, denetim raporlarında bildirmektedir. Bağımsız denetçilerin, bilgi, eğitim düzeyi, mesleki tecrübesi ne kadar yüksekse, kilit denetim konuların tespiti ve bildirimi o kadar faydalı ve başarılı olacaktır. Bağımsız denetçiler, denetim sürecinde tespit etmiş olduğu, önem arz eden konuları belirleyerek denetim raporunda ayrı bir başlık altında belirtmektedir. Kilit denetim konularının ayrı bir başlık altında bildirilmesi, işletmeye özgü kilit denetim konularının finansal tablo okuyucularına anlaşılabilir bir şekilde ulaşmasını ve kilit denetim konularının öne çıkartılmasını sağlamaktadır (KGK, BDS 701, 2017, A31).

Bağımsız denetçiler, denetim raporunda bildirecek olduğu kilit denetim konularını mesleki tecrübe ve deneyimine bağlı olarak aşağıdaki sıralamayı göz önünde bulundurarak belirlemektedir.

a. Bağımsız denetçi denetim esnasında önemli konuları belirleyerek önemlilik sıralaması yapmaktadır,

b. Bağımsız denetçi belirlemiş olduğu kritik konuları üzerinden konularının önemlilik seviyesine göre üst yönetime bildirim yapmaktadır,

c. Bağımsız denetçi denetim sürecinde önem seviyesi en yüksek konuları belirleyerek, denetim raporları için kilit denetim konuları tespit etmektedir (KGK, BDS 701, 2013, 29).

Kilit denetim konuların raporlarda bildirilirken, teknik terimlerden uzak durularak, işletmeye özgü, finansal tablo okuyucularının anlayabileceği, faydalı bilgi sağlanması gerekmektedir. Kilit denetim konularının raporda belirtilmesi, üst yönetim ve denetçiler arasında ilişkinin kuvvetlenmesine yardımcı olmaktadır. Bağımsız denetçiler, kilit denetim konularının sebeplerini ve açıklamalarını belirtirken, uygun ve anlaşılabilir dil kullanmalı, kilit denetim konularını çalışma kâğıtlarıyla ilişkilendirmelidir (KGK, BDS 701, 2017, A36).

## 2.2. Kilit Denetim Konularının Denetim Raporunda Bildirilmesinin Sağladığı Faydalar

Kilit denetim konularının, denetim raporunda bildirilmesi, denetim sürecinin şeffaflığını artırarak, raporun iletişim değerinin artırılmasını sağlamaktadır. Kilit denetim konularının denetim raporunda bildirilmesi işletmeye özgü daha ayrıntılı bilgi taleplerini karşılanmasını sağlamaktadır. Kilit denetim raporunun denetim raporunda bildirilmesi, denetimin kalitesi ve güvenirliğinin arttırılmasını sağlamaktadır (Karacan, Uygun, 2016, 634).

Uluslararası Denetim Standartlarının, denetim raporlarının formatlarında yapmış olduğu değişiklikler sonucunda bağımsız denetim raporlarında kilit denetim konularının bildirilmesi ve ayrı raporlanması sağlanmıştır. Kilit denetim konularının raporda bildirilmesi;

a. Denetim Raporunun denetim sürecinin şeffaflığını artırarak ve bağımsız denetim iletişimsel değerini geliştirmiştir,

b. Bağımsız denetçi, üst yönetim ve finansal tablo okuyucuları arasında iletişim güçlendirmiş ve geliştirmiştir,

c. Bağımsız denetçilerin mesleki şüpheciliğini daha fazla kullanmasını sağlamıştır,

d. İşletmeye özgü önemli konuların raporda ayrı bir başlık altında toplanmasını sağlayarak, finansal tablo okuyucularının finansal tabloları daha iyi anlamasını sağlamıştır,

e. Denetim kalitesini, şeffaflığını artırarak, finansal tablolara olan güven seviyesini arttırmıştır (Karacan, Uygun, 2016, 634).

### 2.3. Kilit Denetim Konularının Denetim Raporunda Bildirilmesinin Bağımsız Denetçilere Getirdiği Sorumluluklar

BDS 701 Kilit Denetim Konularının Bağımsız Denetim Raporunda Bildirilmesi standardının, bağımsız denetçilere bir takım sorumluklar getirmiştir. Standardın bağımsız denetçilere getirmiş olduğu sorumluklar aşağıdaki gibidir:

a. Denetim esnasında, en önemli konuları belirleyerek, kilit denetim konusu olarak belirlenmesi,

b. Kilit denetim konularının tespit edilerek, üst yönetimden sorumlu olanlarla iletişime geçilmesi,

c. Kilit denetim konularını belirlenirken, BDS 701 standardın yer alan kilit denetim konuları ölçütlerinin kullanılması,

d. Kilit denetim konularının belirlendikten sonra, nedenlerinin açıklanması,

e. Kilit denetim konularının raporda bildirirken genel ve teknik bilgililerden kaçınılması,

f. İşletmelerin mahrem bilgilerini, kilit denetim konuları içerisinde yer vermemesi,

g. Kilit denetim konularını çalışma kâğıtları ile desteklenmesidir (Akkuş, 2017, 6).

## 3. LİTERATÜR İNCELEMESİ

Kilit denetim konularıyla ilgili ulusal ve uluslararası alanda birçok araştırma yapılmıştır. Ulusal alanda yapılan akademik çalışmalarda özellikle, BİST (Borsa İstanbul) 100'de yer alan firmaların bağımsız denetim raporlarını incelenmiş, şirketlerin faaliyet gösterdikleri sektörlere göre en önemli kilit denetim konuları tespit edilmiştir. Akdoğan ve Bülbül (2019), BİST 100'de işlem gören bağımsız denetim raporları üzerinde bir araştırma yapmış, araştırma sonucunda en çok hasılat, maddi duran varlıklar, karşılık ve yükümlülükler konularının raporda bildirildiğini belirtmişlerdir. Aktaş ve Acar (2020), BİST 100'de işlem gören bağımsız denetim raporları üzerinde bir araştırma yapmış, bağımsız denetim raporlarında en sık kullanılan kilit denetim konuları tespit edilmiştir. Ayrıca kilit denetim konularıyla önemlilik seviyeleri arasında ilişki T-Testi uygulanarak test edilmiş, önemlilik eşik değerleri, hesaplama yöntemine göre birbirinden farklılaşırken, 2017 ve 2018 yıllarında önemlilik seviyelerinde önemli bir farklılık görülmemiştir. Aydın ve Karapınar (2020), BİST'te işlem gören firmaların bağımsız denetim raporlarını inceleyerek, dört büyükler ve diğer bağımsız denetim firmalarının hazırlamış olduğu raporda belirtiği kilit denetim konu sayısı arasında anlamlı bir farklılık olup olmadığını araştırmıştır. Araştırma sonucunda, dört büyükler ve diğer bağımsız denetim firmalarının hazırlamış olduğu kilit denetim konu sayılarında anlamlı fark olduğu sonucuna ulaşmıştır. Çağıran ve Varıcı (2018), 2017 yılında BİST 100' de imalat sektöründe faaliyet gösteren şirketlerin bağımsız denetim raporlarını incelemiş, yapılan çalışma sonucunda imalat sektöründe en riskli kilit denetim konuları maddi duran varlıklar ve stoklar olduğunu tespit etmişlerdir. Kavut ve Güngör (2018), BİST 100'de yer alan işletmelerin bağımsız denetim raporlarında kilit denetim konularının dağılımlarını incelemişlerdir. Çalışma sonucunda farklı denetçilerin aynı sektörler için benzer konuları önemli bulduklarını belirlemişler, raporların amacına ulaşabilmesi için konuların anlaşılır bir dille yazılması, uzun anlatımlar ve gerekli olmayan açıklamalardan ve özellikle konuya ilişkin ayrı bir görüş verildiği izleniminden kaçınılması gerektiğini vurgulamışlardır. Yalçın (2020),

BİST 100'de faaliyet gösteren firmaların kilit denetim konuları incelemiştir, imalat alanında faaliyet gösteren 2017 – 2019 yılları arasında firmaların bağımsız denetim raporları üzerinden yer alan kilit denetim konuları sayısı, denetim firmasının ölçeğine, işletmenin sürekliliği hakkında belirsizliğine ve cari yılda meydana gelen denetçi değişimlerine göre farklılık gösterdiğini tespit etmiştir. Ciğer ve diğerleri (2018), BİST'de kayıtlı 400 şirket üzerine bir araştırma yaparak, kilit denetim konularını 32 başlıkta toplamışladır. Çalışma sonucunda Türkiye'de tespit edilen kilit denetim konu başlıklarının yurt dışı ülkelerinde tespit edilen kilit denetim konularıyla benzerlik gösterdiğini tespit etmişlerdir.

Ulusal literatürde BİST 100'de yer alan şirketlerin denetim raporlarının incelenmesiyle ilgili çalışmaların haricinde literatür de serbest muhasebeci mali müşavirler üzerine anket çalışmaları ve ARI Okunabilirlik Endeksi (Automated Readability Index) üzerine yapılan çalışmalar da mevcuttur.

Güleç (2020), kilit denetim konularıyla ilgili, serbest muhasebeci mali müşavirler, yeminli mali müşavirler ve akademisyenler üzerinde bir anket çalışması yapmıştır. Çalışma sonucunda, kilit denetim konularının, denetimin kalitesini artıracağını, denetim raporlarının daha şeffaf ve güvenilir olacağını, denetçilerin iş yükününün artmasına rağmen, denetim raporlama zamanını etkilemeyeceğini tespit etmiştir.

Akçay ve diğerleri (2020), Arı Okunabilirlik Endeksine göre, kilit denetim konularında cinsiyet ve sektör kavramlarının denetim konularının okunabilirliği üzerine bir etkisi olup olmadığını araştırmıştır. Araştırma sonucunda, kadın bağımsız denetçiler tarafından oluşturulan kilit denetim konularının okunabilirliğinin ve bankacılık sektörü için hazırlanan kilit denetim konularının okunabilirlik endeksinin, diğer sektörlere göre daha yüksek olduğu (okunabilirliğinin daha zor olduğunu) tespit edilmiştir.

Uluslararası literatürde kilit denetim konularıyla ilgili de birçok çalışma yapılmıştır. Uluslararası alanda yapılan çalışmalar özellikle, kilit denetim konularının denetim raporlarında bildirilmesinin yatırımcılara olan etkileri, denetçilere getirmiş olduğu sorumluluklar ve bağımsız denetim firmalarının büyüklüklerinin kilit denetim konuları üzerinde bir etkisinin olup olmadığının tespitine ilişkindir. Uluslararası literatürde yer alan kilit denetim konularıyla ilgili çalışmaların bazıları aşağıdaki gibidir.

Brasel ve diğerleri (2016), 528 denetçinin katılımıyla anket uygulaması yapmışlar, denetçilere iki farklı durumda aynı sorular iletilmiştir. Birinci durumda şirketle ilgili olumsuz bilgiler denetçilerle paylaşılmış, ikinci durumda şirketle ilgili bilgi paylaşımı yapılmadan anket sorularının cevaplanması istenmiştir. Yapılan çalışma sonucunda dışardan gelen bilgilerinin denetçilerinin görüşlerini etkilemediği, çalışmalarında önemlilik seviyesini baz alarak kilit denetim konularını belirledikleri tespit edilmiştir.

Doğan ve Arefaine (2017), PwC, EY, Deloitte, Grant Thorton firmalarında görev alan denetçiler üzere bir araştırma yapmıştır. Kilit denetim konularının denetim raporlarına eklenmesiyle birlikte, denetçilerin daha fazla muhasebe bilgisine sahip olması gerektiği, raporların standart rapor formatından uzaklaşarak işletmeye özgü denetim raporuna dönüştükleri tespit edilmiştir.

Li (2017), kilit denetim konularının faydaları üzerine yoğunlaşmış, Çin'de yer alan denetim raporları üzerinden bir araştırma yaparak, denetim raporlarında en riskli kilit denetim konuları belirlemiştir. Çalışma sonucunda, kilit denetim konuları Dünya'da yer alan ülkelerde belirlenen kilit denetim konularıyla benzerlik gösterdiği tespit edilmiştir.

Sakel ve Theis (2019), müşteri baskısı ve denetim raporunda kilit denetim konularının bildirilmesinin denetçi performansını etkileyip etkilemeyeceğiyle ilgili bir araştırma yapmışlardır. Araştırma 73 bağımsız denetçi üzerine Almanya'da gerçekleştirilmiştir. Yapılan çalışma sonucunda denetçinin müşteri baskısından etkilenemediği, kilit denetim konularını raporda bildirmesinin denetçi performansını olumlu etkilediği sonucuna ulaşılmıştır.

Tusek ve Jeotiva (2018), Hırvatistan'da yapmış oldukları bir çalışmada, dört büyük denetim firmaları ve yerel denetim firmalarının hazırlamış olduğu denetim raporlarını kilit denetim konuları üzerinden bir araştırma yaparak incelemiştir. Denetim raporlarında en yüksek riskli kilit denetim konusun gelir analizi olduğu, diğer riskli konuların değer düşüklüğü, değerleme ve karşılıkların diğer riskli konular olduğunu bulmuşlardır.

Vilk ve Walter (2017), Norveç'te 31.12.2016 tarihi itibariyle sona eren, beş büyük denetim firmasının hazırlamış olduğu 137 denetim raporunu, kilit denetim konularını açısından incelemiştir. Denetim firmalarının riskli gördüğü en önemli 5 konuyu, denetim firmalarının raporda sunumu, sorunu nasıl ele

aldıkları, kilit denetim konularının tespiti açısından her hangi bir fark olup olmadığını incelemiştir. Yapılan çalışmalar sonucunda kilit denetim konularının tespit edilip, rapora konu edilmesinin denetim firmaları açısından değişiklik gösterdiği sonucuna ulaşılmıştır.

## 4. ARAŞTIRMA METODOLOJİSİ

Araştırma, Türkiye'de faaliyet gösteren bağımsız denetçilerin, kilit denetim konularının bağımsız denetim raporlarında bildirilmesi ile ilgili yapılan değişiklerle ilgili görüşlere katılma düzeylerinin, denetçilerinin demografik özellikleri bakımından, farklılık olup olmadığının tespit edilmesi amacıyla hazırlanmıştır. Bu doğrultuda, bağımsız denetçilerin kilit denetim konularına yönelik yaklaşımları ve genel düşünceleri bağımsız denetçilere uygulanan bir anketle araştırılmıştır. Araştırma verilerinin analiz edilmesinde, veri gruplarının karşılıklı olarak incelemesinde T-testi analizi, veri grupları değişkenleri arasında oluşan ilişkileri tespit etmek amacıyla ANOVA testi kullanılmıştır.

Araştırmanın evreni, bağımsız denetçi unvanıyla Kamu Gözetim Kurumu'na kayıtlı meslek mensuplarından oluşmaktadır. Örneklem olarak ise, Türkiye'de faal olarak faaliyet gösteren bağımsız denetçiler seçilmiştir. Ocak 2021 tarihi itibariyle, Türkiye'de Kamu Gözetim Kurumuna bağlı 16.812 bağımsız denetçi bulunmakta olup, bu bağımsız denetçilerin 4.916 kişi faal olarak bağımsız denetim yapmaktadır. Araştırma için, 150 bağımsız denetçiye anket gönderilmiş, pilot araştırmanın değerlendirilmesi için 106 tanesi kullanılmıştır.

Araştırmanın yöntemi, faal olarak faaliyet gösteren bağımsız denetçilerin, kilit denetim konularının bağımsız denetim raporlandırma bildirilmesiyle ilgili denetçi görüşlerini tespit edilmesi için 5'li Likert Anket Yöntemi kullanılmıştır. Bağımsız denetçiler üzerinde uygulanan anket iki bölümden oluşmaktadır. Anket Formunun birinci bölümü için, bağımsız denetçilerin demografik özellikleriyle ilgili sorular belirlenmiştir. Anket Formunun ikinci bölümü için, bağımsız denetçilerin kilit denetim konularının bağımsız denetim raporunda bildirilmesiyle ilgili görüşlere katılma derecelerinin belirlenmesi amaçlanmıştır.

### 4.1. Güvenilirlik Analizi

Araştırmada kullanılan ölçeğin güvenirlik analizi için "Cronbach Alpha Değeri" hesaplanmıştır. Bu değer. 878 olarak hesaplanmış olup, ölçeğin yüksek derecede güvenilir olduğunu göstermektedir. Ankete katılan bağımsız denetçilerin kilit denetim konularının bağımsız denetim raporunda bildirilmesiyle ilgili görüşlere katılım düzeylerini ve kategorik özeliklerine göre dağılımını gösteren özet tablolar aşağıdaki gibidir.

Tablo 1: Ankete Katılan Bağımsız Denetçilerin Kategorik Özelliklerine Göre Dağılımı

| | | n | % |
|---|---|---|---|
| **Cinsiyet** | Erkek | 80 | 75% |
| | Kadın | 26 | 25% |
| **Yaş** | 20-30 | 21 | 20% |
| | 31-40 | 36 | 34% |
| | 41-50 | 33 | 31% |
| | 51 + | 16 | 15% |
| **Öğrenim Durumu** | Yüksek Lisans | 84 | 79% |
| | Lisans | 19 | 18% |
| | Doktora | 3 | 3% |
| **Mezun Olunan Bölüm** | İşletme | 70 | 67% |
| | Maliye | 19 | 18% |
| | İktisat | 1 | 1% |
| | Ekonometri | 11 | 10% |
| | Diğer | 4 | 4% |
| **Mesleki Unvan** | Denetçi Yardımcısı | 18 | 20% |
| | Denetçi | 55 | 62% |
| | Kıdemli Denetçi | 8 | 9% |

| | | | |
|---|---|---|---|
| | Baş Denetçi | 3 | 3% |
| | Sorumlu Ortak Baş Denetçi | 5 | 6% |
| **Mesleki Deneyim (Yıl)** | 1-5 | 30 | 29% |
| | 6 - 10 | 38 | 36% |
| | 11- 15 | 10 | 10% |
| | 16-20 | 11 | 10% |
| | 20+ | 16 | 15% |
| **Denetimde Bulunan İş Sayısı** | 1-5 | 45 | 52% |
| | 6-10 | 16 | 19% |
| | 11- 15 | 3 | 3% |
| | 16-20 | 4 | 5% |
| | 20+ | 18 | 21% |
| **Faaliyet Gösterilen İl** | İstanbul | 30 | 29% |
| | Ankara | 0 | 0% |
| | İzmir | 0 | 0% |
| | Bursa | 1 | 1% |
| | Antalya | 50 | 49% |
| | Diğer | 22 | 21% |

Tablo 2: Bağımsız Denetçilerin Kilit Denetim Konularının Bağımsız Denetim Raporunda Belirtilmesiyle İlgili Görüşlere Katılım Düzeylerinin Frekans Ortalama ve Standart Sapma Değerleri Sonuçları

| **İfade No** | **İfade** | **Ort.** | **ss** |
|---|---|---|---|
| Soru 2 | Denetim kalitesini artırır. | 4,24 | ,72 |
| Soru 17 | Finansal tablo okuyucularının, şirket hakkında olumsuz düşünmesine neden olur. | 2,17 | 1,13 |

N=106

Ankete katılan bağımsız denetçilerin vermiş olduğu yanıtlara istinaden, frekans ortalama ve standart sapma değer sonuçları incelendiğinde "Denetim kalitesini artırır" görüşlerine bağımsız deneticilerin en yüksek katılım gösterdikleri tespit edilmiştir. Ayrıca, bağımsız denetçilerin "Finansal tablo okuyucularının, şirket hakkında olumsuz düşünmesine neden olur" görüşlerine en düşük katılım düzeyi gerçekleştirdikleri tespit edilmiştir.

### 4.2. Araştırmanın Hipotezleri

Araştırma hipotezleri ise aşağıdaki şekilde oluşturulmuştur:

***H1:*** *Bağımsız denetçilerin demografik özelliklerine göre, kilit denetim konularının bağımsız denetim raporunda bildirilmesiyle ilgili belirtilen görüşlere katılma seviyeleri arasında fark vardır.*

***H1a****: Bağımsız denetçilerin cinsiyetlerine göre kilit denetim konuların bağımsız denetim raporunda bildirilmesiyle ilgili belirtilen görüşlere katılma seviyeleri arasında fark mevcuttur.*

***H1b:*** *Bağımsız denetçilerin yaş gruplarına göre kilit denetim konuların bağımsız denetim raporunda bildirilmesiyle ilgili belirtilen görüşlere katılma seviyeleri arasında fark mevcuttur.*

***H1c:*** *Bağımsız denetçilerin öğrenim durumlarına göre kilit denetim konuların bağımsız denetim raporunda bildirilmesiyle ilgili belirtilen görüşlere katılma seviyeleri arasında fark mevcuttur.*

***H1d:*** *Bağımsız denetçilerin mezun olduğu bölümlere göre kilit denetim konuların bağımsız denetim raporunda bildirilmesiyle ilgili belirtilen görüşlere katılma seviyeleri arasında fark mevcuttur.*

***H1e:*** *Bağımsız denetçilerin mesleki unvanlarına göre kilit denetim konuların bağımsız denetim raporunda bildirilmesiyle ilgili belirtilen görüşlere katılma seviyeleri arasında fark mevcuttur.*

***H1f:*** *Bağımsız denetçilerin mesleki deneyimlerine göre kilit denetim konuların bağımsız denetim raporunda bildirilmesiyle ilgili belirtilen görüşlere katılma seviyeleri arasında fark mevcuttur.*

***H1g:*** *Bağımsız denetçilerin fiilen bağımsız denetimde bulundukları iş sayısına göre kilit denetim konuların bağımsız denetim raporunda bildirilmesiyle ilgili belirtilen görüşlere katılım düzeylerinde fark mevcuttur.*

***H1h:*** *Bağımsız denetçilerin faaliyet gösterdikleri illere göre kilit denetim konuların bağımsız denetim raporunda bildirilmesiyle ilgili belirtilen görüşlere katılma seviyeleri arasında fark mevcuttur.*

### 4.3. Hipotezlerin Test Edilmesi

Ankete katılan bağımsız denetçilerin kilit denetim konuları ile ilgili görüşlere katılım düzeylerinin bağımsız denetçilerinin cinsiyetleri, yaşları, öğrenim durumları, mezun oldukları bölümlere, mesleki unvanlarına, meslek deneyimlerine ve mesleki faaliyetlerini gösterdikleri illere göre bir fark olup olmadığının tespiti için t-testi, tek yönlü varyans analizi gerçekleştirilmiştir. Ankete katılan bağımsız denetçilerinin kilit denetim konularının bağımsız denetim raporunda bildirilmesiyle ilgili görüşlere katılım düzeylerinin bağımsız denetçilerin cinsiyetlerine göre bir farklılaşma olup olmadığının incelemek için t-testi gerçekleştirilmiştir. Analiz sonucunda **H1a hipotezi reddedilmiştir,** bağımsız denetçilerin kadın ya da erkek olmasına göre kilit denetim konularının algılamaları farklılık göstermemektedir.

Tablo 3: T-testi

| | Cinsiyet | N | Ort. | ss | p |
|---|---|---|---|---|---|
| Kilit denetim konuları | Erkek | 80 | 3,58 | ,52 | .809 |
| | Kadın | 26 | 3,54 | ,81 | |

Bağımsız denetçilerinin kilit denetim konularının bağımsız denetim raporunda bildirilmesiyle ilgili görüşlere katılım düzeylerinin bağımsız denetçilerin **yaşlarına** göre bir farklılaşma olup olmadığının test etmek için Tek Yönlü Varyans Analizi uygulanmıştır.

Tablo 4: Yaşlara Göre Tek Yönlü Varyans Analizi

**ANOVA**

| | Kareler toplamı | df | Ort. Kare | F | p |
|---|---|---|---|---|---|
| Gruplar arası | ,099 | 3 | ,033 | ,088 | ,966 |
| Gruplar içi | 38,121 | 102 | ,374 | | |
| Total | 38,220 | 105 | | | |

Tek Yönlü Varyans Analizi sonucunda p: .966 > 0,05 değerinden büyük olduğundan **H1b hipotezi reddedilmiştir.** Bağımsız denetçilerinin, bağımsız denetim raporlarında kilit denetim konularının bildirilmesiyle ilgili görüşlere katılma düzeylerinin, %5 hata düzeyinde bağımsız denetçilerinin yaşlarına göre anlamlı bir fark olmadığı söylenebilir. 20-30 yaş için ort:3,59 (ss:.68), 31-40 yaş için ort:3.56 (ss:.60), 41-50 yaş için 3,59 (ss:.53) ve 51 yaş üzeri için ort.3,57 (ss:.60) olarak hesaplanmıştır. Dolayısıyla denetçiler için kilit denetim konuları algılama düzeyi birbirine çok yakın olarak hesaplanmıştır.

Ankete katılan bağımsız denetçilerinin kilit denetim konularının bağımsız denetim raporunda bildirilmesiyle ilgili görüşlere katılım düzeylerinin bağımsız denetçilerin **öğrenim durumlarına** göre bir farklılaşma olup olmadığının test etmek için Tek Yönlü Varyans Analizi uygulanmıştır.

Tablo 5: Öğrenim Durumlarına Göre Tek Yönlü Varyans Analizi

**ANOVA**

| | Kareler toplamı | df | Ort. Kare | F | p |
|---|---|---|---|---|---|
| Gruplar arası | ,275 | 2 | ,137 | ,373 | ,690 |
| Gruplar içi | 37,945 | 103 | ,368 | | |
| Total | 38,220 | 105 | | | |

Tek Yönlü Varyans Analizi sonucunda p: .690 > 0,05 değerinden büyük olduğundan **H1c hipotezi reddedilmiştir.** Bağımsız denetçilerinin, bağımsız denetim raporlarında kilit denetim konularının bildirilmesiyle ilgili görüşlere katılma düzeylerinin, %5 hata düzeyinde bağımsız denetçilerinin öğrenim durumlarına göre anlamlı bir fark olmadığı söylenebilir. Lisans mezunları için ort:3,57 (ss:.56), yüksek lisans mezunları için ort:3.53 (ss:.80), doktora mezunları için ort: 3,86 (ss:.21) olarak hesaplanmıştır.

Ankete katılan bağımsız denetçilerinin kilit denetim konularının bağımsız denetim raporunda bildirilmesiyle ilgili görüşlere katılım düzeylerinin bağımsız denetçilerin mezun oldukları bölümlere göre bir farklılaşma olup olmadığının test etmek için Tek Yönlü Varyans Analizi uygulanmıştır.

Tablo 6: Mezun Oldukları Bölüme Göre Tek Yönlü Varyans Analizi

**ANOVA**

| | Kareler toplamı | df | Ort. kare | F | P** |
|---|---|---|---|---|---|
| Gruplar arası | 2,941 | 4 | ,735 | 2,090 | ,088 |
| Gruplar içi | 35,183 | 100 | ,352 | | |
| Total | 38,123 | 105 | | | |

**P: 0,10

Tek Yönlü Varyans Analizi yapılan analiz sonucunda p: .088 < 0,10 değerinden küçük olduğundan **H1d hipotezi kabul edilmiştir.** Bağımsız denetçilerinin, bağımsız denetim raporlarında kilit denetim konularının bildirilmesiyle ilgili görüşlere katılma düzeylerinin, %10 hata düzeyinde bağımsız denetçilerinin mezun oldukları bölümlere göre anlamlı bir fark olduğu söylenebilir. İşletme bölümü mezunları için ort:3,56 (ss:.66), iktisat bölümü mezunları için ort:3.31 (ss:.37), Ekonometri bölümü mezunları için ort: 3,70 (ss:.00), maliye bölümü mezunları için, ort: 3,83 (ss:.22) ve diğer bölümlerden mezun olan kişilerin ort: 4,05 (ss:.65) olarak hesaplanmıştır.

Ankete katılan bağımsız denetçilerinin kilit denetim konularının bağımsız denetim raporunda bildirilmesiyle ilgili görüşlere katılım düzeylerinin bağımsız denetçilerin **mesleki unvanlarına** göre bir farklılaşma olup olmadığının test etmek için Tek Yönlü Varyans Analizi uygulanmıştır.

Tablo 7: Mesleki Unvanlarına Göre Tek Yönlü Varyans Analizi

**ANOVA**

| | Kareler toplamı | df | Ort. kare | F | P |
|---|---|---|---|---|---|
| Gruplar arası | 3,051 | 4 | ,763 | 2,004 | ,101 |
| Gruplar içi | 31,975 | 84 | ,381 | | |
| Total | 35,026 | 88 | | | |

Tek Yönlü Varyans Analizi sonucunda p: .101 > 0,05 değerinden büyük olduğundan **H1e hipotezi reddedilmiştir.** Bağımsız denetçilerinin, bağımsız denetim raporlarında kilit denetim konularının bildirilmesiyle ilgili görüşlere katılma düzeylerinin, %5 hata düzeyinde bağımsız denetçilerinin mesleki unvanlarına göre anlamlı bir fark olmadığı söylenebilir. Denetçi yardımcıları için ort:3,86 (ss:.70), denetçiler için ort:3.41 (ss:.56), kıdemli denetçiler için ort: 3,68 (ss:.59), baş denetçiler için, ort: 3,72 (ss:.70) ve sorumlu ortak baş denetçiler için ort: 3,45 (ss:.93) olarak hesaplanmıştır.

Ankete katılan bağımsız denetçilerinin kilit denetim konularının bağımsız denetim raporunda bildirilmesiyle ilgili görüşlere katılım düzeylerinin bağımsız denetçilerin **mesleki deneyimlerine** göre bir farklılaşma olup olmadığının test etmek için Tek Yönlü Varyans Analizi uygulanmıştır.

Tablo 8: Mesleki Deneyimlerine Göre Tek Yönlü Varyans Analizi

**ANOVA**

| | Kareler toplamı | df | Ort. kare | F | p |
|---|---|---|---|---|---|
| Gruplar arası | ,414 | 4 | ,104 | ,274 | ,894 |

| | | | | | |
|---|---|---|---|---|---|
| Gruplar içi | 37,803 | 100 | ,378 | | |
| Total | 38,218 | 104 | | | |

Tek Yönlü Varyans Analizi sonucunda p: .894 > 0,05 değerinden büyük olduğundan **H1f hipotezi reddedilmiştir.** Bağımsız denetçilerinin, bağımsız denetim raporlarında kilit denetim konularının bildirilmesiyle ilgili görüşlere katılma düzeylerinin, %5 hata düzeyinde bağımsız denetçilerinin mesleki deneyimlerine göre anlamlı bir fark olmadığı söylenebilir. 1-5 yıl meslek deneyimlere sahip olanlar için ort:3,58 (ss:.56), 6-10 yıl meslek deneyimlere sahip olanlar için ort:3,56 (ss:.64), 11-15 yıl meslek deneyimlere sahip olanlar için ort:3,55 (ss:.59), 16-20 yıl meslek deneyimlere sahip olanlar için ort:3,71 (ss:.70) ve 20 yıl üzeri meslek deneyimlerine sahip olanlar için ort: 3.46 (ss:.70) olarak hesaplanmıştır.

Ankete katılan bağımsız denetçilerinin kilit denetim konularının bağımsız denetim raporunda bildirilmesiyle ilgili görüşlere katılım düzeylerinin bağımsız denetçilerin fiilen bağımsız denetimde bulundukları **iş sayısına** göre bir farklılaşma olup olmadığının test etmek için Tek Yönlü Varyans Analizi uygulanmıştır.

Varyansların homojenliklerin tespit edilmesi için, Levene Testi uygulanmaktadır. Uygulanan Levene Test sonuçlarına göre, significance level (önem düzeyi) (p) = 0,01>α=0,05 değerinden küçük olduğu için %5 hata seviyesinde varyansların homojen olmadığı söylenir. Homojen dağılmayan varyanslar için post hoc testlerinden Tamhane's T2 testi uygulayarak analizler yapılır.

Tamhane's T2 testi analizi sonuçlarına göre Mean Difference bölümünde yıldızlı her hangi bir veri bulunmadığı için **H1g hipotezi RED edilmiştir.** Bağımsız denetçilerinin, bağımsız denetim raporlarında kilit denetim konularının bildirilmesiyle ilgili görüşlere katılma düzeylerinin, %5 hata düzeyinde bağımsız denetçilerinin fiilen bağımsız denetimde bulundukları iş sayısına göre anlamlı bir fark olmadığı söylenebilir.

Ankete katılan bağımsız denetçilerinin kilit denetim konularının bağımsız denetim raporunda bildirilmesiyle ilgili görüşlere katılım düzeylerinin bağımsız denetçilerin **faaliyette bulundukları illere göre** bir farklılaşma olup olmadığının test etmek için Tek Yönlü Varyans Analizi uygulanmıştır.

Tablo 9: Faaliyette Bulundukları İllere Göre Varyans Analizi

**ANOVA**

| | **Kareler toplamı** | **Df** | **Ort. kare** | **F** | **p** |
|---|---|---|---|---|---|
| Gruplar arası | 1,163 | 3 | ,388 | 1,179 | ,322 |
| Gruplar içi | 32,533 | 99 | ,329 | | |
| Total | 33,696 | 102 | | | |

Tek Yönlü Varyans Analizi sonucunda p: .322 > 0,05 değerinden büyük olduğundan **H1h hipotezi reddedilmiştir.** Bağımsız denetçilerinin, bağımsız denetim raporlarında kilit denetim konularının bildirilmesiyle ilgili görüşlere katılma düzeylerinin, %5 hata düzeyinde bağımsız denetçilerinin faaliyette bulundukları illere göre anlamlı bir fark olmadığı söylenebilir. İstanbul ilinde faaliyet gösteren denetçiler için ort: 3,47 (ss:.70), Bursa ilinde faaliyet gösteren denetçiler için ort: 3,06 (ss:.0), Antalya ilinde faaliyet gösteren denetçiler için ort: 3,60 (ss:.53) ve diğer illerinde faaliyet gösteren denetçiler için ort: 3,73 (ss:.44) olarak hesaplanmıştır.

## 4. SONUÇ

Denetim sürecinin geçmişi M.Ö 2000'li yıllara kadar uzanmaktadır. Sanayi devrimiyle birlikte, ticaret Dünya geneline yaygınlaşmıştır. Ticaretin hacminin her geçen gün biraz daha artması, uluslararası ticaretin başlamasına neden olmuştur. İşletmeler uluslararası alanda faaliyet gösterdikçe, faaliyet gösterilen ülkelerin yasa ve kurallarına uygun olarak işlem yapılma gereksinimi doğmuştur. Ülkeler arasında meydana gelen yasa ve kural farklıkları tek tip bir muhasebe ve raporlama standartları

gereksinimi doğmuştur. Uluslararası alanda meydana gelen bu değişikler denetim sürecine ayrı bir önem sağlamıştır. Çok uluslu coğrafyada faaliyet gösteren işletmelerin denetime olan gereksinimler artmıştır. Uluslararası Denetim ve Güvence Standartları Kurulu bu konu hakkında birçok çalışma yapmıştır. Uluslararası Denetim ve Güvence Standartları Kurulu'nun yapmış olduğu yayınların içerisinde en önemlilerinden bir tanesi, Yeni Bağımsız Denetim Raporu Projesi'dir. İlgili projeyle ilk defa uluslararası denetim ve raporlama alanında "kilit denetim konuları" ayrı bir başlık altında değerlendirilerek raporda belirtilme zorunluluğu getirilmiştir. Ülkemizde ilgili politika 2018 yılında halka açık şirketlerin denetim raporlarında yer almıştır ve bu kapsamda denetim raporunun görüş kısmında bir takım yeniliklere gidilmiştir.

Bu çalışma IAASB'nin getirmiş olduğunu "Yeni Bağımsız Denetim Raporu Projesinde" yer alan Kilit Denetim Konularının daha detaylı anlamak, Kilit denetim konuları kavramının bağımsız denetim raporlarında getirdiği yenilikler tespit ederek, bu görüşlerin bağımsız denetçiler üzerinde etkileri daha detaylı tespit etmek amacıyla yapılmıştır.

Kilit denetim konularının bağımsız denetim raporunda bildirilmesinin bağımsız denetim raporunda meydana gelen bir takım değişiklikleri bağımsız denetçilerinin görüşlerinin tespit edilmesi amacıyla bir anket çalışması hazırlanmıştır.

Anket çalışması; Kilit Denetim Konularının bağımsız denetim raporunda bildirilmesinin, bağımsız denetçiler üzerinde etkilerini tespit etmek ve denetçilerinin demografik özellikleri bakımından, kilit denetim konularının denetim raporlarında belirtilmesiyle ilgili görüşlere katılma düzeyleri arasında oluşan farklılıkların tespit edilmesi amacıyla hazırlanmıştır. Anket bağımsız denetçilerin demografik özelliklerini içeren ve kilit denetim konuları ilgili görüşlere kapsayacak şekilde iki bölümden oluşmaktadır. Anket Türkiye'de Kamu Gözetim Kurumu'na bağlı olarak faaliyet gösteren, 106 bağımsız denetçi üzerine uygulanmıştır.

Anket, bağımsız denetçilerin demografik özelliklerine göre kilit denetim konularının bağımsız denetim raporunda belirtilmesiyle ilgili görüşlere katılım düzeylerinde farklıkların tespiti için hazırlanmıştır. Bağımsız denetçilerin, cinsiyet, yaş, öğrenim durumu, mezun oldukları bölüm mesleki unvan, deneyim ve faaliyet gösterdikleri illere göre görüşlere katılım düzeyleri incelenmiştir.

Bağımsız denetçilerin anketlere vermiş olduğu cevaplar üzerinden oluşturan hipotezlere göre, cinsiyet, yaş öğrenim durumu, mesleki unvan, faaliyet gösterdikleri illere göre ankette yer alan sorulara katılım düzeylerinde anlamlı bir fark olmadığı, mezun oldukları bölümlere göre ise anlamlı bir farklılık olduğu tespit edilmiştir.

Literatürde, bağımsız denetçilerin demografik özelliklerinin kilit denetim konularıyla ilgili görüşlere katılma düzeyleriyle etkileriyle ilgili hazırlanan her hangi bir çalışma yer almamaktadır. Güleç (2020), kilit denetim konularıyla ilgili, serbest muhasebeci mali müşavirler, yeminli mali müşavirler, akademisyenler üzerine bir anket çalışması uygulamış, çalışma sonucunda, kilit denetim konularının, denetim kalitesini artıracağının, denetim raporlarının daha şeffaf ve güvenilir olacağının, denetçinin iş yükünü artıracağını fakat denetim raporlama zamanı etkilemeyeceğini tespit etmiştir.

Sonuç, olarak, kilit denetim konularının bağımsız denetim raporlarında bildirilmesi, bağımsız denetçilerin bağımsız denetim sürecinde mesleki şüphecilikle ve daha disiplinli çalışarak, denetim kalitesini ve şeffaflığını artırmaktadır. Denetim raporlarının standartlaşmış kalıplardan uzaklaştırarak, işletmeye özgü denetim raporları hazırlanmasını sağlamaktadır. Bağımsız denetçiler ve üst yönetim arasında iletişim düzeyi artırarak, bağımsız denetim sürecinde tespit etmiş olduğu kritik konularını öğrenme ve değerlendirme imkânı sağlamaktadır.

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# Kişi Başına Düşen Sağlık Harcamalarının Kamu ve Özel Sağlık Harcamaları Yönünden Değerlendirilmesi: OECD Bölgesi İçin Panel Veri Analizi

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**Özet:** Bu çalışmanın amacı sağlık harcamalarını belirleyen unsurları ve sağlık harcamalarının ülkeler arasında neden farklılık gösterdiğini OECD ülkeleri özelinde 1993-2019 periyodunda ampirik olarak ortaya koymaktır. Üç farklı modelin kullanıldığı çalışmada kamu harcamalarının bağımlı değişken olduğu analiz sağlık harcamalarında kamunun yüksek payda olduğunu göstermektedir. Bu durum akıllara kamu kesimi harcamalarının özel kesim harcamalarını dışlaması olarak bilinen croding out (dışlama etkisi)'ni getirmektedir. Üç model toplu olarak değerlendirildiğinde doktor sayısındaki artış sağlık harcamalarını azaltırken kişi başında ilaç harcamaları, doğurganlık oranı, şehirleşme oranı 65 ve üzeri yaşın nüfustaki payının artışı ve kişi başı GSYİH sağlık harcamalarını arttırmaktadır.

**Anahtar Kelimeler:** Sağlık Harcaması,Panel Regresyon,OECD

# Evaluation of the Health Expenses Per Person for Public And Private Health Expenses: Panel Data Analysis For OECD Region

**Abstract:** The aim of this study is to examine the factors that determine health spending and why health spending differs between countries in OECD countries. The analysis used covers the period 1993-2019. In the study, in which three different models are used, the analysis that public expenditures are dependent variable shows that the public has a high share in health expenditures. This suggests the crowding out known as the exclusion of public sector expenditures from private sector expenditures. When the three models are evaluated collectively, the increase in the number of doctors reduces health expenditures, while drug expenditure per capita, fertility rate, urbanization rate increase the population share of 65 and over age population and GDP per capita increase health expenditures.

**Key Words:** Health Expenditure,Panel Regression,OECD

## 1. GİRİŞ

İnsanoğlunun en değerli hazinesi olan sağlığın korunması ve devamlılığının sağlanması maksadıyla sağlıkla ilişkili mal ve hizmet üreten tüm kurum ve kuruluşların meydana getirdiği yapıya sağlık sektörü denilmektedir. Sağlık sektörünce gerçekleştirilen tüm faaliyetler de sağlık hizmeti olarak adlandırılmaktadır (Ersöz, 2008:96). Bu bağlamda toplumu oluşturan bireylerin sağlıklı yaşaması, sağlığını kaybedenlerin tekrar sağlığına kavuşması veya kayıpların en aza indirgenmesi yoluyla, insanın yaşam kalitesine temel olan sağlık donanımının mümkün olan en üst seviyede tutulması için sunulan hizmetler sağlık hizmetleri olarak adlandırılmaktadır. Sağlık hizmetleri, sağlık harcamaları ile desteklenmektedir. (Ateş, 2011:10). Kamusal özellikte olan sağlık harcamaları hem sağlık hizmeti alan kişilere hem de bu kişilerin çevresinden başlayarak topluma pozitif dışsallık[1]sağlamaktadır. Pozitif dışsallık kamunun sağlık sektörüne müdahalesinin ve/ veya faaliyette bulunmasının temel gerekçelerindendir (Stiglitz, 1988:44). Sağlık hizmetlerinin büyük bölümünü oluşturan koruyucu hizmetler tam kamusal mal olarak kabul edilmektedir. Bununla birlikte koruyucu hizmetler dışında kalan hizmetler ise yarı kamusal mal olarak kabul edilmektedir (Altunöz,2020: 86). Bu nedenle koruyucu hizmetler haricindeki hizmetlerin piyasada alınıp satılması gerçekleştirilebilmektedir. Aynı zamanda düşük gelirli kesimin hem adil gelir dağılımına ulaşabilmesi hem de sağlık hizmetlerinden faydalanabilmesi için kamu müdahalesi önem taşımaktadır.

[1] Kendi faydasını arttırmak amacıyla ekonomik birimlerin aldığı kararların birbirinden bağımsız bir başka ekonomik birimin kararını dolaylı veya dolaysız etkilemesiyle meydana gelen kavramdır. Başka ekonomik birimin kararı olumlu etkilenirse pozitif, olumsuz etkilenirse negatif dışsallıktan söz edilir.

Son yıllarda OECD ülkelerinin sağlık harcamalarında meydana gelen belirgin artış, sağlık politikalarının verimliliğinin ve etkinliğinin sorgulanmasını da beraberinde getirmiştir. Her ne kadar sağlık harcamalarındaki artış doğrultusunda etkin ilaçların geliştirilmesi ve kaliteli sağlık hizmeti sunulması, yaşam süresini ve yaşam kalitesini arttırsa da sağlık harcamalarındaki artış kamu bütçesi üzerinde baskı oluşturabilmektedir. Ayrıca birçok Avrupa ülkesinde kamu sağlık harcamalarındaki artış hızı ekonomik büyümeden daha hızlı gerçekleşmektedir.

Sağlık harcamaları genellikle kısa dönemde gider olarak düşünülse de uzun dönemde yatırım harcaması olarak kabul edilmektedir. Beşerî sermayenin sağlık ve eğitim olmak üzere iki temel üzerine inşa edildiği düşünüldüğünde bu iki alana yapılan yatırımların bireylerin beşerî sermaye seviyelerini doğrudan etkileyebileceği söylenebilir. Bloom, Canning (2000) ise sağlığın beşerî sermayenin temel dinamiklerinden biri olduğunu savunmaktadırlar. Beşerî sermaye fiziki sermayeden farklılık göstermektedir. Beşerî sermaye üretim sürecinin içinde olan diğer faktörlerin verimli ve etkin biçimde kullanılmasını, yeni teknolojilerin geliştirilmesini ve bu teknolojilerin rasyonel şekilde kullanılmasını sağlamaktadır. Ayrıca beşerî sermayenin önemli bileşenlerinden biri olan sağlık göstergeleri ile ülkelerin gelişmişlik düzeyi arasında pozitif bir ilişkinin var olduğu kabul edilmektedir.

Sağlık göstergeleri her bir ülke için sağlık harcamaları, doğum beklentisi, ortalama yaşam süresi, çocuk ölüm oranları gibi farklı değişkenler şeklinde inceleme alanı bulabilmektedir. Bu çalışmanın amacı sağlık harcamalarını belirleyen unsurları ve sağlık harcamalarının üzerindeki etkisini OECD ülkeleri özelinde ampirik olarak ortaya koymaktır. Çalışmanın ampirik kısmında elde edilen en son verilerin kullanılacak olması ile çalışmanın özgünlüğünün artacağı düşünülmektedir. Ayrıca literatürde sağlık harcamaları ile ilgili çalışmaların geneli makroekonomik değişkenlerle ilişkilerinin incelenmesi şeklinde kümelenmektedir. Bu bağlamda bu çalışmanın analiz kısmında bağımlı değişken olarak hem kişi başına düşen sağlık harcamaları hem de kişi başına düşen özel sağlık harcamalarını ve kişi başına düşen kamu harcamaları özelinde 3 farklı model oluşturularak çalışmanın özgünlüğünün arttırılması amaçlanmaktadır.

## 2. SAĞLIK SEKTÖRÜNDE KAMU VE ÖZEL KESİMİN ROLÜ VE SALIK SİSTEMİ MODELLERİ

Ülkelerin sağlık harcamalarının finansmanında özel ve kamu ayırımı ülkenin gelişmişlik düzeyi, özel ve kamu sektörünün verimlilik payı, ülkenin sosyo-ekonomik yapısı gibi pek çok faktörden etkilenmektedir. Genelde devletin sağlık hizmeti ve sağlık harcamalarında baskın olması gerektiğini savunan görüşün yanında geleneksel rolünde değişikliğe gidilmesini ve devletin sağlık hizmeti finansmanı ve sunumundan ziyade denetim ve düzenleme görevini üstlenmesini gerektiğini savunan görüş birçok ülkede taraftar bulmaktadır. Bu iki görüşün yanında üçüncü bir görüşe göre özel ve kamu sektörünce oluşturulacak ortaklıkla her bir sektör kendi başına sağlayacağından daha fazla kaynak ve etkinlik oluşturabilir. Fakat oluşturulacak ortaklık rekabet değil, bir iş birliği şeklinde olmalıdır (Çetin ve Ecevit,2010: 180).

OECD ülkelerinde kamu ve özel sektörün sağlık hizmetleri sunumundaki ağırlıkları farklı olup standart bir model uygulanması bulunmamaktadır. Sağlık konusunun tamamen kamu veya tamamen özel sektöre bırakılmamasının başlıca nedenleri ise şu şekilde sıralanabilir (Giray ve Taşdelen, 2018: 276).

- Türkiye'de olduğu gibi diğer OECD ülkelerinde de kamu sağlık sektöründeki yoğun bürokrasi, acil durumlarda hayati sorunları beraberinde getirmektedir. Bu nedenle kamu sağlık sektörüne alternatif olarak özel sağlık sektörüne gereksinim duyulmuştur.
- Devlet kuruluşlarının temel misyonlarından biri kamu yararını gözetmektir. Bununla birlikte devlet kuruşlularının büyük bölümü genellikle toplumun güçlü kesimlerinin kontrolündedir. Bu durum belirli kesimin devletin sağlık hizmetlerinden yeterli şekilde yararlanabilmesini engellemektedir. Sonuç olarak oluşan talep özel sağlık sektörün varlığını gerekli kılmaktadır.
- Sağlık hizmetini talep eden hasta ile arz eden hekim arasında mevcut olan bilgi asimetrisi kamu müdahalesini zorunlu kılmaktadır.
- Sağlık "Yarı kamusal mal" özelliği taşımaktadır. Sağlık hizmetinin olması gereken nicelik ve nitelikte arz edilememesi ve topluma sağladığı dışsal faydaları sebebiyle tümüyle özel sektöre bırakılmasına sıcak bakılmamaktadır.

- Salgın dönemlerinde bulaşıcı hastalıkların varlığı yalnızca hastalığın temas ettiği bireyleri değil tüm toplumu ilgilendiren bir durum haline gelecektir. Dolayısıyla bu tür sorunlarla karşılaşan bireylerin sorunun çözümü için hizmet araması ya da hizmetin satın alınmasını beklemek başkalarının sağlığını etkileyeceğinden kamunun müdahalesini gerektirmektedir.

Tüm bu nedenlerden dolayı ülkeler sağlık harcamalarının kontrolü, hastaların tedavilerini gerçekleştirilmesi ve vatandaşlarının sağlıklı bireyler olabilmesi gibi mali amaçlarla çeşitli sağlık finansman modelleri geliştirmişlerdir. Bu modellerin temel dinamiklerini ise sağlık hizmetlerinin kaynakları, sözkonusu kaynakların organizasyonu ve yönetimi, Finansmanı ve sunumu oluşturmaktadır (Culyer ve Newhouse, 2000:13-19). Tablo 1'de temel sağlık finansman modeller izlenebilmektedir.

Tablo 1: Sağlık Finansman Modelleri

| **Finansman Modeli** | **Beveridge Modeli** | **Bismarck Modeli** | **Özel Sağlık Sigortası (ABD Modeli)** |
|---|---|---|---|
| Karar mekanizması | Devlet karar verir ve yönetir | Sigorta fonu ile hekim birlikleri karar verir ve yönetir. | Özel Girişim |
| Kaynaklar | Vergiler | Sigorta Primleri | Özel Finansman |
| Sağlık Hizmeti Sunucuları | Kamu | Kamu/özel | Özel |

Kaynak: Tatar (2011:108)

Bu modellerden ilki kamu bütçesine dayalı olan **Beverdige Modeli**'dir. Bu modelde sağlık harcamaları yerel ya da genel kamu bütçelerinden karşılanmaktadır. Beveridge modelinde devlet, bütçe vasıtasıyla sağlık hizmetlerinin finansmanını kontrol etmekte, vatandaşların tümü belirlenen katkı paylarını ödemeleri dışında sağlık hizmetlerine ücretsiz olarak erişmektedirler. Ayrıca bu sistemde verdikleri sağlık hizmeti karşılığında hekimlere maaş ya da kişi başına ödeme yöntemi söz konusudur (Uğurlu,2018: 52). OECD'nin 20 kurucu üyesinden Lüksemburg, Hollanda, Avusturya, Belçika Almanya, Fransa ve İsviçre Sağlık sisteminde Beveridge modelini kullanmaktadır. Böylelikle sağlık hizmetleri, devlet eliyle vergiye dayalı olarak finanse edilerek halka sunulmaktadır. Diğer bir model ise zorunlu kamu sigortası sistemi olarak da bilinen **Bismarck Modeli**'dir. Doğu ve Batı Almanya'nın birleşmesi ile Almanya için refah devletin tanımı içinde tasarlanan Bismarck Modeli'nin temelini sigorta sistemi oluşturmaktadır. Söz konusu sigortanın finansmanı işçi ve işveren bodro kesintilerinden karşılanmaktadır (Daştan ve Çetinkaya, 2015: 107). Sistem kâr amacı gütmemekte ve vatandaşın tümünü kapsamayı amaçlanmaktadır (Barnighausen ve Sauerborn, 2002:1560). Sağlık harcamalarının finansmanına dolaylı vergilerden ve hazineden katkı sağlanabilmektedir. Ayrıca Bismarck modelinde sağlık harcamalarının finansmanı primlerden elde edilen kamu dışı yöntemlerle de toplanabilmektedir (Sigorta kurumları). Hastalık fonlarının hastane, aile hekimi ve diğer sağlık hizmeti sunucusu kurumlarla sözleşme yapmaları veya hizmet karşılığı ödemede bulunmaları söz konusudur. Almanya, Hollanda, Fransa, Belçika, İsviçre, Japonya ve bazı Latin Amerika ülkelerinde uygulanan bu modelde doktorlar ve hastanelerin genel eğilimi özel olma şeklindedir ve hastalık risklerine karşı tedavi edici ve ayakta bakım hizmetlerini kapsayan sigortalama yapılmaktadır. **Özel Sağlık Sigortası Modelinde (ABD Modeli)** ise özel sigorta şirketleri sağlık hizmetleri ile özel sağlık sigortası finansmanında geri ödeme kurumu niteliğindedir. Özel sağlık sigortaları, İngiltere gibi kapsayıcı sağlık sistemine sahip ülkelerde vergi geliriyle finanse edilirken ABD gibi ülkelerde sağlık hizmetlerinin temel finansman kaynağıdır. Bu sistemi sosyal sağlık sigortası yönteminden ayıran özellik prim ödeme noktasındadır. Özel sağlık sigortasında kişiler sağlık durumlarına göre değişen oranlarda prim ödemek şartıyla sağlık hizmeti alırken sosyal sigortada sistemden herkes geliriyle orantılı şekilde ödeme yaparak yararlanabilmektedirler (Koçkaya, 2016: 85). Tablo 1'deki üç temel sigorta modelinin dışında bu modellerin birleştirilmesi ile oluşturulan sistemlere de rastlanmaktadır. **Cepten ödeme Modeli** bireylerin sağlık hizmetleri kullanımı için doğrudan cepten ödeyerek yaptıkları tüm harcamalardır. Cepten ödeme sisteminde tahmin edilemez ve öngörülemez ölçüde yüksek maliyetlerle karşılaşılmak oldukça olasıdır. Ayrıca modelin olumsuz yanı insani boyutunun olmamasıdır (İstanbulluoğlu,2010: 90). Varlıklı kişiler rahatlıkla sağlık hizmeti alabilmektedirler. Modelin olumlu yönü ise yıllarca ön ödeme yapmalarına gerek olmaması ve ne kadar hizmet alırlarsa, o kadar ödeme yapmalarıdır. Ne var ki, bu tarzda sunulan bir hizmetten, sadece ekonomik gücü olan yararlanabilir. Üstelik varlıklı kişiler için de riskler söz konusudur. Fransa, Almanya, Belçika, Hollanda, Bazı Güney Amerika ülkeleri, İsviçre ve Japonya modeli tercih eden ülkelerdir. **Ulusal Sağlık Sigortası**

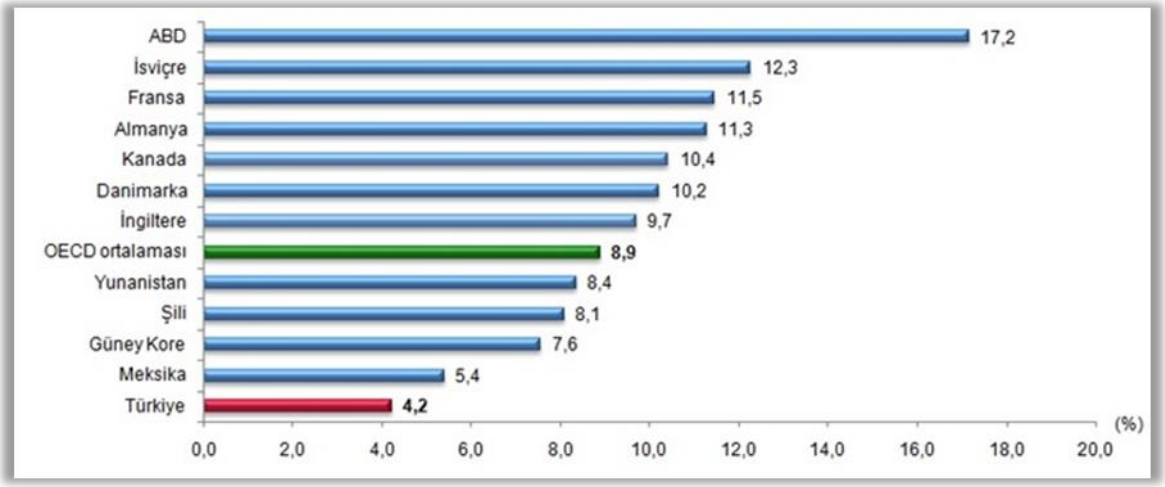
**Modeli (karma model)** Beveridge ve Bismarck modellerinin bazı özelliklerinin birleştirilmesi ile meydana getirilmiş olan sağlık modelidir. Modelin en belirgin özelliği özel sağlık hizmeti sunucuları kullanılırken sistem vatandaşlarca prim ve vergi ödemesi ile finanse edilmekte ve devlet tarafından işletilmektedir (Woolhandler, Campbell vd., 2003:773). Kâr amacı yada pazarlama gereksinimi olmaması nedeniyle kolay organize edilip yönetilen bir modeldir (Daştan ve Çetinkaya, 2015: 107). Tayvan ve Güney Kore tarafından tercih edilmektedir.

## 3. TÜRKİYE VE SEÇİLMİŞ OECD ÜLKELERİNDE SAĞLIK SEKTÖRÜNÜN MALİ BOYUTU

Son yıllarda OECD ülkelerinin karşılaştığı en önemli problemlerinden biri sağlık harcamalarında kayda değer artıştır. Özellikle Covid salgınında daha da artan şekilde sağlık sektörü dışındaki yatırımlara yönlendirilecek kaynakların öncelikli yatırım alanlarından sağlık sektörüne aktarıldığı görülmektedir. Sağlık harcamalarındaki artışın temel sebeplerini şu şekilde sıralayabiliriz (Kamacı ve Yazıcı,2017:57).

- Yaşam süresinin uzamasına bağlı olarak kronik hastalıklarda meydana gelen artış
- Sağlık için kullanılan teknolojinin yüksek maliyetli olması
- Salık konusunda insanların daha bilinçli hale gelmesi
- İnsanların gelirleri doğrultusunda sağlık harcamalarının artması
- Ahlaki risk ve ters seçim problemlerinin meydana getirdiği maliyetler

Grafik 1: 2017 Yılı için Seçilmiş OECD Ülkelerinde Cari Sağlık Harcaması / GSYİH Oranı (%)




Kaynak: OECD (2019)

OECD seçilmiş ülkelerin sağlık harcamalarının GSYH'lerindeki payları Grafik 1'de sunulmuştur (OECD tarafından açıklanan en son veriler 2017 yılına kadardır). Seçilmiş ülkelerin ortalaması 2017 yılı için %8,9 olurken Türkiye'de %4,2 ile en düşük oran gerçekleşmiştir. Türkiye'deki oranın OECD ortalamasının yarısı kadar olması diğer dikkat çekici noktadır. Tablo 2'de Türkiye'nin Sağlık Harcamalarının GSYİH içindeki Payı ve OECD karşılaştırması izlenebilmektedir.

Tablo 2. Toplam Sağlık Harcamalarının GSYH İçindeki Payı ve OECD Karşılaştırması (Milyon TL, %), (2002-2018)

| Yıllar | Türkiye Toplam Sağlık Harcamaları (Milyon TL) | GSYİH (Milyon TL) | Türkiye'nin Toplam Sağlık Harcamalarının Payı (%) (a/b) | OECD'nin Sağlık Harcamalarının Payı |
|---|---|---|---|---|
| | (a) | (b) | | (%) |
| **2002** | 18.774 | 359.359 | 5,2 | 8,3 |
| **2003** | 24.279 | 468.015 | 5,2 | 8,5 |
| **2005** | 35.359 | 673.703 | 5,2 | 8,7 |

| | | | | |
|---|---|---|---|---|
| **2010** | 61.678 | 1.160.014 | 5,3 | 9,4 |
| **2011** | 68.607 | 1.394.477 | 4,9 | 9,3 |
| **2012** | 74.189 | 1.569.672 | 4,7 | 9,2 |
| **2013** | 84.390 | 1.809.713 | 4,7 | 9 |
| **2014** | 94.750 | 2.044.466 | 4,6 | 8,8 |
| **2015** | 104.568 | 2.338.647 | 4,5 | 8,8 |
| **2016** | 119.756 | 2.608.526 | 4,6 | 8,9 |
| **2017** | 140.647 | 3.110.650 | 4,5 | 8,8 |
| **2018** | 165.568 | 3.724.388 | 4,4 | 8,8 |
| **2019** | 166.789 | 4.280.381 | 3,8 | 8,9 |

Kaynak: TÜİK ve OECD Sağlık İstatistikleri (2019)

Toplam sağlık harcaması, ülkede yapılan tüm kamu ve özel sağlık harcamalarının toplamını ifade etmektedir. Tablo 2'ye göre her ne kadar 2002 yılından 2019 yılına kadar Türkiye'de toplam sağlık harcamalarında devamlı artış gerçekleşmiş olsa da GSYİH'deki payı devamlı olarak düşmüştür. (2019'da %3,8). OECD ülkelerinin 2019 yılında sağlık harcamaları payı %8,9 iken Türkiye'nin sağlık harcamaları payı %3,8 olarak kaydedilmiş olup bu oranoldukça düşüktür. Tablo 1'de Türkiye'de 2002 yılında 18.774 Milyon TL olan toplam sağlık harcaması 17 yılda yaklaşık 9 kat artmış ve 166.789 Milyon TL'ye ulaşmıştır. Fakat bur artış GSYİH içindeki orana yansımamıştır. Ülkelerin gelir seviyeleriyle sağlık harcamaları arasında kayda değer bir ilişki bulunmaktadır ve yüksek gelir düzeyindeki ülkeler sağlık hizmetlerine daha fazla harcama yapma eğilimindedirler (Khanolkar vd., 2016: 35). Tablo 3'te seçilmiş ülkeler için sağlık harcamalarının GSYİH'ye oranı izlenebilmektedir.

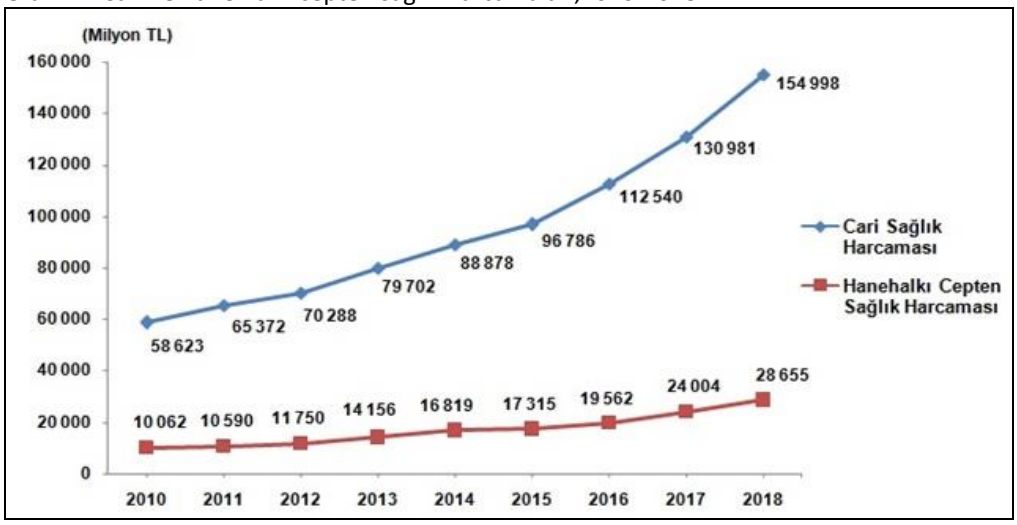
Tablo 3: Seçilmiş OECD Ülkeler için Sağlık Harcamalarının GSYH'ye Oranı

| ÜLKELER | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 |
|---|---|---|---|---|---|---|---|---|
| *Avusturya* | 6,29 | 6,27 | 6,32 | 6,33 | 6,31 | 6,33 | 6,35 | 6,34 |
| *Belçika* | 8,19 | 8,23 | 8,25 | 8,26 | 8,29 | 8,30 | 8,32 | 8,32 |
| *Meksika* | 3,16 | 3,26 | 3,25 | 3,25 | 3,26 | 3,28 | 3,27 | 3,28 |
| *Macaristan* | 4,91 | 4,91 | 4,88 | 4,90 | 4,90 | 4,91 | 4,93 | 4,94 |
| *Polonya* | 4,58 | 4,53 | 4,51 | 4.48 | 4,49 | 4,50 | 4,50 | 4,51 |
| *Türkiye* | 4,15 | 4,23 | 4,29 | 4,30 | 4,32 | 4,30 | 4,32 | 3,8 |
| *İspanya* | 6,73 | 6,50 | 6,40 | 6,41 | 6,44 | 6,41 | 6,43 | 6,42 |
| *Almanya* | 8,36 | 8,57 | 8,70 | 8,72 | 8,73 | 8,73 | 8,73 | 8,73 |
| *Fransa* | 8,83 | 8,91 | 9,02 | 9,03 | 9,03 | 9,05 | 9,03 | 9,04 |
| *İngiltere* | 7,80 | 7,78 | 7,58 | 7,62 | 7,66 | 7,65 | 7,68 | 7,69 |
| *İsrail* | 4,87 | 4,86 | 4,75 | 4,77 | 4,76 | 4,78 | 4,78 | 4,79 |
| *Hollanda* | 9,53 | 9,62 | 9,48 | 9,50 | 9,53 | 9,54 | 9,51 | 9,53 |
| *Yunanistan* | 6,27 | 6.07 | 4,99 | 5.12 | 5,19 | 5,22 | 5,20 | 5,22 |
| *İzlanda* | 6,99 | 7,07 | 7,18 | 7,21 | 7,22 | 7,20 | 7,18 | 7,18 |

Kaynak: OECD'den yazar tarafından derlenmiştir.

Tablo 3'ye göre Türkiye, İsrail, Meksika ve Polonya gibi gelişmekte olan ülkelerle benzer oranda sağlık harcaması yapmıştır. Hane halkı bütçelerinden sağlık için ayrılan harcamalar genel olarak sigorta ve özel hastane kapsamında karşılanmayan ilaç ve bakım hizmetleri için yapılan harcamalara karşılık gelmektedir (OECD, 2018:44). Bununla birlikte Avrupa Birliği'nin lokomatif ülkelerinde (Almanya, Fransa) ve AB'den ayrılan İngiltere'de bu oran Türkiye'nin yaklaşık iki katıdır. Hane halkı fertlerinin sağlık amaçlı hizmetler ve ürünler için hizmet sunucularından doğrudan satın alışlarında, kişiler ve kurumlar tarafından kısmen veya tamamen geri ödemeleri yapılamayan harcamaları hane halkı cepten sağlık harcamaları olarak adlandırılmaktadır.

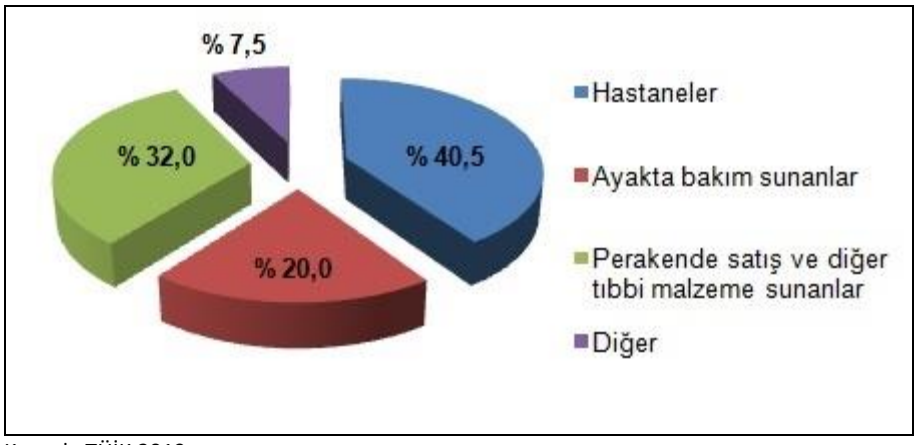
Grafik 2: Cari ve hane halkı cepten sağlık harcamaları,2010-2018




Kaynak: TÜİK

Grafik 2'ye göre Türkiye'de hane halkı cepten sağlık harcamaları 2017 yılında 24 milyar 4 milyon TL iken, 2018 yılında %19,4 artarak 28 milyar 655 milyon TL'ye ulaşmıştır. Ayrıca hane halkı cepten sağlık harcamalarının cari sağlık harcamaları içindeki payı, 2017 yılında %17,4 iken, 2018 yılında %17,5 'e yükselmiştir. Hane halkı cepten sağlık harcamalarının dağılımı grafik 3'te izlenebilmektedir.

Grafik 3: Hane Halkı Cepten Sağlık Harcamalarının Dağılımı




Kaynak: TÜİK,2019

Cepten sağlık harcamalarının %40,5'i hastanelerde gerçekleşirken bunu %32,0 ile perakende satış ve diğer tıbbi malzeme sunanlar ve %20 ile ayakta bakım sunanlar takip etmiştir. Sağlık harcamalarının önemli bir kısmını da ilaç harcamaları oluşturmaktadır. Tanım olarak eczanelerden yaptığımız ilaç harcamaları, tedavi gören hastalar için kullanılmakta olan ilaçlar, sağlık bakanlığınca temin edilen aşı harcamaları ve yurt dışından getirilen ilaçların toplamı olan ilaç harcamalarının detayları Tablo 4'te izlenebilmektedir.

Tablo 4: Toplam İlaç Harcamaları (2002-2018)

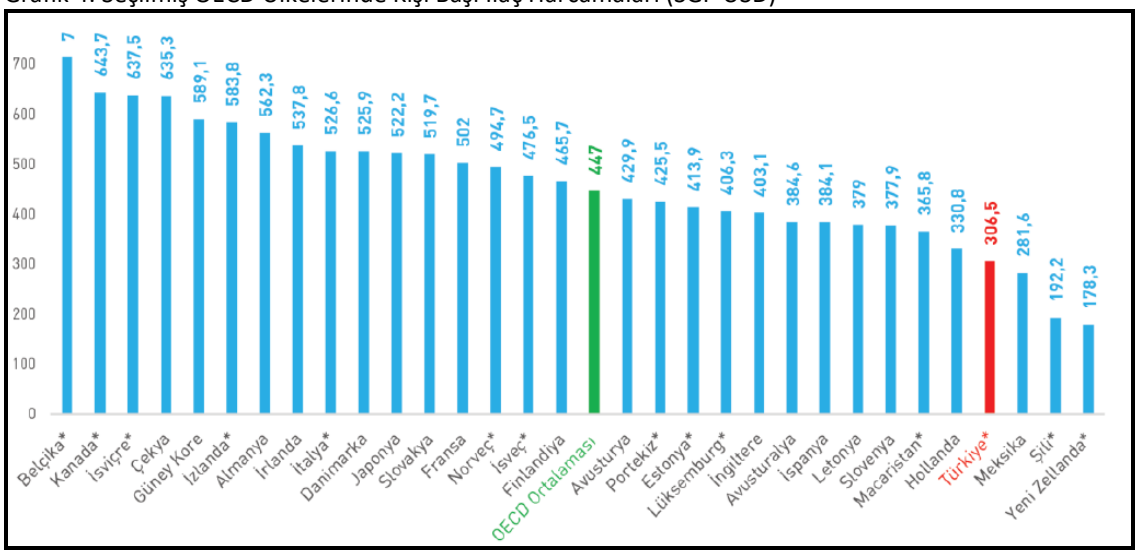
| | 2002 | 2003 | 2005 | 2010 | 2015 | 2016 | 2017 | 2018 | 2002-2018 Artış (%) |
|---|---|---|---|---|---|---|---|---|---|
| ***TL*** | 7.290 | 9.003 | 11.918 | 20.612 | 29,260 | 33.622 | 38.797 | 47.504 | 552 |
| ***2018 Fiyatlarıyla*** | 33.161 | 32.690 | 36.838 | 41.954 | 40.774 | 43.472 | 45.133 | 47.504 | 43 |
| ***USD*** | 4.841 | 6.030 | 8.889 | 13.738 | 10.757 | 11.128 | 10.636 | 9.870 | 104 |
| ***Satın alma Gücü Paritesi USD*** | 12.329 | 12.208 | 14.280 | 22.416 | 24.331 | 25.875 | 28.166 | 31.669 | 157 |
| ***Sağlık Harcamalarındaki Payı (%)*** | 38,8 | 37,1 | 33,7 | 33,4 | 28 | 28,1 | 27,6 | 27,8 | - |

| ***GSYİH İçindek Payı*** (%) | 2,1 | 2,0 | 1,8 | 1,9 | 1.3 | 1,3 | 1,2 | 1,3 | - |
|---|---|---|---|---|---|---|---|---|---|

Kaynak: Bağcı ve Atasever (2019)

Tablo 4'e göre 2002 yılından 2018 yılına kadar 16 yıllık süre içinde toplam ilaç harcamaları reel olarak %43, nominal olarak %552 artmıştır. Her ne kadar artış olsa da GSYİH'deki pay %2,1'den %1,3'e inmiştir. Seçilmiş OECD ülkelerinde ilaç harcamaları Grafik 4'te izlenebilmektedir.

Grafik 4: Seçilmiş OECD Ülkelerinde Kişi Başı İlaç Harcamaları (SGP USD)




Not: *Ülkeler 2017, Danimarka ve Japonya 2015, Meksika 2014, Fransa 2013 diğer ülkeler 2016 yılı verisidir. SGP, Satın alma gücü paritesi.

Kaynak: Küçük (2020: Çevrim içi)

Grafik 4'teki SGP'ye göre hesaplanan kişi başı ilaç harcamalarında Belçika, Kanada ve İsviçre ilk üç sırayı paylaşırken OECD ortalaması 447S GP USD'dir. OECD ortalaması 2016 yılı için 447 SGP USD olup Türkiye'nin bir yıl önceki gerçeklemesi bu tutarın altındadır.

## 4.LİTERATÜR

Çalışkan (2009) OECD ülkeleri için sağlık harcamalarını belirleyen faktörleri analiz ettiği çalışmasında analizde dahil ettiği yaş, şehirleşme, kişi başında GSYİH değişkenlerinin sağlık harcamalarını belirlemede önemli bir rol oynadığı sonucuna ulaşmıştır. Berendes vd. (2011) özel kesim ve kamu kesimi sağlık harcamalarında hizmet alanların eğilimlerini inceledikleri çalışmalarında özel kesimin kamuya göre ilaca erişim konusunda daha etkin olduğunu, ayrıca yanıt verebilirlik gibi konularda daha iyi bir performans sergilediğini ve bundan dolayı sağlık harcamalarının özele daha fazla yönlendiğini belirlemişlerdir. Çelik (2011) Türkiye'deki sağlık harcamalarını farklı ülke grupları ile karşılıklı analiz ettiği çalışmasında kişi başı sağlık harcamalarının ülkeden ülkeye ciddi farklılık gösterdiği sonucuna ulaşmıştır. Yine aynı çalışma sonucuna göre ülkelerin sağlık harcamaları ile sağlık statüleri arasında doğrudan bir ilişki bulunamamıştır. Lago-Penas, Cantarero ve Fernandez (2013), OECD ülkeleri arasından seçtiği 31 ülkeyi 1970 ve 2009 periyodunda sağlık harcamaları- GSYİH ilişkisi bağlamında analiz etmişlerdir. Analiz sonucunda uzun dönemde sağlık harcamalarının GSYİH üzerindeki etkisinin daha duyarlı ve olumlu olduğunu, kısa dönemde ise, bu etkinin daha az olduğunu belirtilmişlerdir. Hernández, Moral-Benito (2014) 20 OECD ülkesini analizlerine dahil ederek sağlık harcamalarında ve sağlık sisteminin etkinliğinde hangi faktörlerin etkin olduğunu belirledikleri çalışmalarında engelliliğe uyarlanmış yaşam yılı, yaşam beklentisi ve mortalitenin etkin faktörler olduğu sonucuna ulaşmışlardır. Akar (2014) sağlık harcamalarının nispi fiyatı ile ekonomik büyüme ilişkisini analiz ettiği çalışmasında kısa dönemde anlamlı bir ilişkiye ulaşamazken uzun dönemde anlamlı bir ilişkinin varlığına ulaşmıştır. Çelik, Khan ve Hikmet (2016) seçilmiş 55 ülke ile 1995-2013 yılında sağlık harcamalarında hangi değişkenlerin önemli rol oynadıklarını belirledikleri çalışmalarında doğumda beklenen yaşam yılı ve cepten ödeme düzeyinin önemli rol oynadığı sonucuna ulaşmışlardır. Çınarlıoğlu (2017) tüketicilerin sağlık kuruluşu ve sağlık

harcaması seçimini etkileyen faktörleri araştırdığı çalışmasında hizmete erişim ve hizmet sunumunda profesyonellik derecesi ile sosyo-demografik faktörlerin önemli rol oynadığı sonucuna ulaşmıştır. Boz ve Önder (2017) OECD ülkelerinin sağlık sistemini analiz ettikleri çalışmalarında 34 ülkeyi analize dahil ederek veri zarflama sistemini kullanmışlardır. 2000-2013 periyodunu inceledikleri çalışmalarında sistemin etkin hale gelebilmesi için her bir ülkenin kendi modelini geliştirmesi ve deneyimlerini birbirleriyle paylaşması gerektiği sonucuna ulaşmışlardır. Giray ve Taşdelen (2018) çalışmalarında sağlık harcamalarının kamu ve özel olarak sektörel dağılımı ile sağlık harcamalarının GSYİH payları arasında olası bir ilişkinin varlığını OECD ve Türkiye özelinde analiz etmişlerdir. Çalışmada sağlığın beşerî sermayenin olmazsa olmaz kaynaklarından biri olduğu ve sağlık alanına yapılan harcamaların beşerî sermayenin güçlenmesine katkı sağladığı sonucuna ulaşılmıştır. Altunöz (2020) ekonomik büyüme ile sağlık harcamaları ilişkisinin OECD ülkeleri için 2000-2016 periyodu için analiz ettiği çalışmasında iki değişken arasında güçlü bir ilişkinin varlığına ulaşmıştır.

## 5.PANEL REGRESYON ANALİZİ

Ekonometrik analizlerde eğer aynı kesit birimi zaman içinde takip ediliyorsa söz konusu karma veriler panel veri olarak isimlendirilmektedir. (Gujarati, 1999:849). Panel veriler 3 amaca hizmet etmektedir. İlki birimler arası değişkenliği tanımlamaktadır. Böylelikle değişkenlerin seyri ve büyüklüğünü bilmemiz mümkün olmaktadır. İkinci amaç değişkenleri diğer bazı değişkenler bakımından açıklamaktır. Üçüncü amaç ise her bir birimin ilgili değişken bakımından kestirimini yapmaktır (Hsiao, 2003:89).
Panel veriler fonksiyonel olarak eşitlik (1)'deki gibi ifade edilmektedir.

$$Y_{it} = \beta_0 + \beta_{it}X_{it} + \cdots + \beta_{kit}X_{kit} + e_{it} \quad i = 1,2,\dots N \quad t = 1,2,\dots\dots T \tag{1}$$

Eşitlik (1) de t zamanı, i kesitleri ifade etmektedir. Panel veri tercihinin diğer veri türlerine göre sağladığı avantajlar şu şekilde sıralanabilir (Baltagi, 2005: 4-6):

- Heterojenliğe karşı veri seti kontrolüne olanak vermektedir.
- Yetersiz kesit gözleminin var olduğu durumda analize izin vermekte, bunun yanında zaman ve kesit serisi analizlerine göre daha fazla değişkenlik arz etmektedir. Böylelikle bağlantı problemi ihtimali azalmaktadır.
- Panel veri kullanımı ekonomik tahmin edicilerin verimliliğini arttırmaktadır.

Panel veri analizlerimde rassal etkiler ya da sabit etkiler modeli kullanılmaktadır. Sabit etki modelinde panele dahil olan yatay kesitler arasındaki fark her bir yatay kesit için ayrı ayrı sabitler eklenmek suretiyle elde edilmektedir. Yatay kesitlerin gözlenebilmesi rassal etkiler tahmin yönteminde mümkün olamamaktadır. Yatay kesitlerin rassal dağıtılmış olması nedeniyle rassal etkiler hata terimlerinden elde edilebilmektedir. Sabit ve rassal etkiler tahmincilerinden hangisinin tercih edileceğinin belirlenmesi için Hausman (1978) testi kullanılabilmektedir (Baltagi, 2005). Panel analizlerde kullanılan modeller sabit ve rassal etki ayırımının yanında dengeli ve dengeli olmayan şeklinde iki türe daha ayrılmaktadır. Dengeli olmayan panelde noksan veri durumu mevcut olmaktadır ve yatay kesitlerdeki gözlem sayıları eşit değildir. Dengeli panelde ise noksan veri durumundan bahsedilememektedir.

### 5.1. Model ve Veri Seti

Ülkeler arasında sağlık harcamaları, kültürel, sosyo-ekonomik, politik, pek çok sebeple farklılık göstermektedir. Bununla birlikte konuyla ilgili ulusal ve uluslararası literatürde yapılan ampirik analizlerde genel kabul görmüş ve üzerinde fikir birliğine varılan değişkenler mevcuttur. Çalışmanın değişken seçiminde Di Matteo (2005), Getzen(2006), (Sanz ve Velázquez (2007) ve Çalışkan (2009) çalışmaları referans alınmıştır. Çalışmada kullanılacak panel veri analizi 1993-2019 dönemi olmak üzere 26 yıllık süreyi kapsayacaktır. OECD'ye ait tüm ülkelerin güncel verilerine ulaşılamaması nedeniyle OECD kurucu ülkeleri olan Türkiye, Almanya, ABD, Yunanistan, Avusturya, Kanada, Fransa, Hollanda, Belçika, Lüksemburg, İtalya, İngiltere, İzlanda, Danimarka, İrlanda, Portekiz,İsviçre, İsveç, İspanya, Norveç, analize dahil edilmiştir. Söz konusu 20 ülke çalışmada yatay kesit birimleri olarak belirlenmiştir. Değişkenler

analize yıllık olarak dahil edilmiştir. Model E-veiws 8 paket programıyla tahmin edilecektir. Modelde kullanılacak değişkenler Tablo 5'te izlenebilmektedir.

Tablo 5: Değişkenler, Tanımı ve Kaynakları

| Değişkenler | Tanımı | Kaynak |
|---|---|---|
| hsağ | Kişi başına düşen sağlık harcaması | OECD, https://ec.europa.eu/ |
| hsağkamu | Kişi başına düşen kamu sağlık harcaması | OECD, https://ec.europa.eu/ |
| hsağözel | Kişi başına düşen kamu özel harcaması | OECD, https://ec.europa.eu/ |
| dr | 800 kişiye düşen doktor sayısı | OECD, https://ec.europa.eu/ |
| ilaç | Kişi başına ilaç harcaması | OECD, https://ec.europa.eu/ |
| kamu | Toplam sağlık harcamalarında kamu payı | OECD, https://ec.europa.eu/ |
| doğum | Doğurganlık oranı | OECD, https://ec.europa.eu/ |
| şehir | Şehirleşme oranı | OECD, https://ec.europa.eu/ |
| GSYİH | Kişi başı GSYİH | OECD, https://ec.europa.eu/ |
| yaş | 65 ve üzeri nüfusun toplam nüfustaki payı | OECD, https://ec.europa.eu/ |

Not: Kişi başına düşen sağlık harcaması ve Kişi başı GSYİH,satın alma gücü paritesine göre USD'dir

Tablo 5 deki değişkenlerden ilk üç değişken (hsağ,hsağkamu ve hsağözel) bağımlı değişken olarak analizlere dâhil edilecek olup dr (800 kişiye düşen doktor sayısı ) değişkeninin sağlık harcamalarını azaltması beklenmektedir. Kamu (Toplam sağlık harcamalarında kamu payı) değişkeninin ise kamunun ülkedeki payına göre sağlık bağımlı değişkeni azaltması yada arttırması beklenen bir durumdur. Diğer değişkenlerin tümünün sağlık harcamalarını arttırması beklenmektedir.

## 5.2.Yatay Kesit Bağımlılık Testleri

Panel analizlerde birim kök testine geçilmeden önce paneli meydana getiren birimlerin birbirini etkileme durumunu belirleyen yatay kesit bağımlılık testleri yapılmalıdır. Yatay kesit bağımlılık testi sonucunda paneli meydana getiren her bir birimden herhangi birinde meydana gelecek şoktan analize konu olan tüm ülkelerin aynı şekilde etkilenme derecesine sahip olması ve herhangi bir ülkede meydana gelebilecek makroekonomik şokun panelde yer alan diğer ülkeleri etkilemediği anlaşılabilmektedir (Menyah vd. 2014:389).

Yatay kesit bağımlılığının varlığını araştırmak amacıyla geliştirilen testlerin ilki Breusch ve Pagan (1980) tarafından geliştirilen ve eşitlik (2) de görülen Lagrange Multiplier (LM) testidir.

$$LM = T \sum_{i=1}^{N-1} \sum_{j=i+1}^{N} P_{ij}^2 \qquad (2)$$

(2) numaralı eşitlikte P, örnek tahmin olarak kalıntıların ikili korelasyonunu ifade etmektedir. Lagrange Multiplier (LM) testinde iki farklı hipotez kurulmakta olup yokluk hipotezi ve alternatif hipotez $H_0 = yatay\ kesitler\ arasında\ ilişki\ yok$ ve alternatif hipotez $H_1$:$Yatay\ kesitler\ arasında\ ilişki\ var$ şeklinde kurulmaktadır. Yokluk hipotezinde $T \to \infty$ olduğunda N sabite $\frac{N(N-1)}{2}\ derecesinde\ kikare$ asimptotik dağılıma sahip olduğu ve testin zaman boyutu T'nin yatay kesit boyutu N'den büyükse tercih edileceğini varsaymaktadır. Söz konusu test Peseran (2004) tarafından geliştirilerek literatürde $CD_{LM}$ olarak isimlendirilmiş olup eşitlik (3) deki gibi ifade edilmektedir.

$$CD_{LM} = \sqrt{\frac{1}{N(N-1)}} \sum_{i=I}^{N-1} \sum_{j=i+1}^{N} (TP_{ij}^2 - 1) \qquad (3)$$

3 numaralı denklemde $T \to \infty\ ve\ N \to \infty$ durumunda yatay kesit bağımlılığının olmadığı iddia edilir. Bununla birlikte $N > T\ olduğu\ durumlarda\ CD_{LM}$ testi seviyede bozulmalar göstermektedr bundan dolayı yine Peseran (2004), $> T\ olduğu\ durumlarda$ geçerli olan CD testini geliştirmiş olup eşitlik (4) de izlenebilmektedir.

$$CD = \sqrt{\frac{2T}{N(N-1)}} \sum_{i=1}^{N-1} \sum_{j=i+1}^{N} P_{ij} \quad (4)$$

Diğer bir yatay kesit bağımlılık testi Pesaran vd. (2008) tarafından geliştirilmiş olan $LM_{adj}$ testidir ve eşitlik (5) de izlenebilmektedir.

$$LM_{adj} = \sqrt{\left(\frac{2}{N(N-1)}\right)} \sum_{i=1}^{N-1} \sum_{j=i+1}^{N} P_{ij} \frac{(T-k)p_{ij}^2}{\sqrt{v_{TiJ}^2}} \quad (5)$$

Eşitlik (5) de regresör numaraları k ile ifade edilirken $v_{TiJ}^2$ , $(T-k)p_{ij}^2$ nin ortalamasıdır.

Bu testleri için:

Yokluk hipotezi $H_0$: Yatay kesitin olmadığı ve alternatif hipotez $H_1$: Yatay kesit bağımlılığının varlığı şeklinde oluşturulmaktadır. Yokluk hipotezinin reddi ve yatay kesit bağımlılığının olmadığı durumlarda analize birinci nesil panel birim kök testleri ile devam edilirken yatay kesitin olması durumunda ikinci nesil panel birim kök testleriyle devam edilir (Baltagi, 2010: 284).

Tablo 6: Yatay Kesit Testleri

| Test | İstatistik | Olasılık |
|---|---|---|
| LM (Breusch ve Pagan, 1980) | 18,19 | 0,00 |
| $CD_{LM}$ (Pesaran, 2004) | 1,61 | 0,00 |
| CD (Peseran, 2004) | -0.72 | 0,05 |
| $LM_{adj}$ (Peseran vd. 2008) | 1,88 | 0,02 |

Tablo 6 sonuçlarında göre örnekleme konu olan ülkeler için eğim katsayılarının homojenlik durumunu test etmek için yapılan Tablo 6'daki yatay kesit testlerinin sonuçlarına göre örnekleme konu olan 20 ülkede yatay kesit bağımlılığının olmadığını ifade eden yokluk hipotezi %99 anlam düzeyinde kabul edilmektedir. Elde edilen sonuca göre analize konu olan ülkelerden herhangi birinde ortaya çıkacak etkinin diğer ülkeleri etkilemeyeceği söylenebilir. Bu sonuçların ardından analize birinci nesil panel birim kök testlerinin uygulanması gerekmektedir. Bu bağlamda çalışmada Levin, Lin ve Chu (2002), Levin, Lin, Chu ve Im, Peseran, Shin (2003), panel birim kök testleri tercih edilecektir.

### 5.3.Panel Birim Kök Testi

Ekonometrik analizlerde değişkenlerin durağan olmaları diğer bir ifadeyle birim kök taşımaması gerekmektedir. Eğer birim kök taşırsa sahte regresyon sorunu nedeniyle ulaşılan sonuçlar doğru olmayacaktır. Bu çalışmada yatay kesitin varlığına ulaşılamaması nedeniyle birinci nesil panel birim kök testleri olan Im, Peseran, Shin (2003) ve Levin, Lin, Chu (2002) 'den yararlanılmıştır.

Levin, Lin ve Chu (2002) birim kök sınamasında, birim kök varsayımlarının denge düzeyinden yüksek oranda sürekli bir sapma göstermekte olan alternatif varsayımın karşısında kısıtlı bir etkiye sahip olduğunu değerlendirmişlerdir. Bu bağlamda Levin, Lin ve Chu (2002) birim kök sınaması, söz konusu etkinin daha fazla hissedildiği küçük örneklemli uygulamalarda daha fazla hissedilmesinden dolayı önerilmektedir (Baltagi, 2005).

Levin, Lin ve Chu (2002) birim kök testinde paneldeki bütün birimlerin ilk dereceden kısmi oto korelasyon içerdiği varsayılır ve eşitlik (6) daki aşağıdaki temel ADF spesifikasyonunu kullanmaktadır.

$$\Delta y_{it} = \alpha y_{it-1} + \sum_{j=1}^{p_i} \beta_{ij} \Delta y_{it-j} + x_{it}' \delta + \varepsilon_{it} \quad (6)$$

Eşitlik (2) de $\alpha = p - 1$ ortak kabul edilmekte fakat fark terimlerinde gecikme uzunlukları göz önünde bulundurulmaktadır. Ayrıca α tahmini deterministik ve otokorelasyondan arındırılmış ve

standartlaştırılan $\Delta_{yit}$ ve $y_{it}$ vekil değişkeniyle yapılmaktadır. Bu bağlamda oluşturulan hipotezler $H_0: \alpha = 0 \; ve \; H_1: \alpha < 0$ şeklindedir.

Çalışmada kullanılacak diğer bir birim kök testi Im-Pesaran-Shin (2003) tarafından geliştirilen test istatistiğinin bootstrap versiyonu olup eşitlik (7) deki gibi hesaplanır.

$$t = \frac{1}{N}\sum_{i=1}^{N} t_i T \qquad (7)$$

Eşitlik (7)'de $t_i T$ ADF-t istatistiğini ifade etmektedir. $LM$ istatistiği, Solo (1984)'nun önerdiği bireysel Lagrange test istatistiklerinin ortalamasıdır ve eşitlik (8)'de izlenebilmektedir.

$$\mathrm{LM} = \frac{1}{n}\sum_{i=1}^{N} LM_i \qquad (8)$$

Birim kök testlerine ait sonuçlar tablo 7 ve tablo 8'de sunulmuştur.

Tablo 7: Im,Peseran,Shin Birim Kök Test Sonuçları

| Değişkenler | Model | W İstatistik | Sonuç |
|---|---|---|---|
| lnhsağ | Sabitli | -6.555** | $I(0)$ |
| | Sabiti ve trendli | -2.711** | $I(0)$ |
| lnhsağkamu | Sabitli | -6.412* | $I(0)$ |
| | Sabiti ve trendli | -5.301* | $I(0)$ |
| lnhsağözel | Sabitli | -4.221** | $I(0)$ |
| | Sabiti ve trendli | -5.404** | $I(0)$ |
| lndr | Sabitli | -2.180** | $I(0)$ |
| | Sabiti ve trendli | -3.774** | $I(0)$ |
| lnilaç | Sabitli | -3.154** | $I(0)$ |
| | Sabiti ve trendli | -3.130** | $I(0)$ |
| lnkamu | Sabitli | -6.193** | $I(0)$ |
| | Sabiti ve trendli | -5.209** | $I(0)$ |
| lndoğum | Sabitli | -6.193** | $I(0)$ |
| | Sabiti ve trendli | -5.209** | $I(0)$ |
| lnşehir | Sabitli | -6.193** | $I(0)$ |
| | Sabiti ve trendli | -5.209** | $I(0)$ |
| lnGSYİH | Sabitli | -6.193** | $I(0)$ |
| | Sabiti ve trendli | -5.209** | $I(0)$ |
| lnyaş | Sabitli | -6.193** | $I(0)$ |
| | Sabiti ve trendli | -5.209** | $I(0)$ |

Not: * ve** sırasıyla; %1 ve %10 seviyesinde anlamlılığı ifade eder.

Hem sabitli hem de sabitli ve trendli modellerin kullanıldığı ve gecikme uzunluklarının Schwarz Bilgi Kriteri tarafından belirlendiği Im, Peseran, Shin Birim Kök Testi sonuçları Tablo 7'de izlenebilmektedir. Elde edilen sonuçlara bakıldığında her iki model için de değişkenler seride durağandır. Diğer bir ifadeyle boş hipotez reddedilmektedir.

Tablo 8: Levin,Lin,Chu Birim Kök Test Sonuçları

| Değişkenler | Model | t İstatistik | Sonuç |
|---|---|---|---|
| lnhsağ | Sabitli | -8.114** | I(0) |
| | Sabit ve trendli | -5.244** | I(0) |
| | Sabiti ve trendsiz | -4.112** | I(0) |
| lnhsağkamu | Sabitli | -4.302* | I(0) |

| | | | |
|---|---|---|---|
| | *Sabit ve trendli* | -3.200* | I(0) |
| | *Sabiti ve trendsiz* | -3.705* | I(0) |
| lnhsağözel | *Sabitli* | -7.222** | I(0) |
| | *Sabit ve trendli* | -6.201** | I(0) |
| | *Sabiti ve trendsiz* | -5.112** | I(0) |
| lndr | *Sabitli* | -6.091** | I(0) |
| | *Sabit ve trendli* | -5.190** | I(0) |
| | *Sabiti ve trendsiz* | -4.002** | I(0) |
| lnilaç | *Sabitli* | -8.183* | I(0) |
| | *Sabit ve trendli* | -7.404* | I(0) |
| | *Sabiti ve trendsiz* | -6.000* | I(0) |
| lnkamu | *Sabitli* | -4.852** | I(0) |
| | *Sabit ve trendli* | -4.007* | I(0) |
| | *Sabiti ve trendsiz* | -3.118** | I(0) |
| lndoğum | *Sabitli* | -8.401* | I(0) |
| | *Sabit ve trendli* | -7.400* | I(0) |
| | *Sabiti ve trendsiz* | -6.002* | I(0) |
| lnşehir | *Sabitli* | -4.444** | I(0) |
| | *Sabit ve trendli* | -4.201** | I(0) |
| | *Sabiti ve trendsiz* | -3.311** | I(0) |
| lnGSYİH | *Sabitli* | -8.113* | I(0) |
| | *Sabit ve trendli* | -7.414* | I(0) |
| | *Sabiti ve trendsiz* | -6.332* | I(0) |
| lnyaş | *Sabitli* | -5.231** | I(0) |
| | *Sabit ve trendli* | -4.233** | I(0) |
| | *Sabiti ve trendsiz* | -3.316** | I(0) |

Not: * ve ** sırasıyla; %1 ve %10 seviyesinde anlamlılığı ifade eder.

Tablo 8'de sunulan ve gecikme uzunluklarının Schwartz Bilgi Kriteri tarafından belirlendiği Levin, Lin, Chu birim kök testi sonuçlarına göre boş hipotez ret edilmiştir. Diğer bir ifadeyle analize konu olan her bir seri sabit ver trendli, sabit ve trendsiz ve sabit modellerin herbirinde seride durağan sonuç vermiştir. Farklı iki birim kök testlerinden de aynı sonuçların elde edilmesi değişkenlerin seride durağan oldukları anlamına gelmektedir. Çalışmada daha fazla gözlem ile içerdiği avantajlar ve yatay kesit ile zaman serisi verilerine göre gözlenemeyen, ölçülemeyen faktörlerin etkilerinin de içermesi nedeniyle dengeli olmayan panel veri analizi yöntemi tercih edilmektedir. Hausman (1978) testinden elde edilen sonuçlara göre sabit etkiler modeli rassal etkiler modeline göre daha uygulanabilir sonuç vermiştir.

### 4.4.Otokorelasyon Sınaması ve Panel Regresyon

Regresyon analizlerinin ana hipotezlerinden biri farklı gözlemler için aynı hatalar arasında ilişkinin (korelasyon) olmamasıdır. Bu bağlamda ekonometrik analizlerin önemli sorunlarından biri otokorelasyondur. Eğer hata terimleri birbirleri ile ilişkili ise oto korelsayonun varlığından söz edilir. Çalışmada oto korelasyon sorunu olup olmadığı, boş hipotezde oto korelasyonun olmadığını iddia Wooldridge (2002) testi ile test edilmiştir.

Tablo 9: Wooldridge Otokorelasyon Testi Sonuçları

| Wooldridge Testi | *F Değeri* | *Olasılık* |
|---|---|---|
| | 38.661 | 0.005 |

Tablo 9 elde edilen Wooldridge oto korelasyon test sonucuna göre boş hipotez reddedilmiştir. Bunun anlamı denklemlere ait hata terimleri arasında oto korelasyon problemi gözlemlendiği şeklindedir.

Analizde karşılaşılan otokorelasyon sorunu kurulan her bir model için üç modelde de AR (1) dönüşümü yapılarak modeller bu ekonometrik problemden arındırılmıştır. Modelde değişen varyans probleminin var olup olmadığı ise Greene'nin testi ile sınanmıştır.

Tablo 10: Greene Heteroskedasticity Testi Sonuçları

| | | |
|---|---|---|
| Greene Değişken Varyanslık Testi | $Chi-square\ (Ki-Kare)$ | 1008.11 |
| | $Prob\ >chi-square=$ | 0.0000 |

Greene Heteroskedasticity test sonuçları Tablo 10'da sunulmuş olup boş hipotez eş olasılık değeri% 5'den düşük olmasından dolayı reddedilmiştir. Bu durum değişken varyanslılık probleminin varlığı anlamına gelmektedir. Tespit edilen oto korelasyon problemi White'ın yatay kesit kovaryans katsayısı yöntemiyle giderilmiştir. Bunun yanında çalışmanın güvenilirliğinin ve gücünün arttırılması amacıyla otokorelasyon sorununun çözümünde AR (1) süreci işletilmiştir.

Çalışmada kullanılacak modeller eşitlik (9) (10) ve (11) de izlenebilmektedir. Modelin daha güçlü sonuçlar üretmesi amacıyla değişkenlerin logaritmaları alınarak analize dahil edilmiştir. (ln) logaritmalarının alındığını ifade etmektedir.

***Model 1***

$$\ln hsağ = \alpha + \beta_{1j} lnGSYİH + \beta_{2j} lnkamu + \beta_{3j} lnilaç + \beta_{4j} lndr + \beta_{5j} lnyaş + \beta_{6j} lndoğum + \beta_{7j} lnşehir + \varepsilon_{ij} \quad (9)$$

***Model 2***

$$\ln hsağ\ kamu = \varphi + \beta_{1j} lnGSYİH + \beta_{2j} lnkamu + \beta_{3j} lnilaç + \beta_{4j} lndr + \beta_{5j} lnyaş + \beta_{6j} lndoğum + \beta_{7j} lnşehir + \varepsilon_{ij} \quad (10)$$

***Model 3***

$$\ln hsağ\ özel = \vartheta + \beta_{1j} lnGSYİH + \beta_{2j} lnkamu + \beta_{3j} lnilaç + \beta_{4j} lndr + \beta_{5j} lnyaş + \beta_{6j} lndoğum + \beta_{7j} lnşehir + \varepsilon_{ij} \quad (11)$$

Eşitlik (9) , (10) ve (11 ) den elde edilen sonuçlar tablo (11) , (12 ) ve (13) de izlenebilmektedir.

Tablo 11: Model 1 için Tahmin Sonuçları (Bağımlı Değişken:lnhsağ)

| Değişkenler | Katsayı | t istatiği | Std.Hata. |
|---|---|---|---|
| Sabit | -6.687 | 2.611(0.000) | 0.012 |
| lndr | -0,12 | 3.114(0.000) | 0.001 |
| lnilaç | 0,38 | 2.761(0.000) | 0.004 |
| lnkamu | -0,22 | 0.121(0.000) | 0.021 |
| lndoğum | 0,16 | 1.391(0.220) | 0.000 |
| lnşehir | 1,11 | 1,211(0,000) | 0,001 |
| lnGSYİH | 0,33 | 1,131(0,000) | 0,000 |
| lnyaş | 0,41 | 1,201(0,000) | 0,000 |
| $Düzeltilmiş\ R^2$ | 0.78 | | |
| $F\ İstatistiği$ | $74.111(0.000)$ | | |
| $Durbin\ Watson\ İstatistiği$ | 1.99 | | |
| $LM$ | $99.787(0.000)$ | | |
| $R^2$ | 0.74 | | |

Tablo 11 sonuçlarına göre analizde kullanılan kamu ve dr değişkenleri dışında tüm değişkenler toplam sağlık harcamalarını arttırmaktadır. Sonuçlar detaylı incelendiğinde ilaç, doğum, şehir, GSYİH ve yaş değişkenlerindeki %1 birimlik artış toplam sağlık harcamalarını sırasıyla 0.12, 0.38, 016, 0.11, 0.33 ve 0.44 birim arttırırken kamu değişkeni 0.22 birim azaltmaktadır. Dr değişkeninin toplam sağlık harcamalarını azaltması, doktor sayısının artmasıyla daha sık muayene ve hastalığa yakalanmadan önlemlerin alınması olarak yorumlanabilir. Toplam sağlık harcamalarındaki en fazla artış şehir, yaş ve ilaç değişkenlerinde izlenmekte olup tüm bu sonuçlar teorik beklentiler doğrultusundadır. Şehirleşme oranı, 65 yaşındaki nüfus ve kişi başına ilaç harcamasının artmasının toplam ilaç harcamalarını önemli şekilde arttırması beklenen bir durumdur. Ayrıca kişi başına GSYİH'deki artışın gerek özel gerekse kamu harcamalarının artışına neden olması teorik beklentilerle birebir örtüşmektedir. Teşhis testleri sonuçlarına göre $R^2$ değeri 0.78 olup bağımsız değişkenlerin bağımlı değişkendeki değişimi %74 oranında açıkladığını ifade etmektedir. Modelin bir bütün olarak anlamlı olup olmadığını gösteren F istatistiği, modelin anlamlı olduğunu ifade etmektedir.

Tablo 12: Model 2 için Tahmin Sonuçları Bağımlı Değişken:lnhsağkamu

| ***Değişkenler*** | ***Katsayı*** | ***t istatiği*** | ***Std.Hata.*** |
|---|---|---|---|
| Sabit | -8.687 | 4.411(0.000) | 0.012 |
| lndr | -0,16 | 3. 016(0.001) | 0.001 |
| lnilaç | 0,52 | 1.991(0.000) | 0.004 |
| lnkamu | 0,45 | 0.144(0.000) | 0.000 |
| lndoğum | 0,05 | 1.091(0.220) | 0.008 |
| lnşehir | 1,22 | 1,201(0,000) | 0,004 |
| lnGSYİH | 0,44 | 1,201(0,000) | 0,000 |
| lnyaş | 0,48 | 1,333(0,000) | 0,000 |
| *Düzeltilmiş* $R^2$ | 0.79 | | |
| *F İstatistiği* | 72.000(0.000) | | |
| *Durbin Watson İstatistiği* | 1.96 | | |
| *LM* | 99.711(0.000) | | |
| $R^2$ | 0.76 | | |

Tablo 12'deki model 2 sonuçları incelendiğinde model 1 sonuçlarına benzer şekilde kamu kesim sağlık harcamalarını en fazla arttıran değişkenler 1.22, 0.52 ve 0.48 ile şehir, ilaç ve yaşdır. Tablo 11 ile karşılaştırıldığında kamu sağlık harcamaları değişkeninin pozitif değer aldığı izlenmektedir. Elde edilen sonuç toplam sağlık harcamalarında kamunun yüksek payda olduğunu göstermektedir. Bu durum akıllara kamu kesimi harcamalarının özel kesim harcamalarını dışlaması olarak bilinen croding out (dışlama etkisi)'ni getirmektedir. Bu bağlamda sağlık harcamalarında kamu payının artması kamu sağlık harcamalarında 0.45 birimlik artışa neden olmaktadır. Bunun dışındaki ilaç, doğum, şehir ve yaş değişkenlerindeki %1 birimlik artış kamu sağlık harcamalarını sırasıyla 0,.52, 0.05, 1.22 ve 0.48 arttırmaktadır.

Tablo 13: Model 3 için Tahmin Sonuçları Bağımlı Değişken:lnhsağözel

| Değişkenler | Katsayı | t istatiği | Std.Hata. |
|---|---|---|---|
| Sabit | -2,15 | 4.411(0.000) | 0.012 |
| lndr | -0,25 | 3. 016(0.001) | 0.001 |
| lnilaç | 0,44 | 1.991(0.000) | 0.004 |
| lnkamu | -0,14 | 0.144(0.000) | 0.000 |
| lndoğum | 0,10 | 1.091(0.220) | 0.008 |
| lnşehir | 1,24 | 1,201(0,000) | 0,004 |
| lnGSYİH | 0,36 | 1,201(0,000) | 0,000 |
| lnyaş | 0,51 | 1,333(0,000) | 0,000 |
| *Düzeltilmiş* $R^2$ | 0.77 | | |
| F İstatistiği | 69.000(0.000) | | |

| | |
|---|---|
| Durbin Watson İstatistiği | 1.87 |
| LM | 99.091(0.000) |
| $R^2$ | 0.79 |

Tablo 13'teki model 3 sonuçlarına göre özel kesim sağlık harcamalarını en fazla arttıran değişkenler şehir, yaş ve ilaç değişkenleridir. Kamu değişkeninin (sağlık harcamalarında kamunun payı) negatif sonuç vermesi dışlama etkisini çok daha açık hale getirmiştir. Model (1) sonuçlarında negatif, model (2) sonuçlarında pozitif olan bu değişkenin model (3) de negatife dönmesi kamu harcamalarının özel kesim harcamalarını dışlattığını göstermektedir. Şehirleşme, yaş ve doğumla birlikte özel sağlık harcamalarının artması beklenilen bir durumdur. Ayrıca Kamu kesimindeki gibi özel sağlık kesiminde de doktor sayısındaki artış hastalıkların önceden tespitiyle toplam sağlık harcamalarında azalışa neden olmaktadır.

## 6. SONUÇ

Dünyanın birçok ülkesi, kaynakların etkin kullanımının yanında sağlık hizmetleri konusunda devletin rolünün ne olması gerektiğini ve devletin sağlık hizmetleri etkinliğini sorgulamaya başlamışlardır. Bu doğrultuda devletin sağlık hizmetlerindeki konumu, sağlık hizmetlerinin finansmanı ve sunumu konusunu ele alan bilimsel çalışmaların sayısında da önemli bir artış meydana gelmiştir.

Bu çalışmada OECD ülkelerinde uygulanan farklı sağlık modelleri ve söz konusu modeller doğrultusunda ülkelerin yaptıkları sağlık harcamaları hem teorik hem de ampirik olarak ele alınmıştır. Çalışmanın analiz kısmında birçok faktörden etkilenen sağlık harcamaları demografik, çevresel, ekonomik ve sağlık sistemi seviyesini yansıtan değişkenler kullanılarak incelenmiştir. Genel geçer literatürden farklı olarak sağlık harcamaları kamu ve özel kesim olarak ayrı ayrı da analiz edilerek sağlık harcamalarında iki sektörün durumu anlaşılmaya çalışılmıştır. Elde edilen sonuçlara göre her iki kesimin toplamından oluşan toplam sağlık harcamaları analizinde ilaç, doğum, şehir, GSYİH ve yaş değişkenlerindeki artış toplam sağlık harcamalarını arttırırken kamu değişkeni azaltmaktadır. Bener şekilde doktor sayısındaki artış da toplam sağlık harcamalarını azaltmaktadır. Bu durum doktor sayısının artmasıyla daha sık muayene ve hastalığa yakalanmadan önlemlerin alınması olarak yorumlanabilir. Bu sonuçlar bağlamında özel ya da kamu kesiminin ağırlığının hem sağlık hizmeti sunumunda hem de finansmanında önemli olduğunu belirtmek yerinde olacaktır.

Kamu harcamalarının bağımlı değişken olduğu analiz sağlık harcamalarında kamunun yüksek payda olduğunu göstermektedir. Bu durum akıllara kamu kesimi harcamalarının özel kesim harcamalarını dışlaması olarak bilinen croding out (dışlama etkisi)'ni getirmektedir. Çünkü özel kesim harcamalarının bağımlı değişken olduğu modelde kamu değişkeninin (sağlık harcamalarında kamunun payı) negatif sonuç vermesi dışlama etkisini çok daha açık hale getirmiştir. Model (1) sonuçlarında negatif, model (2) sonuçlarında pozitif olan bu değişkenin model (3) de negatife dönmesi kamu harcamalarının özel kesim harcamalarını dışlattığını göstermektedir. Üç model toplu olarak değerlendirildiğinde doktor sayısındaki artış sağlık harcamalarını azaltırken kişi başında ilaç harcamaları, doğurganlık oranı, şehirleşme oranı 65 veüzeri yaşın nüfustaki payının artışı ve kişi başı GSYİH sağlık harcamalarını arttırmaktadır. Sonuçlar bir bütün olarak ele alındığında çalışmada kullanılan değişkenler sağlık harcamalarındaki değişiklikleri güçlü şekilde açıklamaktadır. Bu sonuçlar Di Matteo (2005), Getzen(2006), (Sanz ve Velázquez (2007) ve Çalışkan (2009)'ın çalışmalarına paralel olarak OECD ülkelerinde sağlık harcamalarının lüks harcama değil ihtiyaç olduğunu göstermektedir.

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# Development and Features of the Residential Real Estate Market in Bulgaria

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**Abstract***:* The present study investigates the development of the residential real estate market in Bulgaria and identifies the main factors that affect the demand, supply and prices of real estate in Bulgaria. The subject of research are the factors that influence the development of the residential real estate market. The main goal is to analyze the state of this market by deriving the factors that affect the demand, supply and prices of residential properties in Bulgaria. In this regard, the specific features of the real estate market in Bulgaria are considered in the context of its development and the main trends are traced in terms of investment opportunities in residential real estate.

**Keywords:** real estate, real estate market, demand, supply, prices, housing loans, interest rates.

## 1. INTRODUCTION

Real estate has always been subject of great investor interest - from the average person who wants to buy a home, to real estate investment funds (REITs), which own and manage portfolios of real estate. Knowing and understanding the real estate market is one of the fundamental requirements for the success of investments in real estate. Till the 90s, we could not talk about a functioning real estate market in Bulgaria. Restitution in parallel with the privatization of the majority of state and municipal property led to predominantly increase in private ownership of property. This proved to be a serious prerequisite for the development of the real estate market. The 2005 - 2008 was a fruitful period for the sales of real estate. High demand has led to a drastic rise in property prices. The financial crisis and its manifestation in Bulgaria radically changed the situation in the sector. Its impact was most strongly felt in the market through tight lending measures and rising interest rates, which made it very difficult to finance and invest in real estate. The lack of credit resources led to a decrease in demand and a halt in the construction of many investment projects, which in turn led to bankruptcies of developers and investors. At the end of 2008, there was a decrease in construction activity compared to the beginning of the year, which gradually had a negative impact on the construction sector and the real estate market. This trend continued over the next five years. The real estate market began to revive only in 2014. At the moment, it is once again in a stage of maturity and supply and demand are expected to begin to equalize. Forecasts are contradictory, but according to sector experts, the real estate market is much more balanced and mature at the present time than in 2008 and it is not expected to go through similar upheavals as in 2008 and 2009.

Summarizing the development of the Bulgarian real estate market, we can conclude that since 1990, it has made significant progress. In addition, the sector survived the 2008 crisis and managed to recover. It is currently one of the busiest markets in Europe. Of course, due to the cyclical nature of real estate investments and many other factors, trade failures cannot be completely avoided, but a better knowledge of the specifics of this market is a factor for reliable forecasting of its future development.

### 2. Nature and specific features of the real estate market

The real estate market is a specific area of investment entrepreneurial activity carried out with the aim of making a profit from the construction, management and operation of real estate.[1] Real estate can be considered both in terms of investment perspective and as a source of benefits for their owners as a result of their use, which can be long-term advantage.

[1] Iliev, Genov, Kalinkov, Monev, & Kalchev, 2007, Real Estate in Bulgaria in the Conditions of European Integration, Varna. Science and Economics Publishing House, ISBN: 978-954-21-0317-2, p. 89

Monev (2007)[2] provides a comprehensive definition of the real estate market as "a set of existing and potential buyers (individuals and organizations) of products - real estate (in its pure form or related services) - entering a complex system of economic, human and legal relationships with sellers and other market participants in order to realize transactions that include the basic (property) and / or specific (construction, superstructure and extension) rights over them and which meet their needs. This definition distinguishes the real estate market as a separate market, although it is directly related to the financial market and the economy generally.[3] The literature is widespread belief that that the real estate market is both a commodity market and a capital market (investment market). Therefore, "immovable property is both a commodity and capital in kind, and the real estate market is both a commodity market and a capital market".[4] This is the position of the majority of authors who write in this field.

Numerous definitions of the real estate market are known in the specialized literature, which reflect its various characteristics. According to Maximov[5], the real estate market is "an interconnected system of market mechanisms ensuring the creation, sale, operation and financing of real estate." In this definition, the market is presented as a system that includes all activities for the creation and operation, including real estate financing. In this sense, the market can be represented as a set of relationships between buyers and sellers, landlords and tenants and other market participants in real estate transactions. These relations have a legal and economic nature and are related to the redistribution of real estate between the individual participants. According to another definition of the nature and scope of the real estate market, it is "a set of real estate objects, as well as civil law transactions and operations with this property, carried out by professional participants in the real estate market or through their mediation."[6]

As part of the market economy of the individual country, the real estate market is in interaction with other markets (consumer goods market, securities market, credit market, insurance, etc.). Due to the specific features and high prices of housing compared to the average income of households, the real estate market is closely linked to the credit market. The purchase of real estate in most cases is related to negotiating a mortgage bank loan. When lending to a bank for the purchase of real estate, it must be insured. This determines the relationship of the real estate market with insurance. Changes in interest rates and conditions on loans and deposits are a determining factor for the demand and supply of real estate. The strongest connection of the real estate market with the financial market is through the opportunities for investing in real estate through the stock exchanges. There are other opportunities for individual investors, such as by acquiring shares in real estate companies, exchange-traded funds (ETF)[7] or real estate investment trusts (REITs)[8], which are widely used in global practice.

Eventually, we can summarize that in the real estate market there is a transfer of ownership or use between the individual participants as the sellers (landlords) contact the buyers (tenants) in order to carry out the transaction. In this way an equilibrium price of real estate is achieved. As in any other market, so in the real estate market, the main elements are the demand, supply and prices of real estate. From the point of view of the specific features of the real estates, the legal and contractual relations related to the appraisal of the real estates and formation of the market price, the transfer of ownership or the settlement of other relations between the subjects such as right of use, rent, lease

[2] Ibid p. 91

[3] Stoyanov, S., Iliev, P., Kalchev, R., Monev, P., Zhelev, I., Chaparov, B., Antonova, V., 2013. Real estate economics. Varna, ed. Science and Economics, University of Economics.

[4] Ibid p. 114

[5] Maksimov SN Fundamentals of entrepreneurial activity in the real estate market: Uch. pos. for universities. Spb .: Peter, 2000, pp. 33

[6] Smirnov VV, Lukina ZP Real estate manager. - M.: Publishing House "Auditor", 1999, p.136

[7] EXCHANGE TRADED FUND (ETF) - exchange traded fund

[8] Real Estate Investment Trust (REIT) is a company that owns, manages or finances real estate that generates income, in Bulgaria these are the Joint Stock Companies with Special Investment Purpose (JSCSIP)

may be indicated. and others.; property management (purchasing or selling decisions, renting), the management of the properties themselves and the related costs for insurance, taxes, etc.; the infrastructure and the activities necessary for the functioning of the market (material, consulting, brokerage, insurance, marketing activities - advertising, sales promotion, surveys, etc.).

The characteristics of real estate also determine the specifics of the real estate market. The immobility and uniqueness of each real estate correspond to the geographical location of the market and predetermine the essential importance of this factor. The location of the real estate and the characteristics of the territory on which it is located are crucial for its value and its investment attractiveness. Other features that distinguish the real estate market from other commodity markets are: impossibility to sell without necessarily making a preliminary inspection of the site. The market is characterized by a limited number of sellers and buyers and a high degree of regulation (administrative, legal and economic), especially when it comes to state and municipal property. Demand and supply of real estate have low elasticity, ie with increasing supply and demand, prices rise at a slower pace. Both supply and demand are determined not only by the consumer qualities of the sites, but also largely determined by other factors such as: the state of infrastructure in the area of the site and the surrounding environment at the level of settlement, municipality, district, region. Real estate transactions are carried out in longer terms and are characterized by legal complexity. Real estate has low liquidity, but on the other hand their value usually increases over time. In purchase and sale, real estate exists on the market as a commodity and as a service - for rent, lease, right of use, etc. This makes it possible to form two separate markets for real estate transactions - for sales and rent.

There are many participants in the real estate market, which depending on their status can be summarized in four groups of entities: legal entities, individuals, the state and municipalities. When property seekers do so for investment purposes, they can be classified into:

• individual investors (individuals);

• institutional investors (state, municipalities and other institutions);

• professional investors (SPAC)[9], whose object of activity is fundraising through issuance of securities and purchase of real estate and real rights over real estate, construction and improvements, in order to provide them for management, renting, leasing or renting and selling them, or buying and selling receivables.

There are many classifications in the real estate market in the literature. Since the perspective from which the study is conducted is the real estate investor, it is appropriate to use the following division of the real estate market: agricultural land market, housing market, business real estate market, which are office buildings and commercial premises and industrial properties, a mixed property market, such as residential properties that can be used for offices or shops, and a specific property market (e.g., schools, galleries, libraries, etc.). this classification is most often used in foreign literature when making various analyzes of the real estate market. The focus of this article is on the residential real estate market.

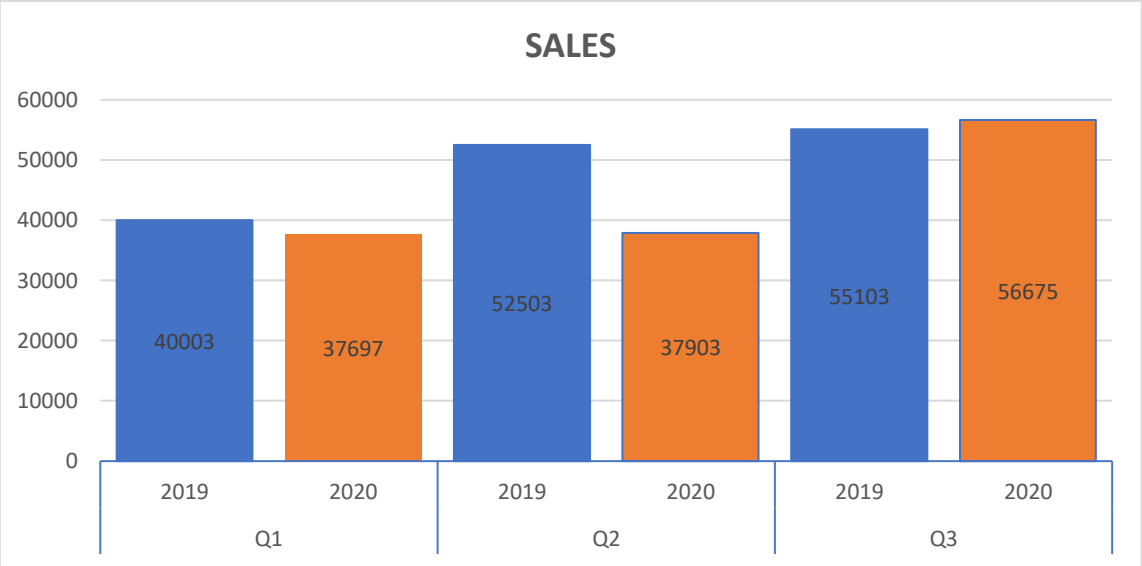
**3. Development and trends in the residential real estate market in Bulgaria**

The following main stages can be distinguished in the development of the real estate market in Bulgaria: until 1990; to the beginning of the 21st century and a modern market from the beginning of the 21st century. During socialism, real estate prices, housing finance and construction were controlled by the state. The right to property was limited by the Law on Citizens' Property, and prices were fixed. Until the early 90's, the residential real estate market was characterized by a deficit, which caused the increased demand for real estate after that. In the 1990s, restitution began in parallel with the privatization of state and municipal property. The predominant growth of private property proved to be a serious prerequisite for the further development of the real estate market. Housing prices of 2 euros per $m^2$

[9] JSCSIP (Joint Stock Companies with Special Investment Purpose) is a joint stock company which, under the terms and conditions of the Special Investment Purpose Companies Act (promulgated, SG No. 46/2003), invests the funds raised through the issuance of securities. securities, real estate or receivables (securitization of real estate and receivables). Joint Stock Companies with Special Investment Purposes (JSCSIP) are known in world practice as Real Estate Investment Trusts - REITs.

increased dramatically due to hyperinflation during the 1996-1997 crisis. During this period, unemployment levels were high, incomes were low, the political and economic environment was precarious, funding was limited, and this adversely affected the development of the housing market. The real estate market went up at the beginning of the new century. After 2000, real estate sales are growing rapidly, there is a foreign demand for real estate in Bulgaria. Between 2004 and 2008, the market grew at a double-digit annual rate, leading to a boom in the housing market. Real estate prices have been characterized by a sustained and unprecedented sharp rise, accompanied by a large increase in construction and credit and the creation of a property bubble. The manifestation of the global financial crisis was felt by tightening lending, rising interest rates and limiting the financing of construction and entrepreneurship. This led to bankruptcies of developers and investors and a subsequent huge drop in property prices. The first signs of a revival in the real estate market appeared in 2013 - 2014. Almost zero interest rates on bank deposits encouraged people to invest in real estate. That is why the housing market began to grow in 2014, recovering from the deep collapse in 2008. After five years of sharp rise in house prices, the real estate market in Bulgaria in the first quarter of 2020 again declined. The Bulgarian economy is expected to shrink by about 7% this year, according to the European Commission, due to the coronavirus pandemic. According to the property register, the number of homes sold in the second quarter of 2020 was 27.8% less compared to the same period in 2019. In the third quarter of the year the market grew compared to the previous year 2019 (Fig. 1).

FIG. 1 Real estate sales in Bulgaria for 1-3 quarters of 2020 compared to 2019




Source: Property Register, https://www.registryagency.bg/bg/registri/imoten-registar/statistika/

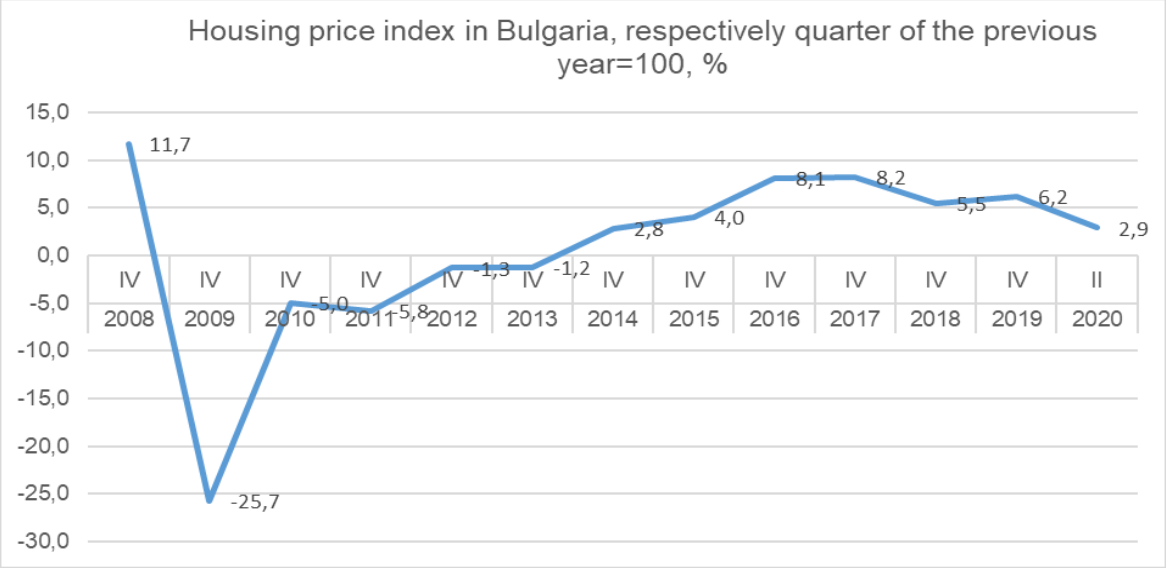
The main factors influencing the demand for real estate and used in the market analysis according to European criteria are: nominal house price index, gross household income, gross amount of housing loans to disposable income of households, population over 18 years, distribution of the population by status of possession.

The housing price index shows the change in the prices of residential properties purchased by households (apartments, single-family houses, etc.), both newly built and existing, regardless of their end use and their previous owners for a certain period.[10] Nominal housing prices in Bulgaria marked a sharp change after 2008, as shown in Fig. 2. In 2009 there was a significant decline in house prices - 20.42% compared to 2008. This is mainly due to the reasons mentioned above - limited lending by banks, high supply and shrinking demand, due to lack of resources and a sense of insecurity. All these factors put strong pressure on property prices and lower them. After this drastic decline, prices began to rise until 2016. In the fourth quarter of 2016, the increase in prices was 8.1% compared to the same

[10] Eurostat. (2017). Housing price statistics - house price index. http://ec.europa.eu/eurostat/statistics-explained/index.php/Housing_price_statistics_-_house_price_index

period of the previous year, after which the growth rate of prices began to decline and reached a nominal value of 2.9% in the second quarter of 2020 compared to 2019. The average change in the nominal property prices for the period 2008 - 2020 amounts to 0.8%.

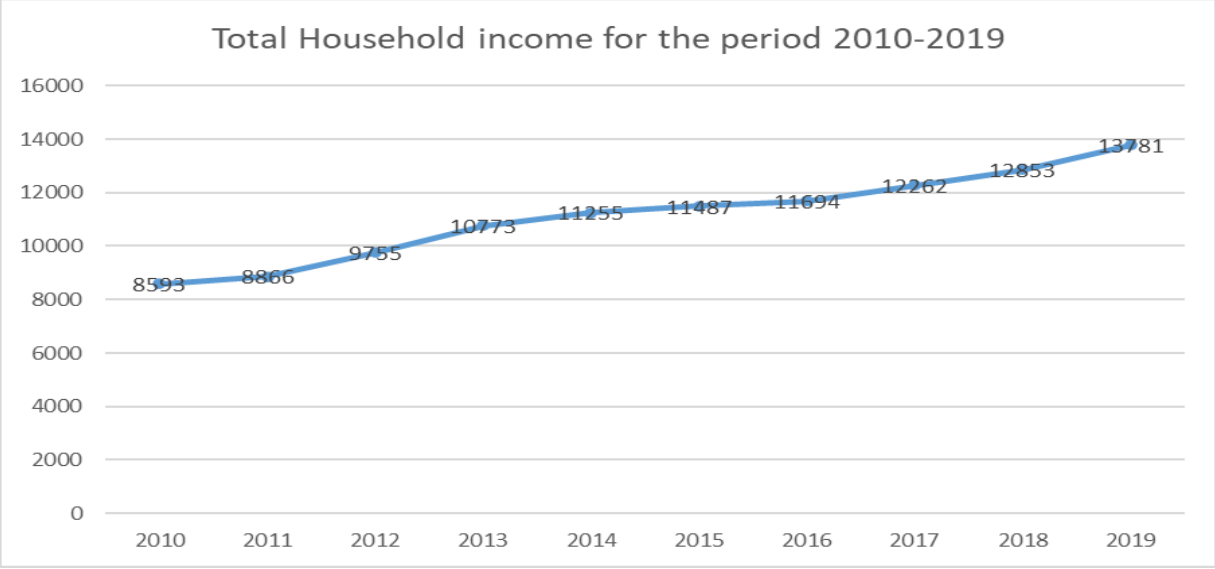
FIG. 2 Housing price index in Bulgaria for the period 2008-2020




Source: https://www.nsi.bg

Gross household income is defined according to the NSI methodology as "the sum of all regular incomes of the household and its members received from: labor, property, pensions, unemployment benefits, social benefits for children, other benefits and allowances and regular transfers from other households."[11] The trend is a steady increase in income, and in 2014 there was a slowdown in growth due to rising inflation in the country. At the end of the period there is again a positive upward trend.

FIG. 3 Change in the gross total income of households for the period 2010-2019

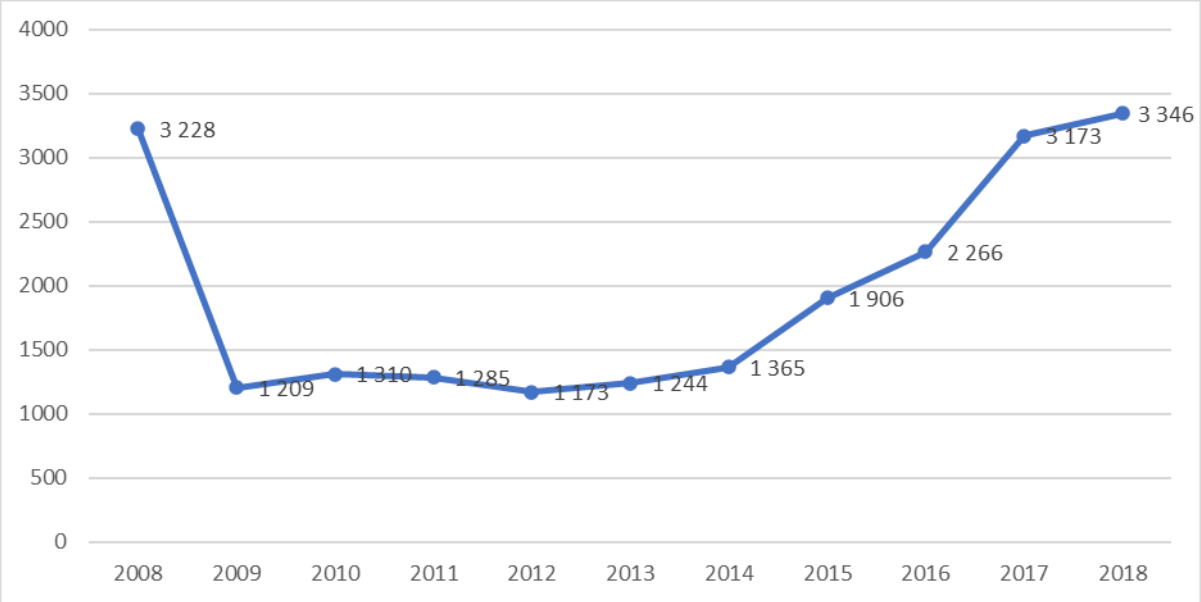



Source: https://www.nsi.bg

[11] https://www.nsi.bg

FIG. 4 presents the change in the gross amounts of housing loans for a ten-year period from the beginning of the financial crisis to 2018 for the period 2008 - 2014 the trend is negative. After 2014, the indicator marked an increase due to the improvement of the economic situation related to the reduction of interest rates on loans and stabilization of incomes in the country.

FIG. 4 Gross amount of housing loans for the period 2008-2018




Source: https://hypo.org/app/uploads/sites/3/2019/09/HYPOSTAT-2019_web.pdf

During the period under review, according to the European Mortgage Federation (2019)[12], the population over 18 years of age recorded a steady decline due to declining birth rates and migration processes among the younger generation and people of working age, caused by many factors including life, lack of adequately paid jobs and lack of opportunities for realization in the country, etc.

The indicator "distribution of the population by status of possession" shows an increase in the share of persons living in their own homes, which was interrupted in 2013. In 2013 there was a decrease compared to 2012, which remained in the following years until 2018.[13]

The main indicators that can be used to analyze the supply on the housing market are: the total number of dwellings in the country, the actual investments in residential buildings, the number of projects completed during the year, building permits and interest rates on loans. For the period under review, statistics show an increase in the number of building permits. Interest rates on loans are characterized by a steady downward trend after 2010. With regard to the housing stock, there has been an increase since 2011, as a result of the easing of limited lending.

In recent years, near-zero interest rates on bank deposits have encouraged people to invest in real estate. That is why the housing market began to recover in 2014 after a significant decline in 2008-2010 and showed a steady upward trend until the first quarter of 2020, when the economy was closed due to the COVID-19 pandemic.

In the first half of 2020, housing permits decreased by almost 25% on an annual basis. Housing prices are expected to remain relatively stable over the medium term, amid declining demand. The average interest rate on BGN mortgage loans fell to 2.89% in July 2020 from 3.07% in the previous year, according to the Bulgarian National Bank. Data from the third quarter show a trend of recovery of the levels of most indicators, but the uncertainty and the deteriorating economic situation guarantee a decline in sales, which is likely to be typical for next year.

[12] HYPOSTAT 2019, statistical table 29, https://hypo.org/app/uploads/sites/3/2019/09/HYPOSTAT-2019_web.pdf

[13] Ibid., Table 11.

## 4. CONCLUSION

Summarizing the development of the Bulgarian real estate market after the 1990s, we can conclude that it has made significant progress. In addition, the sector has managed to recover from the global financial crisis of 2008 and is currently one of the busiest markets in Europe. This fact is mainly based on declining and partly zero interest rates on deposits, falling interest rates on loans, rising rental prices in large cities and the frequent turmoil in the financial markets, which make investments in financial assets increasingly uncertain. Analyzing the main factors of supply and demand in the real estate market we can conclude that economic and political crises are key to its development and dynamics. In this regard, the use of modern methods for risk assessment and forecasting in real estate investments are a key factor for their success.

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# Non-Cash Payment Instruments And Their Acceptance By The Macedonian Citizens During Covid19 Pandemic

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**Abstract:** The world Covid 19 pandemic, has produced deep changes in the ways of leaving and realizing normal daily activities of the citizens. One of the daily activities realized by the citizens is the payment as a way of finalizing the transaction with a certain monetary instrument. Payment is one of the activities that banks must adapt to the new situation and have to offer various payment instruments that will provide a safe and continuous way of carrying out financial activities. But, on the other hand, the question is how much the clients are prepared to accept those banks payment instruments and to change their habits and preferences for cash payment. The main aim of this paper is to perform an analysis of the clients' payment adaptation during Covid19 pandemic and their acceptance of the non-cash payment instruments offered by the commercial banks in the North Macedonia. For this purpose, a survey research has been performed in way to analyze the above mention situation before the pandemic start and during the pandemic.

**Key words:** payment instruments, banks, pandemic

## 1. Introduction

Digital revolution imposed by the internet, has caused significant changes in all spheres of social life and economic activity, and naturally, it has not passed away the banking sector as well.

In its essence, the banking sector is conservative and tends towards traditional and established methods. Traditionally, financial products and services have been distributed through bank branches due to their proximity to customers, the large number of services they perform, the added value that the client receives at the branch, and the important role bank branches play in decisions made by customers (Le'bana-Cabanillas eta al., 2013). But, during the time, the number of bank transactions increased to unexpected ratios, so that the use of traditional methods for transactions processing was not possible any more.

The new technological achievements that have been successfully implemented in the banks working, have caused significant changes in the bank's way off communication with its clients, i.e. in the way the banking institutions has distributed their services to the clients. Namely, there is a gradual transformation from traditional to modern electronic way of distribution.

E-banking is a modern service that is a precondition for the banks survival on the market. The banks significantly invest in this service, which is a strategic tool for lowering the costs in the banking sector, in order to gain the clients' trust, competitive advantage and effective extension of their business out of the geographical barriers. (Brief Survey on Use of E-Bankig in Albania, Ermela Kripa, PhD-European University of Tirana, Marinela Seitaj, MsC, Coordinator UET Language Centre/TELTS test, European University of Tirana, Academic Journal of Interdisciplinary Studies, MCSER Publishing, Rome-Italy, July 2015). In fact, the credibility of the entire banking system will be under the question should the fast changes in the clients' preferences are not identified and met, and if the clients are not informed in due time and solutions are not offered to them in real time.

The first step towards the electronic banking are the automated teller machines (ATM) that enable lower working expenses, time saving for the bank employees and use of the bank services by the clients any time of the day. Then POS terminals as a system that enables connecting of the buyers, the bank and the retail, the payment cards as an instrument for realizing cashless payments, the electronic money, the electronic checks, and the mobile banking that is the latest trend of the electronic banking etc.

The new modern trends in the banks working are being gradually implemented in the banking sector of our country, too. But, the characteristic of our situation is a still relatively low preparedness for higher development of the digital banking, and use of some, now already traditional instruments such as the payment cards (Kadievska-Vojnovic 2016).

There are many factors that define the preparedness for digitalization in the banking sector: (Kadievska-Vojnovic 2016).

- The banks capacity for innovations
- The phase of technological development in which the country is
- The level of competition in the sector
- The consumer culture
- The population demographic structure
- The concentration degree in the banking sector and
- The existing regulative, which can promote or limit the development of new technological solutions.

But, besides the encouraging factors, there are limiting factors as well: (Kadievska-Vojnovic 2016).

- The negative effects that the financial crisis had on the banks' capacity for innovations and
- The local population mentality that has not show the sufficient level of trust to online activities and cashless way of payment yet.

## 2. Analysis of the payment system in the Republic of North Macedonia

The proliferation of payment cards – that is, debit, credit, and prepaid cards – has dramatically changed the way we shop and merchants sell goods and services. Today, payment cards are indispensable in most advanced economies. (Bolt &Chakravorti, 2008).

The payment card as a specific instrument for cashless payments, issued by the banks, trade or other specialized businesses, is mainly used for: (Uros T., 2010) paying for products and/or services; cash withdrawal and electronic payment.

The increased usage of cards has increased the value of payment networks, such as Visa Inc., MasterCard Worldwide etc.

As for the situation in the Republic of North Macedonia, from the report on the data for payments statistics published by the NBRM, in December 2019, totally 1 864 227 cards with a function for cash withdrawing/depositing, are in circulation. 1 825 824 or 98% of the total cards number, are owned by individuals, and 99% of them or 1 809 513 cards have payments function. Therefore, in average, 1,8 payment cards are issued to a million people in the state. In 2019, there were 13 733 merchants, i.e. 19 779 selling points (data for 2018) that accepted payment cards. In December 2019 , according to the same official source, there are 1 072 ATMs in the country and 31721 points of sale (POS terminals). (http://www.nbrm.mk/platezhna_statistika.nspx). Analyzing the trend for payment cards in the period from January 2016 to December 2019, some short-term fluctuations can be seen, but for the whole period, it has been noted that there is an increase in the number of active payment cards of almost 8%. This statistics undoubtedly lead to a conclusion that there is a solid infrastructure for cashless payment, but also for cash withdrawal without physical presence on the counters in the bank branches.

**The research aim**

The aim of this research is to analyze how the banks and their clients are prepared to adapt themselves for using banking services in the situation of pandemic. Therefore, the focus of this research is on analyzing the effects of using the payment cards, and the preparedness and the degree of acceptance and usage of such payment instruments by the people.

**Target group**

The target group in this research are the citizens of Republic of North Macedonia over 18 years old, who have opened a transaction account in some commercial bank in the country. The target group is segmented into several categories in order to see their habits and perceptions on the research subject from a point of view of different age structure, social structure, gender structure, job status, educational degree, resident regions etc. The answers given by the respondents from different regions were given according to the residence county in the statistical region. The sublimation according to 8 statistical regions (HTEC third level), accepted by the Central Bureau of Statistics, was made for the analyses consistency and eventual comparison of the results on a regional level.

**Techniques for data collecting and instruments for researching**

The research was realized by an anonymous survey questionnaire of 25 structured questions of closed type, which generally reflect the respondents' perception on the habits, safety and acceptance of the payment cards and electronic systems offered by the banks before the pandemic start and after it was designated. Data collecting was only electronic, in the period of time from 29.04 2020 to 21.05 2020, under the conditions of a state of emergency in the country, and respecting the recommendation for social distance between the interviewers and the respondents. Having in mind the specific period for researching, the link to the poll was sent to more than 6000 people, and totally 920 respondents gave their answers.

**Research main hypothesis**

The usage of payment cards and the habits, i.e. preferences for their usage by the citizens before the pandemic and after its start, are different.

Separate hypotheses

For easier and more detailed testing of the main hypothesis, eight auxiliary hypotheses in a close correlation with the research main hypothesis, have been established.

1. There is not statistical dependence between the respondents' status and preferences for the way of withdrawing financial resources (counter or ATM).
2. There is not statistical dependence in the frequency of visiting bank branches before and during the pandemic.
3. There is not statistical dependence between the preferences for payment in the retail, i.e. the usage of the payment card before the pandemic start and the respondents' age.
4. There is not statistical dependence between the change of the preferences for payment in the retail, i.e. the usage of the payment card before the pandemic start and the respondents' age.
5. There is not statistical dependence between the preferences for using the payment card and the respondents' monthly incomes.
6. There is not statistical dependence between the change of the preferences for using the payment card from the pandemic start and the respondents' monthly incomes.
7. There is not statistical dependence between the preferences for payment in the retail, i.e. the usage of the payment card before the pandemic and after its start.
8. There is not statistical dependence between the usage of the payment card in the retail before the pandemic start and after its start.

The structure of the respondents by gender, age and status, is given in the Table 1.

| Table 1 | | | |
|---|---|---|---|
| **Row Labels** | **female** | **male** | |
| **18-25 years** | **62** | **31** | **93** |
| Employed in public sector | 2 | | 2 |
| Employed in private sector | 12 | 12 | 24 |
| Unemployed | 6 | 3 | 9 |
| Student | 42 | 16 | 58 |
| **26-35 years** | **160** | **85** | **245** |
| Employed in public sector | 55 | 27 | 82 |
| Employed in private sector | 82 | 50 | 132 |
| Unemployed | 19 | 8 | 27 |
| Student | 4 | | 4 |
| **36-45 years** | **208** | **126** | **334** |
| Employed in public sector | 122 | 78 | 200 |
| Employed in private sector | 71 | 41 | 112 |
| Unemployed | 15 | 7 | 22 |
| **46-55 years** | **97** | **59** | **156** |
| Employed in public sector | 70 | 31 | 101 |
| Employed in private sector | 24 | 27 | 51 |
| Unemployed | 3 | 1 | 4 |
| **More than 55 years** | **58** | **34** | **92** |
| Employed in public sector | 20 | 10 | 30 |
| Employed in private sector | 7 | 4 | 11 |
| Unemployed | 1 | | 1 |
| Retired | 30 | 20 | 50 |
| **Grand Total** | **585** | **335** | **920** |

Regarding the monthly incomes of the respondents, 413 respondents or about 45%, have answered that their personal monthly incomes are from 2000 den. to 30000 den.; 229 respondents or 25% that they make more than 30000 den. a month, while 257 respondents or 28% that have a monthly salary less than 20000 den. 21 respondents have not answered this question.

Table 2

| **Table 2** | | | | | |
|---|---|---|---|---|---|
| **Row Labels** | **Between 20 000den and 30 000 den.** | **More than 30 000 den.** | **Less than 20 000 den.** | **Didn't respond** | **Grand Total** |
| 18-25 years | 16 | 6 | 61 | 10 | 93 |
| 26-35 years | 122 | 40 | 78 | 5 | 245 |
| 36-45 years | 146 | 116 | 69 | 3 | 334 |
| 46-55 years | 85 | 45 | 24 | 2 | 156 |
| More than 55 years | 44 | 22 | 25 | 1 | 92 |
| **Grand Total** | **413** | **229** | **257** | **21** | **920** |

**The research results**

The research results will be presented in two parts. In the first part, some quantitative analyses obtained from the answers in the questionnaire will be presented, while in the second one, the results of the statistical testing of the hypotheses set in the research, will be shown.

***Descriptive statistics of the survey results***

Of the total number of respondents, 875 or more than 95% have answered that they possess payment card. From them, 841 respondents or 96,1% have answered that they prefer to withdraw money from ATM than from the bank counter. From the respondents who possess a payment card, more than 55% , in the last 6 months before the start of the pandemic, have never visited the branch of their bank, while about 30% have visited the branch once a month in average in the last 6 months. But, since the start of the pandemic, almost 70% of the respondents (607 respondents) have never visited their bank branch, and 188 respondents or 21,5% have visited the bank branch at least once. These results show that the respondents have started using the payment card for cashless payment or for withdrawing money from the ATM, in a larger number (Table 3).

Table 3

| Row Labels | Physically visited a branch before the pandemic start | | Physically visited a branch from the pandemic start | |
|---|---|---|---|---|
| Twice a month | **65** | 7.4% | **33** | 3.8% |
| Three times a month | **18** | 2.1% | **14** | 1.6% |
| Once a month | **261** | 29.8% | **188** | 21.5% |
| I haven't visited a branch because I'm using a payment card to pay or withdraw a money from an ATM | **482** | 55.1% | **607** | 69.4% |
| More than three times a month | **48** | 5.5% | **31** | 3.5% |
| Did not respond | **1** | 0.1% | **2** | 0.2% |
| **Grand Total** | **875** | | **875** | |

Regarding preferences for using the payment card before the pandemic start, most of the respondents who use payment card have answered that they prefer to pay by a payment card (64%), while 313 respondents or 36% that prefer to pay in cash although they possess a payment card.

Table 4

| Row Labels | Payment preferences before the pandemic | |
|---|---|---|
| I prefer to pay in cash even though I have a payment card | 313 | 35.98% |
| I prefer to pay with payment card | 557 | 64.02% |
| **Grand Total** | **870** | |

These preferences, from the start of the pandemic, have undergone some changes in favor of the payment card. So, about 8% is a higher number of respondents who prefer to use payment card since the pandemic start, compared to the number two months ago, i.e. before its start.

Table 5

| Row Labels | Preferences for payment before the pandemic | |
|---|---|---|
| Yes, I started to pay in cash more than before | 19 | 2.17% |
| Yes, I started to pay with payment card more than before | 179 | 20.48% |

| | | |
|---|---|---|
| No, I still prefer to in cash | 233 | 26.66% |
| No, I prefer to pay with payment card | 443 | 50.69% |
| **Grand Total** | **874** | |

The respondents have been asked to give their opinion concerning the advantages and stimulations the banks have made in the period since the start of the pandemic for avoiding physical presence in their branches.

**Table 6**

| | Yes | no | didn't respond |
|---|---|---|---|
| The bank encouraged me to use a payment card to with draw cash | 425 | 460 | 35 |
| The bank promoted the use of electronic services instead of a physical presence at a branch counter | 571 | 314 | 35 |
| The bank encouraged me to use a payment card in retail | 518 | 363 | 39 |
| The bank offered me additional benefits (lower transaction costs, higher amount of overdraft, etc.) to use its e-services instead the physical realization of activities | 380 | 502 | 38 |

## 3. Statistical hypotheses testing

In order to examine the dependences between separate measuring indicators, statistical tests have been made by means of $x^2$ test independence test.

*Statistical hypothesis 1*

$H_0$: There is not a statistical dependence between the status of the respondents and preferences for the way of withdrawing money (counter or ATM).

$H_1$: There is a statistical dependence between the status of the respondents and preferences for the way of withdrawing money (counter or ATM).

| **Respondents status** | **Counter** | **Payment card** | **Total** | **Results of $\chi^2$ test** |
|---|---|---|---|---|
| Employed in public sector | 11 | 403 | **414** | ***$\chi^2$= 64.349 > 9.488*** ***df* = 4** ***p < 0.00*** ***α = 0.05*** |
| Employed in private sector | 12 | 318 | **330** | |
| Unemployed | 10 | 51 | **61** | |
| Retired | 13 | 36 | **49** | |
| Student | 6 | 56 | **62** | |
| **Total** | **52** | **864** | **916** | |

From $x^2$ independence test it can be concluded that on the significance level α=5%, the null hypothesis for independence between the respondents status and the preferences for way of withdrawing money (counter or ATM), should be rejected. In other words, the respondents' status and the preferences for way of withdrawing money (counter or ATM) are in a statistical dependence.

*Statistical hypothesis 2*

$H_0$: There is not a statistical dependence in the frequency of visiting the bank branches before and during the pandemic.

$H_1$: There is a statistical dependence in the frequency of visiting the bank branches before and during the pandemic.

| | I haven't visited a branch | Once a month | Twice a month | Three times a month | More than three times a month | **Total** | **Results of $\chi^2$ test** |
|---|---|---|---|---|---|---|---|
| I haven't visited a branch | 469 | 15 | 3 | 1 | 2 | **490** | ***$\chi^2$= 1059.24 > 26.296*** ***df* = 16** ***p < 0.00*** ***α = 0.05*** ***C = 0.7336*** |
| Once a month | 125 | 143 | 9 | 3 | | **280** | |
| Twice a month | 18 | 29 | 18 | 1 | 1 | **67** | |
| Three times a month | | 9 | 1 | 9 | 1 | **20** | |
| More than three times a month | 7 | 9 | 6 | 2 | 28 | **52** | |
| **Total** | **619** | **205** | **37** | **16** | **32** | **909** | |

From $x^2$ independence test it can be concluded that on the significance level α=5%, the null hypothesis for independence between the respondents status and the preferences for way of withdrawing money (counter or ATM), should be discarded. This means that there is statistically significant dependence in the frequency of visiting the bank branches before and after the pandemic. From the estimated contingency coefficient *(C = 0.7336),* it can be concluded that there is a high dependence between the variables.

*Statistical hypothesis 3*

$H_0$: There is not a statistical dependence between the preferences for using the payment card and the respondents' age.

$H_1$: There is a statistical dependence between the preferences for using the payment card and the respondents' age.

From $x^2$ independence test it can be concluded that on the significance level α=5%, the null hypothesis should be discarded. In other words, there is statistically significant dependence between the respondents' age and the preferences for using the payment card when paying in retail. But having in mind the low value of the contingency coefficient *(C=0.166)*, it can be concluded that there is a little relationship between the variables.

| | **I prefer to pay in cash** | **I prefer to pay with payment card** | **Total** | **Results of $\chi^2$ test** |
|---|---|---|---|---|
| 18-25 years | 48 | 36 | **84** | ***$\chi^2$= 24.579 > 9.488*** ***df* = 4** ***p < 0.00*** ***α = 0.05*** ***C = 0.166*** |
| 26-35 years | 94 | 139 | **233** | |
| 36-45 years | 100 | 220 | **320** | |
| 46-55 years | 45 | 107 | **152** | |
| More than 55 years | 26 | 55 | **81** | |
| **Total** | **313** | **557** | **870** | |

*Statistical hypothesis 4*

$H_0$: There is not a statistical dependence between the preferences change for payment in retail, i.e. using the payment card since the pandemic start and the respondents' age.

$H_1$: There is a statistical dependence between the preferences change for payment in retail, i.e. using the payment card since the pandemic start and the respondents' age.

| | Yes, I pay more in cash | Yes, I pay more with payment card | No. I still pay in cash | No, I still pat with payment card | **Total** | **$\chi^2$ test results** |
|---|---|---|---|---|---|---|
| 18-25 years | 3 | 11 | 37 | 33 | **84** | ***$\chi^2$*= 19.650 < 21.026**<br>***df* = 12**<br>***p < 0.074***<br>***α = 0.05*** |
| 26-35 years | 3 | 51 | 64 | 115 | **233** | |
| 36-45 years | 7 | 69 | 77 | 169 | **322** | |
| 46-55 years | 4 | 30 | 33 | 85 | **152** | |
| More than 55 years | 2 | 18 | 22 | 41 | **83** | |
| **Total** | **19** | **179** | **233** | **443** | **874** | |

From $X^2$ test independence test it can be concluded that on the significance level α=5%, the null hypothesisshould not be discarded.

*Statistical hypothesis 5*

$H_0$: There is not a statistical dependence between the preferences for way of payment in retail and the respondents' monthly incomes.

$H_1$: There is a statistical dependence between the preferences for way of payment in retail and the respondents' monthly incomes.

| | **I prefer to pay in cash** | **I prefer to pay with payment card** | **Total** | **Results of $\chi^2$ test** |
|---|---|---|---|---|
| Between 20 000 den. and 30 000 den. | 133 | 273 | **406** | ***$\chi^2$*= 58.476 > 5.991**<br>***df* = 2**<br>***p < 0.00***<br>***α = 0.05*** |
| More than 30 000 den. | 52 | 176 | **228** | |
| Less than 20 000 den | 137 | 111 | **248** | |
| **Total** | **322** | **560** | **882** | |

From $X^2$ independence test it can be concluded that on the significance level α=5%, the null hypothesisshould be discarded. In other words, there is statistically significant dependence between the respondents' monthly incomes and the preferences for using the payment card when paying in retail.

*Statistical hypothesis 6*

$H_0$: There is not a statistical dependence between the preferences change for using the payment card from the pandemic start and the respondents' monthly incomes.

$H_1$: There is a statistical dependence between the preferences change for using the payment card from the pandemic start and the respondents' monthly incomes.

| | Yes, I prefer to pay more in cash | Yes, I pay more with payment card | No, I still pay in cash | No, I still pay with payment card | total | **Results of $\chi^2$ test** |
|---|---|---|---|---|---|---|
| Between 20 000 den. and 30 000 den. | 6 | 88 | 94 | 214 | **402** | ***$\chi^2$*= 49.511 > 12.592** |
| More than 30 000 den. | 4 | 39 | 38 | 143 | **224** | ***df* = 6** |
| Less than 20 000 den | 9 | 51 | 91 | 80 | **231** | ***p < 0.00*** |
| **Total** | **19** | **178** | **223** | **437** | **857** | ***α = 0.05*** |

From $x^2$ independence test it can be concluded that on the significance level α=5%, the null hypothesis should be discarded. In other words, there is statistically significant dependence between the monthly incomes of the respondents who possess payment cards and the preferences change for using the payment card when paying in retail after the pandemic start.

*Statistical hypothesis 7*

$H_0$: There is not a statistical dependence between the preferences for payment in retail, i.e. using the payment card before the pandemic start and its start.

$H_1$: There is a statistical dependence between the preferences for payment in retail, i.e. using the payment card before the pandemic start and its start.

| | **I prefer to pay with cash** | **I prefer to pay with payment card** | **Total** | **Results from $\chi^2$ test** |
|---|---|---|---|---|
| **Yes, I pay more in cash** | 9 | 8 | **17** | ***$\chi^2$*= 593.175 > 7.815** |
| **Yes, I pay more in cash** | 78 | 100 | **178** | ***df* = 3** |
| **Yes, I pay more in cash** | 220 | 11 | **231** | ***p < 0.00*** |
| **Yes, I pay more in cash** | 5 | 438 | **443** | ***α = 0.05*** |
| **Total** | **312** | **557** | **869** | ***C = 0.637*** |

From $x^2$ independence test it can be concluded that on the significance level α=5%, the null hypothesisshould be discarded. In other words, there is statistically significant dependence between the preferences for using the payment card for paying in retail before the pandemic start and its start.

*Statistical hypothesis 8*

$H_0$: There is not a statistical dependence between the use of the payment card in retail, before the pandemic start and its start.

$H_1$: There is a statistical dependence between the use of the payment card in retail, before the pandemic start and its start.

| **Have you used payment card in the market? (before/from the pandemic start)** | **Yes** | **no** | **Total** | **Results of $\chi^2$ test** |
|---|---|---|---|---|
| **Yes** | 767 | 9 | **776** | ***$\chi^2$*= 511.614 > 3.841** |
| **No** | 22 | 58 | **80** | ***df* = 1** |
| **Total** | **789** | **67** | **856** | ***p < 0.00*** |

| | | | | |
|---|---|---|---|---|
| | | | | ***α = 0.05*** |

From $X^2$ independence test it can be concluded that on the significance level α=5%, the null hypothesisshould be discarded. This leads to a conclusion that there is statistically significant dependence between the use of the payment card for paying in retail, before the pandemic start and its start.

**The research limitations**

Although the research has been conducted by taking account of the scientific approach in the sample defining, nevertheless it has some limitations.

- One of those limitations is the territorial deployment of the respondents. Namely, although the sample contains territorial scope of the respondents from all eight statistical regions, there is a disparity concerning the representativeness of each separate region. In fact, most of the respondents (324) or about 35% are from the region of Pelagonia, while the participation of the interviewed persons from the region of Polog, and the Eastern and Northern regions, is between 4,8% and 6,3% of the total respondents number.
- As the research has been realized only online, there has not been any physical communication, especially with the representatives from the banking institutions who would give appropriate overviews concerning the subject of this research.
- Having in mind that the research has been realized by sharing a link to the questionnaire, generally speaking, it is a voluntary sample.

## 4. Conclusion

The results show that generally the people have changed their preferences for the ways of payment and usage of the payment cards during the pandemic. That is probably due to the fact that most of the banks encourage their clients to use different services of the bank without physical presence as a part of the recommendations for physical distancing. However, the results indicate that there is still a large space for acting in this respect.

- On the basis of the analysis of the secondary data from NBRM, it can be concluded that there is a solid infrastructure for cashless payment and cash withdrawing without physical presence over the counters in the banks branches.
- Although from the analyses of banks' web sites in the country it can be seen that almost all banks encourage their clients to realize their financial obligations without physical presence in the branch and that they offer some benefits such as lower commissions etc., there is still a large number of the respondents that have a negative answer concerning these questions. Maybe, that is due to inappropriate channel for information delivering by some of the banks.
- This survey has confirmed the main hypothesis that the people's habits, i.e. preferences for using payment cards before the pandemic start and after its start, are different. The main hypothesis has been also confirmed by the testing of separate statistical hypothesis, and the following statistical conclusions have been made:
    - There is a statistical dependence between the status of the respondents (employed in a public sector, private sector, unemployed, students, pensioners) and the preferences for way of withdrawing money (counter or ATM).
    - There is a statistical dependence in the frequency of visiting the banks branches before and during the pandemic.
    - There is a statistical dependence between the preference for using the payment card and the respondents' monthly incomes.

- There is a statistical dependence between the change in the preferences for using the payment card from the pandemic start and the respondents' monthly incomes.
- There is a statistical dependence between the preferences for paying in retail, i.e. using the payment card, before the pandemic start and after the start of the pandemic.
- There is a statistical dependence between the usage of the payment card when paying in retail before the pandemic start and after the pandemic start.

**Recommendations**

Taking into account the fact that there is a statistical dependence between the status of the respondents and the preferences for the way of money withdrawing (counter or ATM), and the preferences for using the payment card and the monthly incomes of the respondents, the banking institutions should identify the reasons for such preferences of different categories of people and should offer segmented educative campaigns for different clients categories.

The banks should find out an appropriate communication channel with their clients in order to inform the clients on the offered benefits and recommendations.

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# Türkiye Cumhuriyet Merkez Bankası'nın Pandemi Sürecinde Kullandığı Para Politikası Araçları

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**Özet:** Merkez Bankası Kanunu'na göre Bankanın temel görevlerinden biri finansal sistemde istikrarı sağlayıcı ve para ve döviz piyasaları ile ilgili düzenleyici tedbirleri almaktır. Ayrıca, mali piyasaları izlemek, finansal sistemler ile ilgili hususlarda hükûmete görüş vermek, Bankaca uygun görülecek banka dışı mali kurumların ve bankaların yükümlülüklerini esas alarak zorunlu karşılıklar ve umumi disponibilite ile ilgili usul ve esasları belirlemek ve bankalardaki mevduatın vade ve türleri ile özel finans kurumlarındaki katılma hesaplarının vadelerini belirlemek, ödeme ve mutabakat sistemlerini kurmak, işletmek ve denetlemek de Bankanın finansal istikrar ile ilgili diğer temel görevleri arasındadır. Türkiye Cumhuriyet Merkez Bankası 2001 yılında yeniden düzenlenen Merkez Bankası Kanunu ile fiyat istikrarı temel amacına ilave olarak finansal sistemde istikrarı sağlayıcı tedbirleri almakla görevlendirilmiş bulunmaktadır.

Dünyada ilk olarak Çin'in Wuhan kentinde 2019 yılı Aralık ayında ortaya çıkarak tüm dünyaya yayılan Covid-19 salgını, Türkiye'de de sağlık, sosyal ve ekonomik alanda etkilerini göstermiştir. Ekonomiye olan olumsuz etkilerini azaltabilmek için bir takım önlemler alınmıştır. Ekonomik alanda alınan karar ve önlemlerin başlıca aktörü olan Türkiye Cumhuriyet Merkez Bankası bu alanda para politikası araçlarını etkili bir şekilde kullanmaya çalışmıştır. Bu çalışma ile Türkiye Cumhuriyet Merkez Bankası'nın pandemi sürecinde kullandığı para politikası araçları açıklanmıştır.

**Anahtar Kelimeler:** Türkiye Cumhuriyet Merkez Bankası, Para Politikası Araçları, COVID-19 Pandemisinin Etkileri.

# Monetary Policy Tools Used by Central Bank of Turkey During Covid 19 Pandemic

**Abstract:** According to the Central Bank Law, one of the main duties of the Bank is to take stabilizing measures for financial system and regulatory measures regarding financial and exchange markets. In addition, monitoring the financial markets, giving an opinion to the government on matters regarding financial systems, determining the procedures and principles regarding required reserves and general liquidity based on the liabilities of non-bank financial institutions and banks deemed appropriate by the Bank and determining the terms and types of deposits in banks and the maturity of participation accounts in private financial institutions, establishing, operating and supervising payment and settlement systems are among the other basic duties of the Bank related to financial stability. With the revised Central Bank Law In 2001, Central Bank of Turkey, in addition to the primary objective of price stability, are mandated to take measures for stabilizing the financial system.

Covid 19 epidemic which started in city of Wuhan, China at December of 2019 affected Turkey on social, economic and healthcare fields. A number of measures have been taken in order to reduce its negative effects on the economy.
Central Bank of Republic of Turkey which is the main actor of decisions and measures taken in the economic field has tried to use monetary policy tools effectively in this field. With this study, monetary policy instruments used by the Central Bank of Turkey in epidemic are explained.

**Keywords**: Central Bank of Turkey, Monetary Policy Instruments, Effects of Covid 19 epidemic.

## 1. GİRİŞ

Covid-19 salgını dünya çapında ekonomik faaliyetleri ciddi şekilde etkilemektedir. Pandemi nedeniyle büyüme oranında düşüş, işsizlik oranında artış, enflasyon oranında artış, ödemeler dengesinde bozulma, bütçe dengesinde bozulma ve dış finansmanda zorluklar yaşanmaktadır. Pandeminin ekonomi üzerindeki olumsuz etkilerini giderebilmek için her ülke kendine has ekonomik tedbir yolları aramaya başlamıştır.

Türkiye'de ilk vaka 11 Mart 2020 tarihinde sağlık bakanı tarafından açıklanmıştır. Hala etkisini sürdüren COVID-19 Pandemisine bağlı olarak ortaya çıkan ekonomik zorluklar Türkiye'yi de etkisi altına almıştır.

Salgının hızını azaltabilmek için ise bazı tedbirler alınmış ve alınan tedbirler Türkiye'de ekonomik ve sosyal yaşamı durdurma noktasına getirmiştir. Pandeminin ekonomi üzerindeki olumsuz etkilerini giderebilmek için para politikası ve maliye politikası araçları kullanılmıştır. Türkiye'de bu etkileri azaltmak amacıyla 18.03.2020 tarihinde "Ekonomik İstikrar Kalkanı" destek paketi yayınlanmıştır.

Para politikası, merkez bankalarının genel ekonomi politikası hedefleri ile uyumlu olarak (fiyat istikrarı, finansal sistemin işleyişinde istikrar ve sürdürülebilir ekonomik büyüme) para arzı ve faiz gibi değişkenleri yönlendirme çabaları olarak tanımlanabilir (Uzunoğlu ve Sönmezler, 2013).

Ekonomi politikasının genel amaçlara ulaşabilmesi için para politikasının bu amaçlara doğru yönlendirilmesi gerekir (Erçel, 1996:2).

Merkez Bankası'nın uyguladığı para politikasının temel araçları;

i. Açık piyasa işlemleri,

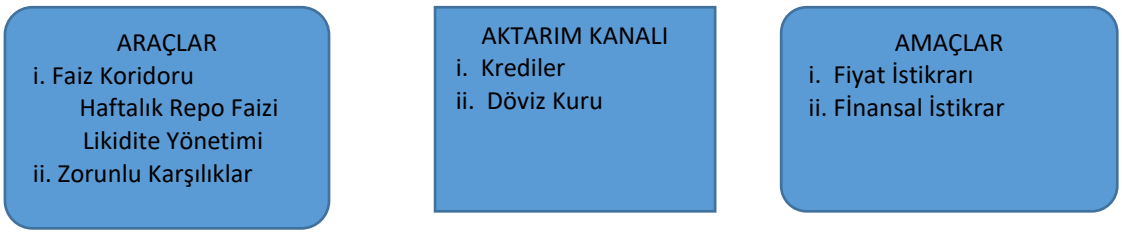
ii. Doğrudan alım-satım,

iii. Reeskont politikası,

iv. Döviz alım-satımı,

v. Karşılık oranlarıdır.

**TCMB'nin Politika Araçları ve Amaçları**




Kaynak: Kara, 2012. TCMB'nin Politika Araçları ve Amaçları

Merkez Bankası açık piyasa işlemleri ile parasal tabanı değiştirebilir. Merkez Bankası'nın tahvil veya döviz satın alması halinde, parasal taban genişlemiş, ekonomideki para arzı artırılmış demektir. Merkez Bankası'nın tahvil veya döviz satması halinde parasal taban daraltılmış, para arzı azaltılmış olur (Öçal, Çolak, Togay ve Eser, 1997).

Merkez Bankası, reeskont kredilerine uygulanacak reeskont oranlarını belirleyerek bankaların kredi hacimlerini etkileyebilirler. Merkez Bankası, bankalar sistemi aracılığı ile dolaşımdaki para hacmini artırmak istediğinde, reeskont oranını düşürerek, reeskont kredi hacmini artırabilir. Reeskont oranının düşürülmesi, bankaların daha fazla kredi talep etmesini teşvik eder. Dolaşımda ki para hacmini daraltmak istediğinde ise, reeskont oranını yükselterek, reeskont kredi hacmini azaltabilir. Reeskont oranının yükseltilmesi ise bankaların kredi talebini azaltabilmektedir.

Bankalar, topladıkları mevduatın bir kısmını, zorunlu karşılıklar oranına göre, karşılık olarak ayırarak Merkez Bankası'na yatırırlar. "Merkez Bankası, karşılık oranlarını değiştirerek, bankaların ellerindeki aşırı rezervleri (parasal tabanı) ve böylece banka sisteminin kaydi para genişlemesini etkileyebilirler " (Parasız, 1997, s. 306).

## 2. Türkiye Cumhuriyet Merkez Bankası'nın Pandemi Sürecinde Kullandığı Para Politikası Araçları

Covid-19 pandemisinin ekonomi üzerindeki olumsuz etkilerini giderebilmek için para politikası ve maliye politikası araçları kullanılmıştır. Türkiye'de bu etkileri azaltmak amacıyla 18.03.2020 tarihinde "Ekonomik İstikrar Kalkanı" destek paketi yayınlanmıştır.

Transfer ödemelerinde artışlar Covid-19 pandemisine karşı para politikaları kapsamında; faiz indirimlerine gidilmiş, kredi kolaylıkları sağlanmış, para basma yoluna gidilmiş, bazı sektörlere doğrudan destekte bulunulmuştur. İlk parasal tedbir, merkez bankalarının para piyasasında genişletici etki yaratabilmek için faiz indirimlerine gitmesi ile başlatılmıştır. Ayrıca kriz sürecinde firmaların ve hane halkının kırılganlığını minimuma indirmek amacıyla vergi erteleme, yapılandırma kararları, genişletici harcama politikaları, doğrudan gelir transferlerini içeren genişletici maliye politikaları da uygulamaya konulmuştur (Kaya, 2020: 233).

Tüm dünyaya yayılan COVİD-19'un Türkiye'deki ekonomik etkileri; TCMB, 30 Nisan 2020 tarihli 2020-II Enflasyon Raporu Bilgilendirme Toplantısı'nda makroekonomik gelişmeler aşağıdaki gibi açıklanmıştır (https://www.tcmb.gov.tr).

Enflasyon Raporu Bilgilendirme Toplantısı'nda Para Politikası ile ilgili gelişmeler;

• Enflasyon görünümüne bağlı olarak bir hafta vadeli repo ihale faizi yüzde 8,75'e indirilmiştir.

• Sistemin fonlama ihtiyacındaki artışa bağlı olarak, açık piyasa işlemleri (APİ) aracılığıyla sağlanan net fonlama miktarında artış gözlenmiştir.

TCMB, 30 Nisan 2020 tarihli Para Politikası Kurulu 2020-II Enflasyon Raporu Bilgilendirme Toplantısı'nda faiz indirimlerine ek olarak kapsamlı bir önlem paketi uygulamaya koymuştur (https://www.tcmb.gov.tr).

1. Türk lirası ve yabancı para likidite yönetiminde esneklik ve öngörülebilirlik artırılmıştır.

2. Reel sektöre kredi akışının kesintisiz devamını teminen bankalara hedefli ilave likidite imkânları tanınmıştır.

3. İhracatçı firmaların nakit akışının desteklenmesine yönelik reeskont kredi düzenlemeleri yapılmıştır.

4. Devlet İç Borçlanma Senetleri (DİBS) Piyasası likiditesinin desteklenmesine yönelik adımlar atılmıştır.

Covid-19 pandemisinin reel sektöre ve hane halkına yönelik olumsuz yansımalarını sınırlamayı teminen alınan iktisadi faaliyeti ve makrofinansal istikrarı destekleyici tedbirlerin bir kısmı iktisadi faaliyetin 2020 yılının son çeyreğinde güçlü seyrini koruması sonucunda kademeli olarak gevşetilmiştir. Diğer taraftan salgının seyrine dair küresel çapta süregelen belirsizliklerin de etkisiyle devam eden riskleri yönetmek için sıkı para politikası duruşuyla birlikte bazı tedbirlerin uygulanmasına devam edilmiş veya ilave tedbirler alınmasına ihtiyaç duyulmuştur (https://www.tcmb.gov.tr).

Finansal istikrarı desteklemek ve piyasaların etkin işleyişine katkıda bulunmak amacıyla uygulamaya konulan tedbir ve düzenleme adımları ana başlıklar altında Tablo I.' de özetlenmiştir.

Tablo I. Finansal İstikrarı Desteklemek Ve Piyasaların Etkin İşleyişine Katkıda Bulunmak Amacıyla Uygulamaya Konulan Tedbir Ve Düzenlemeler

| **1. TCMB Tarafından Faiz Oranlarına ve Likidite Yönetimine İlişkin Atılan Adımlar** | |
|---|---|
| Yürürlük Tarihi | Tedbir / Düzenleme |
| 25 Aralık 2020 | Politika faizi oranı olan 1 hafta vadeli repo ihale faiz oranı ile döviz karşılığı TL swap işlemleri ve TL karşılığı altın swap işlemlerinde uygulanan TL faiz oranı yüzde 15'ten yüzde 17'ye yükseltilmiştir. |
| 4 Ocak 2021 | TCMB Taraflı Swap işlemleri ve BIST VİOP Nezdinde Türk Lirası Uzlaşmalı Vadeli Döviz işlemleri TCMB Web Sitesinde işlem valör tarihleri bazında günlük olarak yayınlanmaya başlanmıştır |
| 4 Mart 2021 | Bankaların repo işlemleri karşılığı TCMB'ye getirebilecekleri kıymetler arasına Hazine ve Maliye Bakanlığınca kurumsal yatırımcılara ihracı yapılan döviz, döviz endeksli ve altın cinsi devlet iç borçlanma senetleri dâhil edilmiştir. |
| 19 Mart 2021 | Politika faizi oranı olan 1 hafta vadeli repo ihale faiz oranı ile döviz karşılığı TL swap işlemleri ve TL karşılığı altın swap işlemlerinde uygulanan TL faiz oranı yüzde 17'den yüzde 19'a yükseltilmiştir. |
| **2. Zorunlu Karşılıklar (ZK)1** | |

| Yürürlük Tarihi | Tedbir / Düzenleme |
|---|---|
| 27 Kasım 2020 | TL cinsinden ZK'lara ödenen faiz/nema oranı tüm bankalar için yüzde 12'ye yükseltilmiş, ABD doları cinsinden mevduat/katılım fonu yükümlülükleri için tesis edilen ZK'lara yüzde 1,25 olarak uygulanan komisyon oranı yüzde 0'a düşürülmüştür. |
| 25 Aralık 2020 | Parasal aktarım mekanizmasının etkinliğini artırmak amacıyla sade bir zorunlu karşılık sistemine geçilmesine karar verilmiştir. ZK oranları ve ZK faiz/nema oranlarında kredi büyümesine göre farklılaşma uygulaması kaldırılmış ve TL ve YP ZK oranları tüm bankalar için aynı seviyede olacak şekilde yeniden belirlenmiştir. |
| 5 Mart 2021 | TL ZK oranlarının tüm vade dilimlerinde ve yükümlülük türlerinde 200 baz puan artırılmasına ve TL ZK'lara ödenen faiz/nema oranının 150 baz puan artışla yüzde 13,5'e yükseltilmesine karar verilmiştir. Ayrıca TL ZK'ların döviz cinsinden tesis edilebilmesi imkânı azami oranı yüzde 30'dan yüzde 20'ye, standart altın cinsinden tesis edilebilmesi imkânı azami oranı yüzde 20'den yüzde 15'e düşürülmüştür |

**3. İhracat ve Döviz Kazandırıcı Hizmetler Reeskont Krediler**

| Yürürlük Tarihi | Tedbir / Düzenleme |
|---|---|
| 4 Ocak 2021 | 20 Mart 2020 tarihinde küresel ekonomik belirsizlikler ile uluslararası ticarette yaşanan güçlüklerin reel sektör firmaları üzerindeki olası etkilerinin hafifletilmesi amacıyla 720 güne yükseltilen, 7 Ağustos 2020 tarihinde ise 360 güne indirilen ihracat ve döviz kazandırıcı hizmetler reeskont kredilerinin azami vadesi 240 gün olarak güncellenmiştir. Yeni pazarlara yapılan ihracat, yüksek teknolojili ürün ihracatı ve döviz kazandırıcı hizmetlerin finansmanı amacıyla kullanılan krediler için ise azami vade 360 gün olarak belirlenmiştir |

**4. Mevduat / Katılım Fonları, Kredi Kartları ve Ödeme Sistemleri**

| Yürürlük Tarihi | Tedbir / Düzenleme |
|---|---|
| 18 Aralık 2020 | BDDK tarafından yapılan değişiklikle kredi kartlarında taksitlendirme süreleri:<br>- Basılı ve külçe halinde olmayan kuyumla ilgili harcamalarda 8 aydan 6 aya,<br>- Fiyatı 3.500 TL'ye kadar olan televizyon alımları hariç elektronik eşya alımlarında 6 aydan 4 aya,<br>- Mobilya ve elektrikli eşya alımlarında 18 aydan 12 aya indirilmiştir. |
| 23 Aralık 2020 | 3321 Sayılı Cumhurbaşkanı Kararıyla, 30 Eylül 2020 – 31 Aralık 2020 tarihleri arasında açılan veya vadesi bu tarihler arasında yenilenen mevduat/katılım fonlarında uygulanan stopaj oranlarını,<br>- Vadesiz ve ihbarlı hesaplar ile 6 aya kadar (6 ay dâhil) vadeli hesaplarda yüzde 15'ten yüzde 5'e,<br>- 1 yıla kadar (1 yıl dâhil) vadeli hesaplarda yüzde 12'den yüzde 3'e,<br>- 1 yıldan uzun vadeli hesaplarda yüzde 10'dan yüzde 0'a indirilmesinde uygulamanın süresi 31 Mart 2021 tarihine uzatılmıştır |
| 31 Aralık 2020 | TCMB, bankalarca ticari müşterilerden ve finansal tüketicilerden tahsil edilen ücretlere ilişkin tebliğlerde, FAST işlemleri karşılığında alınabilecek ücretin EFT işlemleri ücret sınırlamalarına tabi olmasına ve EFT sisteminin resmi çalışma saatleri dışında gerçekleştirilen FAST işlemleri için söz konusu azami ücretlerin yüzde 50 artırımlı olarak uygulanmasına yönelik değişiklik yapmıştır |
| 10 Şubat 2021 | BDDK, bankaların, bankalar adına kıymetli maden değerleme ve toplama hizmeti veren anlaşmalı kuyumcular ve kıymetli maden eksperleri tarafından banka müşterilerinin altın cinsinden mevduat/özel cari/katılım hesaplarına alacak kaydetmek üzere topladıkları fiziki altınların asgari milyem değerlerini belirlemiştir |
| 1 Nisan 2021 | 3755 sayılı Cumhurbaşkanı Kararıyla, mevduat/katılım fonlarında uygulanan stopaj oranlarının indirim süresi 31 Mayıs 2021 tarihine kadar uzatılmıştır |

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| 30 Nisan 2021 | TCMB tarafından yayımlanan Ödemelerde Kripto Varlıkların Kullanılmamasına Dair Yönetmelik'te,<br>- Kripto varlıkların ödemelerde doğrudan veya dolaylı şekilde kullanılamayacağı, buna yönelik hizmet sunulamayacağı,<br>- Ödeme hizmeti sağlayıcılarının, ödeme hizmetlerinin sunulmasında ve elektronik para ihracında kripto varlıkların doğrudan veya dolaylı olarak kullanılacağı bir şekilde iş modelleri geliştiremeyeceği, bu tür iş modellerine ilişkin herhangi bir hizmet sunamayacağı,<br>- Ödeme ve elektronik para kuruluşlarının, kripto varlıklara ilişkin alım satım, saklama, transfer veya ihraç hizmeti sunan platformlara veya bu platformlardan yapılacak fon aktarımlarına aracılık edemeyeceği belirtilmiştir. |
| 1 Mayıs 2021 | 3941 Sayılı Cumhurbaşkanlığı Kararıyla, kripto varlık hizmet sağlayıcıları ve tasarruf finansman şirketleri suç gelirlerinin aklanması ve terörün finansmanının önlenmesine dair Yönetmelik kapsamına dâhil edilmiştir. |
| **5. Kredi Kullandırımına ve Borç Ödemelerine Dönük Düzenlemeler** | |
| Yürürlük Tarihi | Tedbir / Düzenleme |
| 8 Aralık 2020 | KGF, Avrupa Yatırım Fonu aracılığıyla yürütülen COSME-İşletmelerin ve KOBİ'lerin Rekabet Edebilirliği Programı kapsamında KOBİ'lere 1 yılı ödemesiz olmak üzere asgari 36 azami 60 aya kadar vadeli 7,5 milyar TL tutarında kredi destek paketi hazırlamıştır. KOBİ'ler bu kapsamda 1 milyon 125 bin TL'ye kadar kredi kullanabilecektir. |
| 21 Aralık 2020 | Dünya Bankası tarafından Türkiye'de KOSGEB aracılığıyla 300 milyon ABD doları finansman sağlayacağı duyurulmuştur. Koronavirüs salgınının mikro ve küçük ölçekli işletmeler (MKİ'ler) üzerindeki yıpratıcı etkileri dikkate alınarak tasarlanan bu proje ile öncelikli sektörlerdeki MKİ'lere hızlı ve kolay erişimli işletme sermayesi desteği verilerek, MKİ'lerin faaliyetlerini ve istihdam seviyelerini sürdürmelerinin sağlanması amaçlanmaktadır. Destek programı: -İmalat sektöründeki MKİ'lere "faizsiz geri ödemeli destek" ve -2017 ve sonrasında kurulan ve imalat, bilgisayar programlama ve bilimsel Ar-Ge sektörlerinde faaliyet gösteren genç inovatif MKİ'lere "faizsiz geri ödemeli destek" veren iki bileşenden oluşmaktadır. |
| 24 Aralık 2020 | Ticaret Bakanlığınca, koronavirüs salgını nedeniyle ticari faaliyetleri olumsuz etkilenen esnaf ve sanatkârlara ve gerçek kişi tacirlere yönelik hibe desteği programı açıklanmıştır. Buna göre,<br>-Hibe, gelir kaybı desteği ve kira desteği olarak verilecek,<br>-Gelir kaybı desteği 3 ay süreyle aylık 1000 TL,<br>-İş yeri kira olanlara kira desteği 3 ay süreyle, büyükşehirlerde 750 TL, diğer illerde 500 TL, kira bedelinin kira destek tutarının altında olması durumunda iş yeri kira bedeli olarak belirlenmiştir. |
| 26 Aralık 2020 | Ticaret Bakanlığı, perakende işletmelerce tüketicilere yönelik gerçekleştirilen taksitli satışlara yönelik uygulamaları yeniden düzenlemiştir. Buna göre:<br>-Video, kamera ve ses sistemi gibi elektronik eşya satışları ile fiyatı 3.500 TL'nin üstünde olan televizyon satışlarında taksit süresi 6 aydan 4 aya çekilmiştir.<br>-Buzdolabı, çamaşır makinesi, bulaşık makinesi ve elektrikli ev aletleri gibi elektrikli eşya satışları ve mobilya satışlarında daha önce 18 olan taksit sayısı sınırı 12'ye indirilmiştir.<br>-Perakende işletmelerce basılı ve külçe halinde olmayan kuyum satışlarında taksitlendirme süresi sınırı 8 adan 6 aya çekilmiştir. |
| 29 Aralık 2020 | 3340 Sayılı Cumhurbaşkanı Kararı ile Halkbank'ın,<br>- Önceki yıllarda alınan kararlar kapsamında Esnaf ve Sanatkâr Kredi ve Kefalet Kooperatifleri (ESKKK) kefaletiyle veya doğrudan kullandırdığı bakiyesi 2021'e devreden krediler ile 1 Ocak -31 Aralık 2021 arasında kullandırılacak kredilere yüzde 50 oranında,<br>- Söz konusu kredilerden Karar ile belirlenen bazı özel koşulları taşıyan kredilere ise yüzde 100 oranında faiz indirimi uygulanmasına, bu Karar kapsamında açılan kredilerden doğacak gelir kayıplarının Hazine ve Maliye Bakanlığı'nca karşılanmasına |

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| | karar verilmiştir. |
| 13 Şubat 2021 | Çevre ve Şehircilik Bakanlığı'nca kentsel dönüşüme yönelik banka kredisi faiz destekleri yeniden düzenlenerek, hak sahiplerince bankalardan kullanılacak kredilere sağlanacak faiz desteklerinde, kredi anapara tutarı için belirlenen üst limitlerin artırıldığı duyurulmuştur. Hak sahipliği bazında destek sağlanacak kredi anapara tutarı için üst limit, "güçlendirme" kredilerinde 50 bin TL'den 80 bin TL'ye, "konut yapım", "konut edindirme", "iş yeri yapım" ve "iş yeri edindirme" kredilerinde ise 125 bin TL'den 200 bin TL'ye yükseltilmiştir. Bir hak sahibi adına faiz desteği sağlanacak toplam kredi tutarı da 625 bin TL'den 1 milyon TL'ye çıkarılmıştır. |
| 1 Mart 2021 | TCMB tarafından Bankalarca Ticari Müşterilerden Alınabilecek Ücretlere İlişkin Usul ve Esaslar Hakkında Tebliğ'de yapılan değişikle, bankaların ticari müşterilere kullandırılan nakdi krediler için kredi miktarının yüzde 1'ine kadar alabilecekleri kredi kullandırım ücreti yüzde 1,1'e yükseltilmiştir. 1 Mart 2021 tarihinden itibaren kullandırılan kredilerde ticari müşterinin kredinin tamamı için erken ödeme talebinde bulunması halinde bankalar bu talebi kabul etmek durumunda olup, bu müşterilerden TL krediler için gerekli faiz ve diğer maliyet unsurlarına ilişkin indirimler yapılarak hesaplanan ve müşteri tarafından bankaya erken ödenen tutarın, kalan vadesi 24 ayı aşmayan kredilerde yüzde 2'sine, kalan vadesi 24 ayı aşan kredilerde ise yüzde 2'nin üzerine kalan vadenin 24 ayı aşan kısmındaki her bir yıl için yüzde 1 eklenerek hesaplanan tutara kadar erken ödeme ücreti alınabilecektir. Söz konusu hesaplamada kalan vadenin 24 ayı aşan kısmındaki süreler yıla tamamlanacak olup, döviz cinsi veya dövize endeksli kredilerde ise TL krediler için uygulanacak azami ücretin bir puan artırımlı hali uygulanabilecektir. |
| 12 Mart 2021 | Hazine ve Maliye Bakanlığı tarafından açıklanan Ekonomi Reformları Eylem Planı kapsamında;<br>-KGF teminatı ile 5. ve 6. bölgelerde imalata dayalı, ithal ikamesi ve ihracatı önceleyen yatırımlara uzun vadeli kredi desteği sağlanması,<br>-İlave İstihdama Finansman Desteği kapsamında mikro ve küçük işletmelerde ilave istihdam başına 100 bin TL (en fazla 500 bin TL) KGF kefaletli kredi imkânı verilmesi, bu kapsamda 2 yıl vade (6 aya kadar ödemesiz dönem) kullandırım sağlanması,<br>-İstihdama katılan her 1 kişi için 12 ay boyunca ödenen sosyal sigorta ve işsizlik sigortası primlerinin kredi faiz bakiyesinden düşülmesi,<br>-KOBİ'lerin Devlet Destekli Alacak Sigortası Sistemi ile güvence altına alınan alacaklarının bankalar nezdinde teminat olarak kabul edilmesi, imkânları getirilmiştir. |
| 16 Mart 2021 | Ticaret Bakanlığı, perakende işletmelerce gerçekleştirilecek taksitli mal ve hizmet satışlarında taksitlendirme süresini 12 ay olarak sınırlayan genel hükme tabi olan konut ve taşıt satışların taksitlendirme süreleri yeniden düzenlenmiştir. Buna göre, konut satışları için taksit sınırlaması kaldırılmış, taşıt satışlarının ise taşıtın değerine göre 24 ile 60 ay arasında taksitli satışa konu olabileceği hükme bağlanmıştır |
| 16 Nisan 2021 | BDDK, Ekonomi Reformları Eylem Planı doğrultusunda "Bireysel Bankacılık Analiz ve Derecelendirme Modeli (BAM)" geliştirilmiştir. BAM ile halihazırda yapılmakta olan mevzuata uygunluk denetimine ilaveten proaktif bir bakış açısıyla banka işleyişinin, iş modelinin, strateji ve politikalarının finansal tüketicilerin hak ve menfaatleri kapsamında değerlendirilmesi ve bu doğrultuda kural ve standartlar oluşturularak en iyi uygulamaların yaygınlaştırılması amaçlanmaktadır. |
| 23 Nisan 2021 | Resmi Gazete'de yayımlanan 31463 sayılı Cumhurbaşkanı kararı ile yeni koronavirüs nedeniyle dışsal etkenlerden kaynaklanan dönemsel durumlar kapsamında zorlayıcı sebep gerekçesiyle kısa çalışma uygulanan işyerleri için kısa çalışma ödeneğinin süresi 30 Haziran 2021 tarihine kadar uzatılmıştır. |
| 30 Nisan 2021 | Ticaret Bakanlığı, salgın tedbirleri kapsamında esnaf ve sanatkar için 2021 yılının ilk üç ayı olarak belirlenen 1.000 TL hibe desteği ile büyükşehirlerde 750 TL, diğer illerde ise 500 TL olarak sağlanan kira desteğinin uygulama süresinin bir ay uzatıldığını açıklamıştır. |

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| 1 Mayıs 2021 | KOSGEB vasıtasıyla imalat sektörlerinde çalışan mikro ve küçük ölçekli işletmeler ile teknoloji tabanlı start-up'lar için toplamda 5 milyar TL bütçeli yeni bir destek programı başlatılmıştır. Buna göre mikro işletmeler 30 bin TL'ye kadar, küçük işletmeler ise 75 bin TL'ye kadar olmak üzere, 3 yıl geri ödemesiz ve tamamı faizsiz şekilde destekten faydalanabilecektir. Ayrıca TESKOMB ve Halkbank aracılığıyla esnafa kullandırılan kredilerin taksit ödemeleri, 1 Temmuz 2021 tarihine kadar ertelenmiştir |
| 21 Mayıs 2021 | Resmi Gazetede yayınlanan 3998 sayılı Cumhurbaşkanı kararı ile salgın nedeniyle zarar gören esnafa iki grup halinde toplam 4 milyar 622 milyon TL hibe desteği verileceği açıklanmıştır. Bu bağlamda,<br>- İlk grupta yer alan; kahve, kafe, çay bahçesi, okul personel servisi, düğün salonu, öğrenci yurdu, kantin, kırtasiye, hamam gibi 235 bin esnafa 5 bin TL,<br>- İkinci grupta yer alan 1 milyon 150 bin esnafa ise 3 bin lira hibe desteği sağlanacaktır. |
| 25 Mayıs 2021 | 31491 sayılı Resmi Gazetede yayınlanan değişiklikle 2021 yılı Mart dönemine ilişkin bildirilen hizmet beyannamelerindeki sigortalı sayısı 50'nin altında olan özel sektör işverenlerinin 1 Temmuz 2021 ila 30 Haziran 2022 tarihleri arasında ilave istihdam sağlamaları durumunda, bu sigortalılar için prime esas kazanç alt sınır üzerinden hesaplanan ve tamamı yasal süresi içinde ödenen sigorta primi ve işsizlik sigortası sigortalı ve işveren hissesi primlerinden sağlanan prim teşvik, destek ya da indirimleri düşüldükten sonra kalan tutar, ilgili işverenlerce 30 Haziran 2022 tarihine kadar kullanılan kredilerde 12 aylık süreye ilişkin primlerin ödenmesini müteakip kredi faiz veya kar payı bakiyesinden düşülecektir. Bu madde kapsamında kredi garanti kurumlarınca kredi faiz veya kar payı bakiyesinden düşülen tutar Fondan karşılanacaktır. |
| 26 Mayıs 2021 | Hazine ve Maliye Bakanlığı, KOBİ'lere finansman desteği için 10 bankanın katılımıyla, TOBB ve KGF işbirliğinde 2021 Nefes Kredisi paketi başlatılacağını açıklamıştır. Bu kapsamda,<br>- Faiz oranı yıllık yüzde 17,5 olarak belirlenmiştir. 6 ay ödemesiz dönem imkânı ile beraber kredi geri ödemeleri 12 eşit taksitte yapılacaktır.<br>- Paket kapsamında 2020 yılı cirosu 1 milyon TL'yi aşmayan KOBİ'ler azami 50 bin TL, cirosu 1-10 milyon TL arasında olan KOBİ'ler ise azami 200 bin TL kredi kullanabilecektir.<br>- Bu paket ile yıllık cirosu 10 Milyon TL altında olan ve 2020 yılı cirosunda 2019 yılına göre yüzde 25 kayıp yaşayan; Ticaret, Deniz Ticaret, Sanayi, Ticaret ve Sanayi veya Ticaret Borsası'na kayıtlı üyelere işletme sermayesi finansman imkânı sağlanacaktır.<br>- 1 Haziran 2021'den itibaren uygulanmaya başlayacak olan pakette Hazine destekli KGF kefaleti sağlanacaktır. |

Kaynak: TCMB Finansal İstikrar Raporu Mayıs 2021, Sayı:32.

## Sonuç

Covid-19 salgını dünya çapında ekonomik faaliyetleri ciddi şekilde etkilemektedir. Pandemi nedeniyle büyüme oranında düşüş, işsizlik oranında artış, enflasyon oranında artış, ödemeler dengesinde bozulma, bütçe dengesinde bozulma ve dış finansmanda zorluklar yaşanmaktadır. Pandeminin ekonomi üzerindeki olumsuz etkilerini giderebilmek için her ülke kendine has ekonomik tedbir yolları aramaya başlamıştır.

Hala etkisini sürdüren COVID-19 Pandemisine bağlı olarak ortaya çıkan ekonomik zorluklar Türkiye'yi de etkisi altına almıştır. Salgının hızını azaltabilmek için ise bazı tedbirler alınmış ve alınan tedbirler Türkiye'de ekonomik ve sosyal yaşamı durdurma noktasına getirmiştir. Pandeminin ekonomi üzerindeki olumsuz etkilerini giderebilmek için para politikası ve maliye politikası araçları kullanılmıştır. Türkiye'de bu etkileri azaltmak amacıyla 18.03.2020 tarihinde "Ekonomik İstikrar Kalkanı" destek paketi yayınlanmıştır.

Covid-19 pandemisine karşı para politikaları kapsamında; faiz indirimlerine gidilmiş, kredi kolaylıkları sağlanmış, para basma yoluna gidilmiş, bazı sektörlere doğrudan destekte bulunulmuştur. İlk parasal tedbir, merkez bankalarının para piyasasında genişletici etki yaratabilmek için faiz indirimlerine gitmesi

ile başlatılmıştır. Ayrıca kriz sürecinde firmaların ve hane halkının kırılganlığını minimuma indirmek amacıyla vergi erteleme, yapılandırma kararları, genişletici harcama politikaları, doğrudan gelir transferlerini içeren genişletici maliye politikaları da uygulamaya konulmuştur.

Covid-19 pandemisinin reel sektöre ve hane halkına yönelik olumsuz yansımalarını sınırlamayı teminen alınan iktisadi faaliyeti ve makrofinansal istikrarı destekleyici tedbirlerin bir kısmı iktisadi faaliyetin 2020 yılının son çeyreğinde güçlü seyrini koruması sonucunda kademeli olarak gevşetilmiştir. Diğer taraftan salgının seyrine dair küresel çapta süregelen belirsizliklerin de etkisiyle devam eden riskleri yönetmek için sıkı para politikası duruşuyla birlikte bazı tedbirlerin uygulanmasına devam edilmiş veya ilave tedbirler alınmıştır.

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https://www.tcmb.gov.tr.

# COVİD-19 Pandemisinin İşsizlik Üzerine Etkisi

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**Özet:** Dünyada ilk olarak Çin'in Wuhan kentinde 2019 yılı Aralık ayında ortaya çıkarak tüm dünyaya yayılan Covid-19 salgını, 11 Mart 2020 tarihinde Dünya Sağlık Örgütü tarafından pandemi (salgın) olarak ilan edilmiştir. Pandeminin ilan edilmesinden sonra tüm ülkeler salgının önlenebilmesi için sert tedbirler almışlardır. Pandemiden korunma ve tedavi sürecinde uygulanan bu sert tedbirler, ülkelerin ekonomileri üzerinde negatif yönde etkiler yaratarak, ekonomik faaliyetlerin durma noktasına gelmesine neden olmuş ve bir çeşit küresel krize yol açmıştır. Ekonomik sorunların başında büyüme oranında düşüş, işsizlik ve enflasyon oranında artış, ödemeler dengesinde ve bütçe dengesinde bozulma ve dış finansmanda zorluklar gelmektedir. Pandeminin ekonomi üzerindeki olumsuz etkilerini giderebilmek için her ülke kendine has ekonomik tedbir yolları aramaya başlamıştır. Bu kapsamda ülkeler kriz karşısında genişletici ekonomi politikalarını hızla devreye sokmuşlar ve iç piyasalarını korumak için acil para ve maliye politikası önlem paketleri hazırlamışlardır. Pandemiye bağlı olarak ortaya çıkan ekonomik zorluklar Türkiye'yi de etkisi altına almıştır. Türkiye'de ilk vaka 11 Mart 2020 tarihinde Sağlık Bakanı tarafından açıklanmıştır. Salgının hızını azaltabilmek için alınan tedbirler, Türkiye'de ekonomik ve sosyal yaşamı durdurma noktasına getirmiştir. 2020 Mart ayı ortalarından itibaren iç talep kanalıyla ekonomik faaliyetler, dış ticaret ve turizm sınırlanmaya başlamış, özellikle taşımacılık sektöründe hava taşımacılığı bu süreçten yoğun olarak etkilenmiştir. Bu çalışma ile Türkiye'de Covid-19 salgınının işsizlik üzerine etkisi incelenmiş ve ayrıca istihdama yönelik düzenlemeler ve alınan önlemler açıklanmaya çalışılmıştır.

**Anahtar Kelimeler:** Covid-19, İşsizlik, İstihdam.

# Effect of COVID-19 Pandemic on Unemployment

**Abstract:** The Covid-19 pandemic, which first appeared in Wuhan, China in December 2019 and spread all over the world, was declared as a pandemic (epidemic) by the World Health Organization on March 11, 2020. After the pandemic was declared, all countries took drastic measures to prevent the epidemic. These drastic measures applied in the process of protection and treatment from pandemics had negative effects on the economies of the countries. It caused economic activities to come to a standstill and led to a kind of global crisis. The main economic problems are the decrease in growth rate, increase in unemployment and inflation rate, deterioration in the balance of payments and budget balance and difficulties in external financing. In order to eliminate the negative effects of the pandemic on the economy, each country has started to seek specific economic measures. In this context, countries have rapidly implemented expansionary economic policies in the face of the crisis and prepared emergency monetary and fiscal policy measures to protect their domestic markets. Economic difficulties arising due to the pandemic Turkey has also influenced. The first case in Turkey is explained by the Minister of Health on March 11, 2020. In order to reduce the speed of the epidemic, some measures were taken and the measures taken has brought the economic and social life has come to a standstill in Turkey. As of mid-March 2020, economic activities, foreign trade and tourism have begun to be limited through domestic demand, and especially in the transport sector, air transport has been heavily affected by this process. This study examined the effects of Covid-19 pandemic on unemployment in Turkey and in addition the regulations regarding employment and the measures take were tried to be explained.

**Keywords:** Covid-19, Unemployment, Employment.

## 1. GİRİŞ

Dünyada ilk olarak Çin'in Wuhan kentinde 2019 yılı Aralık ayında ortaya çıkarak tüm dünyaya yayılan Covid-19 Pandemisi, 11 Mart 2020 tarihinde Dünya Sağlık Örgütü (DSÖ) tarafından pandemi (salgın) olarak ilan edilmiştir. Pandeminin ilan edilmesinden sonra tüm ülkeler salgının önlenebilmesi için sert tedbirler almışlardır. Alınan tedbirler ise ekonomik faaliyetlerin durma noktasına gelmesine neden olmuştur. Salgın insan sağlığı ile birlikte ülke ekonomilerini de etkilemiştir. Dünyayı etkisi altına alan salgından dolayı tüm ülkeler ekonomik kriz ile karşı karşıya kalmıştır.

Covid-19 Pandemisi birçok ülkede uygulanan sokağa çıkma yasağı, sosyal karantina uygulaması, iş yerlerinin, spor tesislerinin ve eğitim kurumlarının kapatılması, uluslararası giriş ve çıkışların sınırlandırılması gibi sıkı tedbirler, hem ekonomik hem de sosyal yönden negatif etkilerin doğmasına neden olmuştur. "Dünyada yaşanan bu pandemi tarım, ticaret, sanayi, ulaşım, finans ve bankacılık, sağlık, havayolları ve enerji piyasaları gibi birbirine bağlı pek çok sektörü olumsuz olarak etkileyen bir durgunluğa yol açmıştır" (Duran ve Acar, 2020: 57). Pandemiden korunma ve tedavi sürecinde uygulanan tedbirler sonuçta küresel ekonomik bir krize yol açmıştır. Ülkelerin karşı karşıya kaldığı arz/talep şoklarının etkisi ile üretim, istihdam, toplam talep, enflasyon ve finansal istikrar gibi temel iktisadi konularda kriz sinyalleri izlenmeye başlanmıştır (Bölükbaş, 2020: 51). Kriz büyüme oranında düşüş, işsizlik oranında artış, enflasyon oranında artış, dış finansmanda zorluklar, ödemeler dengesinde ve bütçe dengesinde bozulmalar şeklinde kendini göstermeye başlamıştır.

Ekonomi üzerindeki olumsuz etkilerin giderilebilmesi için her ülke kendine has ekonomik tedbir yolları aramaya başlamıştır.

Tedbirler kapsamında üretici ve tüketiciyi destekleme yoluna başvurulmuş, bu kapsamda ülkeler kriz karşısında genişletici ekonomi politikalarını hızla devreye sokmuşlardır. Bu amaç doğrultusunda dünya genelinde ülkeler iç piyasalarını korumak için acil para ve maliye politikası önlem paketleri hazırlamışlardır.

Covid-19 Pandemisine karşı para politikaları kapsamında; para basma, faiz indirimleri, kredi kolaylıkları, bazı sektörlere yönelik doğrudan destek uygulamaları yapılmıştır. İlk parasal tedbir, merkez bankalarının para piyasasında genişletici etki yaratabilmek için faiz indirimlerine gitmesi ile başlatılmıştır. Ayrıca kriz sürecinde firmaların ve hane halkının kırılganlığını minimuma indirmek amacıyla vergi erteleme, yapılandırma kararları, genişletici harcama politikaları, doğrudan gelir transferlerini içeren genişletici maliye politikaları da uygulamaya konulmuştur (Kaya, 2020: 233).

Pandemiye bağlı olarak ortaya çıkan ekonomik zorluklar Türkiye'yi de etkisi altına almıştır. Salgının hızını azaltabilmek için küresel çapta olduğu gibi Türkiye'de de uygulanan sokağa çıkma yasağı, iş saatlerinin kısaltılması, esnek çalışma sisteminin uygulanması, iş yerlerinin kapatılması gibi alınan pek çok tedbir, ülkede ekonomik ve sosyal yaşamı durma noktasına getirmiştir. Özellikle 2020'nin Mart ayı ortalarından itibaren, iç talep kanallarıyla ekonomik faaliyetler, dış ticaret ve turizm sınırlanmaya başlanmış olup, bu durum taşımacılık sektörünü özellikle de hava taşımacılığını derinden etkilemiştir.

## 2. COVİD-19 PANDEMİSİNİN İŞSİZLİK ÜZERİNE ETKİSİ

Covid-19, tüm ekonomik sektörlerde farklı etkiler doğurmuştur. Krizden olumsuz olarak etkilenen sektörler olduğu gibi, bu süreçte üretim hacmini artırarak kârlı çıkan sektörler de olmuştur. Alkol, dezenfektan ve temizlik malzemelerine artan ihtiyaç neticesinde, bu maddeleri üreten şirketlerin üretim hacmi ve karlılığı artmıştır (Balcı ve Çetin, 2020: 43). Faaliyetlerini tamamen durdurmayan işletmeler ise birtakım kurallara uymak şartıyla faaliyetlerine devam etmiştir. Bunlara örnek olarak maske kullanımı, kapalı ortamlarda mesafe kuralı, kapalı ortamlarda aynı anda bulunabilecek insan sayısı, hijyen kural ve tedbirleri söylenebilir.

İşgücü piyasaları açısından bakacak olursak, ekonomideki daralma genel olarak üretim hacminin düşmesi ve buna bağlı olarak işsizlik oranlarında artışa sebep olmuştur.

Ayrıca Pandemi nedeniyle çalışma hayatına yapılan düzenlemeler, esnek çalışma ve kısmi çalışma gibi farklı istihdam türlerini ön plana çıkarmıştır. Eski günlere nazaran daha az iş yapabilen işletmeler ise işçilerinden bir kısmına süreli veya süresiz ücretsiz izin vermişlerdir. Kriz, iş gücü arzını olumsuz yönde etkilediği gibi işgücü talebinde de düşüşe neden olmuştur (Bulut ve Pınar, 2020: 219).

İşsizlik tahmin hesaplamalarına göre 2020 yılı sonunda işsizliğin gelişmiş ülkelerde %8,3'e, dünya genelinde ise %9,7'ye yükselmesi öngörülmektedir. 2021 yılında işgücü piyasalarına yönelik uygulamaya konulan politikalar neticesinde gelişmiş ülkelerde işsizlik oranının %7,2 gerilemesi öngörülmektedir. Ancak 2021 yılında dünya genelinde işsizlik oranlarının %9,8 ile neredeyse değişim göstermemesi beklenmektedir (Kaya, 2020: 230).

Türkiye'de de Pandeminin işsizlik üzerindeki etkisini azaltmak, iş ve çalışma dünyasını desteklemek amacıyla çok sayıda adımlar atılmıştır. Bu adımlar arasında kısa süreli çalışma planları, ücret sübvansiyonları ve firmalara yönelik destekler bulunmaktadır. Türkiye'de bu etkileri azaltmak amacıyla 18.03.2020 tarihinde "Ekonomik İstikrar Kalkanı Paketi Destek Programı" yayınlanmıştır.

Kısa Çalışma Ödeneği; İşyerindeki çalışma sürelerinin geçici olarak azaltılması veya durdurulması hallerinde, üç ayı aşmamak üzere sigortalılara çalışamadıkları dönem için gelir desteği sağlayan bir uygulamadır. Kısa Çalışma Ödeneği, çalışılmayan süreler için işçinin kendisine ödenir (İŞKUR).

## 3. PANDEMİDE İSTİHDAMA YÖNELİK DÜZENLEMELER VE ALINAN ÖNLEMLER

2020 yılı Mart ayı içerisinde alınan kararlarla birlikte esnek çalışma ve uzaktan çalışma modelleri desteklenerek yaygınlaşması sağlanmıştır. Kısa çalışma ödeneğinden faydalanmak için gerekli olan 600 gün prim şartı 450 güne indirilerek son 120 günde prim ödemiş olma şartı da 60 güne çekilmiştir. Başvuru için gerekli belge sayısı azaltılarak daha fazla kişinin kısa çalışma ödeneğinden yararlanması sağlanmıştır. Çalışılamayan sürelerin daha sonraki dönemlerde çalışılabilmesi anlamına gelen telafi çalışma süresi daha önceleri 2 ay iken bu düzenlemeyle birlikte 4 aya çıkarılmıştır. 2020 yılının tamamı için asgari ücret desteği verilmesi yönünde karar alınmış ve bu süreçte 32 bin sağlık personelinin istihdam edilmesi kararlaştırılmıştır (Cumhurbaşkanlığı Strateji ve Bütçe Başkanlığı, 2020).

Mart 2020'de atılan adımlar Nisan 2020'de de devam etmiştir. Turizm sektöründe çalışmakta iken iş akitleri askıya alınmış olan çalışanların bir kısmı kısa çalışma ödeneği kapsamına alınmış olup, Nisan ayı içerisinde sigorta girişi yapılanlar bu hizmetten yararlanma hakkına sahip olmuştur. Çalışanlar işveren tarafından ücretsiz izne ayrılan ile 15 Mart 2020 tarihinden sonra iş akitleri feshedilen buna rağmen işsizlik sigortasından yararlanmak için gerekli şartları taşımayan çalışanlara 3 ay boyunca günlük 39,24 TL ödeme yapılması kararı alınmıştır. Kısa çalışma ödeneğinin bağlanmasından önce tamamlanması gereken uygunluk tespiti beklenmeksizin çalışanın beyanına göre kısa çalışma ödeneği bağlanması yönünde karar alınmıştır. Bu sayede çalışanların kısa süre içinde haklarına erişmeleri önünde bir engel daha kaldırılmıştır. Toplu iş sözleşmesi uyarınca yürütülen yetki ve uygulamalar üç ay süreyle uzatılmış, 4857 sayılı İş Kanunu'na eklenen Geçici İstihdam Güvencesi başlıklı geçici madde işle işten çıkarma uygulamaları 3 ay süreyle yasaklanmıştır. İşten çıkarma yasağı ilk etapta üç ayla sınırlandırılmasına rağmen, dönemler halinde uzatılarak uygulanmasına devam edilmiştir. 23 Temmuz 2020 tarihli son değişiklik ile birlikte bu süreyi uzatma yetkisi cumhurbaşkanlığına aktarılmış ve uzatılabilecek son tarih olarak 30 Haziran 2021 tarihi belirlenmiştir (Cumhurbaşkanlığı Strateji ve Bütçe Başkanlığı, 2020).

23 Temmuz 2020'de kabul edilen kanun teklifi ile birlikte, Cumhurbaşkanlığı tarafından Kısa Çalışma Ödeneğinden faydalanma süresinin 31 Aralık 2020 tarihine kadar uzatılmıştır. Kısa Çalışma Ödeneği alanlar ile nakdi ücret desteğinden faydalananlar arasında çalıştıkları işyeri tekrar normal çalışma düzenine geçenlerin sigortalı ve işveren paylarının tamamının 31 Aralık 2020 tarihine kadar 3 ay süreyle İşsizlik Sigorta Fonu'ndan karşılanmasına karar verilmiştir (Cumhurbaşkanlığı Strateji ve Bütçe Başkanlığı, 2020).

3 Eylül 2020'de İşten çıkarma yasağı Cumhurbaşkanı Kararı ile 17 Eylül'den itibaren 2 ay süreyle uzatılmıştır.

27 Ekim 2020'de Kısa Çalışma Ödeneği süresi 2 ay uzatılmıştır. Kısa çalışma, sözleşme fesih yasağı ve Pandemi ücretsiz iznini, iki ay uzatan Cumhurbaşkanı kararı, Resmi Gazetede yayımlanmıştır (Resmi Gazete, 27 Ekim 2020, Karar Sayısı: 3134). Bu durumda; Kısa Çalışma Ödeneği 31.12.2020 tarihine kadar uzatılmıştır.

27 Ekim 2020'de İşten çıkarma yasağı ve Pandemi Ücretsiz İzin Ödeneği 17.01.2021 tarihine kadar uzatılmıştır (Resmi Gazete, 27 Ekim 2020, Karar Sayısı: 3135).

1 Aralık 2020'de Yeni Koronavirüs (Covid-19) Nedeniyle Dışsal Etkilerden Kaynaklanan Dönemsel Durumlar Kapsamındaki Zorlayıcı Sebep Gerekçesiyle Yapılan Kısa Çalışma Ödeneği Başvuru Süresi 31 Aralık 2020 tarihine kadar uzatılmıştır (31321 sayılı Resmi Gazete, 1 Aralık 2020, Karar Sayısı: 3238).

2 Aralık 2020 tarih ve 31322 sayılı Resmi Gazetede yayımlanan Cumhurbaşkanı kararlarıyla istihdam teşviklerinde ve normalleşme desteğinde süre uzatımına gidilmiştir.

İlave İstihdam Teşviği ile bir önceki yılın ortalama sigortalı sayısına ilave istihdam edilenler için sağlanan prim desteği uygulaması sürecektir.

Normal çalışma düzenine geçen iş yerlerimiz için Normalleşme Desteği adı altında destekler de devam etmektedir (Sosyal Güvenlik Kurumu). Bu sayede istihdamı korumak hedeflenmiştir.

Karara göre;

- İlave İstihdam Teşviki süresi 31 Aralık 2022'ye kadar uzatılmıştır.
- Normalleşme Desteği 30 Haziran 2021'e kadar uzatılmış, 3 ay olan yararlanma süresi 6 aya çıkarılmıştır.
- Kadın, genç ve mesleki yeterlilik belgesi olanların istihdamına uygulanan teşvik süresi ise 31 Aralık 2022'ye kadar uzatılmıştır.

19 Şubat 2021'de Yeni Koronavirüs (Covid-19) Nedeniyle Dışsal Etkilerden Kaynaklanan Dönemsel Durumlar Kapsamındaki Zorlayıcı Sebep Gerekçesiyle Kısa Çalışma Uygulanan İşyerleri İçin Kısa Çalışma Ödeneğinin süresi 31.03.2021 tarihine kadar uzatılmıştır (31400 sayılı Resmi Gazete, 19 Şubat 2021, Karar Sayısı: 3556; İzmir Ticaret Odası).

09 Mart 2021'de Resmi Gazetede yayımlanan Cumhurbaşkanı Kararı'na göre; normalleşme sürecinde istihdamı koruma tedbirleri çerçevesinde 17 Mart 2021 tarihinden itibaren Nakdi Ücret Desteği ve işten çıkarma yasağı 2 ay daha uzatılmıştır (31418 sayılı Resmi Gazete, 09.03.2021).

15 Mart 2021'de Kısa Çalışma Ödeneğinin 2021 Mart ayı sonunda bitirilmesine karar verilmiştir. İşverenin ücretsiz izine çıkarılmasına karar verebileceği açıklanmıştır. Ancak 23.04.2021 tarih 31463 sayılı Resmi Gazete'de yayımlanan Cumhurbaşkanı Kararı ile Kısa Çalışma Ödeneğinin süresinin, 31.03.2021 tarihinden sonra başlamak üzere, 30 Haziran 2021'e kadar uzatılmasına karar verilmiştir. Karar 31463 sayılı Resmi Gazetede yayımlanmıştır (31463 sayılı Resmi Gazete, 23 Nisan 2021, Karar Sayısı: 3910). Ayrıca 30.04.2021 tarih 31470 sayılı Resmi Gazete'de yayımlanan 29.04.2021 tarih 3930 sayılı Cumhurbaşkanlığı Kararı ile 4857 Sayılı Kanun'un Geçici 10'uncu maddesi ile getirilen İşten Çıkarma Yasağının, işverene tanınan Ücretsiz İzne Çıkarma Hakkı süresinin ve ücretsiz izne çıkarılan sigortalıya ödenmekte olan Nakdi Ücret Desteğinin ödenme süresinin de 30.06.2021 tarihine kadar uzatılmasına karar verilmiştir (31470 Sayılı Resmi Gazete, 30 Nisan 2021, Karar Sayısı: 3930).

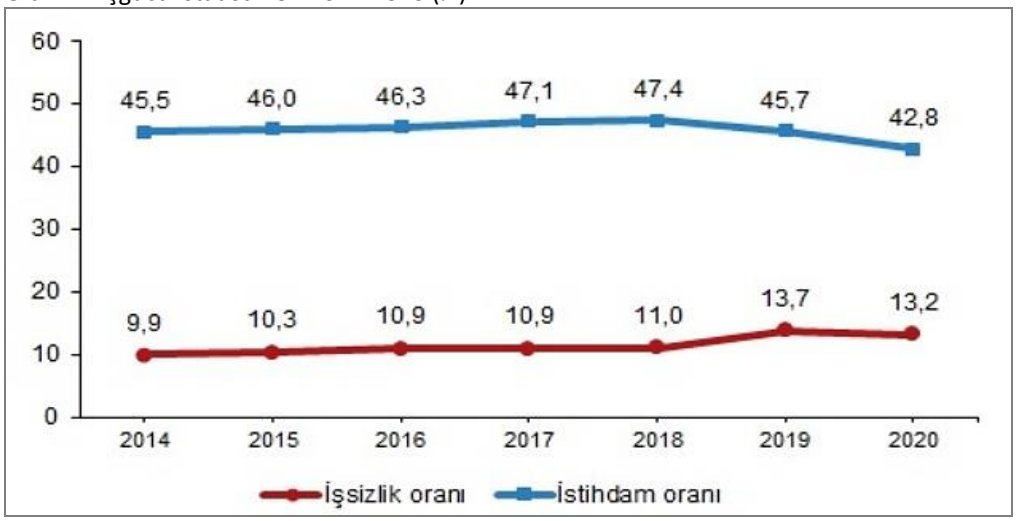
Alınan tüm ekonomik tedbirlere rağmen, Covid-19 Pandemisinin varlığını sürdüğü bu ortamda ekonominin toparlanması için belirli bir zamana ihtiyaç vardır. Gelişmekte olan ülkelerin ekonomileri daha çok hizmet sektörüne dayandığından; dışa bağlı olmaları, turizm gelirlerine ihtiyaç duymaları sebebiyle ekonominin bu ülkelerde düzelmesi uzun zaman alacaktır. Ancak gelişmiş ülkelerin ekonomileri sanayi sektörüne dayandığından bu krizden erken çıkacakları, ekonomilerinin daha hızlı düzeleceği tahmin edilmektedir (Kaya, 2020: 232).

## 4. PANDEMİ DÖNEMİNDE TÜRKİYE'DE İŞSİZLİK VERİLERİ

Türkiye'de işsizlik verileri değerlendirildiğinde işsizlik oranlarının 2014'den günümüze yaklaşık %9 ile %14 arasında değişim gösterdiği; istihdam oranlarının ise yaklaşık olarak %45 ile %47 arasında değişim gösterdiği görülmektedir.

2014 ile 2020 yılları arasını kapsayan İşsizlik ve İstihdam Oranları aşağıda Grafik 1'de gösterilmiştir.

Grafik 1: İşgücü İstatistikleri 2014-2020 (%)

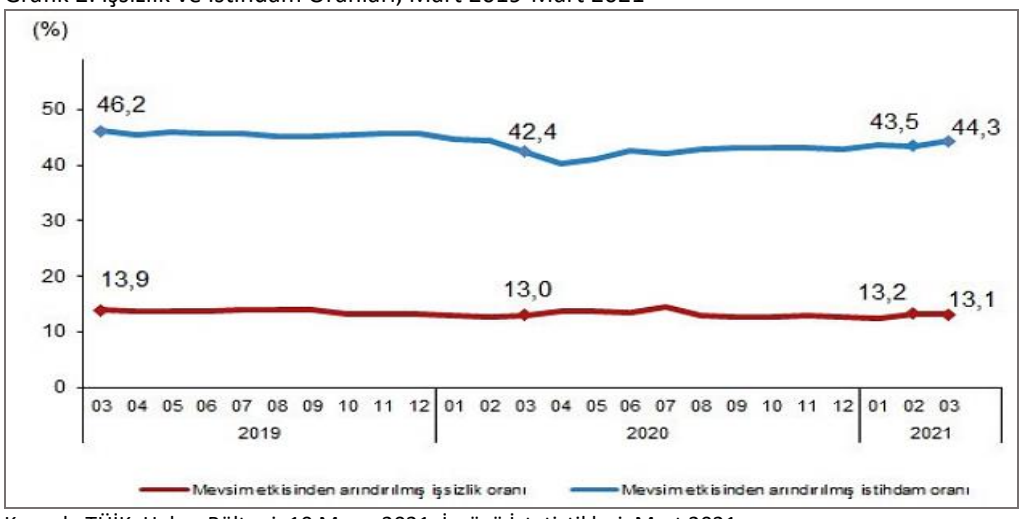



Kaynak: TÜİK. Haber Bülteni: 22 Mart 2021. İşgücü İstatistikleri 2014-2020.

Grafik 1'deki verilere göre, Türkiye genelinde 15 ve daha yukarı yaştakilerde işsiz sayısı 2020 yılında bir önceki yıla göre 408 bin kişi azalarak 4 milyon 61 bin kişi olmuştur. İşsizlik oranı 0,5 puanlık azalış ile %13,2 seviyesinde gerçekleşmiştir. İstihdam edilenlerin sayısı 2020 yılında bir önceki yıla göre 1 milyon 268 bin kişi azalarak 26 milyon 812 bin kişi, istihdam oranı ise 2,9 puanlık azalış ile %42,8 olmuştur. İşgücü 2020 yılında bir önceki yıla göre 1 milyon 676 bin kişi azalarak 30 milyon 873 bin kişi, işgücüne katılma oranı ise 3,7 puanlık azalış ile %49,3 olarak gerçekleşmiştir.

2019 ile 2021 yılları arasını kapsayan İşsizlik ve İstihdam Oranları ise Grafik 2'de gösterilmiştir.

Grafik 2: İşsizlik ve İstihdam Oranları, Mart 2019-Mart 2021




Kaynak: TÜİK. Haber Bülteni: 10 Mayıs 2021. İşgücü İstatistikleri, Mart 2021.

Grafik 2'ye göre Türkiye genelinde 15 ve daha yukarı yaştaki kişilerde işsiz sayısı 2021 yılı Mart ayında bir önceki aya göre 59 bin kişi artarak 4 milyon 236 bin kişi olmuştur. İşsizlik oranı ise 0,1 puanlık azalış ile %13,1 seviyesinde gerçekleşmiştir. İstihdam edilenlerin sayısı 2021 yılı Mart ayında bir önceki aya göre 550 bin kişi artarak 28 milyon 89 bin kişi, istihdam oranı ise 0,8 puanlık artış ile %44,3 olmuştur.

2019, 2020 ve 2021 yıllarına ait temel işgücü göstergeleri çeyrek dilimler halinde Tablo 1'de gösterilmiştir.

Tablo 1: Temel İşgücü Göstergeleri: 2019-2020 ve 2021 1. Çeyrek (Bin kişi) (15+yaş)

| Yıllar - Years | 15 ve daha yukarı yaştaki nüfus Population 15 years and over | İşgücü Labour force | İstihdam edilenler Employed | İşsiz Unemployed | İşgücüne dahil olmayan nüfus Not in labour force | İşgücüne katılma oranı Labour force participation rate (%) | İstihdam oranı Employment rate (%) | İşsizlik oranı Unemployment rate (%) |
|---|---|---|---|---|---|---|---|---|
| | | | | Toplam - Total | | | | |
| 2019 I. Çeyrek - Quarter I | 61.098 | 32.036 | 27.335 | 4.701 | 29.062 | 52,4 | 44,7 | 14,7 |
| II. Çeyrek - Quarter II | 61.343 | 32.401 | 28.221 | 4.180 | 28.942 | 52,8 | 46,0 | 12,9 |
| III. Çeyrek - Quarter III | 61.591 | 33.152 | 28.482 | 4.671 | 28.439 | 53,8 | 46,2 | 14,1 |
| IV. Çeyrek - Quarter IV | 61.839 | 32.432 | 28.131 | 4.301 | 29.407 | 52,4 | 45,5 | 13,3 |
| 2020 I. Çeyrek - Quarter I | 62.117 | 30.887 | 26.699 | 4.188 | 31.230 | 49,7 | 43,0 | 13,6 |
| II. Çeyrek - Quarter II | 62.422 | 29.659 | 25.853 | 3.806 | 32.763 | 47,5 | 41,4 | 12,8 |
| III. Çeyrek - Quarter III | 62.730 | 31.558 | 27.364 | 4.194 | 31.172 | 50,3 | 43,6 | 13,3 |
| IV. Çeyrek - Quarter IV | 63.038 | 30.794 | 26.823 | 3.970 | 32.244 | 48,8 | 42,6 | 12,9 |
| 2021 I. Çeyrek - Quarter I | 63.320 | 31.668 | 27.391 | 4.277 | 31.652 | 50,0 | 43,3 | 13,5 |

Kaynak: TÜİK. Haber Bülteni. 18 Mayıs 2021. İşgücü İstatistikleri, I. Çeyrek: Ocak - Mart

Tablo 1 incelendiğinde işsizlik oranı 2021 yılı I. çeyreğinde bir önceki yılın aynı çeyreğine göre 0,1 puan azalarak %13,5 olduğu görülmektedir. İşsiz sayısı bir önceki yılın aynı çeyreğine göre 89 bin kişi artarak 4 milyon 277 bin kişi olarak gerçekleşmiştir.

İstihdam oranı ise 2021 yılı I. çeyreğinde bir önceki yılın aynı çeyreğine göre 0,3 puan artarak %43,3 olmuştur. İstihdam edilenlerin sayısı 692 bin kişi artarak 27 milyon 391 bin kişi olarak gerçekleşmiştir.

İşgücüne katılma oranı 2021 yılı I. çeyreğinde bir önceki yılın aynı çeyreğine göre 0,3 puan artarak %50,0 olmuş; işgücüne katılan sayısı ise 781 bin kişi artarak 31 milyon 668 bin kişi olarak gerçekleşmiştir.

Tablo 2: İstihdamın İşteki Duruma Göre Dağılımı, 15+yaş, I. Çeyrek: Ocak - Mart 2021

| | I. Çeyrek 2021 (Bin kişi) | | | I. Çeyrek 2021(%) | | |
|---|---|---|---|---|---|---|
| | Toplam | Erkek | Kadın | Toplam | Erkek | Kadın |
| Toplam | **27 391** | **18 968** | **8 422** | **100,0** | **100,0** | **100,0** |
| Ücretli veya yevmiyeli | **19 140** | 13 299 | 5 841 | 69,9 | 70,1 | 69,3 |
| İşveren | **1 265** | 1 106 | 160 | 4,6 | 5,8 | 1,9 |
| Kendi hesabına | **4 569** | 3 741 | 828 | 16,7 | 19,7 | 9,8 |
| Ücretsiz aile işçisi | **2 416** | 823 | 1 594 | 8,8 | 4,3 | 18,9 |

Kaynak: TÜİK. Haber Bülteni. 18 Mayıs 2021. İşgücü İstatistikleri, I. Çeyrek: Ocak - Mart 2021

Tablo 2 incelendiğinde istihdamın %69,9'unu ücretli, maaşlı veya yevmiyeli çalışanların oluşturduğu görülmektedir. Geriye kalan istihdamın %4,6'sını işverenler, %16,7'sini kendi hesabına çalışanlar, %8,8'ini ücretsiz aile işçileri oluşturmaktadır.

Ayrıca 28 Mayıs 2021 tarihli ve 37545 sayılı TÜİK Haber Bültenine göre 2021 I. Çeyreğinde genç işsizlik oranı %25,3 olarak gerçekleşmiştir. Ne eğitimde ne istihdamda olan 15 - 24 yaş grubundaki genç nüfusun sayısı ise 2 milyon 922 bin kişi olmuş ve 2021 yılı I. Çeyreğinde bu oran %24,7 olarak gerçekleşmiştir. Uzun süreli işsizlerin sayısı 2021 yılı I. Çeyreğinde 1 milyon 252 bin kişi olmuş ve işsiz sayısının %29,3'ünü oluşturmuştur.

## 5. SONUÇ

Covid-19 Pandemisi, dünyayı etkisi altına alarak küresel anlamda çok boyutlu etkiler yaratmıştır. Korunma ve tedavi sürecinde uygulanan tedbirler, ülkelerin özellikle ekonomileri üzerinde negatif yönde

etkiler yaratarak bir çeşit küresel ekonomik krize yol açmıştır. Küresel salgın döneminde üretim, istihdam, toplam talep, enflasyon ve finansal istikrar gibi temel iktisadi konularda kriz sinyalleri görülmeye başlanmıştır. Sinyaller büyüme oranında düşüş, işsizlik ve enflasyon oranında artış, ödemeler dengesinde ve bütçe dengesinde bozulma, dış finansmanda zorluklar şeklinde karşımıza çıkmaktadır.

Ekonomideki daralma genel olarak üretim hacminin düşmesine ve buna bağlı olarak işsizlik oranlarında artışa sebep olmuştur. Pandeminin işsizlik üzerindeki etkisini azaltmak amacıyla, kısa süreli çalışma planları, ücret sübvansiyonları ve firmalara yönelik destekler uygulanmaya başlamıştır. Ancak hükümetler tarafından geliştirilen tüm bu politikalara rağmen sokağa çıkma yasağı, iş saatlerinin kısaltılması, esnek çalışma sistemi, iş yerlerinin kapatılması şeklinde alınan tedbir önlemleri ekonomideki daralmayı tetiklemektedir.

Türkiye'de de Pandeminin etkileri azaltmak amacıyla 18.03.2020 tarihinde "Ekonomik İstikrar Kalkanı" destek paketi yayınlanmıştır. 2020 yılı Mart ayı içerisinde alınan kararlarla birlikte esnek çalışma ve uzaktan çalışma modelleri desteklenerek yaygınlaşması sağlanmıştır. Mart ayında atılan adımlar Nisan ayında da devam etmiştir. 23 Temmuz 2020'de kabul edilen kanun teklifi ile birlikte, Cumhurbaşkanlığı tarafından kısa çalışma ödeneğinden faydalanma süresinin 31 Aralık 2020 tarihine kadar uzatılmıştır. 19 Şubat 2021'de Yeni Covid-19 nedeniyle dışsal etkilerden kaynaklanan dönemsel durumlar kapsamındaki zorlayıcı sebep gerekçesiyle kısa çalışma uygulanan işyerleri için kısa çalışma ödeneğinin süresi 31.03.2021 tarihine kadar uzatılmıştır. 15 Mart 2021'de kısa çalışma ödeneğinin 2021 Mart ayı sonunda bitirilmesine karar verilmiştir. İşverenin ücretsiz izine çıkarılmasına karar verebileceği açıklanmıştır. Ancak alınan Cumhurbaşkanı Kararı ile Kısa Çalışma Ödeneğinin süresinin, 31.03.2021 tarihinden sonra başlamak üzere, 30 Haziran 2021'e kadar uzatılmasına karar verilmiştir. Ayrıca 30.04.2021 tarih 31470 sayılı Resmi Gazete'de yayımlanan Cumhurbaşkanlığı Kararı ile İşten Çıkarma Yasağının, işverene tanınan Ücretsiz İzne Çıkarma Hakkı süresinin ve ücretsiz izne çıkarılan sigortalıya ödenmekte olan Nakdi Ücret Desteğinin ödenme süresinin de 30.06.2021 tarihine kadar uzatılmasına karar verilmiştir.

Bu önlemler işsizliği sınırlamaya yardımcı olsa da Pandeminin işgücü piyasası üzerinde ciddi bir etki yaratması beklenmektedir.

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# Tüketici Sinizmi Konusunda Ulusal Pazarlama Alanyazınında Yayınlanmış Çalışmaların Bibliyometrik Analizi

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**Özet:** Tüketici davranışları ile ilgili çalışmalar incelediğinde belirli kavramların (tüketici sadakati, tüketici bağlılığı, güven, ağızdan ağıza pazarlama, satın alma niyeti, yeniden satın alma niyeti, yeniden ziyaret etme niyeti vb.) yoğun bir şekilde incelendiği, buna karşılık olumsuz tüketici davranışlarına gereken önemin gösterilmediği görülmektedir. Olumsuz tüketici davranışlarından birisi de "tüketici sinizmi" dir. Sinizm kavramı, işletme alanyazınında çoğunlukla çalışanlar açısından örgütsel olarak incelenen bir kavramdır. Oysa pazarlama açısından da önemli bir kavram olmasına rağmen ulusal alanyazında çok fazla çalışılmamıştır. Bu araştırmanın amacı; tüketici sinizmi kavramı hakkında pazarlama alanyazınında yapılan çalışmaların bibliyometrik analizinin yapılarak varolan çalışmaların derlemesini yapmak, eksik görülen ve ihtiyaç duyulan alanlar belirlenerek pazarlama alanyazınına katkı sağlamaktır. Bu amaçla 2016 ile 2020 yılları arasında ulusal veri tabanlarında yer alan "tüketici sinizmi" ve "consumer cycnisim" anahtar kelimelerinin yer aldığı akademik çalışmalar belirlenmiştir. Söz konusu çalışmalar bibliyometrik analiz ile incelenmiştir. Araştırmanın sonucunda tüketici sinizmi kavramının ulusal pazarlama alanyazını için oldukça yeni ve çok çalışılmayan bir kavram olduğu görülmüştür.

**Anahtar Kelimeler:** Tüketici sinizmi, pazarlama, tüketici davranışları, bibliyometrik analiz.

# Bibliometric Analysis of Studies on Consumer Cynicism Published in National Marketing Literature

**Abstract:** When studies on consumer behavior are examined, it is observed that specific concepts (consumer loyalty, consumer engagement, trust, word of mouth, purchase intention, repurchase intention, revisit intention, etc.) are investigated intensively while adequate attention has not been given to the subjects about negative consumer behavior. One of the negative consumer behaviors is "consumer cynicism". The concept of cynicism is a concept that is mostly studied organizationally in terms of employees in the business literature. Although it is an important concept in terms of marketing, it has not been studied much in the national literature. The purpose of this research is to make a compilation of existing studies by making a bibliometric analysis of the studies conducted in the marketing literature about the concept of consumer cynicism, to contribute to the marketing literature by determining the areas that are considered as incomplete and needed. For this purpose, academic studies including the keywords "tüketici sinizmi" and "consumer cynicism" in the national databases between 2016 and 2020 were determined. These studies were examined by bibliometric analysis. As a result of the research, it was seen that the concept of consumer cynicism is quite new for the national marketing literature and not studied much.
**Keywords:** Consumer cycnisim, marketing, consumer behavior, bibliometric analysis.

## 1. Giriş

Sinizm kavramı milattan önceki çağlarda ortaya çıkan ve günümüzde de halen kullanılmakta olan bir kavramdır. M.Ö. 4. yy.da Eski Yunan'da ortaya çıkan sinizmin kaynağı Sinoplu Diyojen'e dayanmaktadır. Diyojen günün aydınlığında elinde yanan bir fenerle dolaştığında çevresindeki insanların "neden" sorusuna "dürüst bir insan arıyorum" şeklinde bir cevap vermiştir. Bu söz, sinizmin temelini açıklamaktadır (Bayram ve Ergan, 2018:96). Görüldüğü üzere sinizm kavramı felsefe kökenli bir kavramdır. Zamanla diğer sosyal bilimler içerisinde de tartışılmaya başlanmıştır. Psikoloji, toplum ve siyaset bilimleri bu alanların başında gelmektedir (Akçay, 2021:1). İşletme biliminde ise yönetim ve organizasyon alanında yapılan çalışmalarda örgütsel sinizm kavramı sıklıkla araştırmalara konu olmaktadır.

Sinizm kavramı ile ilgili tanımlar da zaman içerisinde farklılık göstermiştir. Bazı bilim insanları sinizmin doğuştan gelen, olumsuz bir özellik olduğunu ileri sürmekte iken bazıları da sinizmin yaşanılan deneyimlerin sonucu ortaya çıkan bir davranış biçimi olduğunu savunmuşlardır. Sinizm kavramı üzerindeki bu farklı yorumlar evrensel bir tanımın oluşmasını engellemiştir. Bu karmaşa 1980'li yılların

sonunda ortadan kaldırılmış ve sinizm kavramı ile ilgili ortak bir tanım geliştirilmiştir. Bu yeni tanıma göre sinizm, *"bir veya daha fazla nesneye karşı geliştirilen, hayal kırıklığı, güvensizlik ve şüpheyle ilişkilendirilen ve çevresel faktörlere maruz kalarak zaman içerisinde değişim gösterebilen öğrenilmiş bir tutum"* dur.

Günlük yaşamlarında sinik davranışlar sergileyen bireyler, alışveriş yaptıkları mağazaya, satın aldıkları bir ürüne ya da markaya veya bir üreticiye karşı da sinik tutumlar sergileyebilmektedirler. Bu açıdan incelendiğinde pazarlama bilimi içerisinde de sinizm kavramından bahsetmek mümkün olmaktadır. Zamanla tüketicilerin de sinik davranışlar sergilediğini fark eden pazarlama akademisyenleri tüketici davranışları içine "tüketici sinizmi" kavramını da eklemişlerdir (Odou and Pechpeyrou, 2011:1799; Chowdhury and Fernando, 2014:677, Tokgöz, 2020:40).

Bu çalışmada öncelikle tüketici sinizmi kavramı açıklanacaktır. Daha sonra ulusal alanyazında tüketici sinizmi konusunda yayınlanmış olan çalışmaların bibliyometrik analizine yer verilecektir.

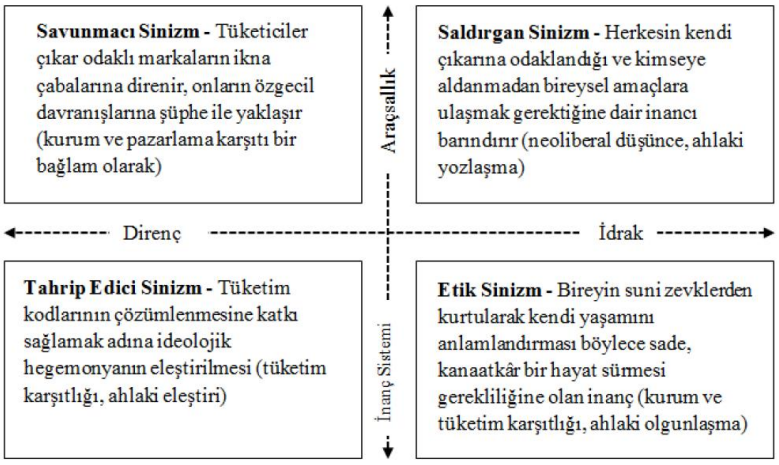
## 2. Tüketici Sinizmi

Tüketici sinizmi, bireysel bir tüketicinin, firmalar arasında yaygın fırsatçılığın var olduğu ve bu fırsatçılığın zararlı bir tüketici pazarı yarattığı inancıyla pazara karşı geliştirilmiş istikrarlı ve öğrenilmiş bir tutumdur. Tüketici sinizmi, pazarlama uyaranlarına karşı savunmacı zihinsel araçlar olarak düşünülebilir. Yapılan araştırmalar, bazı durumlarda sinik tüketicilerin, güvenilmeyen firmaların uyguladıklarına benzer manipülatif taktikleri kullanabileceğini göstermektedir. Örneğin, bir araba alım satımı sırasında pazarlık yapan bir tüketici, arabanın kusurlarını işletme çalışanından gizleyebilmekte ya da satın alma konusunda fikrini değiştiren bir tüketici iade yapmak için ürünün kusurlu olduğu şeklinde yalan söyleyebilmektedir (Helm vd., 2015:516). Sinik davranışlar gösteren tüketiciler işletmelere karşı şüpheyle yaklaşmaktadırlar. Çünkü tüketicinin sinizminin temelinde tüketici, işletmeyi kendi çıkarlarını düşünen fırsatçı bir yapı olarak görmektedir (Tokgöz, 2020:40).

Tüketici sinizmi, tüketicilerin kişilik özellikleri ya da işletmelerle yaşadıkları deneyimler / etkileşimler sonucu ortaya çıkmaktadır. Stres, öfke, kırgınlık, kızgınlık, güvensizlik gibi durumlar bireylerde olumsuz duygulanmaya yol açmaktadır. Kişilerdeki bu olumsuz duygulanma sözleşme ihlalinin algılanmasına, bu algı da tüketici sinizminin oluşmasına neden olmaktadır. Bir diğer neden de tüketicilerin işletmelerle yaşadıkları olumsuz deneyimlerdir. Örneğin, işletmenin haksız kazanç sağladığına ilişkin tüketicilerde gelişen algı, işletmenin tüketicilere karşı samimiyetsiz ve aldatıcı tavırlar sergilemesi, tüketicinin alışveriş sırasında ya da sonrasında yaşadığı olumsuz bir olay ve bunun işletme tarafından çözüme kavuşturulmaması, satın alınan ürünün beklenen performansı gösterememesi gibi durumlar tüketicilerde işletmeye karşı sinik tutumların gelişmesine neden olmaktadır. Yapılan çalışmalar da tüketicilerin olumsuz deneyimlerinin tüketici sinizmini tetiklediğini ortaya koymaktadır. Örneğin, yapılan bir çalışmada tüketicilerin beklentilerinin karşılanmamasının işletmeye karşı öfke ve hayal kırıklığının oluşmasında önemli bir etken olduğunu ve bu durumun da tüketici sinizmine yol açtığını görülmüştür. Böylece tüketici, işletmeye karşı genelleyici bir bakış açısıyla güvensizlik geliştirmekte ve işletmeye karşı olumsuz bir tutum geliştirmektedir (Çam, 2019:155-160).

Tüketici sinizmi dört farklı türde görülebilmektedir; savunmacı sinizm, saldırgan sinizm, tahrip edici sinizim ve etik sinizm (Odou & Pechpeyrou, 2011:1801; Çam, 2019:148; Utkutuğ, 2021:218).

Şekil 1. Tüketici Sinizmi Türleri




Kaynak: Odou & Pechpeyrou (2011)'den aktaran Çam (2019:148).

*Savunmacı sinizm*, kendilerini piyasadaki manipülasyon girişimlerinden korumak için oluşturulmuş bir tüketici başa çıkma stratejisidir. Esas olarak, tüketiciler kendi çıkarlarını kovalayan işletmelerden kendilerini korumaya odaklanmaktadırlar. Her zaman yoğun bir şekilde şüphe, güvensizlik ve yanlış yönlendirilme korkusu hissetmektedirler. *Saldırgan sinizm,* "herkesin kendi çıkarının peşinden koştuğu" şeklindeki ayırt edici bir fikre dayanmaktadır. Saldırgan sinikler genellikle fiyat farklılaştırma stratejilerine duyarlıdırlar. *Tahrip edici (yıkıcı) sinizm*de, "bireyler, tüketicilerin zihnini ve görünüşünü sömüren tüketim ideolojisini, toplumun farkındalığını artırmak için kendine özgü yaratıcı stratejilerle kınamalıdır" düşüncesi temeline dayanmaktadır. Stratejiler bağlamında genellikle kurumların imajları ile kimlikleri arasındaki önemli farklılıkları ortaya koymayı amaçlayan proaktif bir yaklaşım benimsemektedirler. Tahrip edici (yıkıcı) siniklerin, şirketlerin itibarını olumsuz ve zayıf olarak algılama eğiliminde olduklarını iddia etmek de mümkündür. Etik sinikler, genel olarak tüketimi hedeflemektedirler ve toplumsal refahın gerçekleştirilmesiyle motive olmaktadırlar. Bu türden tüketim karşıtı tavırlar için verdikleri en yaygın itici güçler çevresel kaygılar ve maddi eşitsizliklerdir (Utkutuğ, 2021:218).

Tüketiciler siniz davranışlar sonucunda duygusal ve davranışsal olmak üzere iki şekilde tepki gösterebilmektedir. Duygusal (bilişsel) tepkiler, işletmeye karşı yabancılaşma davranışının gelişmesi, markaya karşı güvensizlik ve kuşkunun oluşması şeklinde görülebilmektedir. Davranışsal tepkiler ise duygusal tepkilere göre daha serttir. İşletme ile ilgili olumsuz yorumlarla negatif ağızdan ağıza pazarlama yapılması, tüketici saldırganlığının oluşması, tüketicinin işletmeyle, markayla ya da ürünle dalga geçmesi, rakip işletme ya da markaya karşı sadakat geliştirmek gibi tutumlar davranışsal tepkilere örnek olarak verilebilir (Çam, 2019:164-168).

## 3. YÖNTEM ve BULGULAR

Tüketici sinizmi ile ilgili olarak yerli literatürde yapılan çalışmaların bibliyometrik analizinin yapıldığı bu çalışmada, 2016 ile 2021 yılları arasında YÖK Ulusal Tez Merkezi, ULAKBİM ve Google Akademik veri tabanlarında yer alan "tüketici sinizmi" ve "consumer cycnisim" anahtar kelimelerinin yer aldığı akademik çalışmaların taraması yapılmıştır. Çalışma ile ilgili veri toplarken, alanyazında yer alan çalışmaların tüketici sinizmi ile ilgili olup olmadığını belirleyebilmek amacıyla çalışmaların özet, araştırma, yöntem ve sonuç bölümleri detaylı bir şekilde incelenmiştir. Tüketici sinizmi ile ilgili ulusal yazında yapılan çalışmalar incelendiğinde en eski çalışmanın 2016 yılında yayınlandığı görülmüştür. Bu nedenle incelenen çalışmalar 2016-2021 yılları arasındadır. Araştırma sırasında ulusal alanyazında "tüketici sinizmi" ya da "consumer cycnisim" anahtar kelimelerinin yer aldığı 13 adet akademik çalışma incelenmiştir. Bunlardan iki tanesi doktora tezi, bir tanesi yüksek lisans tezi ve on tanesi de makaledir.

Bu çalışmada bibliyometrik analiz yapılmıştır. Bibliyometri terimi, belgelerin yayınlanmasında ve kullanılmasında ortaya çıkan modellerin matematiksel ve istatistiksel analizini ifade etmektedir (Ramos-Rodriguez & Ruiz-Navarro, 2004:981). İlk kez 1969 yılında Pritchard tarafından kullanılan bibliyometrik analiz ile araştırma yapılan alanda yayınlanan bilimsel çalışmalar incelenmekte, verilerin niceliksel analizi

yapılmakta ve alandaki gelişim belirli parametreler kapsamında incelenmektedir. Bibliyometrik analiz ile incelenen alana akademik açıdan gelişmesi için katkı sağlanması amaçlanmaktadır (Aydın ve Aksöz, 2019:617). Bibliyometrik analizlerde araştırılan alanyazınla ilgili bibliyometrik bir çalışma yapılabilmesi için önceden belirlenmiş parametrelerin kullanılması gerekmektedir (Işık vd., 2019:123). Bu çalışmada kullanılan parametreler;

- Çalışmanın yazarının / yazarlarının isimleri
- Çalışmanın ismi
- Çalışmanın yayınlandığı yıl
- Çalışmanın türü (tez, makale vb.)
- Çalışmanın alanı (örneklem grubu)
- Çalışmada kullanılan değişken / boyutlar
- Çalışmanın yöntemi (analizler)
- Çalışmanın sonucu olarak seçilmiştir.

Araştırma soruları ise aşağıdaki gibi belirlenmiştir:

**RQ1:** Çalışmaların araştırma yılına göre dağılımları nedir?

**RQ2:** Çalışmaların araştırma alanına göre dağılımları nedir?

**RQ3:** Çalışmaların kullanılan yönteme göre dağılımları nedir?

**RQ4:** Çalışmaların değişkenlere göre dağılımı nedir?

Tablo 1'de ulusal alanyazında "tüketici sinizmi" konusunda yazılmış çalışmalar gösterilmektedir. Tabloda yer alan 13 adet çalışma, bu çalışma kapsamında belirlenen parametreler çerçevesinde analiz edilmektedir.

Tablo 1. Çalışmaların Listesi

| Yazar | Çalışmanın İsmi | Yayın Yılı | Yayın Türü | Çalışma Alanı | Değişkenler / Boyutlar | Çalışmanın Yöntemi | Sonuç |
|---|---|---|---|---|---|---|---|
| Akçay, G. | Tüketici Sinizminin Öncülleri ve Sonuçları: Hizmet Sektörü Üzerinde Bir Araştırma | 2021 | Doktora Tezi | Bursa'da ikâmet eden, 15 yaş ve üzerinde olan ve hizmet satın alan / kullanan tüketiciler | Tüketici Sinizminin Öncülleri (Toplumsal / Kurumsal Sinizm, Etik Dışı Pazarlama Uygulamaları, Olumsuz Duygulanım), Tüketici Sinizmi, Tüketici Sinizminin Sonuçları (Tüketici Boykotları, Olumsuz Ağızdan Ağıza İletişim, İşletmeyi / Markayı Terk Etme, Pazardan Geri Çekilme) | Yapısal Eşitlik Modellemesi | Toplumsal / kurumsal sinizmin ve etik dışı pazarlama uygulamalarının hizmet sektörüne yönelik tüketici sinizmi üzerinde anlamlı ve pozitif etkisi olduğu, buna karşılık olumsuz duygulanımın anlamlı etki göstermediği bulunmuştur. Hizmet sektörüne yönelik tüketici sinizminin tüketici boykotları, olumsuz ağızdan ağıza iletişim ve işletmeyi / markayı terk etme davranışları üzerinde anlamlı ve pozitif bir etkisinin olduğu ancak pazardan geri çekilme davranışları üzerinde anlamlı bir etkisinin olmadığı görülmüştür. |
| Utkutuğ, Ç. P. | Sosyal ve Çevresel Sorumluluğun Algılanan Kalite Üzerinde Aracılık Rolü: Genç Tüketicilerin Materyalistik Değerleri ve Sinik Tutumları / The Mediating Role of Social and Environmental Responsibility in The Relationship between Material Values, Consumer | 2021 | Makale | 805 genç tüketici | Tüketici Sinizmi, Materyal Değerler, Ürün Kalitesi, Kurumsal Sosyal Sorumluluk | Yapısal Eşitlik Modellemesi | Sosyal ve çevresel sorumluluğunun aracılık rolü ile materyal değerlerin algılanan ürün kalitesi ile ilgili pozitif değerlendirmeleri desteklediğini, sinizmin ise böyle bir aracılık rolü olmaksızın olumsuz değerlendirmelere neden olduğu görülmüştür. |

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| | Cynicism and Product/Service Quality | | | | | | |
| Tokgöz, E. | Tüketicinin Kin Tutma Eğiliminin Pazardan Geri Çekilme Niyeti Üzerinde Etkisi: Tüketici Sinizminin Aracı ve Düzenleyici Rolü | 2020 | Makale | Çanakkale Onsekiz Mart Üniversitesine bağlı bir meslek yüksekokulunda okuyan 502 öğrenci | Tüketicinin Kin Tutma Eğilimi, Pazardan Geri Çekilme Niyeti, Tüketici Sinizmi | Faktör Analizi, Korelasyon Analizi, Regresyon Analizi | Tüketicinin kin tutma eğiliminin pazardan geri çekilme niyeti üzerindeki etkisinde tüketici sinizminin düzenleyici ve kısmi aracı rolü olduğu belirlenmiştir. |
| Bozoklu, Ç.P. ve Ermeç, A. | Tüketici Sinisizmi Ölçeği'nin Türkçe'ye Uyarlanması: Güvenilirlik ve Geçerlilik Araştırması | 2020 | Makale | Bahçeşehir Üniversitesi ve Hacettepe Üniversitesi'nde okuyan 18-25 yaş arasında lisansüstü ve lisans 806 öğrenci | Genel Anlamda Fırsatçılık, Doğrudan Tüketicilere Yönelik Fırsatçılık, Aldatma | Keşifsel Faktör Analizi, Yapısal Eşitlik Modellemesi | Genç tüketicilerin ticari kimliklere ve bu kimliklerin faaliyetlerine yönelik artan güvensizliklerinin olduğu belirlenmiştir. |
| Özkaya, B. ve Ülker, Y. | Markaların Sosyal Medyada Oluşan Sinik Tutuma Yönelik Yaklaşımları | 2020 | Makale | İstanbul'da gıda sektöründe faaliyet gösteren iki markanın sosyal medya uzmanları | Sinik Tutum, Marka ve Tüketici Arasındaki İlişkinin Yürütülmesi, Sosyal Medyada Markanın Sinik Tutuma Yönelik Yaklaşımları | Derinlemesine Görüşme | Markaların sosyal medyada oluşan tüketici sinizmine daha fazla önem vermeleri gerektiği sonucu ortaya çıkmıştır. |
| Çam, M.S. | Öyküleyici Reklamlar ve Tüketici Sinizmi İlişkisi Üzerine Deneysel Bir Çalışma | 2019 | Doktora Tezi | Aksaray Üniversitesi'nde okuyan 70 öğrenci | Öyküleyici Reklam, Duygusal Tepki, Reklam Güvenirliği, Karakter Özdeşliği, Tüketici Sinizmi, Taşınma, Olumsuz Duygulanma, Toplumsal Sinizm, Pazar Deneyimleri | Deneysel Yöntem, Korelasyon Analizi, T Testi, ANCOVA, ANOVA | Öyküleyici reklamların diğer reklam türlerine göre tüketici sinizmi tutumlarını dönüştürebildikleri görülmüştür. Reklamda öyküleyici yaklaşımın taşınma, duygusal tepkiler, empati ve reklam güvenirliği açısından yüksek skorlara sahip olduğu belirlenmiştir. |
| Andaç, R.E. | Sinizm ve Tüketici Sinizmi: İstanbul İlinde Bir Uygulama | 2019 | Yüksek Lisans Tezi | İstanbul'un Bakırköy, Kadıköy, Küçükçekmece ve Beyoğlu ilçelerinde | Tüketici Sinizmi, Yaş, Cinsiyet, Medeni Durum, Eğitim, Gelir | Faktör Analizi, T Testi, ANOVA, Compare | Tüketici sinizminin cinsiyet, medeni durum ve eğitim seviyesine göre farklılık gösterdiği, gelir seviyesi ve |

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| | | | | yaşayan 424 tüketici | | Means Testi | yaş ile olumlu bir ilişkisinin olduğu ve erkeklerin kadınlara göre daha çok tüketici sinizmi eğiliminde oldukları belirlenmiştir. |
| Ceylan, H.H. ve Köse, B. | Amaca Dönük Pazarlamada Tüketici Algısının Satın Alma Niyeti Üzerine Etkisi | 2019 | Makale | Uşak Üniversitesi'nde okuyan 341 öğrenci | Algılanan Tüketici Etkinliği, Tüketici Şüpheciliği, Tüketici Sinizmi, Davranışsal Niyet | Yapısal Eşitlik Modellemesi | Tüketici şüpheciliğin ve tüketici sinizminin amaca dönük ürün satın alma niyeti üzerine doğrudan etkisinin olmadığı buna karşın algılanan tüketici etkinliği aracılığıyla dolaylı bir etkiye sahip olduğu belirlenmiştir. |
| Göktaş, B. | Tüketici Sinizmi Kavramı ve Ağızdan Ağıza Pazarlama Eylemlerinin Sinik Tüketici Davranışlarına Etkisi Konusunda Bir Uygulama | 2019 | Makale | 476 katılımcı ile görüşülmüştür. | Tüketici Sinizmi, Kaynağın Uzmanlığı, Tavsiyenin Aldatılmayı Azaltması, Tavsiyeye Güven, Tavsiyenin Etkisi, Tavsiyenin Şüpheye Düşürücülüğü, Memnuniyetsizlik ve Onaylamama | T Testi, Varyans Analizi, Korelasyon Analizi, Regresyon Analizi | Erkeklerin daha sinik tutuma sahip olduğu kadınların ağızdan ağıza pazarlamadan daha çok etkilenerek sinik tutumlar gösterdikleri görülmüştür. "Kaynağın uzmanlığı" ve "tavsiyenin aldatılmayı azaltması" faktörlerinde katılımcıların yaşları arttıkça daha çok sinik davranışlar sergiledikleri, "tavsiyeye güven" faktöründe yaş azaldıkça daha çok sinik tutumlar gösterdikleri, eğitim arttıkça tüketicilerin sinik tutum dereceleri ile ağızdan ağıza pazarlama eylemleri ve sinik davranış seviyelerinin arttığı belirlenmiştir. |
| Kerse, Y. ve Meriç, K. | Beş Faktör Kişilik Özelliklerinin Tüketici | 2018 | Makale | 246 tüketici ile görüşülmüştür. | Dışadönüklük Kişilik Özelliği, Uyumluluk Kişilik Özelliği, Sorumluluk Kişilik | Regresyon Analizi | Uyumluluk kişilik özelliğinin tüketici sinizmi üzerinde pozitif yönde ve anlamlı bir |

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| | Sinizmine Etkisi:<br>Ampirik Bir Araştırma | | | | Özelliği, Duygusal Denge Kişilik Özelliği, Gelişime Açıklık Kişilik Özelliği, Tüketici Sinizmi | | etkisinin olduğu görülmüştür. |
| Akgüç Çetinkaya, Ö. ve Ceng, E. | Türkiye'deki Black Friday Etkinliğinin Tüketici Sinizmi Bağlamında Bir Değerlendirmesi | 2018 | Makale | Black Friday ile ilgili olarak #karacuma etiketi ile paylaşılan 1841 tweet incelenmiştir. | Tüketici Sinizmi, Değer Uyumsuzluğu, Şüphecilik-Güvensizlik, Yıkıcılık-Saldırganlık | Duygu Analizi | Tüketicilerin kendi değerleriyle uyumsuz olduğunu düşündükleri ve güvenmedikleri, şüphe duydukları için görüşlerini sosyal medyada negatif bir dille belirttikleri görülmüştür. |
| Atılgan, K.Ö., İnce, T. ve Yılmaz, S. | Tüketicilerin Satın Alma Niyetleri ve Boykota Yönelik Tutumlarının Tüketici Sinizmi, Fiyat Şeffaflığı ve Fiyat Adaleti Bağlamında İncelenmesi | 2017 | Makale | Mersin'de lise, önlisans, lisans ve lisansüstü okuyan 376 öğrenci ile görüşülmüştür. | Fiyat Şeffaflığı, Tüketici Sinizmi, Prosedürel Fiyat Adaleti, Satın Alma Niyeti, Boykot Yapma Tutumu | Faktör Analizi, Korelasyon Analizi | Fiyat şeffaflığı, prosedürel fiyat adaleti ve satın alma niyeti arasında pozitif ve anlamlı ilişki bulunurken, tüketici sinizmi ile boykot yapmaya yönelik tutum arasında pozitif yönlü anlamlı bir ilişki olduğu belirlenmiştir. Tüketici sinizmi ve boykot yapmaya yönelik tutum ile fiyat şeffaflığı, prosedürel fiyat adaleti ve satın alma niyeti değişkenleri arasında negatif yönlü ilişki olduğu görülmüştür. |
| Güven, E. | Tüketimde Sinik Tutum: Tüketici Sinizminin Sebep ve Sonuçları | 2016 | Makale | Tüketici sinizmi hakkında yazılan makaleler | Sinizm, Tüketici Sinizmi | İçerik Analizi | Tecrübeler, güven kaybı ve tatminsizlikler sinizmi meydana getirmektedir. Tüketicilerin yaşadıkları bu durumun da tüketici sinizmini oluşturduğu belirtilmiştir. |

RQ1: Çalışmaların araştırma yılına göre dağılımları nedir?

Tablo 2. Yayın Yılına Göre Dağılım

| Yayın Yılı | Frekans | Yüzde (%) |
|---|---|---|
| 2021 | 2 | 15,4 |
| 2020 | 3 | 23,1 |
| 2019 | 4 | 30,8 |
| 2018 | 2 | 15,4 |
| 2017 | 1 | 7,7 |
| 2016 | 1 | 7,7 |
| **Toplam** | **13** | **100,0** |

Tablo 2'de görüldüğü üzere tüketici sinizmi ile ilgili en fazla yayın yapılan yıl %30,8'lik bir oranla 2019'dur. Her ne kadar 2017'den sonra bu konuda yapılan çalışmalarda bir artış görülse de 2019'dan sonra tüketici sinizmi konusuyla ilgili yapılan çalışma sayısında bir azalış olduğu görülmektedir.

RQ2: Çalışmaların araştırma alanına göre dağılımları nedir?

Tablo 3. Yayın Türüne Göre Dağılım

| Yayın Türü | Frekans | Yüzde (%) |
|---|---|---|
| Makale | 10 | 76,9 |
| Yüksek lisans tezi | 1 | 7,7 |
| Doktora tezi | 2 | 15,4 |
| **Toplam** | **13** | **100,0** |

Tablo 3'te tüketici sinizmi ile ilgili yapılan çalışmaların türüne yer verilmektedir. %76,9'luk bir oranla en fazla tercih edilen yayın türü makaledir. Bunu %15,4 ile doktora tezi ve %7,7'l,k bir oranla ise yüksek lisans tezi takip etmektedir.

RQ3: Çalışmaların kullanılan yönteme göre dağılımları nedir?

Tablo 4. Yöntem Türüne Göre Dağılım

| Yöntem Türü | Frekans | Yüzde (%) |
|---|---|---|
| Nicel | 9 | 69,2 |
| Nitel | 3 | 23,1 |
| Karma | 1 | 7,7 |
| **Toplam** | **13** | **100,0** |

Tablo 4'e göre tüketici sinizmi ile ilgili çalışmalarda en fazla kullanılan yöntem nicel yöntemlerdir. Nicel yöntemler içerinde de en fazla da yapısal eşitlik modellemesi tercih edilmiştir. Nitel yöntemlerin kullanıldığı 3 adet çalışma vardır. Bir çalışmada ise hem nicel hem de nitel yöntem kullanılmıştır.

RQ4: Çalışmaların değişkenlere göre dağılımı nedir?

Tablo 5. Araştırma Alanına Göre Dağılım

| Araştırma Alanı | Frekans | Yüzde (%) |
|---|---|---|
| Nihai tüketiciler | 5 | 38,5 |

| | | |
|---|---|---|
| Öğrenciler | 5 | 38,5 |
| İşletme çalışanları | 1 | 7,7 |
| Yorum | 1 | 7,7 |
| Makale incelemesi | 1 | 7,7 |
| **Toplam** | **13** | **100,0** |

Tablo 5, tüketici sinizmi ile ilgili yapılan çalışmaların araştırma alanlarına yer vermektedir. Araştırma alanı ile örneklem grubu ifade edilmektedir. Çalışmalarda örneklem olarak en fazla nihai tüketicilerin (%38,5) ve öğrencilerin (%38,5) seçildiği görülmektedir. İşletme çalışanları (işletmenin sosyal medya uzmanları) ile görüşülerek bir çalışma yapılmıştır. Bir çalışmada da konuyla ilgili yorumlar (tweetler) incelenmiştir. Bir çalışmada da konuyla ilgili yazılan makaleler incelenmiştir.

Değişkenlerin kullanılma sıklıklarına bakıldığında ise en fazla kullanılan değişkenin tüketici sinizmi olduğu (11 çalışmada kullanılmıştır) görülmektedir. Olumsuz duygulanım, tüketici boykotları ve pazardan geri çekilme değişkenleri ise ikişer çalışmada kullanılmışlardır. Diğer değişkenler ise tablo 1'de gösterilmekte olup sadece tek bir çalışmada kullanılmışlardır.

## 4. SONUÇ

Bu çalışmada ulusal veri tabanlarında yer alan "tüketici sinizmi" konusunda yapılan akademik çalışmalar incelenmiştir. Çalışmanın sonucunda pazarlama alanında "tüketici sinizmi" konusunda önemli bir eksiklik olduğu görülmüştür. YÖK Tez Merkezi veri tabanı incelendiğinde "örgütsel sinizm" konusunda 365 adet lisansüstü tez varken "tüketici sinizmi" konusunda 3 adet tez bulunduğu belirlenmiştir. Buna ek olarak uluslararası alanyazında uzun senelerdir çalışılan ve onlarca makale olan "tüketici sinizmi" konusunda ulusal alanyazında sadece 10 adet makale bulunmaktadır.

Tüketiciler için satın alma seçenekleri her geçen gün artmaktadır. Bu durum işletmelerin tüketicilerini mutlu, sadık birer tüketici haline getirmelerini zorunlu kılmaktadır. Bu nedenle işletmeler, tüketicilerinin olumsuz algıladığı durumları ortadan kaldırmalı ve sinizm gibi işletmeye karşı olumsuz bir davranış geliştiren tüketiciyi geri kazanmaya çalışmalıdır. Bu nedenle işletmelere yol gösterecek akademik çalışmalara ihtiyaç duyulmaktadır. Pazarlama alanında çalışan akademisyenlerin hem akademik açıdan hem de kamu ve özel sektörde faaliyet gösteren işletmeler ve pazarlama profesyonellerine yol göstermesi açısından "sinizm" gibi olumsuz tüketici davranışları hakkında daha fazla çalışmalar yapmaları ve öneriler geliştirmeleri gerekmektedir. Bu amaçla, gelecekte yapılacak çalışmalarda farklı grupların örneklem olarak seçilmesi -örneğin, örneklemi endüstriyel tüketicilerin oluşturması- alana katkı sağlayacaktır ve «tüketici sinizmi» konusuna farklı bir bakış açısı getirecektir. Çünkü halihazırdaki çalışmalar incelendiğinde örneklem olarak nihai tüketicilerin ve öğrencilerin yoğunluklu olarak seçildiği görülmektedir.

Bu çalışmanın kısıtı kaynaklara erişimdir. Konuyla ilgili yazılmış kitaplar ve kitap bölümlerine ulaşılamamıştır. Çalışma alanı, veri tabanlarında yer alan çalışmalar ile sınırlıdır. Bu çalışmanın hazırlandığı dönemde yayınlandığı için çalışmaya dahil edilemeyen yayınların olma olasılığı çalışmanın kısıtlarındandır. Erişim izni olmayan yayınların da veri tabanlarında yer almaması bu çalışmanın bir diğer kısıtıdır.

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# Study of The Dependence Between The Expenditure Financial Flows in The Hospital Care in Bulgaria

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**Abstract***:* The aim of the study is to present a comparative analysis of current health care costs for the period of 2011-2018 in Bulgaria. Mathematical, tabular and graphical methods were used. The share of current expenditures in% of the country's GDP based on year 2011 has been determined. In 2013, the increase in current health expenditures decreased as GDP and the expenditure on outpatient care and retail trade in pharmacies and sanitary stores decreased. In 2012 and 2014, current health care expenditures increased more significantly as a share of GDP, with more health expenditures incurred in the country in absolute terms.

The management of medical institutions is a challenge in Bulgaria. Improving health systems is an important public goal. The criteria for efficiency and effectiveness, as well as quality patient care, should be set as fundamental for the health system.

**Keywords:** healthcare, quality, hospital care costs, health care costs, management of medical institutions

## 1. INTRODUCTION

Currently in Bulgaria a system of mixed financing of hospital care is used, including budget and fund financing. Every year there are significant deficits formed at the hospital level, as the reasons are complex and are contained mainly in the existing system of financing of hospitals, which determines a large part of the incentives for cost management.

Each hospital is a commercial company and is subject to the provisions of the Commercial Law, including the provisions on insolvency under this law. Based on the expediency at the moment, the hospitals in the country, despite the realized losses and accumulated liabilities are not in danger of bankruptcy. However, the problems with underfunding are deepening, and in the best case at the end of the reporting year are covered by the Ministry of Health /MH/. This method does not solve the problems and is not effective. In reality, the medical establishments do not function as commercial companies, as at the beginning of the year they do not have an annual plan for subsidies, as well as a draft budget approved by the Ministry of Health.

The conditions under the National Framework Agreement are not agreed with the medical establishments, but by law they are obliged to fulfill them. When negotiating lower values than the actual ones to pay for medical activities, hidden deficits are set for hospitals [1]. Thus, they are pressured to work below the cost of the services they provide and the normal functioning of hospital care is hampered. The constant increase in the cost of medicines is also the reason for the serious losses of the medical establishments and the deficits of the National Health Insurance Fund over the years.

The need to apply effective cost analyses in the healthcare system and its subsystems began to be realized in Bulgaria in the second half of the twentieth century.

## 2. Analysis of the health care expenditure (2011-2018)

In the system of public health care in Bulgaria in 1993 a unified methodology for separate reporting of costs in health care facilities by types of costs and types of facilities was developed and implemented [2]. It is difficult to analyse the costs of hospitals after the transfer of their funding to the health insurance fund, as the information is summarized on an annual basis, but not at the level of disease or patient. Following the introduction in 2011 of Specialized Hospital Software, monthly data for patient-level cost reporting are provided to the National Centre for Public Health and Analysis. It summarizes and analyses the information in order to achieve comparability in terms of economic efficiency of different types of medical institutions.

Information is also submitted to the National Statistical Institute, which uses the System of Health Accounts (SAS). It is developed as a statistical system with repetitive, current calculations and production of statistical information, using a harmonized methodology and standard classifications. SAS is an internationally accepted statistical system for describing, classifying and analysing health expenditures and sources of funding. The application of this statistical system aims to estimate all health care costs - both public and household costs, non-profit organizations - foundations, associations, private health insurance funds, occupational health care enterprises.

The total health care costs under the SAS measure the end use of these goods and services plus the capital costs in the institutions, providers of health services - those in which health care is the predominant function.

Relative share of current health expenditure (R&D) in gross domestic product (GDP) = (R&D) x 100

Table №1 contains information on the current health expenditures for the period Year 2011 - 2018, broken down by types of activities and presented in Chart №1. The data in it show that the share of current health expenditures in our country increases from 10% to GDP at the beginning of the period, it reaches 11.12% of GDP in 2014, then decreases to 10.57 % of GDP in 2018.

Table №1 Current health expenditure by type

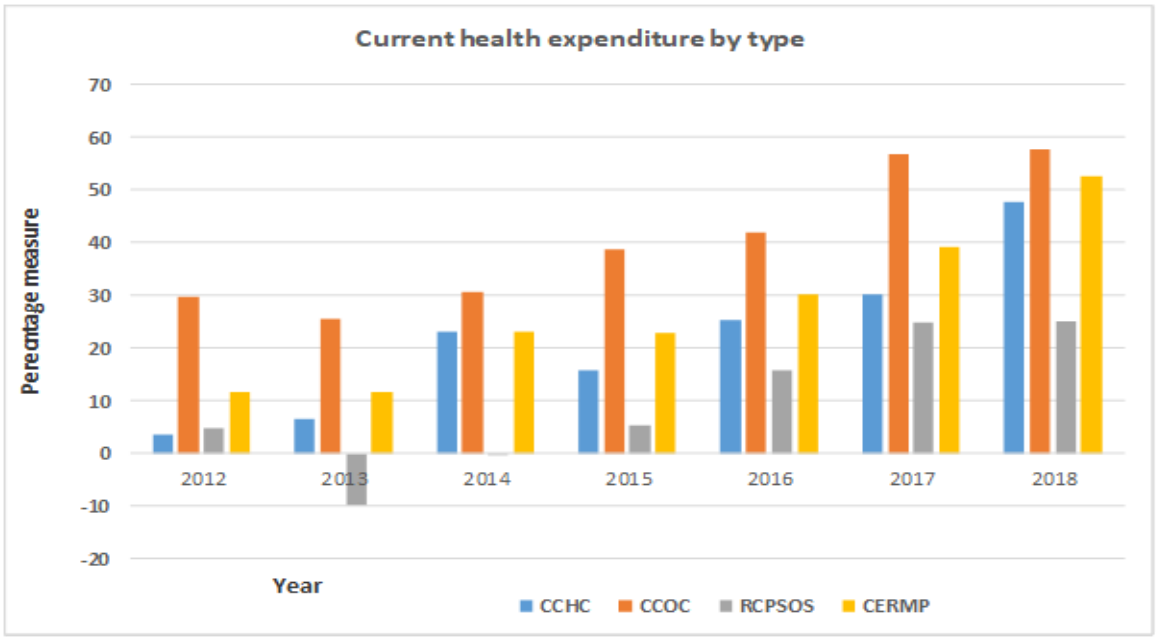
(Million BGN)

| **Year** | **2011** | **2012** | **2013** | **2014** | **2015** | **2016** | **2017** | **2018** |
|---|---|---|---|---|---|---|---|---|
| **Current costs of hospital care – total /CCHC/** | 2 106.400 | 2 181.510 | 2 243.158 | 2 484,231 | 2 440.842 | 2 624.354 | 2 745.457 | 3 110.563 |
| **Current costs of outpatient care /CCOC/** | 778.750 | 1 010.290 | 977.830 | 1 016.878 | 1 080.054 | 1 105.940 | 1 222.056 | 1 228.072 |
| **Running costs through the retail system in pharmacies, sanitary and optical stores, etc. suppliers of medical products /RCPSOS/** | 2 366.790 | 2 482.190 | 2 135.141 | 2 359.985 | 2 494.059 | 2 740.352 | 2 952.754 | 2 958.532 |
| **Current expenses by function of medical and rehabilitation procedures /CEMRP/** | **2 819.950** | **3 146.340** | **3 146.990** | **3 472.037** | **3 466.396** | **3 675.730** | **3 924.135** | **4 306.138** |
| **Total current health expenditure /TCHE/** | **8 071.89** | **8 820.33** | **8 503.119** | **9 333.131** | **9 481.351** | **10 146.376** | **10 844.402** | **11 603.305** |
| **GDP - production method - national level** | **80 714** | **82 239** | **81 955** | **83 885** | **89 362** | **95 131** | **102 345** | **109 743** |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **Relative share of current health expenditures in relation to GDP in%** | **10.00** | **10.725** | **10.375** | **11.126** | **10.61** | **10.666** | **10.596** | **10.573** |

[3] Source National Insurance Institute - https://www.nsi.bg

Chart №1 Current health expenditure by type for the period 2013-2018



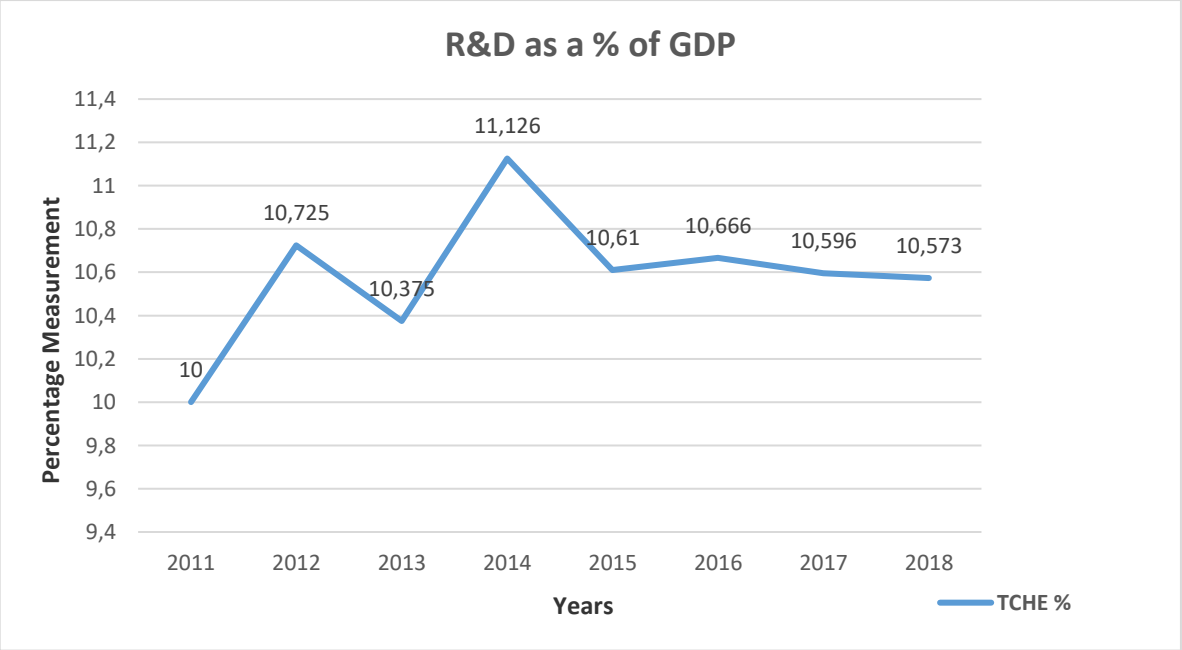

Source: data from NSI

Line 5 shows the sum of the types of current health expenditures for the respective years. It can be seen that they increase every year, except for 2013, which is due to the large decline in current expenditures for outpatient care in the same year, despite the low value of the average annual inflation index in the country for January - December 2013 compared to January - December 2012 in the amount of 0.9%.

Row 6 reflects the data on the gross domestic product at the national level - there is a decrease in absolute value only in 2013.

Row 7 calculates the share of current health expenditures in total relative to GDP at the national level. There is a smooth movement on the line of Chart №2, except for the two clearly defined peaks due to higher values of current expenditures in 2012 and 2014.

Chart №2 R&D as a % of GDP for the period 2011-2018




Source: data from NSI

During the study period, public spending on health care in the country also showed an upward trend from BGN 4, 844.18 million in 2011 to BGN 7,585.187 million in 2018 - presented in Table №2.

Despite their significant increase in absolute value, as a relative share in GDP they have a slight decline in 2015 and 2016, compared to the previous ones. Compared to the relative share of total current health expenditures, which decreased in the last two years of the analyzed period, the share of public expenditures relative to GDP has been growing since 2017 due to increased budget funding in the health care system.

Table №2 Public expenditures for healthcare

| Year | GDP - production method - in BGN million | Public expenditures for healthcare in BGN million | Relative share of GDP in % |
|---|---|---|---|
| 2011 | 80 714 | 4844.180 | 6,01 |
| 2012 | 82 239 | 5010.790 | 6,09 |
| 2013 | 81 955 | 5313.873 | 6,48 |
| 2014 | 83 885 | 5997.481 | 7,15 |
| 2015 | 89 362 | 5911.144 | 6,61 |
| 2016 | 95 131 | 6269.342 | 6,59 |
| 2017 | 102 345 | 6759.765 | 6,60 |
| 2018 | 109 743 | 7585.187 | 6,91 |

[3] Source: National Insurance Institute - https://www.nsi.bg

Table №3 shows the changes in the values of private expenditures for healthcare in Bulgaria for the period of 2011 - 2018.

There is a decrease in absolute values in year 2013, then there is an increase and again followed by a decrease in 2018. The changes in the relative shares of the private expenditures for healthcare in our country have decreased in 2013, 2017 and 2018. This enables the access of the majority of the population to health services and improves the efficiency of the health system in the country.

Table №3 Private expenditures for healthcare

| Year | GDP - production method - in BGN million | Private expenditures for healthcare in BGN million | Relative share of GDP in % |
|---|---|---|---|
| 2011 | 80 714 | 3227,730 | 4,00 |
| 2012 | 82 239 | 3809,520 | 4,63 |
| 2013 | 81 955 | 3189,246 | 3,89 |
| 2014 | 83 885 | 3335,650 | 3,98 |
| 2015 | 89 362 | 3570,207 | 4,00 |
| 2016 | 95 131 | 3877,034 | 4,08 |
| 2017 | 102 345 | 4084,657 | 3,99 |
| 2018 | 109 743 | 4018,118 | 3,66 |

[3] Source: NSI - https://www.nsi.bg

Table №4 Relative share of public and private health expenditures

| Year | Relative share of public expenditures in relation to the total amount of health expenditures in % | Relative share of private expenditures in relation to the total amount of health expenditures in % |
|---|---|---|
| 2011 | 60,01 | 39,99 |
| 2012 | 56,81 | 43,19 |
| 2013 | 62,49 | 37,51 |
| 2014 | 64,26 | 35,74 |
| 2015 | 62,34 | 37,66 |
| 2016 | 61,79 | 38,21 |
| 2017 | 62,33 | 37,67 |
| 2018 | 65,37 | 34,63 |

Source: author calculations

Table №4 presents the changes in the relative shares of public and private health care expenditures in Bulgaria, compared to their total value for the study period.

The data in it show that the share of private expenditures varies, but after 2016 it continues to decline. At the same time, the share of public health expenditures, despite its fluctuations, shows an upward trend from 2017 onwards. Therefore, it can be concluded that the maintenance of the health sector is largely borne by the state - over 60%, which shows that it is trying to fulfill its commitment to health care, allocating more and more public funds and considers the sector for socially significant.

## 3. CONCLUSION

The management of hospitals is a challenge in Bulgaria. The abilities of the directors of the hospitals are not always up to standard, the choice of governing bodies of municipal and state hospitals is non-transparent and without clear rules. The current topic today - the transformation of medical institutions into state-owned companies instead of commercial ones - is not an optimal solution because it will lead

to even greater inefficiency of management, as they are subject to mandatory regulations only by the state. To be managed by the state, including the distribution of funds from health contributions - this would take development back in time as a kind of nationalization. Hospitals that are not commercial companies, but spending units with a budget to the relevant ministry receive state subsidies that are not in the public domain, and their accountability as well. Reforms in the sector over the last three decades have been unsatisfactory, but efforts are being made to improve access to health care for the population. Problems exist with the quality of health services; the obsolete moral and physical material base; the collection of health insurance contributions; poor quality control of medical services; chronic shortage of funds for financing hospital care; lack of sufficient medical staff and so on. The measures taken by the state to control the expenditure of funds under the concluded framework agreement and the imposition of financial discipline, setting limits on the activities of health care institutions, introduction of a national health card, etc. are insufficient, but in the right direction. Annually increasing costs for hospital health care are not relevant to the improvement of the health status of the population; over-hospitalizations; non-compliance with the severity of the disease and accompanying those with the value determined by the clinical pathway; discrepancy of the payment with the quality / results / of the treatment.

It is right to move to funding based on diagnostic-related groups, the introduction of an electronic health record. If the system of control over medical activities is performed by an independent control body and not by civil servants, the criterion for assessing the quality of health services provided will be emphasized.

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# Retrospective Analysis of Expenditure in Bulgarian Healthcare System

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**Abstract***:* The article analyses tendencies in health care expenditure in Bulgaria during the period 2008-2018. Cost analysis is an important issue in the health management process. It is important to analyze relevant data on healthcare expenditure to ensure financial sustainability of the health system. Economic evaluation can provide useful and relevance information how to use available resources for maximizing health benefits. The management of medical institutions is a challenge in Bulgaria. Improving health systems is an important public goal. The criteria for efficiency and effectiveness, as well as quality patient care, should be set as fundamental for the health system. This study focuses on several key indicators that can give an idea of the state of the health care system in Bulgaria. Some of the main problems and the reasons for them are highlighted, as well as the country's place among countries in the European Union (EU).

**Keywords:** health care, economic evaluation, health care expenditure, effectiveness.

## 1. INTRODUCTION

The health system is an important part of the national economic system and provides professional health care services to the population aimed at preserving and strengthening its health status. In this way, the health system has a significant impact on human capital and human development. Therefore, health care system is extremely important for the economic development. From this point of view, the financing of the health care is crucial for the economic prosperity and well-being of society and should be a priority of any government policy. Optimal funding maximizes the benefits for both the individual and society.

As the financial evaluation gives an idea of the overall strength of the health system the issue of the financing of health care is essential to the health economy. Cost analysis is very important in the health management process. Expenditure on health, as defined in the System of Health Accounts (OECD, Eurostat and WHO, 2017), measures the final consumption of health goods and services. This refers to current spending on medical services and goods, on preventive and curative health, and overall financial management of health care irrespective of the type of financing arrangement. It is important to analyze relevant data on healthcare expenditure to ensure financial sustainability of the health system.

## 2. Material and method

Present study aims to analyses several indicators: Total health care expenditures as a percentage of GDP, health care expenditure per capita, public and private health care expenditure as a percentage of total health care expenditure and their structure. In this regard bibliographic analysis of Bulgarian and foreign academic literature sources, statistical data, reports and other EU and Bulgarian documents dealing with the issue of spending funds in the health sector is done**.** Results and conclusion are drawn.

## 3. Overview of the health care system in Bulgaria

The Bulgarian health system is controlled by the Ministry of Health, responsible for national health policy and the overall organization and functioning of the health system, while the National Health Insurance Fund (NHIF) controls and manages the health insurance system. NHIF carries out its administrative duties through 28 territorial divisions, known as regional Health Insurance Funds.

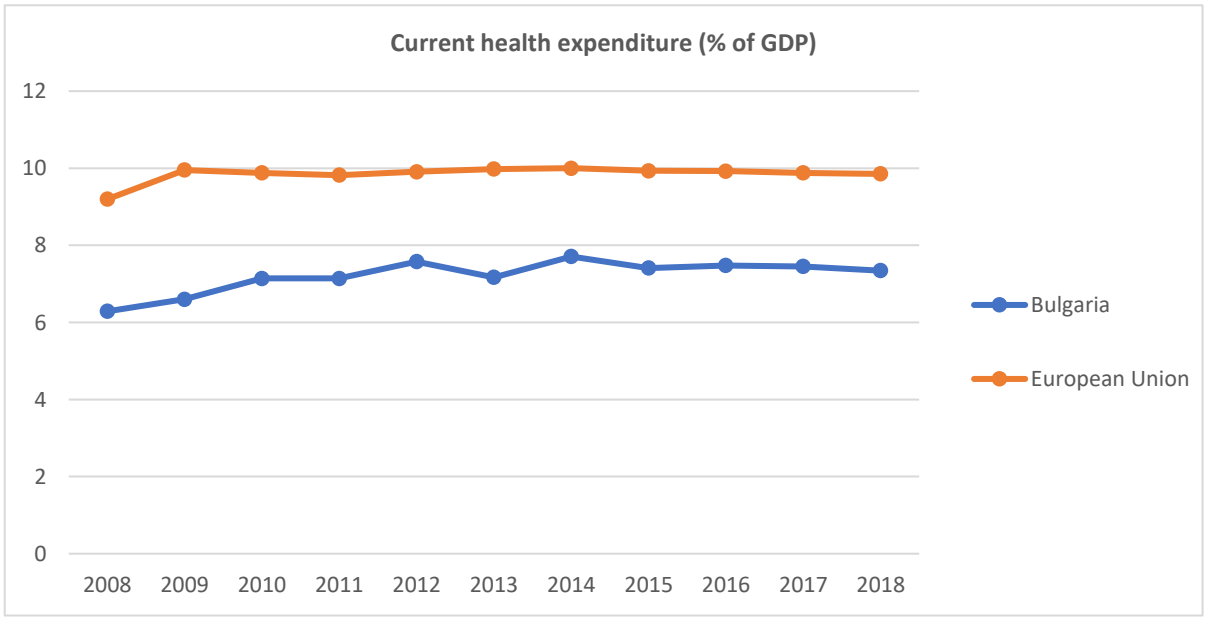
The key players in the insurance system are the insured individuals, the health care providers and the third-party payers, comprising the National Health Insurance Fund, the single payer in the social health

insurance (SHI) system, and voluntary health insurance companies (VHICs).[1] Health reform in Bulgaria started with establishment of National health insurance fund (NHIF) in 1998. The NHIF is an autonomous public institution independent from the government. One of the key goals of reform was the transition from government budget financing of health care to financing based on the health insurance principle. Management of health care providers was decentralized and contractual relations between the NHIF and health care providers were introduced together with new payment mechanisms. Social health insurance contributions are calculated at 8% of monthly income, paid by the insured individuals, their employers, or the state. The insurance system (SHI and VHI) covers diagnostic, treatment, rehabilitation services and medications for the insured persons.

## 4. Health care expenditure analysis (2008-2018)

Health care expenditure is critical to a well-functioning health system. However more expenditure, though, do not automatically translate into better health care functioning – the effectiveness of spending is also important. Analysis of structure, and dynamics of health care expenditures is a key direction of health economy. Health spending per capita and as a share of GDP summaries overall resource availability. Fig. 1 presents the total health expenditure (THE) as a share of GDP in Bulgaria and EU (average) over the period 2008-2018. Total health expenditure comprises the sum of public and private expenditure. According to World bank the share of THE in Bulgaria is consistently lower than EU average with a difference of 2 - 3 percent of GDP. In the beginning of the period THE amounts to 6,29% and increases to 7,35% in 2018. The highest value is registered in 2014 - 8,51% of GDP. Steady growth of spending in absolute value for the period is observed. Total health expenditure in Bulgaria is relatively high in comparison with other CEE countries (fig. 2). The country has highest cost compared to the Romania, Latvia, Poland, Lithuania, Slovakia, Croatia. However, Slovakia (17th place), Serbia (18th place) Croatia (24th place), Lithuania (28th place), Latvia (30th place) offer better health services than Bulgaria (31st place) according to the European Health Consumer Index (2018).

Fig. 1. Total health care expenditure as a share of GDP in Bulgaria and European Union (2008 – 2018)

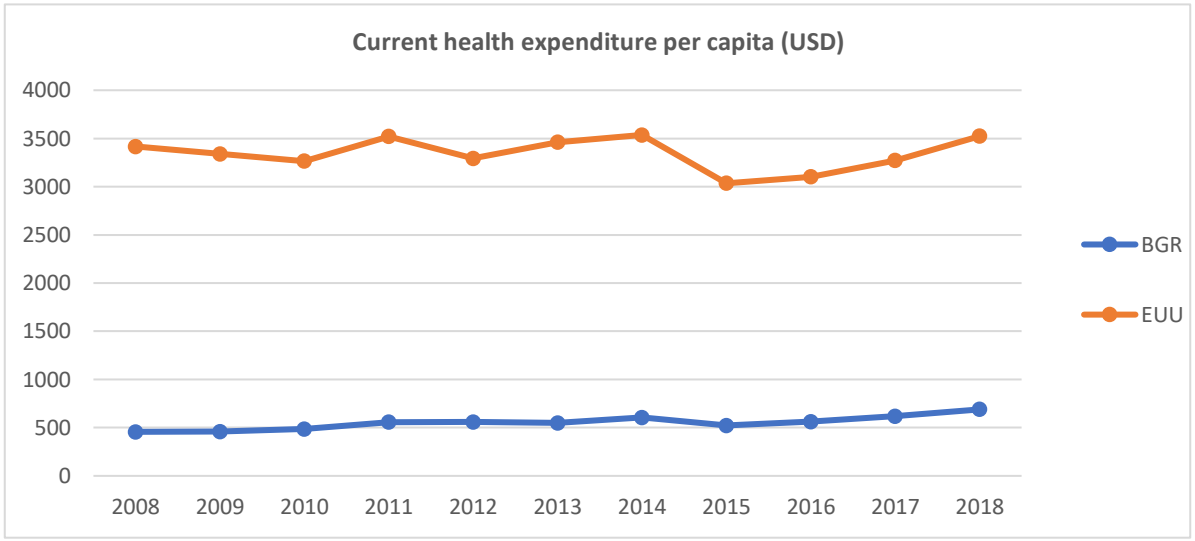



Source: World bank, data available at https://data.worldbank.org/

Bulgarian healthcare spending per capita for 2018 was $690 - 11.51% increase from 2017 (fig. 2). Despite doubling since 2005, per capita health spending was the fourth lowest in the EU.

[1] Dimova A, Rohova M, Moutafova E, Atanasova E, Koeva S, Panteli D, van Ginneken E. Bulgaria health system review. Health Syst Transit. 2012;14(3):1-186.PMID: 22894828

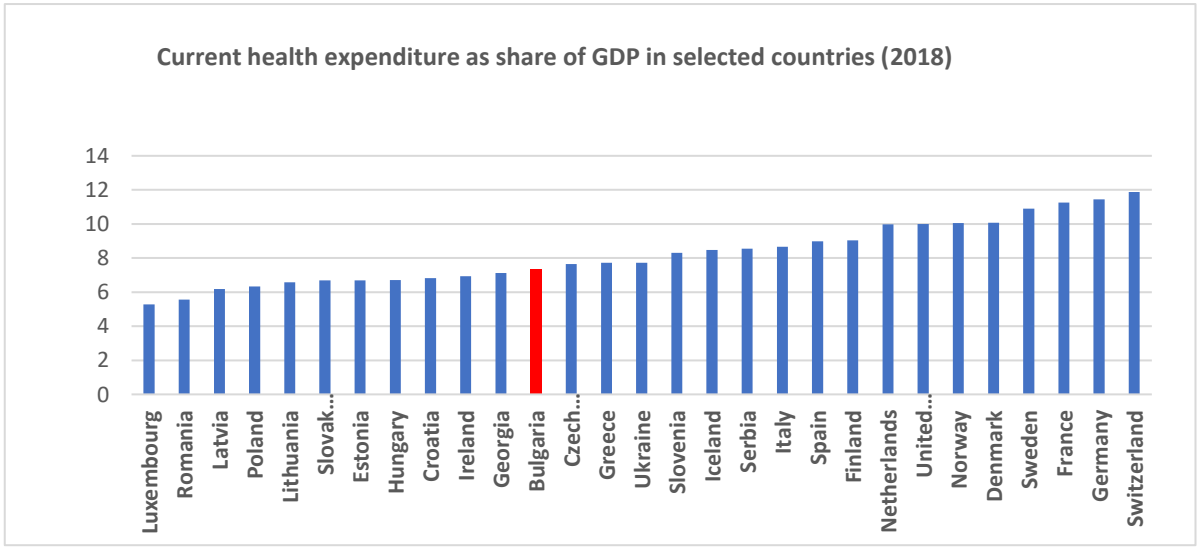
Fig. 2. Current health expenditure per capita in USD (2008-2018)




Source: World bank, data available at https://data.worldbank.org/

THE as a percentage of GDP is highest in Switzerland (fig. 3). According to EHCI the top position in "EHCI 2018 total scores" was taken by Switzerland, seen from the consumer's point of view (893 points out of 1000). The second position was taken by Netherland (883 points). Total health cost amounts 9,97% of GDP in Netherland while in Bulgaria this indicator amounts 7,35%. The difference is 2,62% but Bulgaria occupy 31st position in ranking system according to the European Health Consumer Index (2018). This is evidence of the volatile relationship between healthcare costs and quality of health services in the country. Unfortunately, increase in current health costs does not lead to greater patient satisfaction of the quality of Bulgarian health care.

Fig. 3. Total health care expenditure as a share of GDP in selected countries in 2018



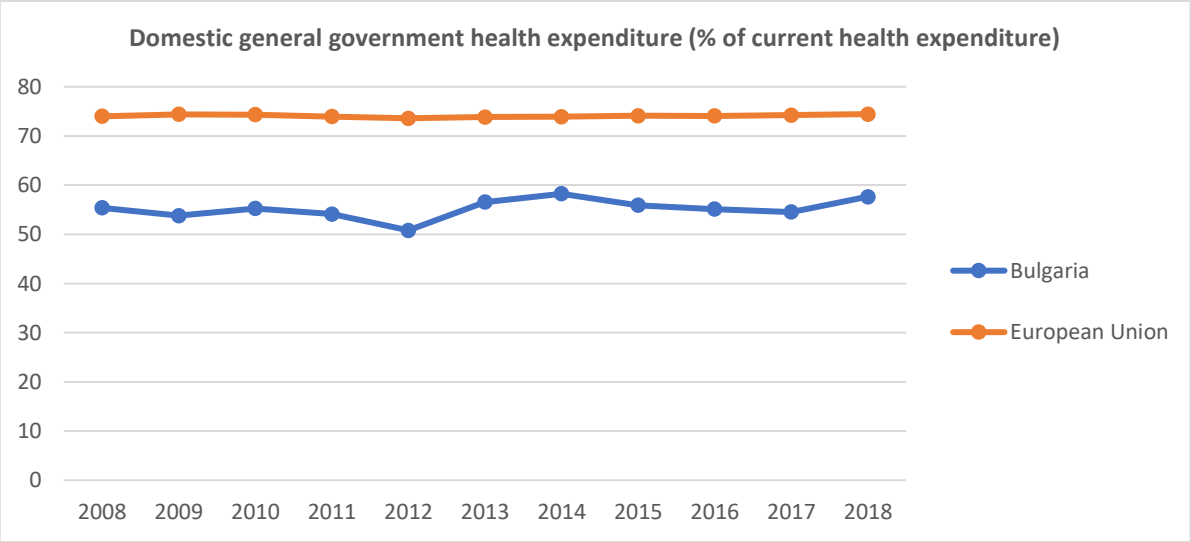

Source: World bank, data available at https://data.worldbank.org/

In recent years, public spending on health care in our country also note an upward trend. Public spending is significantly higher in the EU, while in Bulgaria private spending is far higher and its role has been growing slowly but steadily in recent years (fig. 4).

According to reports of Ministry of Finance in Bulgaria the largest contribution to the financing of health expenditures has the budget of NHIF (75-78% of total public health financing**)**. The second source is

state budget (. Next in importance are the funds provided by municipalities and last - the funds from EU operational programs and others international program (external resources about 0,5-3,5%).

Fig. 4. Public health expenditure as a share of total health expenditure (2008-2018)




Source: World bank, data available at https://data.worldbank.org/

Most of the EU countries spend significant public funds as a share of GDP for health care. The average share of public expenditures for the EU is 74,1%. For Bulgaria this indicator is slightly above 55%. At the same time, in Bulgaria the share of private expenditures in total healthcare expenditures is consistently higher than EU average. As of 2018, in Bulgaria the share of private expenditures is 42,4%, while in the EU this share is 25,6% (fig. 5). During the study period, the share of public spending in the EU was significantly higher than private spending and remained above 75%. It is noteworthy that this share has remained stable for the last 18 years, i.e., the increase in total healthcare costs in the EU keeps this proportion unchanged.

Another essential element of financing of health care is private health insurance. Private insurers provide a range of services, which include extending and supplementing publicly financed healthcare systems, allowing policyholders to benefit from faster access to treatment and a wider choice of healthcare providers. In national markets across Europe, the role of private insurers differs significantly due to differences in the way national healthcare systems are organised and financed.[2]

According to the methodological requirements of the System of Health Accounts SHA the expenditure of the private sector include: Individual consumption expenditures of households on regulated payments for medical, dental and dental technical services, supplies, and other therapeutic goods. Also included are the payments in the system of retail trade in pharmacies, optical and sanitary shops; Claims paid by the voluntary health insurance companies; Expenditures of non-profit institutions serving households - as these expenses cannot be allocated in detail by functions and by providers, they are allocated to non-classified activities; Expenditure of enterprises and organizations for activities related to labour health care for employees. According to the methodological requirements of the SHA, ver. 2011 expenditures for Voluntary health care insurance and enterprises' and organisations' expenditures for labour medical activities are separated from private sector in a separate Voluntary Health Care Payment Schemes.[3]

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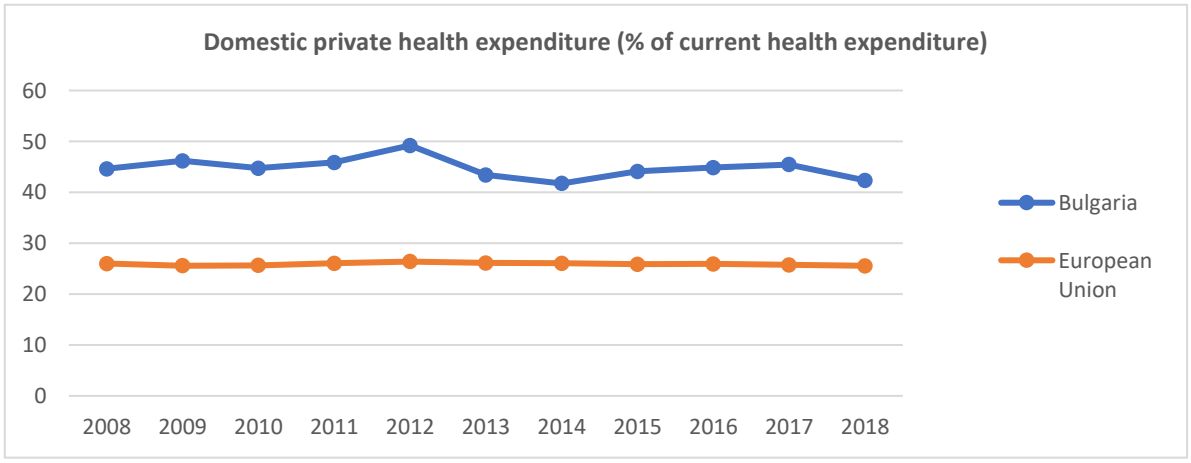
[3] https://www.nsi.bg/en/content/5570/system-health-accounts-sha-10

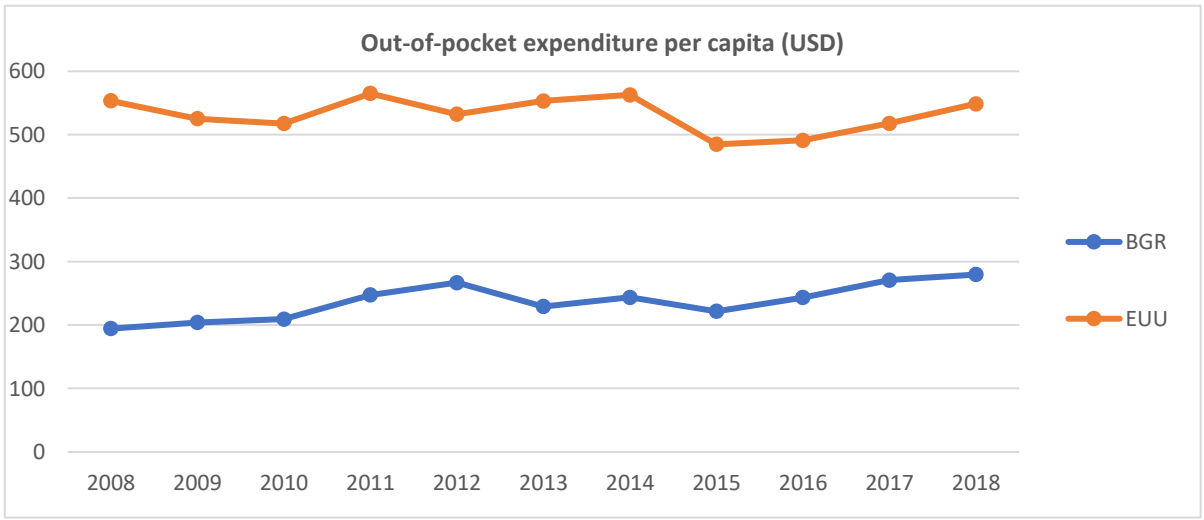
Fig. 5 Private health expenditure as a percentage of total health expenditure (2008-2018)




Source: World bank, data available at https://data.worldbank.org/

Out-of-pocket expenditure (OOP) are spending on health directly out of pocket by households to medical practitioners and pharmaceutical suppliers, for medical goods and services used to recover or improve the health status of individuals or groups of the population. Out-of-pocket expenditure are a component of private health expenditure. Since 2008 the share of OOP in private health expenditure has fallen slightly, although they form significant share of all private expenditure. This leads to the conclusion that the role of private insurance, and payments from private corporations is increasing but the potential for increasing the role of private health insurance in Bulgaria remains significant. Fig. 6 presents spending on health directly out of pocket by households for the period from 2008 to 2018. There is a trend of their continuous increase, as the rate of their growth is ahead the growth rates of both public and total health expenditures. In this period average value of out-of-pocket expenditure per capita in Bulgaria is 532 USD. This amount is more than twice bigger than EU average. As a percentage of total health financing represented 42,4% in 2018 decreasing slightly, although remained highest in the EU. The drivers of OOP expenditure are payments for services not covered by the benefit package (pharmaceuticals and outpatient care). Pharmaceuticals and medical devices, and inpatient care in Bulgaria accounted over 70% of current health expenditure. Bulgaria's spending on pharmaceuticals was the highest in the EU (over 40 % of total health expenditure).

Fig. 6 Out-of-pocket expenditure per capita (2008-2018)




Source: World bank, data available at https://data.worldbank.org/

## 5. CONCLUSION

Current health expenditure in Bulgaria has increased for the study period. Although the trend has not been consistent, health spending grew on average by more than 5.3 % per annum between 2009 and 2017, more than three times the EU average of 1.5 %. The annual growth in public spending on health care has outpaced GDP growth in the period. The NHIF budget is the main source for health financing providing three quarters of Bulgaria's current health expenditure. Although health spending in Bulgaria is still relatively low compared to other EU Member States, it has increased steadily over the last years. However, the increase in health care costs is mainly due to out-of-pocket expenditure. Bulgaria reports the highest share in the EU. Pharmaceuticals and medical devices, and inpatient care account for the predominant proportion of private expenditure on health. Informal payments to doctors are estimated to make up a considerable share of out-of-pocket payments. The biggest challenge for accessibility of health care is the significant proportion of the population not covered by health insurance.

The presented data illustrate the need for urgent reform of the healthcare system in Bulgaria, as the problems are not so serious in terms of lack of financing, but rather in terms of optimizing the available resources. The effectiveness of health services in Bulgaria is poor and improvements in the quality of care have been slow. In addition, Bulgaria's very high hospitalisation rates are partly due to the underdevelopment of preventive health services and the primary care sector. Increasing public health expenditure cannot achieve the desired medical results and patient satisfaction with the quality of provided medical services.

It can be concluded that the model of financing the health system in Bulgaria needs a change in term to achieve a reduction in the financial burden of the population, strengthening control over health care costs and increasing efficiency and quality of provided medical services. It means to set following objectives: To improve the efficiency of the use of funds in the health system; To optimize the structure and distribution of hospital resources and to overcome the territorial imbalances in the system; To reduce and eliminate the share of unregulated costs in the system; To improve the control in the system; To measure the quality of treatment and monitor the effects of the applied therapies on patients; To create potential for implementation of new policies and programs and for investments and renewal of the material base and technologies for treatment.

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# Data-Driven Analysis of Causality between Current Account, Exchange Rate, and Economic Growth

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**Abstract:** This study attempts to draw inductive causal inference patterns for the relationships between current account, economic growth proxied by industrial production, real effective exchange rate, inflation, and interest payments on external debt in Turkey. All variables used in this study are extracted from EVDS (Electronic Data Delivery System) of The Central Bank of the Republic of Turkey. In order to determine both the direct and indirect contemporaneous causal relationships between the variables, we estimate Directed Acyclic Graphs (DAGs) for the period 2006M01 – 2021M03. The resulting DAGs template suggests that the current account and inflation are the main driving factors of the real effective exchange rate, affecting interest payments on external debt directly. The results also suggest that both inflation and foreign debt interest payments have directed effects on economic growth while the current account affects economic growth indirectly through its effect on the exchange rate and interest payments on external debt.

**Keywords:** Current account, exchange rate, economic growth

## 1. Introduction

Studies on the relationship between current account, exchange rate, and economic growth have always been an attractive topic for researchers as the effect of globalization on open economies had been one of the major topics in the economics literature. After the 1980s, when globalization winds to blow around the world, many countries have faced current account deficits due to their uncompetitive domestic markets, which cannot sell their goods and services in international markets. Nevertheless, countries like Turkey have been running current account deficits for many years, making the currencies' value decrease. Therefore, understanding the possible relations and transmission channels between current account, exchange rate, and economic growth, particularly for developing countries, may help policy-makers to pursue the right economic policies, either maximizing economic growth or minimizing the harmful effects of persistent current account deficits. For example, large deficits could cause depreciation in exchange rates and cost-push inflation. Hence, for countries in floating exchange rate regimes, market forces should adjust to the correct level in the long term.

The Turkish economy has been suffering from current account deficit for years, primary problems arising from the saving gap and foreign dependency on energy and intermediate goods. Therefore, it is prominent to make the current account deficit sustainable to reach a balanced economic growth path. There is a growing agreement that sustained real exchange rate misalignment will generally lead to severe macroeconomic disequilibria, that the correction of external balances (i.e., Current account deficits) will usually require a real exchange devaluation (or depreciation) (Edwards, 1988). Dornbush (1982) and Williamson (2009) argue that more 'successful' developing countries owe much of their success to having been able to maintain the real exchange rate at its 'appropriate' level.' Hence, it is not an overstatement to say that real exchange rate behavior occupies a central role in policy evaluation and design.

### 2. Literature Review

This section will summarize brief literature by categorizing relations between variables used in our study. Lebe et al. (2009) analyze the effects of Turkey and Romania's economic growth and exchange rate changeability on the current deficit by employing the structural VAR method between 1997-Q2 and 2007-Q3. The findings obtained from the empirical analysis show that economic growth is the primary

driver of the current account deficit. They argue that the current account deficit increases with increased total demand in the economy as the economy grows.

There are debates on the effects of exchange rates on economic growth, mainly arguing that its impact differs according to the types of countries. For example, Prasad et al. (2006) concluded that there is empirical evidence that overvaluation of real exchange rate harms growth in developing economies, although they find no evidence that the same is true in developed countries. Also, Rodrik (2007) and Bhalla (2007) agree that the evidence shows that growth is dependent on avoiding an overvalued exchange rate, but they also argue that undervaluation is helpful to growth.

On the other side, Berument and Pasaogullari (2003) show, by considering quarterly data of Turkey from 1987 to 2001, that the real depreciation of exchange rates is contractionary, causing detrimental effects on output. Another important finding is that devaluation is inflationary. Similar results were obtained by Erol and van Wijnbergen (1997), who found the real exchange rate appreciations to be contractionary for Turkey.

The nominal exchange rate is a statistically significant determinant of external debt as it increases the country's debt burden. When a country faces a high level of external debt to GDP, the lenders ask for a higher interest rate to compensate their risk against the inability of borrowers to pay.

Purchasing power parity (PPP) already reveals the relationship between real exchange rate and inflation since the logarithm of the real exchange rate (qt) may be defined as the deviation from PPP:

$$q_t = s_t + p_t^* - p_t$$

where $s_t$ denotes the logarithm of the nominal exchange rate (the domestic price of foreign currency) observed at time t, and $p_t^*$ and $p_t$ are the logarithms of the foreign and domestic price levels respectively. Due to this theory, it is naturally expected that inflation will affect the real exchange rate in the study.

External borrowing has both benefits and costs. The benefits that a country may have from borrowing foreign funds include purchasing advanced equipment and technology and investing in the essential projects private firms are unwilling to support (such as infrastructures). With better technology and improved infrastructure, the debtor country can raise the efficiency of the production process and perhaps reach self-sustainable economic growth. The cost of foreign borrowing is the interest payment on the debt. More future tax revenues must be raised to pay the principal and interest, or the given tax revenue must be diverted from other productive uses, which may hurt economic growth.

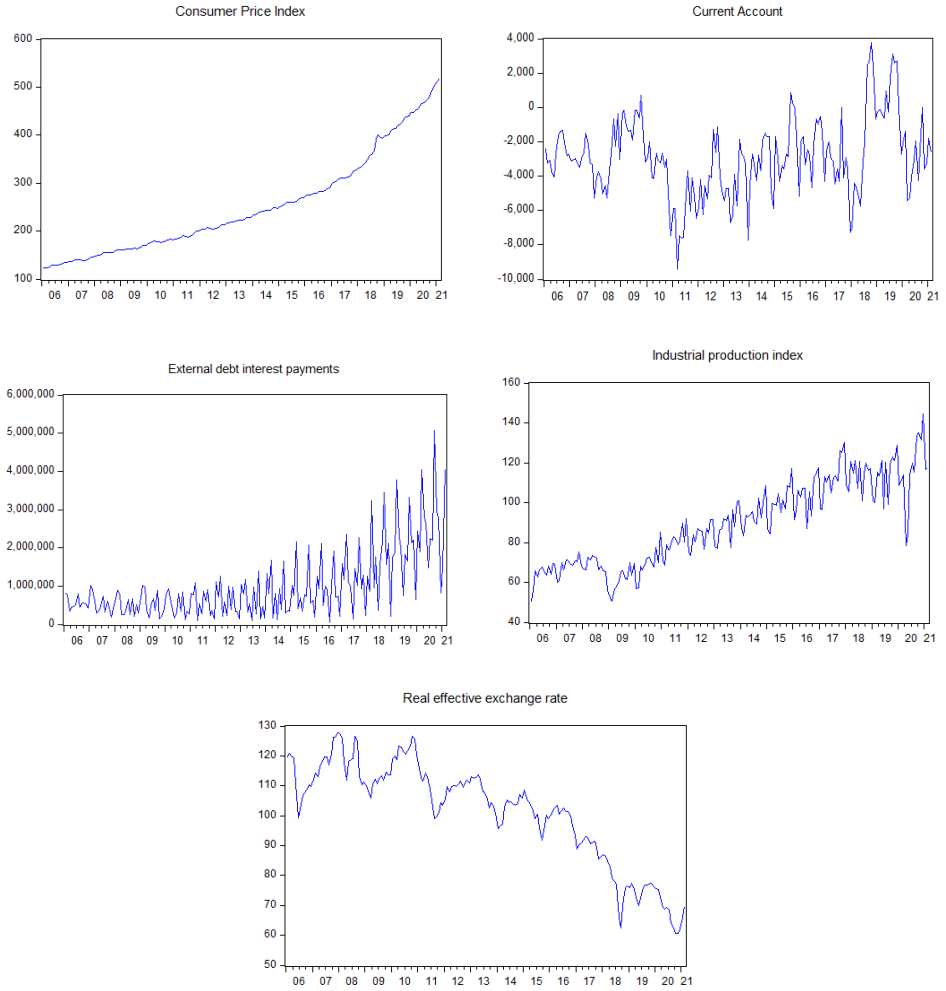
Because of these differential effects of borrowing, the net effect of foreign debt on economic growth is ambiguous in general, depending on the level of interest rate and how efficiently the funds are utilized. If the funds are efficiently utilized, and the interest rate on the debt is not high, then the foreign debt will likely stimulate economic growth. If the funds are largely wasted, or the interest rate on the debt is high, then foreign debt is likely to reduce the speed of economic growth. Also, foreign debt, particularly long-term debt, may increase a country's current capital stock and stimulate economic growth, while debt repayment may decrease the future capital stock and reduce future economic growth. For instance, Lin and Sosin (2001) found a negative relationship between foreign debt and the growth rate of per capita GDP on a total sample of 77 countries. However, Tchereni et al. (2013) examined the impact of external debt on economic growth in Malawi by using other macroeconomic control variables such as exchange rate, lending rate, inflation, and openness. The results show a statistically insignificant and negative relationship between foreign debt and economic growth for the case of Malawi.

Using cross-country analysis, Panth et al. (2006) analyzed Jamaica's experience on the relationship between public debt and productivity growth. The results indicate a significant and negative relationship between total public debt and productivity growth. The study also concluded that public investment had been crowded out by debt servicing, further adversely affecting productivity growth.

In his famous article Barro (1995) used data for around 100 countries from 1960 to 1990 to assess the effects of inflation on economic performance. If some country characteristics are held constant, then regression results indicate that the impact effects from an increase in average inflation by ten percentage points per year reduce the growth rate of real per capita GDP by 0.2-0.3 percentage points

per year. Mallik and Chowdhury (2001) examine the relationship between inflation and GDP growth for four South Asian countries (Bangladesh, India, Pakistan, and Sri Lanka). A comparison of empirical evidence is obtained from the cointegration and error correction models using annual data collected from the IMF International Financial Statistics. The authors find evidence of a long-run positive relationship between GDP growth rate and inflation for all four countries.

The figures below show the trends and movements for the period examined in this study. As shown, the consumer price index significantly increases year by year in Turkey, particularly accelerated after 2018. Turkish economy mostly experienced current account deficits, which are prominent in the last months of 2010 and the first quarter of 2011, reaching almost 10 billion dollars per month. Highly depreciation in the real exchange rate in August 2018 leads to a current account surplus for a couple of months. After volatility in exchange rates disappear, current account deficits continue to emerge in the Turkish economy. External debt interest payments show seasonality since debt payments have been made mostly in March and September each year. We can clearly say that external debt payments have risen after 2017. We observe from the figure that real effective exchange rates show a clear downward trend since 2010, whereas the industrial production index, which is used as a proxy for GDP growth in our analysis, presents an upward trend in the Turkish economy since the beginning of 2006 except 2008 global crisis period and 2020 Covid-19 pandemic that hits all over the world.




**3. Data and Empirical Analysis**

This paper investigates the dynamic relationships between current account, economic growth, real effective exchange rate, inflation, and interest payments on external debt based on the contemporaneous causal structure derived from DAGs. For this purpose, we employ time series Turkish data on current account (million US dollar), economic growth (proxied by industrial production index),

the real effective exchange rate (based on CPI), inflation (consumer prices), and interest payments on external debt for the period 2006M01 – 2021M03. All the variables are extracted from the electronic data delivery system of the Central Bank of Turkey and used in their natural logarithmic forms except for the current account variable.

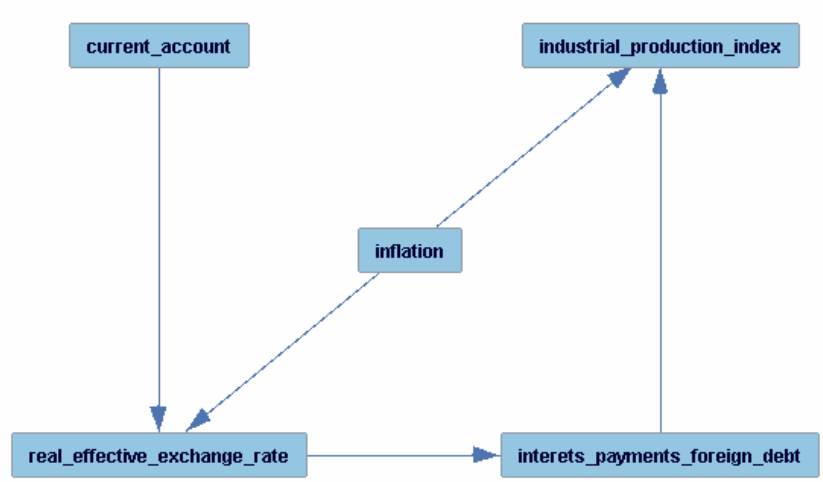
In the economics literature, the studies measuring and defining the parameters and structure of economic models have been based mostly on economic theory and intuitions of researchers. However, it can be stated that the theory is quite heterogeneous in this context, although most of the time, it cannot provide enough information to describe the causal structure between the variables that are the subject of the theory. In addition, since the statistical properties of the data theoretically determine the causal structure, the causal structure based on observational data cannot be determined by models based on the theory, and incorrect causal inferences can be made (Kwon ve Bessler, 2011). Therefore, instead of "deductive causality" arising from innate ideas (thought) or the mathematics of assumed behavior, "inductive causality", which is based on observational data and helps to create causal graphs from conditional independence between variables, can contribute to achieving consistent results in determining the relationships between variables (Li, Woodard ve Leatham, 2013 ve Benli, 2019).

DAGs, which are the most widely used in inductive causal inference, as an alternative and more comprehensive way of detecting causal relationships, was proposed by Pearl (1995 and 2000) and Spirtes et al. (2000) and have been the most widely used graphs in causal modeling since then. DAGs are simply arrow directed graphs of a picture representing the causal flows (or lack thereof) among a set of variables, and Spirtes et al. (2000) show that DAGs as they account for the effects of conditional interdependencies found in observational data The PC algorithm, developed by Spirtes et al. (2000), is one of the powerful algorithms that can be used to build directed graphs of causal relationships using the concept of d-separation (Li et al., 2013). The PC algorithm and its extensions and all the other algorithms that can be used to produce DAGs patterns are available in TETRAD VI, which is the software program we employ in this study to identify DAGs.

The Monte Carlo simulations show that the PC algorithm, especially for small sample sizes (i.e., less than 100), may assign the directions of edges incorrectly and may make mistakes of edge exclusion/inclusion. Nevertheless, the performance of the algorithm can be improved by selecting higher significance levels (e.g., 0.1 for the sample size of 100 – 300, and 0.2 or 0.3 at sample sizes less than 100). Given our 183 time-series observations (2006M01 – 2021M03), we choose the 10 percent significance level for the analysis.

The resulting DAG pattern provided by the PC algorithm at the 10% significance level is presented in Figure 1.

Figure 1: Directed Graph at 10% Level (PC Algorithm)




Examining the pattern provided by the PC algorithm reveals that the main driving factors of real effective exchange rate are current account and inflation, whereas real effective exchange rate seems to have a directed effect on interest payments on external debt. The findings also imply that inflation and

foreign debt interest payments have directed and contemporaneous impacts on the industrial production index. Another significant result suggested by the pattern is the indirect effect of the current account on economic growth through its effect on the exchange rate and interest payments on external debt.

**4. Conclusion**

This study attempts to reveal the dynamic linkage patterns among current account, industrial production index, real effective exchange rate, inflation, and interest payments on external debt in Turkey for the period 2006M01 – 2021M03 applying an empirical framework based on DAGs. The empirical evidence suggests a contemporaneous causal flow from both current account and inflation to the real effective exchange rate. The results also indicate a contemporaneous causality running from real effective exchange rate to interest payments on external debt. In addition, according to the findings, inflation and foreign debt interest payments have directed contemporaneous impacts on economic growth, which is proxied by the industrial production index, while the current account has an indirect effect on growth via mediating factors of real effective exchange rate and interest payments on foreign debt.

Some policy implications could be drawn from these results. Firstly, efficient utilization is very important as foreign debt can have positive or negative effects on economic growth depending on how and where foreign debt has been used. Therefore, since high foreign debt levels may be associated with high interest rates, those external debt interest payments will be linked to low economic growth due to the crowding-out effect of public investment. As it is well-known, high inflation is detrimental to economic performance. As we already illustrated in this study, policy-makers should focus on lowering inflation in Turkey to reach an optimal and sustainable economic growth rate.

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# İnternette Uygulanan Promosyon ve Fiyat İndirimlerinin Anlık Satın Alma Eğiliminin İnternette Anlık Satın Alma Davranışları Üzerindeki Etkileri

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**Özet:** Günümüzde işletmeler artan rekabet ortamında her geçen gün faaliyetlerini geliştirerek yürütmek durumundadır. Özellikle işletmeler pazarlama faaliyetleri ile tüketici tercihlerini kendilerine doğru çevirebilmek ve tüketicileri etkilemek için yaratıcı teklifler üretmeleri gerekmektedir. Bu anlamda işletmelerin sıklıkla kullandıkları araçlar satış promosyonları ve fiyat indirimleri olmaktadır. İşletmeler, indirim ve promosyonların tasarlanmasında geçmişten günümüze kadar türlü biçimlerde farklı uygulamalar ile tüketicilerin karşısına çıkmaktadırlar. Bu çalışma, internet üzerinde işletmelerin uygulamaya koydukları promosyon ve fiyat indirimlerinin anlık satın alma eğiliminin internette anlık satın alma davranışı üzerindeki etkilerini tespit etmeyi amaçlamaktadır.

**Anahtar Kelimeler:** Promosyon, Fiyat İndirimleri, Çevrimiçi Anlık Satın Alma.

# The Effects of Online Promotions and Price Discounts on Instant Purchase Behaviors on the Internet

**Abstract:** Today, businesses have to carry out their activities by developing them every day in an increasingly competitive environment. In particular, businesses need to create creative proposals to be able to translate consumer preferences towards them through marketing activities and influence consumers. In this sense, the tools that businesses often use are sales promotions and price reductions. Businesses face consumers with different applications in the design of discounts and promotions in various forms from the past to the present. This study aims to determine the effects of instant buying trends on instant buying behavior on the internet of promotions and price reductions that businesses implement on the internet.

**Keywords:** Promotion, Price Discounts, Online Instant Purchase.

## 1.GİRİŞ

Günümüzde yaşanan küreselleşme ile birlikte rekabetin artması sonucunda pazarda işletmelerin tüketicileri kendilerine çekerek sürdürülebilirliğinin sağlanabilmesi adına çeşitli stratejiler uygulanmaktadır. Özellikle internet kullanımının her geçen gün giderek artması ile birlikte işletmeler de rekabet üstünlüğü elde edebilmek için internet kanalını kullanmaya başlamışlardır. Rekabet ve piyasa koşulları gereği işletmeler internette fiyat indirimi ve satış promosyonları uygulamalarını sıklaştırmaya başlamıştır.

Fiyat indirimlerinin ve satış promosyonlarının kısa vadede satışları nispi oranda yükseltebilme ve tüketicide heyecan uyandırarak satın almayı özendirici unsurları barındırdığı için hem işletmeler hem de tüketiciler bakımından yararlı olabilmektedir.

Fiyat indirimleri ve satış promosyonlarının tüketicilerin düşünmek için harcadığı zamanı azaltmakla birlikte daha dürtüsel olan çevrimiçi tüketicilerin anlık satın alımlar yapmasına neden olur. Çevrimiçi tüketicilerinin dürtüselliğinden yararlanmak ve anlık satın alımları özendirmek isteyen işletmeler fiyat indirimleri ve satış promosyonları sık sık uygulamaktadırlar.

Bu çalışmanın amacı internet üzerinde işletmelerin uygulamaya koydukları satış promosyonlarının ve fiyat indirimlerinin anlık satın alma eğiliminin internette anlık satın alma davranışı üzerindeki etkilerinin tespit edilmesidir. Bu amaçla çalışmada öncelikle literatür taraması yapılarak promosyon, fiyat indirimi ve çevrimiçi anlık satın alma kavramları irdelenmiştir. Daha sonra araştırmanın teorik modeli oluşturularak yapılan araştırma sonucunda bulgular tartışılmıştır.

## 2.KAVRAMSAL ÇERCEVE

### 2.1.Promosyon

Promosyon faaliyetleri, tüketiciyi satın alma konusunda cesaretlendiren kısa dönemli ürüne ek değer katan tekniklerden oluşmaktadır. Promosyon diğer adı ile satış geliştirme çabaları; çok türlü biçimde oluşabilmektedir. Ürüne veya hizmete ek değer kazandıran bu faaliyetler tüketiciye yeni bir şeyler kazanma şansı, bedava ürün ve/veya hizmet, ödül kazanma hakkı vb. imkanlar vermektedir. Promosyon faaliyetleri, yeni müşteri kazanmak için yapılabileceği gibi mevcut müşterinin bağlılığını artırmak için de gerçekleştirilebilmektedir (Şekerkaya, 2010: 19).

Tüketicilerin satın alma kararlarını etkileyebilme noktasında promosyon metotları farklılık gösterebilmektedir. Satışları artırmak için aynı ürünün ikincisi hediye olarak verilebilirken, pazara yeni sürülen bir ürünün denenmesi amaçlı olarak tadım faaliyetleri yürütülebilir. Ayrıca, çekiliş ve yarışmalar ile tüketiciye ekstra yarar sağlayacak faaliyetler sunulabilir (İdemen, 2017:18).

Satıcılar, satış tutundurma uygulamaları bağlamında tüketicilere türlü fiyat promosyonları seçeneği verebilmektedirler. Bazı araştırmalar fiyat promosyonlarının tüketici satın alma davranışlarına karşı olumlu (Associates, 2000), bazılarının ise olumsuz sonuçlar verdiğini (Blattberg, Briesch & Fox, 1995) belirtmektedir.

### 2.2.Fiyat İndirimi

Fiyat, bir ürün veya hizmetin değerinin para ile ifade edilmesidir. Başka deyişle fiyat, arz ve talebe bağlı olarak şekillenmektedir.

Fiyat indirimi ise, tüketicileri daha yüksek oranda satın almaya teşvik etmek, peşin ödeme alışkanlığı kazandırmak ve aracıların dağıtım kanalındaki verimliliklerini yükseltmek için liste fiyatı üzerinden yapılan ve türlü biçimlerde uygulanan teşvik edici bir satış taktiğidir (Kardeş, 1986: 208).

Fiyat indirimlerinde ürünün perakende fiyatından indirim yapılmakta ve indirim oranları etiketin üzerinde gösterilmektedir. Fiyat indirimleri, genellikle de tüketici tercihlerinde pahalı olan markalara yönelik satışı teşvik etmektedir (Tenekecioğlu, 2005: 257).

### 2.3.Çevrimiçi Anlık Satın Alma

İnternetin yaygınlaşmasıyla birlikte e-ticaret uygulamalarının artması, tüketiciler arasında çevrimiçi anlık satın almayı da yaygınlaştırmıştır. İnternet ile beraber, tüketicilerin satın alma fırsatları yakalaması, ürün ve hizmetlere erişiminin ve satın alma kolaylığının artması satış hacmini de genişletmiştir. Bu yeni alışveriş biçimi, geleneksel mağaza içi satın alımlarına göre rahatlığı da artırmıştır (Eroglu, Machleit ve Davis, 2002: 177).

Çevrim içi anlık satın almayla alakalı araştırmalar 2000'lerin başından itibaren başlamakla birlikte yıllar içinde artan hızla büyümüştür. Bu alanda ilk çalışma Adelaar vd. (2003) tarafından gerçekleştirilmiştir. Yapılan çalışmada farklı bilgi sunum şekillerinin (metin, resimler ve video) internet ortamında anlık satın alma üzerindeki etkileri incelenmiştir (Floh ve Madlberger, 2013: 427).

## 3.ARAŞTIRMANIN METODOLOJİSİ

### 3.1.Araştırmanın Amacı

Bu araştırmanın amacı; İnternet üzerinden yapılan anlık satın alma davranışı üzerinde internet üzerinde uygulanan fiyat indirimi ve satış promosyonların etkisini ortaya koymaktır. Araştırmanın amacına ulaşmak için kolayda örneklem yöntemiyle İstanbul, Kocaeli ve Giresun illerinde yaşayan ve internet üzerinde alışveriş deneyimi olan tüketicilerden anket yöntemi ile veri toplanmıştır. Araştırma, Şubat-Mart 2021 tarihleri arasında kolayda örneklem yoluyla belirlenmiş kişilere çevrimiçi ankete davet edilerek gerçekleştirilmiştir.

## 3.2. Araştırmanın Örneklem ve Veri Toplama Yöntemi

Araştırmada kolayda örneklem yöntemiyle ulaşılan 388 kişiye anket uygulanmıştır. Kolay örnekleme yönteminde örneklem seçimi öznel olduğu için genelleme problemleri yaşanmaktadır (İslamoğlu ve Alnıaçık, 2016). Araştırmada zaman, maliyet kısıtlarından dolayı kolaylama örnekleme yöntemi seçilmiştir.

Araştırmada kullanılan anket formu iki bölümden oluşmaktadır. İlk bölümde demografik özellikler hakkında sorular bulunmaktadır. İkinci bölümde katılımcıların çevrimiçi anlık satınalma davranışı ve anlık satınalma eğilimini etkileyen fiyat indirimleri ve promosyonlara yönelik sorular yer almaktadır. Araştırmada Likert ölçeğine dayalı olarak oluşturulan sorular Rook ve Fisher (1995), Weun, Jones ve Beatty (1997) Gilbert ve Jackaria (2002),Karbasivar ve Yarahmadi (2011), Tinne (2011) yapmış oldukları çalışmalardan yararlanılmıştır. Cevaplar 5'li Likert ölçeğinde alınmıştır (1 = Kesinlikle Katılmıyorum, 5 = Kesinlikle Katılıyorum). Anket hazırlandıktan sonra, 30 üniversite öğrencisi üzerinde test edilmiştir.

3.3. Araştırmanın Modeli ve Hipotezleri

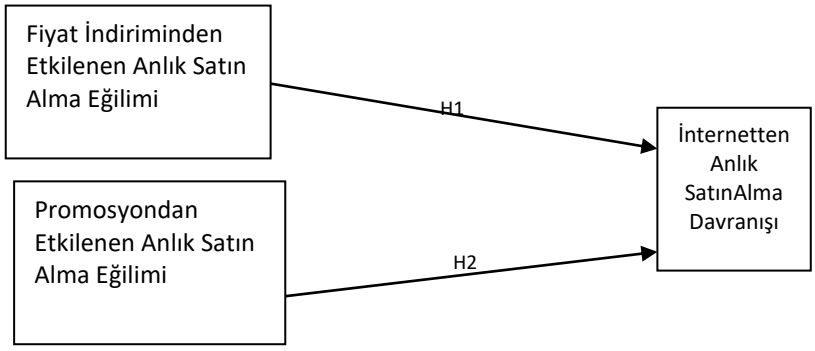
Araştırma modelini ve araştırma modelindeki etkileri test etmek için PLS yapısal eşitlik modellemesi kullanılmıştır. Analizlerde SPSS 25 ve Smart-PLS 3.3.2 programı kullanılmıştır. Fiyat indirimleri ve promosyonlarla ilgili sorular Gilbert ve Jackaria (2002), Karbasivar ve Yarahmadi (2011) ve Tinne (2011)`nin çalışmalarından, çevrimiçi anlık satın almayla ilgili sorular Rook ve Fisher (1995)`in çalışmalarından uyarlanarak oluşturulmuştur. İnternette yapılan fiyat indirimlerinin İnternette anlık satın alma davranışına pozitif yönlü bir etki göstermesi beklenmektedir Buradan hareketle **H1** hipotezi geliştirilmiştir.

**H1:** İnternette yapılan fiyat indirimleri İnternette anlık satın alma davranışı üzerinde anlamlı ve pozitif etkisi vardır.

İnternette yapılan promosyonların İnternette anlık satın alma davranışına pozitif yönlü bir etki göstermesi beklenmektedir Buradan hareketle **H2** hipotezi geliştirilmiştir.

**H2:** İnternette yapılan promosyonların İnternette anlık satın alma davranışı üzerinde anlamlı ve pozitif etkisi vardır.

Şekil 1: Araştırmanın Teorik Modeli




## 4.ARAŞTIRMA BULGULARI

## 4.1. Demografik Bulgular

Ankete katılan cevaplayıcılar, %15,2'i 15-18 yaş, %68,0'i 19-35 yaş, %14,9'u 36-50 yaş, %1,8iu 51 yaş ve üzeri yaş aralığında bulunmaktadır. Ankete katılanların %63,9'u kadın, %36,1'i erkektir. Bunların %16,8'i evli iken, %83,2'i bekârdır. Cevaplayıcıların eğitim seviyeleri bakıldığında, %70,1 ile lisans ve önlisans, %19,3'ü OrtaÖğretim-Lise, %6,4'ü Lisansüstü ve %4,1'i ilköğretim eğitim almışlardır. Ankete katılan cevaplayıcıların aylık gelir seviyeleri değerlendirildiğinde %25,5'i 0-2800TL, %43,8'i 1801-5600TL, %17,3'ü 5601-8400TL ve %13,4'ü 8400TL ve üzeri gelire sahiptir.Ankete katılanların %3,6'sı kamu

sektöründe ücretli, %24,2'si özel sektörde ücretli, %6,2'si Kendi İşi-Serbest, %55,9'u öğrenci, %4,6'sı evhanımı ve %5,4'ü ise işşizdir.

Araştırmaya katılanların günlük ortalama internette geçirdikleri süreler incelendiğinde cevaplayıcıların %6,2'i günde 1 saatten az, %41,0'ı günde 2-4 saat, %32,2'i günde 5-7 saat ve %20,6'ı günde 8 saat ve üzeri zaman geçirmektedirler. Yine cevaplayıcıların internetten alışveriş yapma sıkılıklarına bakıldığında, %7,2'i Haftada 2 ve daha çok kez, %7,7'i haftada 1 kez, %20,9'u 15 günde 1 kez, %46,4'ü ayda 1 kez, %7,0'ı 6 ayda 1 kez ve %10,8'i Yılda 1 veya daha kez internetten alış veriş yapmaktadırlar.

## 4.2.PLS Yapısal Eşitlik Modellemesi ile Faktör Analizi ve Ölçüm Modelinin Test Edilmesi

PLS, küçük çaplı örneklemlerde, örneklemin normal dağılım göstermediği durumlarda, bağımlı değişkeni en yüksek seviyede açıklamaya yarayan ve ölçüm hatalarını baz alması yönlerinden güçlü bir yaklaşımdır(Hair vd,2014). Ölçüm modelinin kabul edilmesi için bazı koşulların sağlanması gerekir. Bunlar İndikatör Güvenirliği, iç tutarlılık güvenirliği Birleşme ve Ayrışama geçerliliğinin sağlanmasıdır. Ölçüm modeli testinde indikatör güvenilirliği için faktör yüklerinin 0.700 üzeri olması, iç tutarlılık güvenilirliğinde Cronbach alpha, rho_A ve Composite Reliability(CR)değerinin 0.700 üzerinde olması, birleşme geçerliliği analizinde AVE değerinin 0.500 üzerinde olması ve yine ayrışma geçerliliğinde Heterotrait-Monotrait Ratio (HTMT) değerin 0.900 den az olması istenir. Bununla birlikte PLS ile analizde literatürde önerilen raporlanması gereken değerler araştırmanın genel durumu dikkate alınarak değerlendirilmelidir.(Sarstedt vd, 2017)

Aşağıda Tablo 1'de ölçüm modelinin analiz sonuçları sunulmuştur.

Tablo 1: Ölçüm Modelinin Sonuçları, Geçerlilik Ve Güvenilirliği

| Gizil Değişkenler | **Ölçek İndikatörleri** | **Ölçek İndikatörleri Faktör Yükleri** | **Cronbach's Alpha** | **rho_A** | **Composite Reliability** | **Average Variance Extracted (AVE)** |
|---|---|---|---|---|---|---|
| Fiyat İndirimi | FYT1 | 0.827 | 0.844 | 0.864 | 0.888 | 0.614 |
| | FYT2 | 0.769 | | | | |
| | FYT3 | 0.752 | | | | |
| | FYT4 | 0.753 | | | | |
| | FYT5 | 0.813 | | | | |
| Promosyon | PRO1 | 0.734 | 0.917 | 0.925 | 0.938 | 0.754 |
| | PRO2 | 0.900 | | | | |
| | PRO3 | 0.907 | | | | |
| | PRO4 | 0.904 | | | | |
| | PRO5 | 0.884 | | | | |
| İnternette Anlık SatınAlma Davranışı | SAD1 | 0.688 | 0.882 | 0.886 | 0.907 | 0.551 |
| | SAD2 | 0.692 | | | | |
| | SAD3 | 0.811 | | | | |
| | SAD4 | 0.819 | | | | |
| | SAD5 | 0.770 | | | | |
| | SAD6 | 0.762 | | | | |
| | SAD7 | 0.675 | | | | |
| | SAD8 | 0.703 | | | | |

Tablo 1'de görüldüğü üzere indikatör güvenilirliği için değerlendirilen Faktör yüklerinin çoğu 0.700 değerinin üzerindedir. İnternette anlık satınalma davranışı gizil değişkenine ait SAD1,SAD2,SAD8 Değişkenlerine ait faktör yükleri ise 0.600 üzerindedir. Hair vd.(2014) göre ise 0.600 üzeri değerler kabul

edilebilmektedir. Buradan hareketle tüm gizil değişkenlere ait Faktör yükleri 0.600 ve üzerinde olduğundan modele dahil indikatörlerin güvenilir olduğu söylenebilir.

İç tutarlılık güvenilirliği için hesaplanan Cronbach's Alpha, rho_A ve Composite Reliability değerleri incelendiğinde 0.700 eşik değerin üzerinde olduğu için modele dahil gizil değişkenlerin iç tutarlılık güvenilirliklerinin yeterli olduğu söylenebilir.

Tablo 2'de Birleşme Geçerliliği ölçen AVE değerleri incelendiğinde 0.500 eşik değerinin üzerinde olduğundan modeldeki gizil değişkenlerin birleşme geçerliliğini sağlandığı söylemek mümkündür.

Ayrışma geçerliliği için ise, Fornell ve Larcker ortaya attığı AVE değerlerinin karekökü, ilgili değişkenin diğer değişkenlerle olan korelâsyonlarından daha büyük olması istenen bir yöntem kullanılmaktadır. Yine ayrışma ayrışma geçerliliğinin analizi için Heterotrait-Monotrait Ratio (HTMT) değerinin 0.900 referans değerinden düşük olması istenmektedir. (Sarstedt, vd,. 2017:). Ayrışma geçerliliğine ilişkin sonuçlar Tablo 2'de sunulmuştur

Tablo 2: Ayrışma Geçerliliğinin Kontrolü İçin Fornell-Larcker Ve Heterotrait-Monotrait Ratio (HTMT) Kriter Analizi

| **Fornell-Larcker** | Anlik Satin AlmaDavr | Uygulanan Fiyat İndirimi | Promosyon |
|---|---|---|---|
| Anlık Satın Alma Davranışı | **0.742** | | |
| Uygulanan Fiyat İndirmi | 0.627 | **0.783** | |
| Promosyon | 0.738 | 0.590 | **0.868** |
| **Heterotrait-Monotrait Ratio (HTMT)** | Anlık Satın Alma Davranışı | Uygulanan Fiyat İndirimi | Promosyon |
| Anlık Satın Alma Davranışı | | | |
| Uygulanan Fiyat İndirimi | 0.699 | | |
| Promosyon | 0.807 | 0.661 | |

Tablo 2'de Ayrışma geçerliliği için incelendiğinde Fornell-Larcker koyu yazılan AVE değerlerinin kareköklerinin değişkenler arası korelasyon katsayılarından büyük olduğundan Fornell-Larcker kriterinin sağlandığı görülmektedir.Ayrıca ayrışma geçerliliği için çapraz yükler analiz edilmiş. İndikatörlerin her birisinin ait olduğu değişkende en yüksek faktör yüküne sahip olduğu görülmüştür. Yine ayrışma geçerliliği için Heterotrait-Monotrait Ratio (HTMT) değerine bakılmış tüm sonuçların kritik değer olan 0.900 altında olduğu görülmüştür(Doğan,2019). Ölçüm modelinin Ayrışma geçerliliğine sahip olduğu söylenebilir.

Yapılan analizler sonucunda Ölçüm modelinin iç tutarlılık ve birleşme güvenilirliğine sahip olduğu aynı zamanda ölçüm modelinin ayrışma ve birleşme geçerliliğine sahip olduğu ve ölçüm modelinin geçerli olarak kabul edilebilir olduğu söylenebilir.

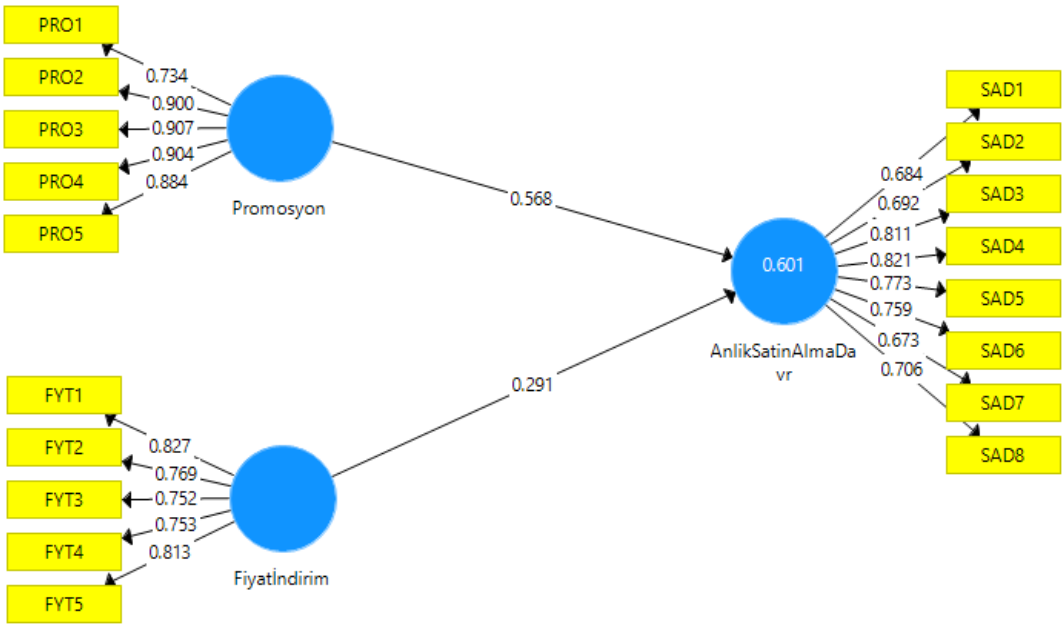
Model testine geçmeden önce Örneklem ile model arasındaki uyuma bakılmalıdır. Toplam örneklem için uygulanan modelin uyum indis değerleri; CMIN değeri: 739,012; NFI: 0,837; SRMR: 0,068 (Referans Değerler:NFI>0.800; SRMR<0.080 Karagöz,2019)olarak görülmekte ve tüm uyum indisleri model ile örneklem arasında iyi bir uyumun olduğunu göstermektedir. İlişki analizine geçilmeden önce endojen değişkenlerin hemde egzojen değişkenleri ile arasında doğrusallık olmadığını kontrol etmek için hem indikatörlerin hemde değişkenlerin VIF değerlerine bakılmıştır. Fiyat İndirimi egzojen değişkeni (VIF:1.533) ve Promosyon egzojen değişkeni (VIF:1.533) olduğundan doğrusallık problemi olmadığı (VIF<5.00 Doğan,2019) görüldüğünden model testine geçilmiştir.

### 4.3.Yapısal Modelin Test Edilmesi

Aşağıda Şekil 2'de yapısal modelin analizi sunulmuştur. Araştırma modelindeki etkilerin test edilmesi ve anlamlılığı t değerleri üzerinden hesaplanır. Wong (2013) göre, t değeri 1,96 veya üzerinde ise %95 düzeyinde anlamlılık eğer t değeri 2,58 veya üstünde ise %99 düzeyinde anlamlılıktan söz edilmektedir.

SmartPLS'de t değerleri Bootstrapping işlemi sonrasında oluşmaktadır.Araştırma modeli test sonuçları Tablo 3'de verilmiştir.

Şekil 2: Yapısal Modelin Analizi




Tablo 3: Pls Yapısal Analiz Sonucu

| **Bağımlı Değişken: İnternetten Anlık Satın Alma Davranışı** | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **Bağımsız Değişken** | **Std. Beta** | **Std. Hata** | **t değeri** | **Anlamlılık %99** | **$f^2$** | **$R^2$** | **$Q^2$ Toplam** | **$q^2$ Nispi** |
| **Fiyat İndirimi** | 0.291 | 0.045 | 6.483 | **0.000** | **0.138** | **0.601** | **0.320** | **0.042** |
| **Promosyon** | 0.568 | 0.047 | 12.143 | **0.000** | **0.527** | | | **0.139** |

Tablo 3 incelendiğinde, uygulanan fiyat indirimi ve promosyonların internet üzerinde anlık satın alma davranışı üzerinde anlamlı ve pozitif etkilerinin olduğu görülmektedir. Her iki değişkenin t değerleri incelendiğinde, iki değerin de 2,58'in üzerinde olduğundan uygulanan fiyat indirimi ve promosyonların internet üzerinde anlık satın alma davranışı üzerindeki etkilerinin 0,01 düzeyinde anlamlı olduğu göstermektedir. Araştırma modeli üzerinde test edilen etkiler incelendiğinde uygulanan promosyonların uygulanan fiyat indirimlerine göre İnternette anlık satın alma davranışı üzerinde daha yüksek düzeyde bir etkiye sahip olduğu görülmektedir. Bunların yanı sıra, bağımsız değişkenlerin bağımlı değişkenin açıklama gücüne katkılarını belirlemek amacıyla $f^2$ değerleri incelenmiştir. $f^2$ değişkeni 0,02 ve üzerinde ise bağımsız değişkenin etkisinin küçük olduğu, 0,15 ve üzerinde ise orta düzeyde etki ve 0,35'in üzerinde ise büyük düzeyde etkiden söz edilmektedir (Doğan, 2019:101). Bu durumda, uygulanan fiyat indirimlerinin internette anlık satın alam davranışı açıklama gücü üzerindeki etkisinin orta düzeye yakın uygulanan promosyonların internette anlık satın alam davranışı açıklama gücü üzerindeki etkisinin büyük düzeyde olduğu anlaşılmaktadır. Ayrıca Tahmin gücü analizi yapılmıştır. $Q^2$ değerleri ilişki katsayılarının gözlenen bir endojen değişkeni ne kadar iyi tahmin ettiğini gösterir ve tahmini geçerliliği ölçmektedir $Q^2$ değeri sıfırdan büyük olması durumunda modelin tahmin gücüne sahip olduğundan bahsedilir. $q^2$ ise değişkenlerin nispi tahmin gücüdür. Formül:$q2=(Q^2_{\text{dahil edilmiş}}-Q^2_{\text{çıkarılmış}})/(1-Q^2_{\text{dahil edilmiş}})$(Doğan, 2019:97). Analizde tüm $Q^2$ değerleri 0 dan büyük olduğundan model tahmin gücüne sahiptir. $q^2_{(\text{promosyon})}$=(0.320-0.210)/(1-0.210)= 0.139 ve $q^2_{(\text{fiyat indirimi})}$=(0.320-0.290)/(1-0.290)= 0.042 formül yardımıyla

hesaplanmıştır. Böylece yapılan Promosyon gizil değişkeninin kısmi tahmin gücünün (0.139) orta düzeye yakın, yapılan fiyat indirimleri gizil değişkenin kısmi tahmin gücünün küçük düzeyde olduğu görülmektedir.

Sonuç olarak, yapılan analizler neticesinde H1 (İnternette yapılan fiyat indirimlerinin İnternette anlık satın alma davranışı üzerinde anlamlı ve pozitif etkisi vardır) ve H2(İnternette yapılan promosyonların İnternette anlık satın alma davranışı üzerinde anlamlı ve pozitif etkisi vardır) hipotezleri desteklenmiştir

## 5.SONUÇ VE ÖNERİLER

Günümüzde işletmeler, geçmişten günümüze kadar gelen süreçte pazarda varlığını sürdürebilmek, potansiyel müşteriler oluşturmak ve mevcut müşterileri koruyabilmek, karlı satışlar yapmak, pazardan kendilerine pay alabilmek, stok fazlası ürünleri elden çıkarabilmek için türlü tutundurma faaliyetleri uygulayarak müşterileri kendilerine çekmeye çalışmaktadırlar.

Rekabet koşullarının artması ve işletmelerin sürekli birbirleriyle yarış halinde olması işletmelerin rakiplerinden farklılaşacak metotlar geliştirmesine sebebiyet vermiştir. İşletmeler bu rekabet şartlarında müşterilerini ellerinde tutabilmeleri ve ayakta kalabilmeleri için farklı stratejiler geliştirmeleri gerekmektedir.

İşletmelerin kullandıkları tutundurma faaliyetlerinden biri olan fiyat indirim ve promosyonları bu çalışmanın temelini oluşturmaktadır. Fiyat İndirim ve promosyonları günümüzde işletmeler tarafından sürekli uygulanan sıradan faaliyetler haline dönüşmüştür. Özellikle internet kullanımının her geçen gün giderek artması ile birlikte işletmeler de rekabet üstünlüğü elde edebilmek için bu tutundurma faaliyetini sıklıkla kullanmaktadırlar.

İnternet üzerinde işletmelerin uygulamaya koydukları promosyon ve fiyat indirimlerinin anlık satın alma eğiliminin internette anlık satın alma davranışı üzerindeki etkilerinin tespit edilmesine yönelik yapılan araştırma sonuçlarına göre H1 (İnternette yapılan fiyat indirimlerinin İnternette anlık satın alma davranışı üzerinde anlamlı ve pozitif etkisi olduğu) ve H2 (İnternette yapılan promosyonların İnternette anlık satın alma davranışı üzerinde anlamlı ve pozitif etkisi olduğu) hipotezleri desteklenmiştir

Bu çalışmada konunun tarafları olduğu düşünülen internet üzerinde alışveriş deneyimi olan tüketiciler üzerine uygulama gerçekleştirilmiş ancak zaman kısıtı nedeniyle araştırma İstanbul, Kocaeli ve Giresun illerinde yaşayan tüketiciler üzerinde yapılmıştır. Gelecekte daha geniş kapsamlı farklı bölgelerde ve illerde yaşayan tüketicileri kapsayacak benzer bir çalışma ile iller arasında internet üzerinde işletmelerin uygulamaya koydukları promosyon ve fiyat indirimlerinin anlık satın alma eğiliminin internette anlık satın alma davranışı üzerindeki etkileri tespit edilebilir. Ayrıca farklı değişkenler farklı değişkenlerin aracılığı eklenerek daha geniş bir örneklemde çalışmalar yapılabilir.

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# Köydes ve Kırdes Projelerinin Kırsal Kalkınma Açısından Değerlendirilmesi

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**Özet:** Kırsal kalkınma, kırsal kesime yönelik olarak yapılan ekonomik, sosyal ve kültürel çalışmaların tümünü kapsamaktadır. Kırsal kalkınma günümüzde pek çok ülkede, hükümetlerin üzerinde önemle durdukları öncelikli konular arasında yer almaktadır. Bu amaçla kırsal kalkınma politikaları çerçevesinde, kırsal alanlarda doğal kaynakların daha iyi değerlendirilmesi ve kırsal kesimdeki sosyoekonomik eşitsizliklerin giderilmesi için kırsal kalkınma projeleri ortaya konulmuştur. Kırsal kalkınma projelerinin uygulanmasında yerel yönetimler ve merkezi hükümetler arasında geçmişten günümüze farklılıklar yaşanmıştır. 2005 yılında Köy Hizmetleri Genel Müdürlüğü kapatılırken, aynı yıl Köy Altyapısının Desteklenmesi Projesi (KÖYDES) uygulamaya konulmuştur. 12.11.2012 tarihli 6360 sayılı 'On Dört İlde Büyükşehir Belediyesi ve Yirmi Yedi İlçe Kurulması ile Bazı Kanun ve Kanun Hükmünde Kararnamelerde Değişiklik Yapılmasına Dair Kanun' kırsal alan yönetimlerinde önemli değişikler getireceği öngörülerek hazırlanmıştır. 30.03.2014 tarihindeki yerel seçimlerden sonra büyükşehir belediyelerindeki kırsal alanlara hizmet götürme konusundaki karışıklıklar devam ederken; vergi, harç, içme, atık suyu kullanımı ve bazı konularda zorunluluklar 5 yıl sonrasına bırakılarak kanun uygulamaya konulmuştur. Büyükşehir belediyelerinin hizmet alanlarındaki kırsal alanlara nasıl müdahale edileceği düşünülürken, KÖYDES projesinin büyükşehir olmayan yerlerdeki uygulamalarının başarılı olduğu düşünülmüş ve büyükşehir belediyesi olan illerde 2017 yılında Kırsal Altyapının Desteklenmesi Projesi (KIRDES) uygulamaya konulmuştur. Bu çalışmada, geçmişte uygulanan kırsal kalkınma projeleri, KÖYDES projesi, 2012 yılında hazırlanan ve 2014 yerel seçimlerinden sonra uygulamaya konulan 6360 sayılı yasa, KIRDES projesi, Kırsal Mahalle ve Kırsal Yerleşik Alan yönetmeliği gibi kırsal kalkınmada son yıllarda meydana gelen gelişmeler incelenmiş ve öneriler ortaya konulmuştur.

**Anahtar Kelimeler:** Kırsal Kalkınma, KÖYDES, KIRDES, Kırsal Mahalle, Kırsal Kalkınma Politikaları

## Evaluation of Köydes and Kırdes Projects in terms of Rural Development

**Abstract:** Rural development includes all of the economic, social and cultural studies that are carried out for rural areas, and it is one of the priority issues that governments put emphasis on today. For this purpose, the framework of rural development policies and projects has been put forward in order to make better use of natural resources in rural areas and to eliminate socio-economic inequalities in rural areas. There have been differences between local governments and central governments in the manner of the implementation of rural development projects from past to present. While the General Directorate of Rural Services was closed in 2005, the Village Infrastructure Support Project (KÖYDES) was put into practice in the same year. In 2012, with the Metropolitan Municipality Law No. 6360, important changes were made in rural development services in the practices. After the 2014 local elections, while the confusion in metropolitan municipalities regarding the provision of services to rural areas continued, the area of application of the law was further expanded. In addition, regarding the consideration of how to intervene in the service areas of metropolitan municipalities in the rural areas, the applications of the KÖYDES project in non-metropolitan areas were successful, and the Rural Infrastructure Support Project (KIRDES) was put into practice in 2017 in the provinces that are metropolitan municipalities. In this study, rural development projects implemented in the past, the KÖYDES project, the law numbered 6360 implemented in 2012, the KIRDES project, and the recent developments in rural development were examined and recommendations were put forward.
**Keywords:** Rural Development, KÖYDES, KIRDES, Rural Neighborhood, Rural Development Policies

## 1.GİRİŞ

Kırsal alanlarla kentleşmenin yaşandığı alanlar birbiriyle kıyaslandığında, kırsal alanların sosyal, ekonomik ve kültürel anlamlarda olanaklar açısından geri kalmış durumda olduğunu söylemek mümkündür. Kırsal kalkınma, kırsal alanların içinde bulunduğu bu dezavantajlı durumun dengeye getirilmesi ve kırsal alanlarda yaşayan insanların en az kentsel alanlarda yaşayan kişiler kadar refaha kavuşturulmasını amaçlamaktadır.

Kırsal kalkınma strateji ve politikaları, dünyada geri kalmış toplum veya toplulukların tarımsal, ekonomik ve sosyo-kültürel alanlarda kendi kendilerine yardım ve dışarıdan destek yöntemi ile kalkınmalarını sağlamaktır. Nüfusun önemli bir kısmını oluşturan kırsal halkın yaşam düzeyini yükseltmek, kendine yeterli duruma getirmek ve üretim faaliyetlerine daha akılcı bir yaklaşımla katılmalarını sağlamak kırsal kalkınma çalışmalarının temel amaçlarındandır (Gülçubuk, 1997). Kırsal kalkınma kavramı, 19.yüzyılın başlarında ortaya çıkmış ve uluslararası alanda duyulmaya başlanmıştır. 1980'li yıllardan sonra dünyada kırsal kalkınma yaklaşımlarında değişimler yaşanmıştır. Büyümeye dayalı politik öncelikler, yerini giderek toplumun tamamını kapsayan entegre kalkınma arayışlarına bırakmıştır. Günümüzde kalkınmanın temel amacı zenginliğin oluşturulması değil, zenginliğin iyi eğitim almış insan varlığıyla oluşturulması ve herkesin mutlu olabildiği bir yaşam alanı oluşturmaktır (Bahtiyar, 2015). Kırsal kalkınma konusunun son yıllarda giderek önemi anlaşılmış, bu alanda çok çeşitli bilim dallarından ortak çalışmalar yürütülmüş ve konuya strateji temelli yaklaşımlar getirilmiştir. Kırsal kalkınmanın en önemli odak konularından birisi de, kırsal alanların sosyo-ekonomik açıdan kalkındırılması olmuştur. Kırsal yerleşimlerin sosyal imkânlarının arttırılması ve bunun getireceği ekonomik getiriler devletlerin öncelikli çabalarından olmuştur. Yönetimler, kırsal yerleşimlerde yaşam şartlarını iyileştiren projeler üretmeyi hedeflemişlerdir. Son yıllarda kırsal alanlarda uygulamaya konulan en kapsamlı projelerden birisi, Köylerin Altyapısının Desteklenmesi Projesi (KÖYDES)'dir. KÖYDES Projesi, 2005 yılından beri uygulanmakta, kırsal alanlara etkileri daha iyi tespit edilebilmektedir. Ancak, KÖYDES projesinin etkisiyle esinlenilen Kırsal Altyapının Desteklenmesi (KIRDES) projesi 2017 yılında uygulamaya konulmuştur ve etkinliğini ölçebilmek ise şu an için zor görünmektedir. KIRDES projesiyle ilgili etkin bir değerlendirme yapabilmek için, KIRDES projesini ortaya çıkaran nedenleri iyi bilmek gerekmektedir. Bu bakımdan KÖYDES projesindeki uygulamaların iyi bilinmesi ve kırsal alanlarda öncekinden farklı yaklaşımlar getiren 12.11.2012 tarihli 6360 sayılı 'On Dört İlde Büyükşehir Belediyesi ve Yirmi Yedi İlçe Kurulması ile Bazı Kanun ve Kanun Hükmünde Kararnamelerde Değişiklik Yapılmasına Dair Kanun' ve devamındaki düzenlemelerin daha iyi anlaşılması gerekmektedir. Böylece KÖYDES projesi, KIRDES projesi ve kırsal alanlara uygulanan yeni yaklaşımlar daha iyi anlaşılabilecektir.

12.11.2012 tarihli 6360 sayılı 'On Dört İlde Büyükşehir Belediyesi ve Yirmi Yedi İlçe Kurulması ile Bazı Kanun ve Kanun Hükmünde Kararnamelerde Değişiklik Yapılmasına Dair Kanun'un kırsal alanlara getireceği dezavantajlardan bazıları önceden tahmin edilebilmiştir. Buna göre önlemler alınmaya çalışılmıştır. İlave olarak, KÖYDES projesinin önceki dönemlerde başarılı olduğu düşüncesi merkezi yönetimin, Büyükşehir belediyesi olan yerlerde kırsal alanlarda hizmet götürmesinin yasanın getirdiği karmaşayı azaltabileceğini düşündürtmüştür. Bu anlamda, merkezi yönetim tarafından KIRDES projesi ve yasaya ilave edilen ek maddeler ve sonrasında 15.04.2021 tarihli 31455 Sayılı Resmi Gazetede yayınlanan 'Kırsal Mahalle ve Kırsal Yerleşik Alan Yönetmeliği' ile kırsal alanlara hizmet götürmede etkinliğin arttırılması için çalışmalar yapılmıştır.

Bu araştırmada, geçmişte uygulanan kırsal kalkınma projeleri, KÖYDES ve KIRDES projeleri, Kırsal Mahalle ve Kırsal Yerleşik Alan yönetmeliği gibi kırsal kalkınmada son yıllarda meydana gelen gelişmeler incelenmiş ve öneriler ortaya konulmuştur.

## 2. KÖYDES ve KIRDES ÖNCESİ KIRSAL KALKINMA EKSENLİ PROJELER

KÖYDES ve KIRDES'den önce Türkiye'de kırsal kalkınma eksenli geçmişte bazı projeler uygulanmıştır. Bunların bazıları kısa süreli başarılı olabilmişken, çoğunlukla kırsal kalkınmada yeterli alt yapıları olmadıklarından başarısız olmuşlardır (Gündüzöz, 2011). Bunlardan bazıları;

**Merkez Köy Projesinde**, nüfusu belli bir yoğunluğu sağlayan yörelerdeki köyler arasından merkezde bulunan bir köyün hizmet noktası olarak belirlenmesi ve geliştirilerek kırsal kalkınmanın sağlanması amaçlanmıştır.

**Toplum (Köy) Kalkınma Projelerinde**, kırsal kalkınmada halkın katılımı esas alınmıştır. Merkezi idarenin müdahalesini talep eden köylerin kendine yeterli hale getirilmesi ve halkın katılımının sağlanması amaçlanmıştır (Can, 2007).

**Köy-kent Projesinde**, kırsaldan kentlere göçü engellemek, kırsalda yaşamını sürdüren insanlara eğitim, sağlık, tarım, altyapı hizmetleri gibi hizmetler götürerek, buralardaki insanların ekonomik ve sosyal yönlerden kalkındırılmasını sağlamak amaçlanmıştır.

**Örnek Köy Projesi**, 1963-1965 yılları arasında İstanbul ve Ankara'da uygulanmış ve çevre köylerin merkez köy faaliyetlerinden etkilenmesi amaçlanmıştır.

Kırsal kalkınmada uygulanan diğer modeller ise; tarım-kent, çok yönlü kırsal alan planlaması, köye dönüş olarak sayılabilmektedir. Bunların yanında, bölgesel teşvik tedbirleri de geri kalmış yörelerde uygulanan bir kırsal kalkınma yöntemi olarak görülebilmektedir (Cirik 2011).

KÖYDES öncesi yapılardan Köy Hizmetleri Genel Müdürlüğünü unutmamak gerekir. Müdürlük, TOPRAK SU, TOPRAK-İSKAN ve YSE kuruluşlarının birleştirilmesi ile 1984 yılında kurulmuş ve 2005 yılında kapatılana kadar Tarım ve Köyişleri Bakanlığı'na bağlı olmuştur (Anonim 2008).

## 3. KÖY ALTYAPISININ DESTEKLENMESİ PROJESİ (KÖYDES) PROJESİ

2005 yılında başlayan Köylerin Alt Yapısının Desteklenmesi Projesi (KÖYDES) projesi, ilk zamanlarda İstanbul ve Kocaeli illeri haricinde, 79 ilde dar kapsamlı olarak uygulanmıştır. 2006 ve 2007 yıllarında, İçişleri Bakanlığı (Mahalli İdareler Genel Müdürlüğü), Maliye Bakanlığının katılımı ve Devlet Planlama Teşkilatı (DPT) koordinasyonda kapsamlı bir altyapı programına dönüştürülmüştür (Tekin 2016).

KÖYDES Projesi ile 2019 sayımına göre, Büyükşehir Belediyesi olmayan 51 ilde, 18.280 köyde, 4.794.923 nüfuslu bir alanda hizmet yürütülmektedir (Anonim 2021a). Projesinin amacı, köyler ve bağlı yerleşimlerin yol ve içme suyu eksikliklerinin, yörenin mülki idare amirleri liderliğinde, il özel idareleri ve köylere hizmet götürme birlikleri vasıtasıyla, yerel olanakları verimli şekilde değerlendirip kısa zamanda ve en az maliyetle çözebilmektir (Hartavi 2009). Yol ve içme suyu öncelikli olarak kırsal alt yapı eksiği bulunan köylerin sorunlarının hızlı bir şekilde çözülmesi ve tarımsal alt yapının hazırlanması da projenin amaçlarındandır. Bugün gelinen noktada, proje ile kırsal alanlarda atık suyun bertaraf edilmesi, tarımsal sulamanın sağlanması, katı atığın toplanması gibi faaliyetler de gerçekleştirilmektedir.

KÖYDES'in önceki dönemlerde uygulanan kırsal kalkınma modellerinden önemli farklılıkları vardır. KÖYDES, köy altyapı çalışmalarının yapılabilmesi amacıyla ilk kez merkezi bütçeden doğrudan kaynak aktarılmasını, aktarılan kaynağın kalkınma projeleriyle ilişkili bakanlıkların yönlendirmesi veya müdahalesi olmadan doğrudan Köylere Hizmet Götürme Birlikleri vasıtasıyla, yerel ihtiyaçlara hemen ve yerinde tespitlerle kullanılmasına olanak vermektedir (Gündüzöz 2011). KÖYDES Projesi, Köylere Hizmet Götürme Birlikleri (KHGB) tarafından yürütülmektedir. KHGB'ler Merkez İlçede Vali Yardımcısı, ilçelerde Kaymakamların başkanlığında İl Genel Meclisi üyeleri ve Muhtarlardan seçimle oluşan Köylere Hizmet Götürme Birliği Encümeni tarafından bütçe olanakları kadar projeler uygulanmaktadır.

Ödenek merkez bütçeden aktarılmaktadır. 2020 yılında, KÖYDES Projesi ödeneğinin iller ve ilçeler bazında dağılımına, kullandırılmasına, izlenmesine ve denetimine ilişkin usul ve esaslar hakkında kararın yürürlüğe konulmasına, 7197 sayılı 2020 Yılı Merkezi Yönetim Bütçe Kanununun 10'uncu maddesi gereğince karar verilmiştir (Anonim 2019a).

Maliye Bakanlığınca illere tahsis edilen ödenekler, illerde Valinin Başkanlığında Vali Yardımcısı, İl Genel Meclisi Başkanı, İl Özel İdaresi Genel Sekreteri ve İlçe Kaymakamlarından oluşan İl Tahsisat Komisyonu ile ilçeler ve sektörler yoluyla tahsis edilmektedir.

KÖYDES projesinin Sekretarya çalışmaları, İl Özel İdaresi Genel Sekreterliği personeli tarafından yürütülmektedir. Projelerin keşif özetlerinin hazırlanması, kontrollüğü çalışmaları ile geçici ve kesin kabullerinin yapılmasında yine İl Özel İdaresi Genel Sekreterliği çalışanları görev yapmaktadır.

KÖYDES projelerinin öncelik verdiği alanlar incelendiğinde (Anonim 2021b); *Köy İçme Suyu Projeleri için;* Su kaynağına sahip ancak şimdiye kadar su getirilememiş köylerin ve çeşmesi olan köylerin kapalı şebekeye kavuşturulması, cazibe yoluyla su temininin sağlanması (terfili sistemle içme suyu temini maliyetinin yüksek ve işletmeden kaynaklanan problem nedeniyle tercih edilmemesi), su kaynağı bulunmayan köyler için terfili sistem veya sondaj sistemi yoluyla su ulaştırılması ve önceki yıllarda su getirilen ama kaynaklarının kuruması veya debilerinin azalmasına bağlı içme suyu yetersiz kalan köylerin ihtiyaçlarının karşılanması amaçlanmaktadır.

*Köy Yolları Projeleri için;* Altyapısı yetersiz yolların altyapısının tamamlanması, altyapısı tamamlanan yolların stabilize malzeme ile kaplatılması, grup köy yollarının standartlarının geliştirilmesi, köy nüfusunun daha yoğun olduğu bölgeler, taşımalı eğitim merkezlerinin olduğu yerler, önceki dönemlerde yapılan asfalt kaplama ve stabilize yollarda oluşan bozuklukların onarılması, öncelikleri göz önüne alınmaktadır.

## 4. 6360 SAYILI YASANIN KIRSAL ALANA GETİRDİKLERİ

12.11.2012 tarihli 6360 sayılı 'On Dört İlde Büyükşehir Belediyesi ve Yirmi Yedi İlçe Kurulması ile Bazı Kanun ve Kanun Hükmünde Kararnamelerde Değişiklik Yapılmasına Dair Kanun' hazırlanmıştır. 2012 yılı TUİK istatistikleri incelendiğinde; Türkiye'de 2012 yılında, nüfusun %77,3'ünün il ve ilçe merkezlerde, %22,7'sinin ise belde ve köylerde yaşadığı görülmektedir. 30.04.2014 yerel seçimlerinden sonra yasanın uygulamaya konulmasıyla 16 bin 800 köy ve 1053 belde belediye sınırlarına eklenerek mahalle statüsüne dönüştürülmüştür. Türkiye'nin idari yapısı %52 oranında değişmiştir. 2016 yılına gelindiğinde ise il ve ilçe merkezlerindeki nüfus %92,30'a yükselmiş, belde ve köylerdeki nüfus ise %7,7'ye kadar düşmüştür. Bu yasal düzenlemenin, o zamanlar yerleşim yerlerine daha iyi hizmet getirmek amacıyla yapıldığı açıklanmıştır.

Yapılan düzenleme ile yeni kurulan ve sınırları genişleyen bütün büyükşehirlerde, köy ve belde belediyelerinin tüzel kişiliği kaldırılmıştır. Bu yerlerdeki köyler mahalleye dönüşmüş, belediyeler ise belde ismiyle mahalle olarak bağlı olunan ilçenin belediyesine katılmışlardır.

Görev ve sorumluluk alanları daha önce mülki sınırlara genişleyen ancak sınırları içindeki köy tüzel kişilikleri devam eden, İstanbul ve Kocaeli illerinde de köylerin tüzel kişilikleri kaldırılarak bağlı oldukları ilçeye mahalle olarak katılmışlardır. Belediyelerin yönetimlerinde bazı zorluklar bulunmaktadır. Bu zorlukların bazılarına daha iyi önlem alınabilirken, bazı konular halen tartışılmaktadır;

-Belediyelerin hizmet verdiği alan genişlemiştir. Belediyeler, kent yerleşimlerinden uzaklaştıkça daha uzak noktalara götürülecek hizmetin niteliğinin azalabileceği öngörülmektedir.

-İlçe belediyelerinin mali durumlarının yetersiz olduğu, önceliği ancak ilçe merkezlerindeki belediyelere verebilecekleri, kırsal yerleşime bütçe ayırmada zorluk çekileceği düşünülerek köy yerleşim yerlerine belediye hizmetlerini götürmelerinin zor olduğu düşünülmektedir.

-Mahalleye dönüşen, beldelere ait taşınır ve taşınmaz varlıklar, büyükşehir sınırları içerisinde ilçe belediyelerine devredilmiştir. Oldukça yaygın olan hizmetlerin götürülemeyeceği endişesine ilaveten hizmetlerin de zamanında ulaştırılamayacağı düşünülmektedir.

-Köy bütçesi konusu yasanın tartışılan konularındandır. Yasa ile köy bütçesinin kaldırılmasıyla, köylü devlet işbirliği ile yapılan çalışmaların verimliliğinin azalttığı endişesi var olmaktadır.

-Büyükşehir yasası ile birlikte köylerde yapılacak olan birçok hizmetin ya belediye personeli aracılığıyla ya da taşeron firmalara ihalesinin mümkün olabileceği düşünülmektedir. Köy bütçesi olmaksızın sadece belediyelerin getireceği hizmetle kısa vadede başarılı olamayacağı belirtilmektedir. 12.11.2012 tarihli 6360 sayılı 'On Dört İlde Büyükşehir Belediyesi ve Yirmi Yedi İlçe Kurulması ile Bazı Kanun ve Kanun Hükmünde Kararnamelerde Değişiklik Yapılmasına Dair Kanun'un 30 Mart 2014 yerel seçimlerinden sonra uygulanmasında bazı konular 5 yıl süreli ertelenmiştir.

-Tüzel kişiliği kaldırılarak ilçe belediyesine bağlanan köylerde, Emlak Vergisi ve 2464 sayılı Belediye Gelirleri kanuna göre alınması gereken vergi, harç ve katılma payları 5 yıl süreyle alınmaması kararı alınmıştır ve bu sürenin başlangıcı 30 Mart 2014 tarihi olarak belirlenmiştir. Bu sürenin 31 Mart 2019 tarihi itibariyle tamamlanması, uygulamada çözülmesi gereken bir konu olmuştur.

-Mahalleye dönüşen köylerde 5 yıl süreyle içme ve kullanma suları için alınacak ücret, en düşük tarifenin %25'ini geçmeyecek şekilde belirlenmiştir. Bu hüküm, görev ve sorumluluk alanları daha önce genişletilen büyükşehirlerde bulunan köylerde yaşayanlara da uygulanmıştır. Bu sürenin dolmasıyla köylerde suyun pahalı kullanılmasıyla ilgili sorun, çözülmesi gereken bir konu olmuştur.

-Kırsal nüfusun, temel hizmetlerinin karşılanamayacağına ilişkin bir takım endişelerin yanı sıra mali yükümlülüklerinin artacağı ve bu nedenlerle de kırsal alanların çekiciliğinin daha da azalacağı öngörülmüştür. Su ve atık su ücretleri, emlak vergisi, yapılacak inşaatlara ilişkin proje masrafları ve diğer mali yükümlülükler bunlardan birkaçı olarak sayılmıştır. Yasada, bu tür mali yükümlüklerin 5 yıl sonraya yansıtılacağı belirtilmiştir. Ancak bu tür maliyetlerin gelir düzeyi düşük olan kırsal nüfusun yaşam standartlarını zorlayacağı düşünülmüştür (Ayyıldız vd. 2016).

Kanuna getirilen ek düzenleme ile köy iken mahalleye dönüşen yerlerde orman mevzuatına göre yaşayanların hakları korunmuştur. Mahalleye dönüşen köy, köy bağlısı ve belediyelerce kullanılan mera, yaylak, kışlak gibi yerlerden bu mahalle sakinleri ve varsa diğer hak sahiplerinin, 4342 sayılı Mera Kanunu hükümleri çerçevesinde yararlanmaya devam edeceği belirtilmiştir.

Kanunda, Belde iken mahalleye dönüşen yerlerle ilgili bir düzenlemeye ise yer verilmemiştir. Kanunun bu eksikliği 27 Şubat 2014 tarihli ve 28926 sayılı Resmi Gazete'de yayımlanan 6525 sayılı Bazı Kanun ve Kanun Hükmünde Kararnamelerde Değişiklik Yapılması Hakkında Kanunun 28. Maddesinde düzenlenmiştir. Belde iken orman köylüsüne tanınan hak, sorumluluk ve imtiyazlardan yararlananların, mahalleye dönüştürülen beldelerde yaşayanlar için de bu hak, sorumluluk ve imtiyazlarının geçerli olacağı belirtilmiştir.

Tüzel kişiliği kaldırılan büyükşehir ilçe belediyelerine mahalle olarak bağlanan belde belediyeleri ve köylerin mevcut geçim kaynakları dikkate alınarak, büyükşehir belediyeleri ile büyükşehir ilçe belediyelerine tarım ve hayvancılığı desteklemek amacıyla her türlü faaliyet ve hizmet yapabilmeleri konusunda yeni bir görev ve yetki verilmiştir.

Büyükşehir ve büyükşehir ilçe belediyeleri görev alanları kapsamında yapılacak tarım ve hayvancılık faaliyetleri için yeni projeler üretebilecek, çiftçiyi destekleyecek faaliyetler ile modern üretim ve yetiştiricilik konusunda işbirlikleri ve projeler gerçekleştirebileceklerdir. Bu düzenlemeden sonra belediyeler tarım konusunda faaliyet gösteren birimler ve şirketler kurmuşlardır.

Tarım ve hayvancılık konusunda görev verilen belediyelerin büyükşehir belediyeleri ile büyükşehir ilçe belediyeleri olduğu, üzerinde durulması gereken bir konudur. Diğer belediyeler, 5393 sayılı Kanunun 14'üncü maddesi ile ilgili bendinde yer alan ekonomi ve ticaretin geliştirilmesi hizmetlerini yapmak amacıyla görev ve sorumluluk alanlarında hizmetler gerçekleştirmektedirler.

Mahalleye dönüşen köylerde, Ulusal Adres Bilgi Sistemine (UABS) kayıtlı veya uydu fotoğraflarıyla tespit edilen, entegre tesis niteliğinde olmayan tarım ve hayvancılık amaçlı yapılardaki işletmeler, mahalleye dönüşen köylerde oturanların ihtiyaçlarını karşılayan bakkal, manav, berber, fırın, kahve, lokanta, pansiyon, tanıtım ve teşhir büfeleri, yerleşim yeri halkı tarafından kurulan ve işletilen kooperatifler işyeri açma ve çalışma ruhsatı almış sayılmaktadır. Bunun için bu durumdaki yapıların ilgili belediyelerce gerekli tespitlerin yapılabilmesi için bu sisteme kaydedilmesi gerekmektedir. Sayılan binalar ile konutlar, 6360 sayılı Kanunun Resmi Gazete'de yayımlandığı 06.12.2012 tarihinde bitirilmeleri ve fen ve sanat

kuralları ile ilgili mevzuat hükümlerine uygun yapılmaları koşuluyla yapı ruhsatı almış sayılmışlardır.

Kırsal yerleşimlerin fen ve sanat kuralları ile mevzuat hükümlerine uygun yapıldığının Çevre ve Şehircilik Bakanlığı veya belediye ya da üniversiteler tarafından tespit edilmesi planlanmıştır.

İşletme ruhsatı ve yapı ruhsatı almış sayılan yapılar için, özel kanun hükümleri saklı kalınarak, elektrik, su ve benzeri kamu hizmetlerinden yararlandırılmaktadır. Mahalli idare birliklerinin tüzel kişiliği kaldırılmıştır. Atık su, katı atık gibi konularda görevleri ellerinden alınmıştır. Bu konularda kırsal alanlara hizmet götürme işinde yeni uygulamalara gidilmesi gereği ortaya çıkmıştır.

## 5. YATIRIM İZLEME ve KOORDİNASYON BAŞKANLIĞI'NIN (YİKOB) KURULMASI

YİKOB, 12/11/2012 tarih ve 6360 Sayılı Kanun ile yapılan düzenlemeyle 2014 yerel seçimler sonrasında yeni büyükşehir belediyeleri kurulmuş, sayıları 30'a çıkmış ve büyükşehir belediyesi sınırları il mülki sınırları olarak güncellenmiştir. Bu güncellemeyle büyükşehirlerde görev ve yetki ayrımları yeniden yapılmış, halkın ortak gereksinimlerini karşılamak için belediyelerin yetkileri arttırılmış, il özel idareleri kapatılmış ve YİKOB kurulmuştur (Anonim 2021c).

Yatırım İzleme ve Koordinasyon Başkanlığı'nın (YİKOB) sevk ve idaresi, vali veya vali tarafından görevlendirilen vali yardımcısı tarafından yerine getirilmektedir. Valilik gerekli gördüğünde kadro, yer ve unvanlarına bakmaksızın ihtiyaca göre uzman, sözleşmeli personel ve memurları bu başkanlıklarda görevlendirme yetkisine sahiptir.

Yatırım İzleme ve Koordinasyon Başkanlığı (YİKOB), merkezi idare tarafından yapılan her türlü yardım ve desteğin koordinasyonu, denetimi ve izlenmesi ve acil durumlarda yerine getirilmesini sağlamakla görevlidir. İldeki kamu kurum ve kuruluşlarınca yürütülmesi gereken yatırım ve hizmetlerde gecikmeler yaşandığının tespit edilmesi ve bunun halkın sağlığı, huzur ve esenliği ile kamu düzeni ve güvenliğini olumsuz etkilediğinin vali veya ilgili bakanlığınca belirlenmesi durumunda, vali uygun süre vererek hizmet ve yatırımın gerçekleştirilmesini ister. Hizmet ve yatırımın verilen sürede gerçekleşmemesi durumunda, vali söz konusu yatırım ve hizmetin ildeki diğer kamu kurum ve kuruluşlarınca yerine getirilmesini isteyebilir ya da bu işlemleri yatırım izleme ve koordinasyon başkanlığı aracılığıyla da gerçekleştirebilir. Yapılan veya yapılacak harcamalar karşılığında tutarlar ilgili kurumun pay ve ödeneklerinden tahsis yapan kurum tarafından kesilerek, İçişleri Bakanlığı'na veya hizmeti yerine getiren diğer kamu kurum ve kuruluşuna gönderilir. Bu kapsamda, İçişleri Bakanlığı'na ve diğer genel bütçeli idarelere aktarılan tutarların bu kurumların bütçeleriyle ilişkilendirilmesi birinci fıkra hükümleri ile, diğer kamu kurum ve kuruluşlarına aktarılan tutarların bütçeleriyle ilişkilendirilmesi ise bu kurumların tabi olduğu mevzuat hükümleri ile gerçekleştirilir. Diğer genel bütçeli idarelere ilişkin bütçe işlemlerini yapmaya yine bu kurumların üst yöneticileri yetkilidir.

## 6. KIRSAL ALTYAPI DESTEKLEME PROJESİ (KIRDES)

İçişleri Bakanlığı ev sahipliğinde 19 Aralık 2017 tarihi itibariyle İller İdaresi Genel Müdürlüğü koordinasyonunda başlatılmış olup, 2017 yılında İstanbul ve Kocaeli illeri hariç, 28 Büyükşehir Belediyesi kırsalında hizmet yürütülmüştür (Anonim 2020). Daha sonra, 2018 yılında İstanbul ili içinde ödenek ayrılmış ve kullandırılmıştır.

Türkiye'de, büyükşehir yönetim sisteminin il sınırları ve belediye sınırları ile eşleştirilmesi sonucunda hizmet alanının genişlemesi durumu ortaya çıkmıştır. Bu, kırsal yerleşim alanlarının hizmete ulaşabilmesi konusunu gündeme getirmiştir. Bu kapsamda, sürdürülebilir kırsal kalkınma hedeflerine ulaşmak için üreticilerin oluşturduğu birliklerle, aile iştiraki işletmelerin üretim ve istihdam kapasitelerinin artırılması, hayat standartlarının yükseltilmesi, yoksulluğun engellenmesi, kırsal alanlarda var olan yerleşimlerin devamlılığının sağlanması hedeflenmektedir (Öner 2019).

KIRDES Projesi, 6360 sayılı Kanunla köylerin mahalle statüsüne dönüşmesiyle söz konusu kırsal alan büyükşehir belediyesi hizmet sorumluluğuna dahil olmuştur. KIRDES Projesi kapsamında merkezden gelen ödenek ile Büyükşehirlerde kırsal kesimde yer alan köy ve beldeden mahalleye dönüşen yerlerin yollarının yapımında öncelikli olarak kullanılacaktır.

2019-2023 yıllarını kapsayan 11. Kalkınma Planında kırsal kalkınma; sürdürülebilir kırsal kalkınma yaklaşımıyla, kırsaldaki işgücünün istihdam kapasitesinin artırılması, yaşam standartlarının arttırılması, kırsaldaki yoksullukla mücadele ile yerel halkın düzenli ve yeter gelire kavuşturularak refahının artırılması ve nüfusun kırsal alanda tutundurulmasının sağlanması olarak ifade edilmiştir (Anonim 2019b).

11. Kalkınma Planı ile kırsal yerleşim alanları ve yerel yönetimlerin ilişkisi açısından öngördüğü politikalar ve tedbirler ise; kırsal yerleşimlerin yatırım ve hizmet eksikliklerinin giderilmesi, büyükşehirlerde kırsal mahalleye dönüşen yerleşimlerde KIRDES projesi başlatılması, KÖYDES projesinin devamının sağlanması, kırsal iskana yönelik kaynakların etkin kullanımında koordinasyon sağlanması, kırsalda yaşayan halkın yaşam standartlarının yükseltilmesi, kırsal alanda kapasite gelişimi, kırsal istatistiklerin iyileştirilmesi ile köy envanter bilgi sisteminin oluşturulması olarak sayılabilir (Öner 2020).

KIRDES projesi 2017 yılında başlatılan bir projedir ancak hem KÖYDES projesinin kırsal büyükşehir belediyesi olmayan kırsal alanlarda başarısının gittikçe artması, hem de kalkınma planlarında üzerinde önemle durulması ile projenin büyükşehir belediyesinin bulunduğu kırsal mahallelerde uygulanmasının önemi arttırılmıştır.

KIRDES projesi kapsamında harcamalar için, merkezi bütçeden ödenek ayrılmaktadır. Ödenek Yatırım İzleme ve Koordinasyon Başkanlıkları (YİKOB) tarafından kullandırılmaktadır (Anonim 2019c).

Yatırım İzleme ve Koordinasyon Başkanlıkları (YİKOB), büyükşehirlerde kamu yatırımların uygulanmasında önemli rol oynamışlardır. Kamu adına uygulayıcı olmalarının yanında koordine eden, izleyen ve denetleyen görevler de üstlenmişlerdir. YİKOB kamu yatırımlarının hızlı, verimli ve etkin bir şekilde yapılması için çalışmakta ve amaçlanan politikaların yerelde iyi yönetim çalışmalarıyla yapılmasını desteklemektedir. Bu görevleri uygularken merkezi ve yerel kamu unsurları arasında uygulamaya dönük kaynak ve bilgi transferine ev sahipliği yapmaktadır.

KIRDES projesi kapsamındaki ödenek ile Beton, Köy içi parke ve sanat yapıları yapılmaktadır. Yollarda, sathi kaplama uygulanmamakta olup, çok zorunlu hallerde sathi kaplama yol yapımı İçişleri Bakanlığının onayı ile yapılmaktadır. Nüfusu, trafik yoğunluğu ve ünite sayısı fazla olan grup yollarına öncelik verilmektedir.

Proje kapsamında; yeni yol açılmamakta, ham ve tesviye yolları stabilize yapılmamaktadır. Gönderilen ödenek kamulaştırma için kullanılamamakta, iş makinası ve araç gereç alınmamaktadır. Asfalt yollarda trafik güvenliğine ilişkin yatay ve dikey işaret ile levhaların yapılmasına ilişkin hususların ihale şartnamesine konulması karara bağlanmıştır.

Acil ihtiyaç durumunda, bakanlık onayı alınarak il ödeneğinin %25'ini geçmemek üzere diğer alt yapı (içme suyu, küçük ölçekli sulama ve atık su) ve sosyal donatıların (kamu binalarının yeniden kullanıma açılması, spor altyapısının oluşturulması, muhtarlık binası, taziye evi) yapımında kullanılabilmektedir. Yapımı planlanan işlerin projelendirilmesi hizmet alımı kapsamında yapılabilmektedir. İhtiyaç halinde yapılması planlanan işin yapım, projelendirme ve kontrollük hizmetleri diğer kamu kurum veya kuruluşlarına yaptırılabilmektedir.

## 7. KIRSAL MAHALLE ve KIRSAL YERLEŞİK ALAN

Büyükşehir belediyelerinde kırsal alanlar konusu halen tartışma konusudur. 10.07.2004 tarihli ve 5216 sayılı Büyükşehir Belediyesi Kanununa 16.10.2020 tarihli 7254 sayılı 'Kamu Mali Yönetimi ve Kontrol

Kanunu ile Bazı Kanunlarda Değişiklik Yapılması Hakkında Kanun' ile eklenen Ek Madde 3 ile (Ek:RG-16/10/2020-7254/10 md.) bazı önemli kararlar alınmıştır.

Kanundan önce köy veya belde belediyesi iken Büyükşehir belediyesinin sınırları içinde mahalleye dönüşmüş yerleşimler; bağlı bulunan ilçe belediye meclisinin kararı ve teklifi üzerine büyükşehir belediye meclisinin en geç doksan gün içinde alacağı karar ile şehir merkezine uzaklığı, belediye hizmetlerine erişebilirliği, mevcut yapılaşma durumu, sosyo-ekonomik durumu gibi özellikleri incelenerek kırsal yerleşim özelliği taşıdıkları tespit edilirlerse kırsal mahalle kabul edilebilmektedir.

Belirlemenin mahalle düzeyinde yapılması esas alınmıştır. Ancak, tamamı kırsal mahalle olarak tespit edilmeyen diğer mahallelerde de on bin metrekareden az olmamak koşuluyla belirlenen alan kırsal yerleşik alan olarak ifade edilmektedir.

Kırsal mahalle veya kırsal yerleşik alan vasfı, kanunun yine aynı fıkrasında belirtilen usulle kaldırılabilmektedir. Büyükşehir belediyeleri, kanunda belirtilen şekliyle ilçe belediyesinden gelen teklifi aynen veya değiştirerek kabul edebilmekte veya reddedebilmektedir. Kırsal mahalle veya kırsal yerleşik alan olarak belirlenen yerlerde; gelir vergisinden muaf esnaf ile basit usulde gelir vergisine tabi mükellefler tarafından bizzat işyeri olarak kullanılan bina, arsa ve araziler ile mesken amaçlı kullanılan binalar ve zirai istihsalde kullanılan bina, arsa ve araziler 29.07.1970 tarihli ve 1319 sayılı Emlak Vergisi Kanununa göre alınması gereken emlak vergisinden muaf tutulmaktadır. Bu yerlerde, ticari, sınai ve turistik faaliyetlerde kullanılan bina, arsa ve araziler için emlak vergisi %50 indirimli olarak uygulanmaktadır.

Kırsal mahalle veya kırsal yerleşik alan olarak belirlenen yerlerde, 26.05.1981 tarihli ve 2464 sayılı Belediye Gelirleri Kanunu uyarınca alınması gereken bina inşaat harcı ile imarla ilgili harçlar alınmaz denilmektedir; anılan kanuna göre alınması gereken diğer vergi, harç ve harcamalara katılma payları %50 indirimli uygulanmaktadır.

Kırsal mahalle veya kırsal yerleşik alan olarak belirlenen yerlerde, içme ve kullanma suları için alınacak ücret en düşük tarifenin işyerleri için %50'sini, konutlar için %25'ini geçmeyecek şekilde belirlenmektedir. 04.01.1961 tarihli ve 213 sayılı Vergi Usul Kanunu uyarınca bilanço esasına göre defter tutan mükellefler için kanunda belirtilen muafiyet ve indirimler uygulanmamaktadır.

10.07.2004 tarihli ve 5216 sayılı Büyükşehir Belediyesi Kanununa 16.10.2020 tarihinde 7254 sayılı 'Kamu Mali Yönetimi ve Kontrol Kanunu ile Bazı Kanunlarda Değişiklik Yapılması Hakkında Kanun'a Ek Madde 3 ile (Ek:RG-16/10/2020-7254/10 md.) yapılan düzenlemelerden 6 ay sonra, düzenlemelerin yeterince anlaşılamadığı düşünülerek 15.04.2021 tarihli 31455 Sayılı Resmi Gazetede 'Kırsal Mahalle ve Kırsal Yerleşik Alan Yönetmeliği' yayınlanmıştır.

15.04.2021 tarihli 31455 Sayılı Resmi Gazetede Kırsal Mahalle ve Kırsal Yerleşik Alan Yönetmeliği, kırsal mahalle veya kırsal yerleşik alanı, bunların tespitine ilişkin işlemleri, bu yerlerde uygulanacak muafiyet ve indirimleri düzenlemek ve diğer hususların açıklanmasını sağlamak amacıyla yayınlanmıştır (Anonim 2021d). Kırsal mahalle tespiti yönetmeliğin 4. maddesinde; büyükşehir belediyeleri sınırları içinde olup 1984 yılı ve sonrasında köy veya belde belediyesi iken mahalleye dönüşen mahallelerde tespit edilir ifadesiyle düzenlenmiştir. İlgili maddede kırsal mahalle tespitinin yapılabilmesi için;

- Kırsal yerleşim özelliğinin devam edip etmemesi,

- Şehir merkezine olan uzaklık ve ulaştırma durumu,

-Belediyelerin yol, su, atık su, katı atık, toplu taşıma gibi hizmetlerinden en az birine erişebilme imkanına tam kapasitede ulaşabilip ulaşamaması,

-Mevcut yapılaşma durumunun kırsal niteliğinin devam edip etmemesi,

- İmar mevzuatı uyarınca yerleşik ve gelişme alanları içinde olup olmaması,

-Sosyo-ekonomik olarak; kırsal nüfus oranının yüksek olması, yüzölçümünün önemli bir kısmını tarım, orman, mera, yaylak ve kışlak arazilerinin oluşturması, tarımsal üretimin, hayvancılık ve orman faaliyetlerinin başlıca geçim kaynağı olarak tespit edilmiş olup olmaması, özelliklerinden bir veya daha fazlası ile benzer konular dikkate alınarak değerlendirilmektedir.

Kırsal yerleşik alan tespitinin ise yönetmeliğin 5. maddesine göre, mahalle düzeyinde yapılması esas alınmıştır. Bunun yanında, mahalle bütünlüğü içinde 4. maddede belirtilen şartları taşımaması nedeniyle kırsal mahalle olarak tespit edilemeyen mahallelerdeki on bin metrekareden az olmayan alanlar, 4. maddede belirtilen ilkelerde ve şartlarda kırsal yerleşik alan olarak belirlenebilmektedir. Bununla beraber, kırsal yerleşik alanlar bir mahallenin veya birden fazla mahallenin bir kısmını içeren yerlerinde tespit edilebilmektedir.

Belediyelerce yapılacak işlemler yönetmeliğin 6. maddesinde düzenlenmiştir. Buna göre, kırsal mahalle veya kırsal yerleşik alan belirlemesi için önce ilgili ilçe belediye meclisince karar alınmaktadır. Teklifi içeren bu karar, gerekçeleri ile beraber büyükşehir belediye başkanlığına gönderilmektedir. İlçe belediye meclisinin kararının ve teklifinin büyükşehir belediye başkanlığı kayıtlarına intikal ettiği tarihten itibaren büyükşehir belediye meclisinin yapacağı ilk toplantıda karar ve teklif gündeme getirilmekte ve büyükşehir belediye meclisi, en geç doksan gün içinde kırsal mahalle veya kırsal yerleşik alan tespitine ilişkin kararını vermektedir.

Büyükşehir belediye meclisi belirtilen süre içinde karar almak zorundadır. Büyükşehir belediye meclisi, ilçe belediyesinden gelen teklifi aynen veya değiştirerek kabul etmekte ya da reddetmektedir. Büyükşehir belediye meclisi, ilçe belediyesinden gelen kırsal mahalle veya kırsal yerleşik alan teklifini değerlendirirken;

-Kırsal mahalle ile ilgili teklifi, mahallenin bitişiğindeki diğer mahalleler ile ekonomik ve sosyal bütünlüğün gerektirmesi halinde komşu mahallelerde kırsal yerleşik alan belirlemek suretiyle genişletme veya daraltma, ya da

-Bir mahalle içindeki kırsal yerleşik alanla ilgili teklifi, mahalle sınırlarına kadar genişletme, yönünde karar alabilmektedir.

Büyükşehir belediye meclisi, ilçe belediyesinden gelen kırsal mahalle veya kırsal yerleşik alan teklifini ilçe belediyesi sınırlarını kapsayacak veya aşacak şekilde değiştiremez, denilmektedir.

Kırsal mahalle veya kırsal yerleşik alan olarak tespit edilen yerler için bir süre kısıtlaması öngörülememektedir. İlçe belediyelerince kırsal mahalle veya kırsal yerleşik alan olarak tespit edilen yerlerin bu özelliklerinin kaybedildiğinin tespiti halinde, Kanunun Ek 3. maddesi uyarınca bu maddedeki usulle kırsal mahalle veya kırsal yerleşik alan niteliği kaldırılabilmektedir.

Yönetmeliğin 7. maddesinde, kırsal mahalle veya kırsal yerleşik alan belirlenmesine ilişkin alınan büyükşehir belediye meclisi kararlarına belirlenen alanın koordinatları ekleneceği ve İlçe belediyesi meclisi ile büyükşehir belediyesi meclisinin kırsal mahalle veya kırsal yerleşik alanla ilgili kararları diğer meclis kararları gibi uygun yöntemlerle duyurulacağı belirtilmiştir.

Kırsal mahalle veya kırsal yerleşik alanın uygulama süresi başlangıcı ve sona ermesi yönetmeliğin 8. maddesinde, Kırsal mahalle veya kırsal yerleşik alanın ilanı sonrasında bunlarla ilgili uygulamalar, ilgili büyükşehir belediye meclisi kararının verildiği yılı takip eden takvim yılının başından itibaren başlar şeklinde düzenlenmiştir. Kırsal mahalle veya kırsal yerleşik alanlar ile ilgili uygulamalar, 6. maddedeki usule göre yapılacak çıkarılma işlemine ilişkin ilgili büyükşehir belediye meclisi kararının verildiği yılın sonuna kadar devam eder, denilmiştir.

Kırsal mahalle veya kırsal yerleşik alanlara tanınan muafiyetler, yönetmeliğin 9. maddesinde düzenlenmiştir. Kırsal mahalle veya kırsal yerleşik alan olarak belirlenen yerlerde, gelir vergisinden muaf esnaf ile basit usulde gelir vergisine tabi mükellefler tarafından bizzat işyeri olarak kullanılan bina, arsa

ve araziler ile mesken amaçlı kullanılan binalar ve zirai istihsalde kullanılan bina, arsa ve araziler emlak vergisinden muaf tutulmuştur.

Kırsal mahalle veya kırsal yerleşik alan olarak belirlenen yerlerde, 26/5/1981 tarihli ve 2464 sayılı Belediye Gelirleri Kanunu uyarınca alınması gereken bina inşaat harcı ile imarla ilgili harçlardan muaf tutulmuştur. Kırsal mahalle veya kırsal yerleşik alanlara tanınan indirimler yönetmeliğin 10. maddesinde, Kırsal mahalle veya kırsal yerleşik alan olarak belirlenen yerlerde, ticari, sınai ve turistik faaliyetlerde kullanılan bina, arsa ve araziler için emlak vergisi %50 indirimli uygulanır, denilmektedir.

Kırsal mahalle veya kırsal yerleşik alan olarak belirlenen yerlerde, 2464 sayılı Kanun uyarınca alınması gereken vergi, harç (bina inşaat harcı ile imarla ilgili harçlar hariç) ve harcamalara katılma payları %50 indirimli uygulanır, denilmektedir. Kırsal mahalle veya kırsal yerleşik alan olarak belirlenen yerlerde, içme ve kullanma suları için alınacak ücret; işyerleri için belirlenmiş olan en düşük tarifenin %50'sini, konutlar için belirlenmiş olan en düşük tarifenin %25'ini geçmeyecek şekilde belirlenmektedir.

Kırsal mahalle veya kırsal yerleşik alanlarda uygulanmayacak muafiyetler ve indirimler yönetmeliğin 11. maddesinde, 'kırsal mahalle veya kırsal yerleşik alan olarak belirlenen yerlerde, 04.01.1961 tarihli ve 213 sayılı Vergi Usul Kanunu uyarınca bilanço esasına göre defter tutan (sadece hasılat defteri tutan yabancı nakliyat kurumları dâhil) mükellefler, 9. ve 10. maddelerde belirtilen muafiyet ve indirimlerden yararlanamazlar', denilmektedir.

Kırsal mahalle veya kırsal yerleşik alan uygulamasında muafiyet ve indirimlerin başlaması ve son bulmasında, 213 sayılı Vergi Usul Kanuna göre bilanço esasına göre defter tutma yükümlülüğünün başladığı ve son bulduğu tarihler dikkate alınır, denilmektedir.

Diğer hususlar yönetmeliğin 12. maddesinde düzenlenmiştir. Kanunun Ek 3. maddesinin beşinci fıkrası uyarınca kırsal mahalle veya kırsal yerleşik alan olarak belirlenen yerlerde uygulamanın yürürlüğe girmesinden sonra 12/11/2012 tarihli ve 6360 sayılı On Dört İlde Büyükşehir Belediyesi ve Yirmi Yedi İlçe Kurulması ile Bazı Kanun ve Kanun Hükmünde Kararnamelerde Değişiklik Yapılmasına Dair Kanun ile köy veya belde belediyesi iken tüzel kişiliği kaldırılarak mahalleye dönüştürülen yerlere, anılan Kanunun geçici 1. maddesinin on beşinci ve yirmi dokuzuncu fıkraları uyarınca tanınan muafiyet ve indirimler uygulanmaz, denilmektedir.

Kanunun Ek 3. maddesinin dördüncü fıkrası uyarınca 03.07.2005 tarihli ve 5393 sayılı Belediye Kanununun 12. maddesinin yedinci fıkrası ile 31.08.1956 tarihli ve 6831 sayılı Orman Kanununun Ek 17. maddesi hükümlerinden yararlanan yerler; kırsal mahalle veya kırsal yerleşik alan olarak belirlenmesi halinde Kanunun Ek 3. maddesi hükümlerine aykırı olmayan hak, sorumluluk ve imtiyazlardan faydalanmaya devam ederler, denilmektedir. Kanunun Ek 3. maddesinde belirtilen muafiyetler ve indirimler, ilgili mevzuat hükümlerine göre yürütülmektedir.

## 8. SONUÇ

KÖYDES projesinde, finansman ve uygulama modeli olarak benzersiz bir yapı geliştirilmiş, kırsal ve toplumsal kalkınma unsurları içinde en temel unsur olan fiziksel altyapının iyileştirilmesi temel amaç olarak belirlenmiştir. Projenin alt yapının iyileştirilmesine odaklanması doğru bir strateji olarak düşünülmektedir (Canpolat 2007).

KÖYDES projesinde, önceliğinin içme suyu ve yol olarak belirlenmesi, kırsal alanların kalkınması ve gelişmesi için doğru ve yerinde bir öncelik verme şeklinde nitelendirilebilir. Çünkü temel altyapı sorunları devam eden kırsal bir alanı kalkındırmak için yapılacak her türlü sosyal ve ekonomik çabanın temel altyapı eksikliği sebebiyle istenilen sonuca ulaşamayacağı düşünülmektedir (Cirik 2011).

KÖYDES projesi, kırsal kalkınma çalışmalarına yerel yönetimlerin aktif katılımını sağlaması açısından da oldukça önemlidir. Kırsal alanda sorunların yerinde tespit edilmesi ve bu alanlara yerinde kaynak aktarımıyla hizmet sunmalarını sağlamasıyla kırsal kalkınma yaklaşımları içerisinde çok önemli bir yer tutmaktadır.

KIRDES projesi, kırsal alanlardaki altyapı ihtiyacına yanıt veremeyen Büyükşehirleşmenin olumsuz sonuçlarını gidermek için oluşturulmuştur. Çünkü, mevcut yapısıyla büyükşehirler kendi kırsal alanlarında bu ihtiyaçları giderme becerisinden ve kapasitesinden uzak bir çizgidedir. Bu nedenle de merkezi yönetim, kırsal alandaki mahallelere yönelik yatırımlar yapmıştır. Burada, diğer altı çizilmesi gereken husus, büyükşehir belediyeleri ve ilçe belediyelerinin siyasal kurumlar olduğu gerçeğinden hareketle, mülki idare amirlerinin ilgili sorunları yerinde tespit etme ve yatırımlardaki adaletsizliği giderme açısından bir araç olduğudur. Burada mülki idareye, muhtarların da bilgi ve ihtiyaç analizi konusunda yardım ettiği not edilmelidir (Çiner 2019).

KÖYDES projesinde, projenin uzun sürmüş olması ve illere aktarılan ödeneğin yıllar geçtikçe arttırılmış olması bir başarısı olarak yorumlanmaktadır. KIRDES projesinin ise KÖYDES projesinin başarılı olduğu düşüncesinden etkilenilerek hazırlanması ve daha çok yeni bir yaklaşım olmasına rağmen projeye ayrılan kaynağın yıldan yıla arttırılarak devam etmesi önemlidir. Bu açıdan bakıldığında KIRDES projesinin de uzun yıllar devam edebileceği düşünülmektedir.

Kırsal alanlardaki hizmetler, özellikle büyükşehir belediyesi olan yerlerde bazı sorunlar ortaya çıkarmaktadır. Bu da, kırsal alanlarda yeni arayışlara yöneltmektedir. 16.10.2020 tarihinde 7254 sayılı 'Kamu Mali Yönetimi ve Kontrol Kanunu ile Bazı Kanunlarda Değişiklik Yapılması Hakkında Kanunla getirilen düzenleme kırsal mahalle ve kırsal yerleşik alan gibi konulara tam açıklık getirememiştir. Nitekim, kırsal alanların statüsünün belirlenmesinde sorunlar yaşanmıştır. 15.04.2021 tarihli 31455 Sayılı Resmi Gazetede Kırsal Mahalle ve Kırsal Yerleşik Alan Yönetmeliği'nin uygulamadaki sorunlara çözüm getireceği belirtilmektedir.

Kırsal alanın bu sorunlarının giderilmesi yetkiler ayrımının iyi anlaşılabilmesi, kırsala kaliteli hizmet getirilebilmesi ve kırsal kalkınma politikalarının doğru ve planlı bir şekilde belirlenmesi ve uygulanması ile mümkün olabileceği iyi bilinmelidir.

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# Impact of Covid Pandemic on Foreign Exchange Reserves

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**Abstract:** The foreign exchange reserves are part of the central bank tools for maintaining the stability of the national legal tender. Several issues are of great importance when analysing the foreign exchange reserves. Firstly, the structure and size of the reserves is determined by the monetary policy of the central bank. Secondly, the monetary policy is different in regards with the applied exchange rate arrangement in the country as the central bank plays a significant role in maintaining the selected exchange rate. These issues are considered when reviewing the impact of the pandemic on the foreign exchange reserves.

The aim of the paper is to review the role of the foreign exchange reserves in pandemic and to analyse the opportunities for their future implementation. The statistical methods are applied to assess the present situation compared to the pre-pandemic period, and the data is from the Bank for International Settlements and the International Monetary Fund databases. The conclusion is that the foreign exchange reserves are necessary for the central banks and governments, especially in times of crises and in pandemic. They are applied as a "buffer" for maintaining the stability of the domestic currency and the whole national financial system. Moreover, in recent years the role of the foreign exchange reserves is reviewed as an additional tool of the governments and central banks for introducing new digital currencies on the market.

**Keywords:** foreign exchange reserves, covid pandemic, currencies, central bank, exchange rate arrangements.

## 1. INTRODUCTION

The coronavirus pandemic has a tremendous impact over countries, their economies, and the way they function. It is expected that the influence will continue in future even if the disease is over. The financial markets and especially the foreign exchange one, are quite sensitive to the changes in the global environment. Usually, they are regarded as an indicator to the measures that the authorities and investors should consider. That rule was confirmed once more when the information about the instability in the healthcare system in China changed quickly in January 2020 and the lockdowns in Asia started. The so called "news effect" affected the markets and they reacted immediately, but without considering and even expecting the scale of the events.

In general, the real sector of the economy and some specific sectors were hit fiercely by the pandemic and some economies shrank by 25-40%. As stated in the Annual Report of the Bank for International Settlements (Bank for International Settlements, 2020) "the central banks acted as the first line of defense in order to stabilize the financial markets and the financial system and to preserve the flow of credit to firms and households".

As for the currencies, their position on the markets was affected as well. There was a sharp currency depreciation for both the major and the emerging markets currencies. However, the currencies of the advanced economies restored quickly their stability on the market, while those of the developing and emerging market economies recovered slowly in April 2020 and later (OECD, 2020).

In times of crisis, the fiscal and foreign exchange reserves of a country are regarded as "buffers" for the stability of the financial system and the economy. Central banks are responsible for maintaining the stability of the national currency and in case of turbulence in the world economy and other external shocks, the foreign reserves are one of the tools for intervention on the markets.

The reserves do not exist independently from the external and internal environment of a country. Thus, not only the pandemic altered the view towards the reserves but also the influence of the related policies and the undertaken measures.

The external environment for the foreign exchange reserves include: 1. Risks and, 2. Governmental policies. The risks that are included in the Global Risks Report of the World Economic Forum represent to a certain extent the expected or emerging obstacles and threats in the external business climate (World Economic Forum, 2021). The five categories of global risks, such as economic, technological,

societal, environmental, and geopolitical, have signalized to the world the possible events and threats that we may encounter in future. And the pandemic is one of the societal risks that is analyzed in depth in the reports in recent years. But were we prepared for such a risk and threat? Well, the answer is No, due to the circumstances and the turbulence in the economic and social life worldwide.

Another factor in the external environment that affects the foreign exchange reserves are the governmental policies (e.g., healthcare, social, environmental, etc.). The pandemic had and still has an impact on other related policies and on the stability of the foreign exchange reserves. The lockdowns worldwide influenced different areas significantly, and predominantly the economic sectors related to the face-to-face communication such as sport (Borisov, 2019; Borisov, 2019a; Borissov, 2020) and tourism (Jarolímková and MIECAT Project Team, 2021; Vaníček, Šenková, and Jarolímková, 2021), where the opportunities for financing diminished sharply. The subsidies and governmental support were the main contributions for the affected sectors and it was considered as an opportunity to preserve them in times of pandemic. In such cases the fiscal policy (Nikolova and Angelov, 2021; Pancheva, 2015) and the balancing between economic growth and tax burden is an important tool for local and central governments.

Education is another crucial area that was affected by the pandemic as the student presence in the universities was limited and the student mobility from home countries and regions to foreign ones was blocked. Supplementary businesses as restaurants, real estate, rental, etc., were affected as well. Nevertheless, education has continued functioning successfully based on the digitalization, entrepreneurship, and the effective relationship between universities and businesses (Tekev, 2015; Tekev, 2015a; Tekev, 2003) and in combination with the corporate social responsibility (Stoichkova, 2019; Stoichkova, 2020). Another point that motivates the society and each one of us to change is the attitude for adapting to the circumstances (Karamelska, 2019) which the pandemic definitely showed to us all.

The internal environment for the foreign exchange reserves is related to the economic and financial policies of the central banks and the ministries of finance. The main purpose of those policies is to manage the reserves and to maintain the stability of the domestic currency and the financial system (Nikolova, 2019). Some specific risks may influence the foreign exchange reserves (Fisher and Lie, 2004) such as financial risks, liquidity risk, credit risk, (Petkova, 2007; Petkova, 2010), foreign exchange risk (Nikolova, 2018), etc. Thus, the rules for the internal policies are more predictable than the external ones and the authorities may influence the direction of the reserves-related policies.

The characteristics of the reserves are part from the internal environment as it is quite important to balance all the policies and to manage the amount of that specific tool. When analyzing the foreign exchange reserves, several issues have to be discussed, especially in terms of pandemic and the challenges that emerged: 1. Size, 2. structure (composition), and 3. Exchange rate arrangement.

Historically, countries maintained large reserves in order to guarantee the fixed exchange rate arrangements and the Bretton Wood system that existed in the 50s, 60s and early 70s. That was the mechanism for reconstructing and rebuilding the Western European economies in the post-war period and gold was one of the major elements of the reserves (Stoichkova, 2020a). Today the official reserves consist predominantly of foreign currencies and financial instruments denominated in a foreign currency, but gold is still part of the reserves along with the SDRs (International Monetary Fund, 2013).

The aim of the paper is to review the role of the foreign exchange reserves in pandemic and to analyse the opportunities for their future implementation. The statistical methods are applied to assess the present situation compared to the pre-pandemic period, and the data is from the Bank for International Settlements and the International Monetary Fund databases.

## 2. CHALLENGES FOR FOREIGN EXCHANGE RESERVES DURING PANDEMIC

**Size of the foreign exchange reserves.** The foreign exchange reserves are managed by the central banks, and their major role is to preserve and maintain the stability of the domestic currency. In that way the whole financial and banking system is guaranteed against both external and internal shocks or changes in the environment. For example, during the global financial and economic crisis, there was a rise in the

foreign exchange reserves in the countries, predominantly in the emerging and developing economies in Asia.

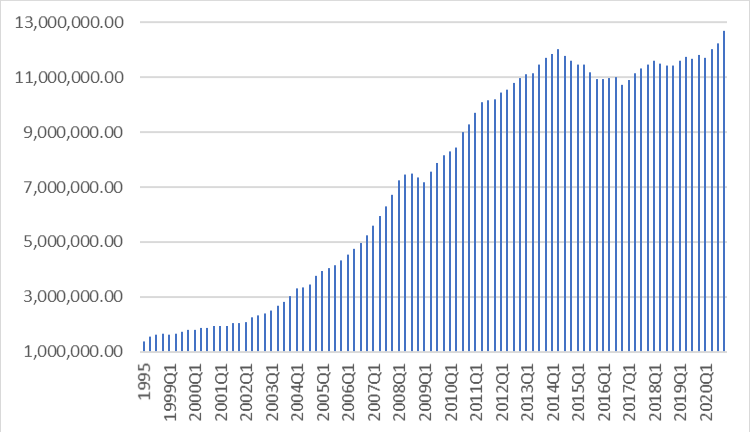
On the one hand, the reason for that is the instability in the world and attempt of the central banks to ensure enough resources for the post-crisis period. On the other hand, the increase is explained by the improvement of the credit rating and rise in confidence to the country by diminishing the costs for lending on the international markets. Thus, the overall price of the loan decreases as well (Romero, 2005).

One of the trends that was applicable and evident before the pandemic but continues during it, is the steady increase in the amount of the foreign exchange reserves worldwide (Fig. 1) by 4-6% per year including gold. At the beginning of the pandemic the amount of the reserves rose further in order to secure resources for the post-pandemic period of the countries like the global financial crisis situation as mentioned above.

In 1995 the total reserves in the world amounted 1,389,816 million US dollars, while in the fourth quarter of 2020 the reserves were 12,700,750 million US dollars. In other words, the official foreign exchange reserves for the last 25 years have increased dramatically. During the different quarters of 2020, the trend continued, and it is expected that during 2021 this attitude towards the reserves will be preserved by all types of economies (developed, developing and emerging markets).

Due to the Asian crisis in the 90s and then the global financial crisis, and the European debt crisis, the emerging markets and developing economies have taken measures towards the increase of the reserves. In the present situation where the pandemic is expected to cause a serious economic crisis in the post-pandemic period, it is not a surprise that central banks focused more on the reserves as a buffer.

Figure 1: Total Foreign Exchange Reserves in the world, 1995-2020 Q4




Source: International Monetary Fund Database, 2021

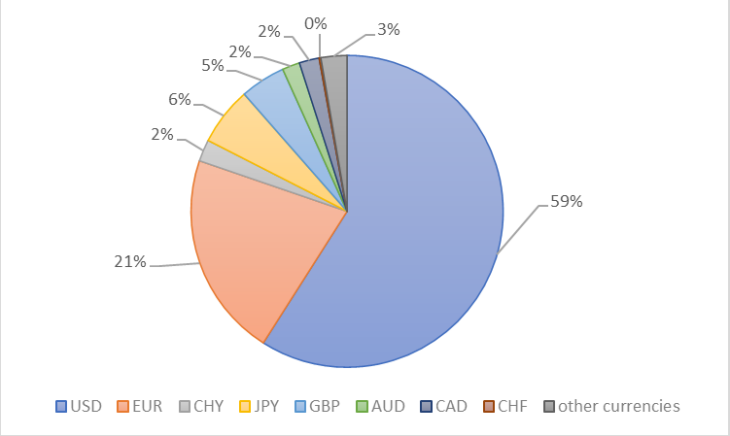
**The currency (structure) composition of the foreign exchange reserves** is related to the activities (trade, economic, etc.) of the country and relation of the domestic currency to other key currencies (Ito and McCauley, 2019). Thus, the trade and financial flows determine to a great extent the reserves structure.

According to the Bank for International Settlements (Bank for International Settlements, 2021) the major currencies that dominate the foreign exchange market are the US dollar, euro, Japanese yen, emerging market currencies, UK pound, Australian dollar, Canadian dollar, Swiss franc, etc. These are the currencies that participate actively in the composition of the reserves worldwide.

Figure 2 describes the currency composition worldwide and as shown the US dollar is the leading currency in the foreign exchange reserves with 59% share. However, there is a decreasing trend for the presence of the US dollar in the reserves in recent years. The reason for that are the increasing activities among the emerging markets and their attempt to avoid the exchange rates differences and additional costs when applying cross currency rates. For example, the share of the US dollar in the official reserves in the 90s and in the beginning of the 21st century was around 70% and above that.

The Chinese yuan (renminbi) with 2.25% share and the Japanese yen with 6% share in the world reserves have been enlarging steadily their presence in the currency composition of the foreign exchange reserves. That is explained with the intention of the central banks worldwide to continue diversification of their reserves in order to be less sensitive to the changes on the foreign exchange market to only one currency such as the US dollar.

Figure 2: Currencies Composition of Official Foreign Exchange Reserves, 2020 Q4




Source: International Monetary Fund Database, 2021

Another explanation for the change in the currency composition of the reserves are the exchange rate fluctuations of the domestic currency to the major world currencies. In case the domestic currency varies less or is fixed, then the central bank most probably will include it in the composition of the official reserves. The reasons are the following: 1. Costs from the exchange rate fluctuations are higher when the currency is volatile to the domestic one; 2. Foreign exchange risk increases in cases of more fluctuations on the market between the domestic and the foreign exchange currencies. Thus, central banks would prefer foreign currencies with less risk and costs in their foreign reserves rather than risker ones.

**Exchange rate arrangement and the foreign reserves**. There are two major types of exchange rate arrangement that are classified by the International Monetary Fund (International Monetary Fund, 2020): fixed (pegged) and floating. When the types of exchange rate arrangements and foreign reserves are analysed in detail then it is obvious that central banks with a fixed exchange rate need the reserves in order to maintain the stability of domestic currency and the exchange rate itself.

However, there is one special case, and that is the currency board arrangement where the foreign reserves have to cover 100% at minimum the domestic currencies. In that case, the foreign reserves should consist predominantly of the selected reserve currency or basket of currencies.

For the floating exchange rate arrangement there is not a specific rule for maintaining particular quantity from specific currencies. Of course, countries that have adopted the floating exchange rate arrangement need reserves as well. The central banks in some cases have to intervene in order to

support the domestic currency and to preserve the stability of the financial system. Moreover, maintaining a huge size of foreign reserves presents the capability of preserving the selected exchange rate arrangement in order to meet the disbalances in the balance of payments of the country. And it guarantees the functioning of the money, capital and foreign exchange markets. (Sunner, 2017).

Several methods for measuring the foreign exchange reserves are applicable. For determining the optimal size of the reserves is used the rule of the Greenspan-Guidotti, by which the foreign reserves are a percentage of the short-term debt. According to taht rule the ratio of the short-term debt to the foreign reserves should be 100% (Brussiere and Fratzschermay, 2002). Usually, countries maintain the largest share of their reserves in the currency in which they have the highest share of external debt (Cagoz, Sull, Wang and Dychala, 2019).

## 4. CONCLUSION

Foreign exchange reserves are necessary for the central banks and governments, especially in times of crises and in pandemic. They are applied as buffers for maintaining the stability of the national currency and the whole national financial system. Moreover, in recent years the role of the foreign exchange reserves is reviewed as a supplementary tool of the governments and central banks for introducing new digital currencies on the market.

Challenges for the central banks in managing the official foreign reserves during the pandemic can be summarized as follows:

- ✓ Difficulties in forecasting the external and in some cases the internal environment and in that way the risks and policies that will affect directly the reserves;
- ✓ The size of the reserves depends on the exchange rate arrangement and the economic and financial policies in a country;
- ✓ The more diversified in currency composition are the reserves, the less vulnerable to the environment they will be.

In fact, the central banks that maintain large size of a certain currency may influence the markets by selling or buying those amounts, affecting the exchange rate for that particular currency in the short run. The foreign exchange reserves and their role for the stability of the national currency is in focus for both the developing and developed countries due to the pandemic.

In times of crisis, only the well-managed foreign exchange reserves may prevent the turbulence against the national currency, because the external environment is difficult to forecast and the internal environment is the one the authorities should focus on in order to prevent the uncertainty.

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# ABSTRACTS

# Nonlinear Approach To The Analysis Of Fiscal Policy In the United States

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***Abstract:*** In this paper, we analyze the relationship between the primary surplus/deficit and debt for the United States of America. Temporary spending and temporary output are also added to the equation. We use annual data for the period between 1930 and 2019 obtained from Federal Reserve Bank. Nonlinear approach is applied using the smooth transition regression (STR) model which is a generalization of discrete switching models with a finite number of different regimes. In this way, we enable an infinite number of regimes with smooth transition between the two extreme regimes and allow for different values of the slope and threshold parameters. The slope parameter determines the speed of the transition between the extreme regimes while the threshold parameter specifies where the transition occurs. Several possible nonlinear smooth transition specifications are considered, including both logistic (LSTR) and exponential (ESTR) transition functions. Linearity is strongly rejected and the lagged debt variable (as a percentage of GDP) is chosen for the transition variable. The estimated nonlinear model passes the employed specification and diagnostic tests. Our analysis reveals the nonlinear relationship between the surplus/deficit and debt in the United States during the observed period. The sustainability of fiscal policy is also discussed in the paper.

**Keywords:** fiscal policy, nonlinear approach, smooth transition regression model, primary surplus.

# How Work-Related Effects of COVID-19 Affect Employees' Withdrawal: A Moderated Mediation Model

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**Abstract:** The COVID-19 rapidly spread across the globe, causing a worldwide pandemic. The pandemic was followed by related legislation, policies, and the measures against COVID-19's spread in terms of operation (e.g. minimization of face-to-face interactions, service through internet or telephone), routines and workflows (e.g. rotating work schedules). This new setting seems to be adding stress and anxiety to employees.

Building upon the Conservation of Resources (COR) theory, we consider the pandemic-related changes at work as a significant stressor that diminish employee resources, that could urge them to find ways to protect their threatened resources. Under the circumstances, employees are highly likely to alter their attitude towards their organization. Thus, hereby we aim to investigate the work-related effects of covid on employees' withdrawal, investigating the mediating role of work engagement. Furthermore, during the pandemic, the severity, the fatality of and the susceptibility to disease can also create or intensify anxiety and fear may influence employees' working perspective. Thus, this study also aims to investigate the moderating effects of the feeling of fear towards COVID-19 both in the relationship between the work-related effects of covid on withdrawal and in the relationship between the work-related effects of covid on engagement.

The study took place in Greece. In particular, the sample of the present research consisted of 370 Greek employees who continued to work from organizational facilities during the pandemic. To access an extended pool of individuals, a self-reported online questionnaire was prepared. The link of this questionnaire was shared through digital media (i.e., social media and emails). Data tested through SPSS Process Macro, offered support to the hypothesized moderated mediation model. The contribution of this work is of both theoretical and practical significance. Regarding the former, this is obviously one of the first studies that investigate the impact of covid-related initiatives in the workplace on employee attitude toward their work. On a practical basis, the findings of this study offer advice to managers, as to how to further support employees and adjust the work setting.

**Keywords:** Work-Related COVID's effects, Work Engagement, Withdrawal, Moderated Mediation

# European Green Deal policy for the Circular Economy: Opportunities and Challenges

**Arta Kuci**

**Abstract:** In December 2019, a European Green Deal was introduced to the EU and its community as a new development strategy by the European Commission (EC). The key goal of the European Green Deal is to reshape the EU into an ethical society with an efficient use of resources and a modern- competitive economy. The European Commission targets an absolute reduction of greenhouse gases net emissions by 2050 in all EU. Thus, one of the most important actions in implementing this new growth strategy "EGD" is to coordinate the industry for a circular and clean economy. To reach this, EC introduced the most advanced legislation follow-up package that EU's society and businesses can benefit from this green switch .This legislation package includes actions and steps with a connecting guideline of principal policies, starting from a very determined goal in eliminating emissions, as well as investments in related innovation and research in order to protect the natural environment of Europe. However, reaching the goal of being the first among other continents to be climate- neutral by 2050 is so far the biggest challenge, as well as the greatest opportunity for Europe. In reality, in order to implement such advanced goals, obstacles need to be addressed as well, in national and international level. Thus, this paper analysis the European Green Deal policy, the opportunities provided from EGD and in particular the challenges faced for reaching the targets of EGD.

# Building Destination İmage Through Events: The Impact Of Events On City İmage

**Arta Kuci**

**Abstract:** Regions and cities are continuously branding and rebranding as a plan to gain a competitive position and stimulate visits, investments and economic advantages. The environment is actively in move and competition is becoming more and more powerful. In order for cities to distinct from each other, it is of great importance to create a good image of it. There are various products and strategies for building a destination image. However, cities are intensively adopting events as an approach of enhancing their image, encouraging municipal development and attracting investments and tourists. Thus, this paper addresses the impact and effect of events in branding, rebranding and building city image.

# Differences on public debt between south and north euro area

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**Abstract:** We study the short- run and the long-run relationship of investment, central government debt, savings, inflation, unemployment with growth in a panel of eight euro area countries, considered (i) Belgium, (ii) France, (iii) Germany (iv) Greece, (v) Italy, (vi) Netherlands (vii) Portugal and (viii) Spain using Error Correction Model (ECM) techniques. For the period expands from 1975 to 2016, we investigate the relationship of five macroeconomic variables, (i) foreign direct investment, (ii) central government debt, (iii) gross domestic savings (iv) inflation, (v) unemployment with gross domestic product adopting the heterogeneity and nonlinearity approaches. We find a negative (positive) long run relationship of debt and inflation (savings and unemployment) with growth in euro area south countries. However, in north euro area countries our results reveal a long run negative (positive) relationship between debt and unemployment (savings) with growth. We also observe statistically significant asymmetric effect between the negative and positive change of debt on growth only in euro area north countries.

**Keywords:** debt; euro area; euro area north; euro area south; non-linearity; heterogeneity.

**JEL - Classification:** C46; C58; G15; F31.

# The role of sectoral environmental performance indicators developed based on the EMAS Regulation in waste management

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**Abstract:** Environmental management systems are an important tool in policies and actions on environmental protection and the achievement of sustainable development goals. At the level of the European Union, the environmental management system - EMAS has imposed in the last 5 years, for 8 of the 11 activity sectors identified as priority, environmental performance indicators and parameters of excellence. These are found in the form of best management practices. The paper starts from the research of sectoral indicators and associated parameters of excellence for (i) production of electrical and electronic equipment (Decision 63 of 2019), car manufacturing (Decision 62 of 2019) and food and beverage manufacturing (Decision 1508 of 2017) and (ii) the tourism sector (Decision 611 of 2016), the retail trade sector (Decision 801 of 2015) and the agricultural sector (Decision 813 of 2018) and the tabular identification of those associated with waste management. In parallel, the specific regulations at the level of the European Union are studied for the categories of waste in connection with the activity carried out in these sectors and the requirements of the environmental management system are highlighted. The corroboration of the two results makes it possible to identify the best environmental management practices to achieve legal requirements in waste management.

**Keywords:** environmental management systems, waste management, environmental performance indicators, environmental excellence parameters, European directives

# Local Government Investment in Bulgaria: A Case Study

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**Abstract:** The academic literature reveals that well-designed public investments accelerate economic growth, create long-term economic and social benefits, as well as positive spillover effects in the economy. The main purpose of this paper is to study the dynamics of investment spending financed through the budgets of Bulgarian municipalities for the period 2000 - 2020. The methods used are descriptive and comparative analysis on the main indicators of investment activity at the local level. The results of the study show that despite the positive trend of dynamic growth of municipal investment expenditures, Bulgaria retains one of the most centralized models of financing and implementation of public investments within the European Union. The low share of local investments in the total investment activity of the public sector is a direct consequence of the relatively low degree of financial decentralization in the country. An important positive trend is the increase in the share of municipal investment expenditures provided by financial sources, controlled by the local governments, which is a precondition for enhancing the financial autonomy of municipalities and improving the efficiency of municipal financial management.

**Keywords:** local finance, local investment, financial decentralization, Bulgaria.

# Challenges of the Coronavirus Crisis and HR Responses in Ghana

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**Abstract:** The Severe Acute Respiratory Syndrome SARS-COV-2 known as COVID-19, has caused havoc to all facets of human life. The current paper discusses the challenges of the coronavirus crisis and the human resource responses in Ghana by using a desk review method to gather relevant information on the study. It was revealed that the pandemic affected all sectors of the economy with heavily impacted being hospitality and tourism, oil and gas, finance, agriculture, and services. Some government policies to alleviate the impact are slash on expenditures on goods and services, capital investment by approximately 0.3 percent of its GDP, Bank of Ghana (Central Bank) reduction of policy rate by 14.5, soft loans to support SMEs, insurance for frontline health professionals and other social strategies to help curb spread of the virus. The HR of individual companies also adopted the WHO protocols for the workplace to avoid interruption of work while protecting their workforce and customers. Following its second wave in January 2021, Ghana was the first African country to receive 600,000 doses of the AstraZeneca/Oxford WHO's global vaccine-sharing scheme COVAX for poor people in the world.

**Key Words:** Human Resource Management (HRM), Ghana, Coronavirus, Challenges

# The Institutions-Finance-Growth Nexus: The Case Study of EU and European Transition Economies

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**Abstract:** AThis paper empirically investigates the impact of finance and institutions on economic growth using a panel data analysis covering 2002-2019 period and focusing on three country groups: European Union (EU) member countries, European transition economies, and the overall sample taking all countries together. In contrast to the prevailing view that suggest a positive impact of finance on growth, our findings indicate that finance either decreases growth or it is insignificant without evidence of non-linearity. Another finding that comes as a surprise is that institutions play no role in growth either directly or indirectly via finance in all our samples. Our findings, however, support the claim that the finance-growth nexus depends on financial development proxies and on the level of financial and institutional development within sample countries.

**JEL classification*:*** C33, D02, F43, O1, O4,

**Key words:** financial development; institutional development; economic growth; developed countries; transition economies; Europe.

# The Role of the Fiscal and Monetary Policies during the Covid-19 Crisis in Countries of High- and Lower income

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**Abstract:** Countries around the world are affected by coronavirus pandemic and struggle with the economic consequences of Covid-19. Based on macroeconomic data the paper analyzes how policy responses to the pandemic differ in countries of different income. It examines to what extent the macroeconomic state of an economy determines the use of the tools of fiscal and monetary policies and how economies had to change their policies to tackle the coronavirus crisis. Besides introducing the tools and measures, the research aims to answer whether recession triggered by pandemic differs from other, „normal" recessions. This paper focuses on what specific support will be necessary for countries of lower income.

**Key Words:** Covid-19, Recession, Fiscal and monetary policies

# The Impact of Interest Rates on Reducing the Unemployment Rate in Kosovo

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**Abstract:** The main purpose of this paper is to address and research interest rates and how they affect employment or job creation. Hence, what are the favourable interest rates for job creation, taking into account that in Kosovo the banking operation is that of commercial banks, whether local or foreign. What is the unemployment rate in Kosovo compared to the countries of the region and EU countries?

Through this paper are researched the changes that have occurred in recent years with fiscal policies in our country, as a country in transition. While, its basic objective includes the impact of interest rates on business development in Kosovo, as well as the impact of interest rates on the social and economic development of Kosovo. Are credit policies in Kosovo favourable for the development of local and foreign businesses operating in the country?

In the beginnings of banking operations in Kosovo, interest rates were very high. In 2010, for instance, interest rates were brought to the value of 13.97%, while in 2016 they reach the value of 7.22%. During the mentioned period, the interest value decreased by 0.96% or 48.32% for the period 2010-2016. but they generally remain high.

Regarding the issue of the unemployment rate in Kosovo, during the period 2001 - 2015, it has decreased by 42.38%, calculating that in 2001 it was 57.1%, while in 2015 it reached 32.9%, respectively the annual average of the unemployment rate. As well as unemployment reduction has been 2.57%.

Interest rates are reduced by 2 to 3% on an annual basis. Increase the repayment period of loans (long-term loans) for capital investments. Allow the waiting period (grace period) at the beginning of the investment and have variable payments based on business income. Reduce bureaucracies when taking loans. Reduce the demand for collateral from banks when taking loans. Reduce the business tax rate, stimulate the payment of the interest rate to 50%, and open a development bank.

**Keywords:** Credit policy reforms; The Republic of Kosovo; Countries of the region; EU countries; Interest rates; Unemployment rate; Gross domestic product GDP.

# The Consumer Acceptance of the Digital Banking Services in Romania: An Empirical Investigation

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***Abstract:*** This paper explores the main factors that influence the consumer acceptance of digital banking services in Romania, focusing on students with both economic and non-economic backgrounds. The main purpose of this paper is to find the most significant advantages explaining the adoption of the technology in the frame of the FinTech emergence in Romania, analyzing the correlations between education and the methods of payment used on the daily basis. The digital infrastructure in Romania was highlighted, relating the data with digital skills development constraints and the associated risks. First, the financial services delivered by the banking sector were analyzed following the new transformations of the financial sector, including the COVID-19 context and the rearrangements of the banking sector by financial performance. Second, the research hypotheses were tested using a questionnaire distributed among students, as the main propagators of financial innovation. The results suggest that there is a strong correlation between financial knowledge and both the usage of digital banking services and the Fintech affinities. The cooperation between the customer and the financial institution was detailed to find the perceived value of technology-associated features for the overall performance of the banks, measuring monetary and non-monetary sacrifices in the way students access the financial services. The quality of the services and the accessibility were among the most mentioned characteristics which determined such cooperations, followed by the level of interests, the digitization level or the employees' kindness. The main finding suggests the evolving role of the financial technology for the new generation, beyond the rationale cost-centric determinants or the emotional sphere, which is strongly related to the employees' involvement with the company.

**Keywords:** bank, financial innovation, digital banking

# Sustainable Consumption Scales: Measuring Young Customers' Sustainable Food Consumption Behaviour

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**Abstract:** Changing the sustainable consumption patterns of food are in the focus of sustainable consumption goals. Changing the attitudes, purchasing intentions and purchasing habits are vital for making changes. Young customers have specific awareness, and consumption motivations, therefore specific measurement scales are needed for measuring their sustainable food consumption behaviour. The research objective was to collect and categorise the sustainable consumption measurement scales which are related to sustainable food consumption. The validated measurement scales for sustainable food consumption of young customers are specified to certain areas of food consumption and have cultural specifications. There seems to be a lack of validated measurement scales for eastern European and Hungarian customers. The findings of the research can serve as a basis for further scale development for Hungarian young customers.

**Key Words:** Sustainable Consumption, Food, Young Customers, Measurement Scales

# Financial Needs of Micro-enterprises in the Period Before and During the COVID-19 Crisis

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***Abstract:*** The economic crisis caused by the coronavirus COVID-19 has led to changes in companies' demand for funding and its objectives. Therefore, financial institutions need to develop new types and directions of financing offer. The aim of our study is to find out the preferred types of financial support for micro-enterprises, which is the largest share of SMEs in Latvia, based on the companies' previous experience and current financing practices. Research methods applied in the current paper are: analysis of scientific publications and previous conducted research results, survey of entrepreneurs. For survey data analysis there were used indicators of descriptive statistics, cross-tabulations and correlation analysis. Even before the current economic crisis, it was found that micro-enterprises had less access to external finance than other types of SMEs. In a survey of companies registered in Latvia, entrepreneurs were asked to disclose the funding used for their development and entrepreneurship. The aim of the survey was to find out to what extent companies had access to finance, whether they needed new or additional funding and for what purposes financial support was needed. The view on the availability of financing was revealed by 2511 companies, of which 1869 were micro-enterprises. 38% of all micro-enterprises indicated the need to obtain new or additional external financing for the performance of their activities or the realization of their intentions, while 47% of larger enterprises indicated the desire for additional financing. The lower need for external financing for micro-enterprises could to some extent be explained by the fact that a large proportion of them (64%) relied only on internal financing. During the COVID-19 period, companies have been looking for working capital to compensate for business disruptions caused by the loss of funds. However, this may not be enough to halt the economic downturn and further recovery. Thus, the availability and diversity of public financial support is important for businesses and for micro-enterprises in particular. Our task is to explore the availability of public financial support for micro-enterprises and the solutions offered, in order not only to overcome the difficulties caused by the negative effects of COVID-19, but also to promote their future development.

**Keywords:** Access to finance, COVID-19, Financial needs, Micro-enterprises, Public financial support.

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# Role of Employers in Work-Based Learning Realization

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***Abstract:*** Work-based learning has been recognized as one of the most efficient preparation of competitive employers for the labor market. Academic researchers world-wide has examined several aspects related to work-based learning related to the employers, vocational education establishment management, students of vocational education involved in work-based learning, as well as other stake-holders. The aim of the paper is to examine the role of employer's motivation in involvement in work-based learning and providing training places and involvement of the trainees in the work-based learning. Research methods in the current research - analysis of scientific publications and previous conducted research results, analysis of cases in realization of work-based learning and indication of the challenges for employers. The case study results have indicated that in many situations personal attitude and interest of the vocational education school management plays an important role in successful realization of work-based learning. Results of the research have indicated that personal involvement of employers motivate them to suggest valuable ideas for realization of work-based learning and support for creation of good and creative employees for the national economy.

**Keywords:** Work-based learning, Employers, Vocational education and training

*The paper was supported by the National Research Program INTERFRAME-LV*

# Implementing European Financing Programmes In Schools – Particularities And Barriers

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**Abstract:** The European educational projects are an approach aimed at optimizing intercultural education carried out within European pre-university education institutions, regardless of the subject or curricular areas involved. The dimension of experience conferred by European educational projects places intercultural education in everyday life, mobilizing the whole personality of individuals in the direction of ensuring a balanced development that allows openness to cultural otherness.

The starting point of this paper is the assumption that the proper identification of the particularities of existing funding programs as well as the correct knowledge of specific barriers will generate a high level of effective and sustainable European interaction between the institutional actors involved.

The general objective of this study is to identify the particularities and barriers in the implementation of European funded projects in the period 2007-2020 in order to improve access to available funding for the future and to increase their impact.

The research methods used in this study are focused mainly on the analysis of documents and case studies. In order to substantiate the described state of affairs as well as the proposed recommendations, primary documentation sources (interviews, case studies, monitoring reports) were used, as well as secondary documentation sources (the analysis of European legislation), together with two basic tools - questionnaire and focus group.

The conclusions highlight the fact that there are many deficiencies in the implementation of programs and implicitly of educational projects. Permanent and realistic monitoring at different levels in terms of relevance, effectiveness and efficiency, coherence and consistency and, in particular, in terms of sustainability can lead to an increase in the impact of these initiatives.

**Keywords:** financing programmes, educational projects, sustainability.

# From Prosperity to Obscurity 150 Years of the Hungarian Milling Industry

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**Abstract:** The aim of this study is to present the development of the Hungarian milling industry in the last 100 years. It examines the main factors affecting the Hungarian mill industry, the challenges facing the sector and analyses the responses to them. During this period, not only was the structure of economic production constantly changing, but the international agricultural market was also fundamentally transformed. From time to time, the market and logistics networks established in the previous decades were torn down, while new players also sought a place in world trade. The structure of this study is chronological: after a brief presentation of the 19th century boom of the Hungarian milling industry, a separate subchapter (2.) deals with the period between the two world wars, the changes in the period of socialism (3.), and finally with the specifics of the period following the 1989 regime change. It considers the directions, strengths and weaknesses of the Hungarian milling industry. The successes and failures of the responses to the different types of challenges provide many lessons for the present as well.

**Key Words**: Agriculture, Balance of trade, Food Industry, Mill Industry, Retail food chains, Sustainability

# Employee Job Satisfaction after Changes Caused by the Covid-19 Pandemic among Local Governments of Pieriga Region

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***Abstract:*** Local governments are becoming more and more important during the pandemia of Covid-19. Academic researchers world-wide has examined several aspects related to work organization at local governments to have better involvement in solution of new challenges caused by new situation of work organization at municipalities in the situation of restricted presence and introduction of new approaches using digital solutions and remote work. The aim of the paper is to explore the new and innovative approaches in work organization to reach job satisfaction of the employees in municipalities considering changes in the work environment caused by restrictions of Covid-19 pandemics. Research methods in the current research - analysis of scientific publications and previous conducted research results, analysis of survey of municipality representatives in work organization in case of special restrictions caused by Covid-19. Most of the evaluations were realized on evaluation scale 1-10 to get deeper analysis of views of representatives in municipalities. The survey results were analyzed by indicators of descriptive statistics: indicators of central tendency or location (arithmetic mean, mode, median), by indicators of variability (range, standard deviation, standard error of mean); by cross-tabulations; testing of statistical hypotheses by t-test, chi-square, analysis of variance (ANOVA), correlation analysis. Results of the research have indicated that among local governments of Pieriga Region (Latvia) the restrictions provide changes in the work environment, and the form and frequency of communication.

**Keywords:** Job satisfaction, Local government, Public sector, Covid-19

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# Leadership As An Adequate Management Tool Of The Company

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**Abstract**: Experience shows that in modern years, organizations that have a good leader that companies frequently win in the competition and meet their goals quicker. Leadership is a crucial management role that seeks to optimize productivity and accomplish organizational objectives. Without a powerful (efficient) leader, no system would be of tremendous value in the effective management of businesses. Organizations with such a good leader determine their aims and priorities more accurately and address challenges more effectively. It is no doubt true that, we live in a VUCA ( Volatile, Uncertainty, Complex and Ambiguous) World, therefore we need to manage our businesses through helping of management styles that are show us to identify key problems in a certain time. Management types refer to how a boss or administrator interacts with the workers and team members who report to them. The research paper delves into the principles of leadership and illustrates the necessary qualifications of a strong leader. The significance of leadership styles in preserving the long-term sustainability of a company's global competitive advantage has been investigated. In the meanwhile, leadership styles are critically evaluated in the context of Dyson's domestic appliances company. This company applies a variety kind of leadership styles that provide effective management of the businesses. Additively, this article shows us that how Dyson's company has been got the success compared to other companies which were located in different regions of the world by using multifarious effective leadership styles.

***Keywords:*** leadership, management, leadership styles, effective management tool.

# Azerbaycan Ekonomisi

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**Özet:** 18 Kasım 1991'de bağımsızlığını yeniden kazanan Azerbaycan Cumhuriyeti, 2010 yılına kadar uzun ve çeşitli bir geçiş dönemi yaşadı. Bu dönemde ekonomik gelişme birkaç döngüden geçti. Önce kriz (1992-1995), sonra toparlanma (1996-1997), yükseliş (1998-2008) ve son olarak durgunluk (2009'dan beri) veya daha doğrusu çift haneli ekonomik büyüme hızı, düşüş gözlendi. Ancak buna rağmen Azerbaycan ekonomisinin bağımsızlığını kazandığı son 20 yılda ortalama yıllık büyümesi, özellikle ikinci on yılda yaşanan hızlı büyümenin bir sonucu olarak bir bütün olarak olumlu sonuçlarla karakterize olmuştur.

1991 yılında bağımsızlığını kazandıktan sonra Azerbaycan Cumhuriyeti egemenlik haklarını kullanmaya ve ekonomik alanda bağımsız bir politika izlemeye başladı. Bu politikanın ana yönleri, çeşitli mülkiyet biçimleri, piyasa ekonomisine geçiş ve dünya ekonomisine entegrasyon temelinde oluşturulan ekonomik sistemdi.

Büyüme döneminin ana olayı, Azerbaycan'da petrol üretimini ve ihracatını artıracak altyapının oluşturulması ve dünya pazarına ulaştırılmasıydı. Temeli 2003 yılında atılan proje sayesinde ilk petrol 2006 yılında Bakü-Tiflis-Ceyhan (BTC) ana petrol ihraç boru hattıyla Ceyhan'a teslim edildi ve hızlı değişiklikler kaydedildi. GSYİH'nın büyümesiyle birlikte, devlet gelirlerinin büyümesinde önemli değişiklikler gözlenmeye başladı. Özellikle o yıllardaki bütçe gelirlerinin yatırım politikasının büyüme karşılığında genişletilmesi, GSYİH'nın yapısında önemli değişiklikler yapmıştır. Bu dönem Azerbaycan ekonomisine yüksek büyüme sağlamanın yanı sıra, uzun vadede de riskler oluşturuyordu. Bu risklerin başlıcası, petrol gelirlerinin etkin ve şeffaf bir şekilde yönetilmesiyle ilgiliydi.

Cumhurbaşkanı Haydar Aliyev'in devlet bağımsızlığının restorasyonundan sonraki kısa tarihsel süreçte ileri görüşlü politikası ve sıkı çalışması sonucunda, sosyo-ekonomik kalkınma ve entegrasyon alanında büyük başarılar elde edilmiştir. En büyük başarı, bu dönemde ülkemizde bağımsız bir devlet kurma sürecinde, temelde yeni bir ekonomik reform ve kalkınma modelinin - Azerbaycan modeli - ortaya çıkmasıdır.

Bakü-Novorossiysk ve Bakü-Supsa ihraç petrol boru hatları 1996 yılında işletmeye alınmış ve Azerbaycan petrolünü dünya pazarlarına ulaştırmak ve böylece ihracat rotalarını çeşitlendirmek için Bakü-Tiflis-Ceyhan ana ihraç petrol boru hattı Kararname'si 1999 yılında imzalanmıştır. Milli Liderimiz Haydar Aliyev tarafından 1999 yılında imzalanan Kararname, petrol sahalarının yabancı şirketlerle ortak geliştirilmesinden elde edilen petrol satışından elde edilen gelirlerin etkin bir şekilde yönetilmesini, bu fonların öncelikli alanların geliştirilmesinde kullanılmasını ve sosyo-ekonomik açıdan önemli projeler Petrol Fonu kuruldu. Şu anda, Vakfın bu alandaki faaliyetlerine ve şeffaflığın sağlanmasına uluslararası kuruluşlar tarafından çok değer verilmektedir.

Petrol ve gaz sektörü, ekonominin diğer sektörlerinin gelişiminde lokomotif bir rol oynamıştır. İyi düşünülmüş ekonomi politikası sonucunda makroekonomik istikrar sağlanmış ve sürdürülebilir ekonomik büyümenin temeli atılmış, ekonominin tüm sektörlerinde reformlar başlatılmış ve nüfusun yaşam standartlarının iyileştirilmesi için ciddi adımlar atılmıştır.

Bu aşamada izlenen ekonomi politikasının karakteristik özelliklerinden biri girişimciliğin gelişmesi, elverişli bir iş ve yatırım ortamı yaratarak yerli ve yabancı yatırımı çekmesi ve petrol dışı sektörün gelişmesidir. Hedeflenen tedbirler sonucunda Azerbaycan'da bir girişimci sınıfı oluşturulmuş ve ülkenin sosyo-ekonomik kalkınmasında özel sektörün rolü artmıştır.

Ekonomide mülkiyet çeşitliliğini sağlamak için alınan tedbirler, sürdürülebilir ekonomik kalkınmaya olumlu etki yapmıştır. Böylece, özelleştirme başladığında, özel sektörün GSYİH içindeki payı aslında % 10'un altındaydı, ancak şimdi payı % 85'e ulaştı.

Şu anda en önemli konulardan biri, ülkedeki iş ortamını iyileştirerek petrol dışı sektöre yabancı yatırım girişini artırmak ve kamu yatırımlarının özel yatırımı dışlamamasını sağlamaktır.

**Anahtar Kelimeler:** Azerbaycan ekonomisi, ekonomik büyüme, petrol sektörü, petrol dışı sektör

# Azerbaijan Economy

**Abstract:** The Republic of Azerbaijan, which regained its independence on November 18, 1991, went through a long and varied transition period until 2010. During this period, economic development went through several cycles. First, the crisis (1992-1995), then the recovery (1996-1997), the rise (1998-2008) and finally the recession (since

2009), or rather the double-digit economic growth rate, declines were observed. However, despite this, the average annual growth of the Azerbaijani economy in the last 20 years, when it gained its independence, was characterized by positive results as a whole, especially as a result of the rapid growth experienced in the second decade.

After gaining its independence in 1991, the Republic of Azerbaijan began to exercise its sovereign rights and pursue an independent policy in the economic sphere. The main directions of this policy were the economic system established on the basis of various forms of ownership, transition to a market economy and integration with the world economy.

The main event of the growth period was the establishment of the infrastructure to increase oil production and exports in Azerbaijan and its delivery to the world market. Thanks to the project, the foundation of which was laid in 2003, the first oil was delivered to Ceyhan in 2006 through the Baku-Tbilisi-Ceyhan (BTC) main oil export pipeline, and rapid changes were recorded. With the growth of GDP, significant changes began to be observed in the growth of government revenues. In particular, the expansion of the investment policy of the budget revenues in those years in return for growth made significant changes in the structure of GDP. This period not only provided high growth for the Azerbaijani economy, but also posed long-term risks. The main risks were related to the effective and transparent management of oil revenues.

As a result of President Heydar Aliyev's forward-thinking policy and hard work in the short historical period after the restoration of state independence, great achievements have been achieved in the field of socio-economic development and integration. The greatest success was the emergence of a fundamentally new economic reform and development model - the Azerbaijan model - in the process of establishing an independent state in our country during this period.

The Baku-Novorossiysk and Baku-Supsa export oil pipelines were commissioned in 1996 and the Baku-Tbilisi-Ceyhan main export oil pipeline Decree was signed in 1999 in order to bring Azerbaijani oil to world markets and thus diversify export routes. The Decree signed by our National Leader Heydar Aliyev in 1999, the Oil Fund was established to effectively manage the revenues from oil sales obtained from joint development of oil fields with foreign companies, to use these funds in the development of priority areas, and for socio-economically important projects. Currently, the Foundation's activities in this field and ensuring transparency are highly valued by international organizations.

The oil and gas sector has played a driving role in the development of other sectors of the economy. As a result of a well thought-out economic policy, macroeconomic stability has been achieved and the foundation of sustainable economic growth has been laid, reforms have been initiated in all sectors of the economy and serious steps have been taken to improve the living standards of the population.

One of the characteristics of the economic policy followed at this stage is the development of entrepreneurship, attracting domestic and foreign investment by creating a favorable business and investment environment, and the development of the non-oil sector. As a result of the targeted measures, an entrepreneurial class has been established in Azerbaijan and the role of the private sector in the socio-economic development of the country has increased.

The measures taken to ensure the diversity of property in the economy have had a positive impact on sustainable economic development. Thus, when privatization began, the private sector's share of GDP was actually less than 10%, but now its share has reached 85%.

One of the most important issues at the moment is to increase the inflow of foreign investment into the non-oil sector by improving the business climate in the country and to ensure that public investments do not exclude private investment.

**Keywords:** Azerbaijan economy, economic growth, oil sector, non-oil sector

# Issues of Civil Aviation in Albania during the pandemic

**Miljana Xhakolli**

***Abstract:*** The COVID-19 pandemic has had a large impact on civil aviation, particularly commercial passenger airline operations. The combination of travel restrictions; state and local mandates to stay at home, shelter-in-place, and self-quarantine after travel from certain areas; and public concerns over the risk of contracting COVID-19 from travel-related activities has resulted in a significant decrease in air travel demand since March 2020. Passenger air travel is not expected to return to 2019 levels until 2024 at the earliest.

The EU has also worked to coordinate travel restrictions, although much remains to be done. Most Member States have introduced temporary internal border controls and measures restricting free movement across the EU at some point during the pandemic. At EU level, they agreed on 17 March 2020 to restrict all non-essential travel to the EU for a specific period. This restriction has been extended a number of times

The pandemic has hit hard not only companies but also many air passengers, whose flights have been cancelled and/or who no longer wish or are no longer allowed to travel to certain countries or regions.

On this article it's going to be analyzed the case of Tirana International Airport as the only airport active at the moment in Albania . A number of voluntary measures have been implemented at airports even in Tirana International Airport , aboard aircraft, and at air traffic control facilities to mitigate COVID-19 transmission, including signage and other public education efforts; social distancing cues; shields and barriers at ticketing counters, TSA checkpoints, and gates; stepped-up cleaning and disinfection of high-touch surfaces; increased airflow and filtration; and protocols to identify and isolate ill passengers and aviation workers.

Additional precautions, such as pre-board health screenings and temperature checks are being debated but remain controversial. While actions taken have resulted in some recovery in air travel demand, airline ridership remains well below historical levels and will likely remain low until COVID-19 is well contained and flyers have sustained confidence in effective contagious disease mitigation measures implemented for air travel. And still there are a lot of issue on ''no touch'' policy from the staff ,keeping social distancing , adopting the Package Travel Directive from Air passenger rights in Regulation 261/2004, which gives them rights in the event of cancellations etj .

**Key words:** travel, public budget, family budget, industries, pandemic time, airports,security.

# Current Issues Regarding the Insurance of Agricultural Corps in Bulgaria

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**Abstract:** Agriculture insurance is of great importance for farmers not only in Bulgaria but all over the world. Natural forces are unpredictable, and unpredictability is associated with the concept of risk. Risk accompanies a person's entire life and is defined as a future uncertain event leading to adverse effects on property, life or human health. There is a deviation between the expected result and the result of future actions in an indefinite period. Due to the existence of risk in agriculture, it is necessary to protect the farmers' product. In this article the author aims to study the trends in agriculture insurance in Bulgaria. The tasks for achieving the goal will be related to the analysis of the covered risks, the insured objects, the insurance premiums. The scientific methods that will be used are analysis, synthesis, induction, deduction, statistical observation. The scientific hypothesis is that the total amount of insured objects reduce for the studied 4 years due to complex reasons.

**Key Words:** Insurance, Agricultural crops, Risk

# Some aspects of the Bulgarian anti-crisis policy against COVID-19, with emphasis on the fiscal policy

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**Abstract:** The global COVID economic recess is not an exotic and short-lived period of human history, but a part of evolution towards a post-COVID economy. The current endogenous, conventional and neoclassical economy will remain in the past.

An economic policy, founded on the minimization of upkeep through exploitation of the outdated and labor-intensive production systems, will have catastrophic results. Only large and constant investments in scientific and technological advancement will lead to the successful restructure of the GDP in a way which aligns with the new global economy.

The current anti-crisis fiscal aid obviously doesn't have the desired positive effect. According to us, anti-crisis relief policies should be focused mainly on dealing with these problems with accentuation on fiscal policy.

**Key words:** COVID-19, fiscal system, economic crisis

# Doğrudan Yabancı ve Yurt İçi Özel Yatırımlar Türkiye'deki Enerji Güvensizliğini Uzun Dönemde Arttırıyor mu? 1980-2018 Dönemi İçin Ampirik Bir İnceleme

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**Özet:** Ampirik literatürde doğrudan yabancı yatırımların (DYY) ve yurt içi özel yatırımların (YİÖY) çevresel sürdürülebilirliğe olan etkileri, çeşitli yaklaşımlar çerçevesinde araştırılmış olmasına rağmen bu yatırımların enerji güvenliğine olan etkisi henüz ayrıntılı bir biçimde incelenmemiştir. Bu araştırmada Türkiye'deki DYY ve YİÖY'ün enerji güvenliğine olan etkisi 1980-2018 dönemi için incelenerek, ampirik literatürde yer alan bu eksiklik giderilmeye çalışılmıştır. Bu kapsamda iki farklı model ileri sürülmüş ve öncelikle bu modellerde kullanılan değişkenlerin (DYY, YİÖY ve enerji güvenliği riski) kaçıncı dereceden durağan oldukları birim kök testleriyle incelenmiştir. Devamında modellerdeki değişkenlerin koentegre olup olmadıkları, eş-bütünleşme testleriyle sınanmıştır. Elde edilen bulgular, her iki modelde de kullanılan değişkenlerin uzun dönemde birlikte hareket ettiğini göstermiştir. Son olarak da modellerdeki bağımsız değişkenlerin (DYY ve YİÖY) uzun dönem katsayıları, dinamik sıradan en küçük kareler (DOLS) ve tam değiştirilmiş sıradan en küçük kareler (FMOLS) yöntemleriyle tahmin edilmiştir. Tahmin sonuçları hem DYY'nin hem de YİÖY'ün uzun dönemde enerji güvenliği riskini arttırdığını göstermiştir. Başka bir ifadeyle iki yatırım göstergesi de Türkiye'nin enerji güvensizliğini uzun dönemde arttırmaktadır. Ayrıca DYY'nin enerji güvenliği üzerindeki olumsuz etkisinin -YİÖY'ün olumsuz etkisine kıyasla- çok daha düşük bir seviyede olduğu da gözlenmiştir. Bu bulgular, DYY ve özellikle de YİÖY'ün Türkiye'deki enerji güvenliği problemini anlamlı olarak etkilediğini göstermektedir. Türkiye'deki enerji güvenliği sorunu politika koyucuları tarafından ele alınırken DYY ve YİÖY'ün etkileri göz ardı edilmemelidir.

**Anahtar Kelimeler:** Doğrudan Yabancı Yatırımlar, Yurt İçi Özel Yatırımlar, Enerji Güvenliği, Türkiye, Zaman Serisi Analizi.

# Bir Aile Şirketi Ne Zaman Anonim Şirket Olur?

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**Özet:** Bir firmanın organizasyonel yapısı, firma sahibinin ve varsa hissedarların gelirlerini , gelirlerinin nasıl vergilendirileceğini, aldıkları riskleri, firmanın büyüme ve yaşam süresini etkiler. Bu nedenle çok önemli bir karardır. Genel olarak literatürde organizasyonel yapı seçimi üç ana başlıkta açıklanır. Bunlar organizasyonel yapıya bağlı olarak ödenen vergi payının farklı olması, sınırlı sorumluluklar ve firmaların sahibi ve yöneticisi arasındaki ahlaki problemler olarak sıralanır. Ampirik literatürde ahlaki problemlerin firma organizasyonel seçimine etkisinin diğer iki etkene kıyasla kısıtlı olduğu savunulmuştur (Cavalluzzo ve Geczy (2003)).

Bu çalışmada ahlaki tehlikenin varlığı kabul edilerek, firma verimliliklerindeki farkın organizasyonel seçimi etkilediği gösterilmiştir. Firmalar düşük verimlilikte aile şirketi olurken yüksek verimlilikte anonim şirket (corporation) olmayı seçmişlerdir.

Farklı organizasyonel yapılar seçebilen, verimlilikleri ile birbirinden ayrışan firmaların dinamik endüstriyel modellemesi yapılmıştır. Her dönem sektöre girecek potansiyel firmalar aile şirketi ya da anonim şirket olma kararı verirler. Dönem sonunda ise marketten çıkış yapmamış firmalar bir sonraki dönem organizasyonel yapıları hakkında kararlar verirler. Aile şirketlerinin firma sahibi kapital sahibi yatırımcıdır, aynı zamanda şirketin yöneticiliğini de üstlenir. Anonim şirketler ise firma sahibi ve yöneticiden oluşur. Yöneticilerin gayretleri gözlemlenemez. Bu nedenle de ahlaki problemler mevcuttur. Ahlaki problemleri çözmek için firma sahibi yöneticisine dinamik kontratlar sunar. Modelde bu iki organizasyonel yapı arasındaki ödünleşimin bir kaç nedeni vardır. Birincisi, yatırımcı ajanların kapitali var iken yönetme becerileri yönetici ajanlara göre daha azdır. İkincisi, anonim şirket yapısında firma sahibi, yöneticinin çabasını gözlemleyemez. Bu nedenle aile şirketinde olmayan ahlaki tehlike problemleri vardır.

Yapılan numerik analizler göstermektedir ki verimliliğin düşük olduğu firmalarda aile şirketi olmak anonim şirket olmaktan daha değerlidir. Aile şirketi olarak alınan risk ve daha az yönetsel yeteneklere sahip olmanın yarattığı değer kaybı anonim şirkette ahlaki tehlikenin yarattığı değer kaybından daha azdır. Verimlilik arttıkça anonim şirketi olmanın toplam değer fonksiyonu aile şirketi olmanın değer fonksiyonundan çok daha hızlı artar. Bu nedenle yüksek verimli firmalar anonim şirket olmayı tercih ederler.

**Anahtar Kelimeler:** Anonim şirket, ahlaki tehlike,verimlilik

# Türkiye'de Kamu Sendikalarının Sosyal Medyada Paydaşlarıyla Etkileşimi: Twitter Örneği

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**Özet:** Sendikalar özellikle demokratik ülkelerin vazgeçilmezi kabul edilen örgütlerdir. Öte yandan, uluslararası hukuk bağlamında da sendikal hakların temel bir insan hakkı olduğu (İnsan Hakları Evrensel Bildirgesi, m.23/4) kabul edilmektedir. Sendikalar, ücret artış talebi, iş güvencesi, iş güvenliği, işçi sağlığı, emeklilik ve sosyal haklar gibi pek çok alanda çalışanların haklarının güvence altına alınması ve çalışma koşullarının iyileştirilmesi gibi işlevleri bulunan örgütlü yapılardır. O halde, gücünü örgütlü bir topluluk olmaya borçlu olan sendikaların, paydaşlarıyla olan etkileşiminin de kuvvetli olması, etkili bir sendikacılık için çok gerekli bir unsur olarak karşımıza çıkmaktadır.

Öte yandan, bilişim teknolojilerinin, internetin ve özellikle de günümüzde sosyal medyanın tüm dünyada kişisel ve kurumsal düzeyde kullanımının yaygınlaşmasının her alanda olduğu gibi sendikacılık ve sendikal faaliyetler üzerinde de bir yansıması olduğu ifade edilebilir. Sosyal medya, etkileşimli web anlamına gelen web 2.0 olgusunun önemli bir boyutunu oluşturmaktadır ve bu niteliğiyle sendikalar açısından sendika-paydaş etkileşimi bağlamında ilave katkı sunma potansiyeli bulunmaktadır. Gelinen durumda sendikaların sosyal medya platformları üzerinden paydaşlarıyla olan etkileşiminin, araştırmaya değer bir konu halini aldığını ifade edebilmek mümkündür.

Çalışmada Türkiye'de kamu sendikacılığı perspektifinden sosyal medyada sendika-paydaş etkileşimi araştırma konusu edilmiştir. Araştırmada sendikaların kendilerini ifade etme noktasında en uygun sosyal medya platformu olduğu düşünülen "Twitter" uygulaması, inceleme nesnesi kabul edilmiş ve ilgili literatürde yer alan bir ölçme aracı yardımıyla sendikaların paydaşlarıyla olan etkileşim düzeyinin belirlenebilmesi amaçlanmıştır. Söz konusu ölçme aracı popülerlik, bağlılık ve yayılma etkinliği gibi alt boyutları bulunan ve söz konusu alt boyutların toplamından hareketle de paydaşlarla olan etkileşim düzeyinin belirlendiği bir araçtır.

Bu bağlamda, araştırma kapsamında Türkiye'de en çok üyeye sahip ilk üç kamu sendikası konfederasyonunun (KESK, Memur-Sen ve Türkiye Kamu-Sen) kurumsal Twitter hesapları ilgili ölçme aracı vasıtasıyla incelemeye tabi tutulmuştur. Araştırmanın bulgularına göre sendika konfederasyonlarının paydaşlarıyla etkileşim ortalaması 5,46'dır. Analize dahil edilen sendika konfederasyonları içerisinde en yüksek etkileşim düzeyine sahip olan sendika 8,2 ile Memur-Sen iken; Memur-Sen'i sırasıyla 6,63 ile KESK ve 1,54 ile de Türkiye Kamu-Sen takip etmektedir. Bulgular göstermektedir ki, araştırmaya dahil edilen sendikaların paydaşlarıyla olan etkileşim düzeyleri oldukça düşüktür.

**Anahtar Kelimeler:** Kamu Sendikacılığı, Sendika-Paydaş Etkileşimi, Sosyal Medya, Twitter, Türkiye.

# Role of Agility For Logistics Functions Effiency

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**Abstract:** The logistics sector, which is developing rapidly in the world, is constantly undergoing changes and transformations with the global changes. These changes necessitate realizing the product flow at an optimal level with an agile and flexible structure in many sectors, especially in food, health, textile, and electronics and automotive. In order to identify and realize opportunities in logistics, where competition makes itself felt a lot, and as a result, to increase the level of customer service, all internal and external logistics functions, including supply logistics, production logistics and shipping logistics, need to be transformed into an agile structure that can adapt to instant changes. The aim of this study is to examine the contributions of agility to increase efficiency in transportation and warehouse management, one of the main functions of logistics.
**Key Words:** Logistics Management, Supply Chain, Agility

**Özet:** Dünyada hızla gelişmekte olan lojistik sektörü, yaşanan küresel değişimlerle birlikte sürekli olarak değişim ve dönüşümlere uğramaktadır. Bu değişimler başta gıda, sağlık, tekstil, elektronik ve otomotiv olmak üzere bir çok sektörde ürün akışını optimal düzeyde ve çevik ve esnek bir yapıyla gerçekleştirmeyi gerektirmektedir. Rekabetin çokça kendini hissettirdiği lojistik, fırsatları tanımlamak ve gerçekleştirmek ve bunun sonucunda müşteri hizmet düzeyini artırmak için tedarik lojistiği, üretim lojistiği ve sevkiyat lojistiği olmak üzere içsel ve dışsal bütün lojistik fonksiyonlarının anlık değişimlere adapta olacak şekilde çevik bir yapıya yönelik dönüşmesi gerekmektedir. Bu çalışmanın amacı, çevikliğin lojistiğin temel fonksiyonlarından taşımacılık ve depo yönetimi konularında verimliliği artırmadaki katkılarını irdelemektir.
**Anahtar kelimeler:** Lojistik Yönetimi, Tedarik Zinciri, Çeviklik

# Dijital Dönüşüm Kapsamında Girişimci Pazarlamanın Geleceği

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**Özet:** Günümüzde teknoloji alanında yaşanan hızlı gelişmeler dijital dönüşümün yanı sıra girişimcilik ve pazarlama alanlarında da birçok değişime neden olmuştur. Zamanla değişen toplumsal ihtiyaçlara olabilecek en iyi şekilde yanıt verebilmek maksadıyla modern teknolojinin bilgi ve iletişim alanında sunduğu imkanlardan faydalanmak şeklinde tanımlanan dijital dönüşüm, girişimcilik ve pazarlama alanlarında da büyük etkiye sahiptir. Bu çalışmanın amacı, dijital dönüşümün girişimcilik ve pazarlama üzerindeki etkilerini genel bir perspektif ile ortaya koymaktır. Bu bakımdan çalışma kapsamında, dijital dönüşüm teknolojisinin şimdiye kadar girişimcilik ve pazarlama arasındaki ince nüanstan meydana gelmiş olan girişimci pazarlama alanında nasıl uygulandığına ve gelecekte ne şekilde kullanılacağına ilişkin bilgilere yer verilmektedir. Girişimci pazarlama açısından bakıldığında dijital çağın ve dijital dönüşümün pozitif yönleri olduğu gibi bazı olumsuz yanlarının da bulunduğu söylenmelidir. Girişimci pazarlamanın geleceği açısından, bahsi geçen olumlu ve olumsuz yönlerin yansımaları önem teşkil edecektir.

**Anahtar Kelimeler:** Girişimcilik, Girişimci Pazarlama, Dijital Dönüşüm

# The Future Of Entrepreneurial Marketing Within The Scope Of Digital Transformation

**Abstract:** Today, rapid developments in technology have caused many changes in entrepreneurship and marketing as well as digital transformation. Digital transformation, which is defined as taking advantage of the opportunities offered by modern technology in the field of information and communication in order to respond to the changing social needs in the best possible way, has a great impact on entrepreneurship and marketing. The purpose of this study is to reveal the effects of digital transformation on entrepreneurship and marketing with a general perspective. In this respect, the scope of the study includes information on how digital transformation technology is applied in the field of entrepreneurial marketing, which has been formed from the fine nuance between entrepreneurship and marketing, and how it will be used in the future. From the point of view of entrepreneurial marketing, it should be said that the digital age and digital transformation have positive aspects as well as some negative aspects. For the future of entrepreneurial marketing, the reflections of the aforementioned positive and negative aspects will be important.

**Keywords:** Entrepreneurship, Entrepreneurial Marketing, Digital Transformation

# Long-run Analysis of Human Capital and Labor Productivity in Turkey

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***Abstract:*** This study explores the long-run relationship between human capital and labor productivity in Turkey by utilizing an annual dataset of 1958-2014 and by implementing ARDL analysis. We identified that variables of human capital and labor productivity are stationary at first differences as a result of KPSS stationarity test. We conducted ARDL boundary test for cointegration analysis and ARDL boundary test findings reveal that human capital and labor productivity are co-integrated. In other words human capital and labor productivity move together in the long-run in Turkey. Moreover the long-run coefficient estimations point out that human capital has a positive and statistically significant impact on labor productivity in Turkey. More specifically, an increase in human capital level by 1% leads to an increase in labor productivity level by 2.016%. Finally the estimated model does not suffer from any problem in terms of autocorrelation, heteroscedasticity, and model specification.

**Keywords:**Labor Productivity,Human Capital, Cointegration Analysis.

# Finans, Bankacılık ve Sigortacılık Bölümü Öğrencilerinin Akademik Başarı ile İşsizlik Kaygıları Arasındaki İlişkinin İncelenmesi

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**Özet:** İşsizlik oranlarının yükselmesi, ekonomik konjonktürdeki dalgalanmalar, uzaktan eğitimin devam ediyor olması, finans sektöründeki hızlı dijitalleşme gibi sebeplerin bir araya gelmesi ile günümüzde henüz işgücüne katılmamış olan bireylerin işsizlik kaygısını derinden yaşadıkları düşünülmektedir. Özellikle yükseköğretimde uzmanlaşmanın ilk adımı olan eğitimlerini almakta olan öğrenciler için büyük bir endişe kaynağı olarak ortaya çıkmakta, zaman zaman psikolojik ve beraberinde fiziksel birtakım rahatsızlıklara yol açabilmektedir. Ancak üniversite öğrencilerinin, eğitimleri devam ederken, mezun olabilmeleri için almakta oldukları derslere odaklanmaları işsizlik kaygılarını en azından bir süre erteleyebildikleri düşünülmektedir.

Bu çalışmanın amacı hem önlisans hem de lisans düzeyinde okumakta olan üniversite öğrencilerinin akademik başarıları ile işsizlik kaygıları arasında bir ilişki olup olmadığının değerlendirilmesidir. Çalışma gerçekleştirilirken, Süleyman Demirel Üniversitesi İİBF Finans Bankacılık ve Sigortacılık bölümü öğrencileri ile, Isparta Uygulamalı Bilimler Üniversitesi Isparta MYO'nda okumakta olan Finans, Bankacılık ve Sigortacılık öğrencilerinden anket yöntemi ile veriler elde edilmiştir. Lisans ve Önlisans toplam 260 öğrenciden toplanan anket yanıtları SPSS istatistik programı ile analize tabi tutulacak ve sonuçlar değerlendirilecektir.

**Anahtar Kelimeler:** İşsizlik kaygısı, Akademik başarı, Bankacılık, Sigortacılık, Üniversite öğrencileri

# Parasal Aktarım Mekanizmasında Varlık Fiyatlarının Rolü: Türkiye'den Bulgular

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**Özet:** Bu çalışmada, Türkiye ekonomisindeki parasal aktarım mekanizmasında konut ve hisse senedi gibi varlık fiyatlarının rolü 2011:1-2021:3 dönemi için aylık veriler kullanılarak Yapısal VAR modeli yardımıyla analiz edilmektedir. Kullanılan yapısal VAR modeli, kısa ve uzun vadeli kısıtlamaların bir bileşiminden oluşmakta ve para politikası ile varlık fiyatları arasında eşzamanlı etkileşime izin vermektedir. Çalışmanın bulgularına göre faiz oranı şokları Türkiye'de konut fiyatları üzerinde anlamlı bir etkiye sahiptir ve faiz oranındaki artış konut fiyatlarını azaltmaktadır. Faiz oranları da sistematik olarak konut fiyatı şokuna tepki vermektedir. Bu bulgu, konut fiyatlarının Türkiye'deki para politikası aktarım mekanizmasında önemli bir rol oynadığını göstermektedir. Çalışmada ayrıca, para politikası şoklarının hisse senedi fiyatları üzerinde anlamlı bir etki yaratmadığı görülmektedir. Varyans ayrıştırma sonuçları, konut fiyatları şoklarının iktisadi aktivite ve enflasyon gibi makroekonomik değişkenlerin dalgalanmasında hisse senetleri fiyatlarından daha önemli rol oynadığını göstermektedir. Bu bulgular ışığında, Türkiye ekonomisinde konut fiyatlarının, hisse senetleri fiyatlarına kıyasla, parasal aktarım mekanizmasının yürütülmesinde daha etkili olduğu ortaya konulmaktadır.

**Anahtar Kelimeler:** Parasal Aktarım Mekanizması, Konut Fiyatları, Hisse Senedi Fiyatı, Yapısal VAR

# Salgın Sürecinde Çalışanların Örgütsel Destek Algıları, Covid 19 Korkuları ve Duygusal Tükenmişlikleri

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**Özet:** Araştırmanın amacı, covid 19 salgın sürecinde çalışanların covid 19 korkusu, duygusal tükenmişlik ve örgütsel destek algılarının demografik özelliklere göre farklılık gösterip göstermediğini test etmektir. Bu amaç doğrultusunda Türkiye'nin farklı illerinde faaliyet gösteren 15 kooperatif birliği çalışanlarına anket gönderilmiştir. Araştırmaya 15 kooperatif birliğinden, 8 kooperatif birliği katılmış ve 200 anket dönüşü olmuştur. Dolayısıyla, araştırmanın örneklemi 200 kişiden oluşmaktadır.

Araştırma sonucunda toplanan verilerin analizinde SPSS 25.0 paket programı kullanılmıştır. Ölçeklerin yapısal geçerliliğinin analizi için keşfedici faktör analizi, güvenilirliklerinin analizi için Cronbach Alpha testi yapılmıştır. Elde edilen verilerin normal dağılıma uygun olup olmadıkları Kolmogorov-Simirnov testi ile test edilmiş ve verilerin normal dağılmadığı sonucuna ulaşılmıştır. Buna göre araştırmada non-parametrik testlerden yararlanılmıştır. Değişkenlerin birbirleri ile olan ilişkilerini test etmek için spearman korelasyon analizi yapılmıştır. Ayrıca, algılanan örgütsel destek, duygusal tükenmişlik ve covid 19 korkusunun demografik özelliklere göre farklılık gösterip göstermediğini test etmek için Kruskal-Wallish H ve Mann-Whitney U testi kullanılmıştır.

Araştırmanın sonucunda, salgın sürecinde kooperatif çalışanlarının örgütsel destek algıları ve covid 19 korku düzeylerinin ortalamanın üzerinde değer aldığı, duygusal tükenmişlik düzeylerinin ise ortalamanın altında değer aldığı saptanmıştır. Korelasyon analizi sonucuna göre, covid 19 korkusu ile algılanan örgütsel destek ve duygusal tükenmişlik arasında pozitif yönde anlamlı bir ilişki olduğu tespit edilmiştir. Kooperatif çalışanlarının örgütsel destek algıları ile duygusal tükenmişlik düzeyleri arasında negatif ve anlamlı bir ilişki olduğu saptanmıştır. Buna göre, çalışanlarda örgütsel destek algısı arttıkça duygusal tükenmişlik düzeyleri azalacaktır. Yapılan Kruskal-Wallish H testi sonucuna göre, kooperatif çalışanlarının covid 19 korkusu ve duygusal tükenmişlikleri cinsiyete göre anlamlı bir farklığın olmadığı, ancak çalışanların örgütsel destek algılarının cinsiyete göre farklılık olduğu tespit edilmiştir. Mann-Whitney U testi sonuçlarına göre, algılanan örgütsel destek, duygusal tükenmişlik ve covid 19 korkusu yaş gruplarına ve görev pozisyonlarına göre farklılık olmadığı tespit edilmiştir. Araştırmanın diğer bir sonucuna göre ise, kooperatif çalışanların covid 19 korkusunun eğitim durumlarına göre farklılık olmadığı, duygusal tükenmişlik ve örgütsel destek algılarının eğitim durumlarına göre farklılık olduğu sonucuna ulaşılmıştır.

**Anahtar Kelimeler:** Algılanan Örgütsel Destek, Covid 19 Korkusu, Duygusal Tükenmişlik, Kooperatif Çalışanları.

# Assessing the Impacts of Education and R&D Expenditures on the International Competitiveness: The Case of Turkey*

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**Abstract:** This study examines the impacts of education and R&D expenditures on the international competitiveness for the case of Turkey. In this vein, the effects of both expenditures on the bilateral real exchange rate of the country are evaluated and firstly it is determined whether the related series have nonlinear effects. Based on this, the causality analysis carried out has been expanded in line with possible asymmetric effects. With the Hatemi-J (2012) test, it was found that the increase and decrease in education and R&D expenditures may not have symmetrical effects. Moreover, it was revealed that both expenditures cause effects on the bilateral real exchange rate, which may differ throughout the observation period.

**Keywords:** Education Expenditures; R&D Expenditures; Asymmetric Causality.

# Eğitim ve Ar-Ge Harcamalarının Uluslararası Rekabet Edebilirlik Üzerindeki Etkilerinin Değerlendirilmesi: Türkiye Örneği

**Özet:** Bu çalışmada, eğitim ve ARGE harcamalarının uluslararası rekabetçilik seviyesi üzerine olan etkisi Türkiye örneği üzerinden incelenmektedir. Bu çerçevede, her iki harcamanın ülkenin ikili reel döviz kuru üzerine olan etkileri değerlendirilmekte olup öncelikle ilgili serilerin doğrusal olmayan etkiler barındırıp barındırmadığı tespit edilmiştir. Buradan hareketle gerçekleştirilen nedensellik analizi olası asimetrik etkiler doğrultusunda genişletilmiştir. Hatemi-J (2012) testi ile eğitim ve ARGE harcamalarındaki artış ve azalışların simetrik etkiler barındırmayabileceği bulgusuna ulaşılmıştır. Ayrıca, her iki harcamanın ikili reel döviz kuru üzerinde gözlem boyunca farklılaşabilen etkilere neden olduğunu ortaya konulmuştur.

**Anahtar Kelimeler:** Eğitim Harcamaları ARGE Harcamaları, Asimetrik Nedensellik.

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# Türkiye-Yunanistan Sınırındaki Mülteci Krizinin Söylem Analizi Bağlamında Değerlendirilmesi: Hürriyet ve Kathimerini Gazetelerinin Karşılaştırmalı Örneği

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**Özet:** Dünya genelinde son yıllarda artan ekonomik krizler, siyasi sorunlar, iç savaşlar, etnik ve dini çatışmalarla birlikte ortaya çıkan insan haklarına saldırılar kendi ülkelerini terk edip başka ülkelere göç eden insanların sayısında da artış göstermiştir. Türkiye, uluslararası göç konusunda Avrupa'ya açılan kapılarda stratejik öneme sahip bir ülke konumundadır. Özellikle son on yılda ülkede artan sığınmacı hareketleri ulusal ve uluslararası basın kuruluşlarında sık sık yer bulmaktadır. 28 Şubat 2020 tarihinde Türkiye'nin Avrupa'ya karadan ve denizden sınır kapılarının açıldığını ve sınırı geçmek isteyenleri durdurmayacakları haberleri üzerine, Suriye sınırından ve Türkiye'nin çeşitli illerinden Avrupa'ya gitmek isteyen mülteciler sınır kapılarına akın etti. Bu süreç 26 Mart 2020'de simge olarak kabul edilen Edirne-Pazarkule sınır kapısında yaklaşık 10 bin kişinin toplandığı kamp alanının boşaltılması ile sona erdi. Geçen bu 28 günlük sürecin ilk 15 günü ulusal ve uluslararası medyada büyük yankı uyandırdı. Mülteci krizinin Hürriyet ve Kathimerini gazeteleri bağlamında ilk kez ele alınmış olması bu çalışmayı özel kılmaktadır. Bu çalışma Hürriyet ve Kathimerini gazetelerinin 29 Şubat - 15 Mart 2020 tarihleri arasında uluslararası çapta yankı uyandıran Türkiye-Yunanistan arasındaki mülteci krizi ile alakalı haberlerinde kullandıkları görsel ve başlıkların Van Dijk'in eleştirel söylem analizi kapsamında karşılaştırmalı incelemesini ele almaktadır. İncelenen gazetelerin, haber metnini üretirken, ülke çıkarlarını gözeterek görsel ve metin içeriklerini nasıl farklılaştırdıkları değerlendirilmektedir. Ayrıca haberin tarafsızlığının, haberi üreten gazetenin lehine değişim gösterdiği ve kamuoyu oluştururken de aynı konu üzerinde farklı söylemler geliştirdiği gözlemlenmektedir.

**Anahtar Kelimeler:** Mülteci Sorunu, Hürriyet, Kathimerini, Söylem Analizi

# Social Security and Household Labor Supply

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***Abstract:*** This paper quantitatively evaluates the macroeconomic consequences of eliminating the Pay-As-You-Go system in US using a general equilibrium model. Agents are heterogeneous in terms of their age, skills, gender, and marital status. Households make saving and labor supply decisions. The labor supply decision of a household includes decisions along both intensive and extensive margins of labor supply. Changes in social security rules potentially affect the labor force participation of secondary earners in married households. There is a representative firm that hires capital and labor to produce the consumption good. The benchmark economy is calibrated to match the gender pay gap, the labor force participation of married women across different education groups, and the structural of marital sorting observed in the US economy. Elimination of the Pay-As-You-Go system results in substantial increases in output and employment. In particular, output increases by about 6%, and aggregate employment increases by 3.9%. The paper shows that the married females increase their participation by about 4.7%. Hence, the paper finds that reforming the social security system has significant consequences on the female labor supply that should not be overlooked.

**Keywords:** Pay-As-You-Go Social Security, Household Labor Supply, Female Labor Force Participation.

# Dalgacık Dönüşümü Temelli Yeni Bir Kantil Birim Kök Testi Önerisi

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**Özet:** Zaman ve frekans alanı bilgisini bir araya getirerek değişkenler hakkında daha fazla bilgi sağlayan dalgacıklar; mühendislik ve tıp gibi farklı alanların ardından ekonometri alanında - özellikle birim kök literatüründe - giderek popüler hale gelen bir yaklaşım olmuştur. Daha iyi güç ve boyut özelliklerine sahip birim kök testi arayışları devam ederken bu testlerin büyük çoğunluğu zaman alanı ve normallik varsayımına dayanan en küçük kareler (EKK) tahmincisi için geliştirilmiştir. Ekonomik ve finansal serilerde görülen çarpıklık, yapısal kırılma ve diğer gözlemlerden önemli derece farklılaşan gözlemler olarak tanımlanan aşırı değerlerin bir sonucu olarak uygulamada normallik varsayımı çoğu durumda sağlanamamaktadır. Böyle bir durumda kantil tahmincisi EKK tahmincisine göre daha dirençli sonuçlar vermektedir. Kantil tahmincisine dayanan birim kök sınaması her bir kantil için t istatistiği ile yapılabileceği gibi kantil Kolmogorov-Smirnov (QKS) istatistiği ile kantiller için genel bir sınama yapmakta mümkündür. Tüm bu eksikliklerden yola çıkılarak bu çalışmada kesikli dalgacık dönüşümüne dayalı yeni bir kantil birim kök testi önerilmektedir. Önerilen bu test QKS istatistiğine dayanmaktadır. Dalgacık dönüşümü, testlerin asimptotik dağılımlarını etkilemediğinden önerilen testin asimptotik dağılımı kantil genişletilmiş Dickey-Fuller (ADF) testinde olduğu gibi ADF ve standart normal dağılımların ağırlıklı toplamlarına eşittir. Çalışma kapsamında önerilen dalgacık dönüşümü temelli kantil birim kök testinin kritik değerleri farklı dalgacık filtreleri için bootstrap yöntemi ile elde edilerek güç ve boyut özellikleri sunulmuştur.

**Anahtar Kelimeler:** Birim Kök, Kantil Regresyon, Dalgacık Dönüşümü, Kesikli Dalgacık Dönüşümü

# Türkiye'de Kamu Bankalarının Kurumsal Gelişimi ve Finansal İstikrara Etkisi: Z-Skor Analizi

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**Özet:** Son dönemde Türkiye Ekonomisinde finans piyasalarında kamu bankaların kurumsal gelişimi hızla artmaktadır. Ayrıca finans piyasalarında ve dolayısıyla bankacılık sektöründe kamu bankalarının artan payı, beraberinde kamu bankacılık faaliyetlerinin finansal sistem ve finansal istikrar üzerindeki etkisini arttırmıştır. Buradan hareketle çalışmamızda Türk Bankacılık Sektöründe kamu bankalarının; seçili rasyolarının (aktif büyüklükleri, faiz dışı gelir/toplam gelir, krediler/toplam varlıklar ve duran varlıklar/toplam varlıklar) 2002-2020 yılları arası dönemde Türkiye ekonomisinde finansal istikrar (Enflasyon, büyüme ve politika faiz oranı) üzerinde ki etkisi araştırılmıştır. İlgili bankalara ait seçili rasyoların Z-skor analizi ile finansal risk düzeyleri hesaplanmış ve performans testleri yapılmıştır. Z-skor analizinden elde edilen bulgular finansal istikrar göstergeleri ile ARDL sınır testi yaklaşımı temelinde incelenmiştir.

**Anahtar Kelimeler:** Finansal İstikrar, Enflasyon, Ekonomik Büyüme, Z-Skor Analizi

# Türk Bankacılık Sektörünün Finansal İstikrara Etkisi: Z-Skor Analizi

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**Özet:** Finansal istikrar genel itibariyle finansal piyasaların negatif şoklar karşısında gösterdiği direnç olarak tanımlanabilir. Bu kapsamda özellikle son çeyrek yüzyılda Türkiye'de finans piyasalarında halka arz olmuş bankaların seçili rasyolarda artan büyüklüğü ve finansal istikrara etkisi yadsınamaz bir hâl almıştır. Bu çalışmada, özellikle Borsa İstanbul (Bist)'a kote olmuş bankaların; seçili rasyolarının (aktif büyüklükleri, faiz dışı gelir/toplam gelir, krediler/toplam varlıklar ve duran varlıklar/toplam varlıklar) 2002-2020 yılları arası dönemde Türkiye ekonomisinde finansal istikrar (Enflasyon, büyüme ve politika faiz oranı) üzerinde ki etkisi araştırılmıştır. İlgili bankalara ait seçili rasyoların Z-skor analizi ile finansal risk düzeyleri hesaplanmış ve performans testleri yapılmıştır. Z-skor analizinden elde edilen bulgular finansal istikrar göstergeleri ile ARDL sınır testi yaklaşımı temelinde incelenmiştir.

**Anahtar Kelimeler**: Finansal İstikrar, Politika Faizi, Enflasyon, Z-Skor Analizi

# Twin Deficit, Current Account Targeting or Ricardian Equivalence? Fresh Evidence From Fourier Toda-Yamamoto Causality Analysis

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**Abstract:** This study examines the causal relationships between current account deficit and fiscal deficit, known as twin deficit hypothesis with taking into account the structural shifts. There is a controversy about the direction, or even the existence of the causal linkages between current account deficit and fiscal deficit in the literature. According to the Mundell-Fleming framework there exists a uni-directional causal relationship from fiscal deficit to current account deficit. Increases in the fiscal deficit will cause an upward pressure on interest rates, causing appreciation of exchange rate and result in a deterioration (increase) in current account deficit. Keynesian framework also states an uni-directional causal relationship from fiscal deficit to current account deficit. According to current account targeting framework, the direction of the causal relationship is from current account deficit to fiscal deficit. Furthermore, Ricardian Equivalence suggests that there is no causal relationship between these two variables. The aim of this study is to determine the direction of this causal linkages with emphasing the importance of the structural shifts for highly indebted European countries; Portugal, Italy, Ireland, Greece and, Spain. To investigate the importance of the structural shifts in these causal linkages Toda- Yamamoto and Fourier Toda Yamamoto causality tests are employed. Using traditional approach, the empirical findings indicate an evidence for unidirectional causality from fiscal deficit to current account deficit, in line with the current account targeting framework in Greece and Ireland. However, if structural shifts in the causal relationship taken into account, the current account targeting does not hold and Ricardian equivalence holds (no causal relationship between fiscal deficit and current account deficit) for Greece and Ireland. The results from Fourier Toda Yamamoto revealed that considering the structural shifts, has not a substantial effect on the empirical results for Italy, Portugal and Spain. Additionally, the Twin deficit relationship holds only for Spain while Ricardian equivalence holds for Italy and Portugal.

**Keywords:** Twin Deficits, Ricardian Equivalance, Fourier Toda-Yamamoto Causality, PIIGS countries

# Değişim Yönetimi ve Performansa Etkisi: Özel İşletmeler Üzerinde Bir Araştırma[1]

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**Özet:** İşletmeler genellikle değişime hazırlıksız yakalanabilmekte, değişim yönetimi uygulamalarını gerçekleştirmede geç kalabilmekte olduğundan çoğu kez kriz zamanlarında bu yöndeki karar ve uygulamalarında aceleci davranmakta ve sonuca odaklanmaktadır. Ancak yaşanan hızlı değişimler sebebiyle işletmelerin varlıklarını sürdürebilmeleri için zorunlu hale gelen değişimin yönetilebilmesi aslında bir sonuç değil, proaktif bir yaklaşım ile ele alınması gereken uzun ve dinamik bir süreçtir. Bu çalışma; organizasyonları en çok hangi faktörlerin değişime zorladığını, işletmelerin hangi değişim yönetimi tekniklerini uyguladıklarını, değişim yönetimi uygulanırken çalışanların dirençlerinin neler olduğunu, bu tepkilerin üstesinden gelebilmek için yöneticilerin hangi tedbirleri aldığını incelemeyi ve değişim yönetiminin örgütsel performansı nasıl etkilediğini ortaya koyabilmeyi amaçlamaktadır. Değişim yönetiminden sorumlu ve daha fazla ilişkili olmaları sebebiyle İzmir İli Kemalpaşa organize sanayi bölgesindeki işletmelerin üst ve orta düzey yöneticilerine ulaşmak hedeflenmiştir. Bu bölgede beş yıldan uzun süredir faaliyet gösteren 60 işletmede görevli 150 üst ve orta düzey yöneticiye İŞKUR sorumlu iş ve meslek danışmanları aracılığıyla mail ve telefon yoluyla anket formu gönderilmiştir. Değişim yönetimi kapsamında başarı, çevre, teknoloji, yapı, strateji, performans, direnç, önlem ve teknik gibi birçok değişkenin ele alındığı anket çalışmasına geri dönüş gerçekleştirilen 110 anketten 100 tanesi değerlendirme için uygun bulunmuştur. Sonuç olarak yöneticilerin değişime uyum sağlamak amacıyla kullanılan değişim yönetimi teknikleri hakkında kapsamlı bir şekilde bilgi sahibi olmadıkları tespit edilmiştir. Bunun yanı sıra değişim sürecinde iş görenlerin değişime karşı gösterdiği direncin önemli olduğu ancak bu direncin işletme performansını anlamlı bir seviyede etkilemediği sonucuna ulaşılmıştır. Çalışmanın bu alanda yapılan benzer araştırmalarla kıyaslanması sürecinde özellikle teknik, teknoloji ve önlem boyutlarında daha fazla araştırma yapılmasına ihtiyaç duyulduğu tespit edilmiştir. Ayrıca rekabetçi ve teknolojik değişimin yüksek olduğu çevrede, işletmelerin varlığını devam ettirebilmesi için organizasyon yapısında ve özellikle stratejisinde uyguladığı değişim yönetiminin işletme performansını olumlu yönde etkilediği ortaya konulmuştur.

**Anahtar Kelimeler:** Değişim Yönetimi, Değişim Yönetimi Teknikleri, Direnç, Performans

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# Risk ve Belirsizlik Altında Karar Verme Davranışı ve Nöroekonomi

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**Özet:** Nöroekonomi, ekonomik kararların sinirsel temellerini belirlemek amacıyla nörobilimsel ölçü araçlarını kullanan disiplinler arası bir alan olarak kabul edilmektedir. Bu çalışmada ekonomik karar verme mekanizması nörobilim açısından incelenmektedir. Rasyonel kararların beynin mantık kısmında alınıp alınmadığı, risk ve belirsizlik ortamında verilen kararların beynin hangi kısımlarını harekete geçirdiği yapılan deneyler çerçevesinde analiz edilmektedir. İlk olarak beynin işlevleri ve iktisadi karar verme süreci üzerindeki etkisi ele alınmaktadır. İkinci olarak, ekonomi teorisinde risk ve belirsizlik altında karar verme sürecini inceleyen "beklenen fayda teorisi"nin anomalileri ve bu anomalileri ortaya çıkaran deneylerin sonuçlarına yer verilmektedir. Son olarak, risk ve belirsizlik altında karar verme süreci nöroekonomi çerçevesinde deneysel örneklerle incelenmektedir. Çalışmanın amacı, karar verme sürecinde duyguların güçlü bir etkiye sahip olup olmadığını ortaya koymaktır. Tüm yapılan deneylerde insanların kararlarında sistematik hatalar yaptığı, risk ve belirsizlik altında beynin evrimsel olarak daha yaşlı kısmının harekete geçtiği bulgularına ulaşılmıştır. Sonuçlar belirsizlikten kaçınma için herhangi bir özel açıklamayı açıkça desteklemese de, açık olan şu ki; insanlar belirsizliğe karşı anında olumsuz bir duygusal tepki vermektedirler.

**Anahtar Kelimeler:** nöroekonomi, davranışsal İktisat, karar verme

# Neuroeconomics, Decision-Making Behavior under Risk and Uncertainty

**Abstract:** Neuroeconomics is an interdisciplinary field that uses neuroscientific measurement tools to determine the neural basis of economic decisions. In this study, economic decision making mechanism is examined in terms of neuroscience. Many experiments have been conducted on whether rational decisions are made in the logic part of the brain, and which parts of the brain are activated by decisions made in an environment of risk and uncertainty. In this study, analysis is made within the framework of these experiments. First, the functions of the brain and its effect on the economic decision-making process are discussed. Secondly, the anomalies of the "expected utility theory" that examines the decision-making process under risk and uncertainty in economic theory and the results of the experiments that reveal these anomalies are included. Finally, the decision-making process under risk and uncertainty is examined with empirical examples within the framework of neuroeconomics. The aim of the study is to reveal whether emotions have a strong influence in the decision-making process. In all experiments, it has been found that humans make systematic mistakes in their decisions, and that the evolutionarily older part of the brain is activated under risk and uncertainty. While the results do not explicitly support any specific explanation for uncertainty avoidance, what is clear is that people have an immediate negative emotional response to uncertainty.

**Key Words:** neuroscience, behavioral economics, decision making

# Stagflasyonun Ortaya Çıkmasında İktisat Politikalarının Rolü ve Çözüm Önerileri

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**Özet:** Stagflasyon, durgun ekonomik büyüme, yüksek enflasyon ve yüksek işsizliğin bir arada görüldüğü iktisadi bir durumdur. Bu çalışma stagflasyonun ortaya çıkmasında önemli rol oynayan iktisat politikası uygulamalarına dikkat çekmektedir. Çalışmanın amacı, birbiriyle çelişen sıkılaştırıcı/genişletici para ve maliye politikaları uygulamalarının stagflasyon sorununun ortaya çıkmasında ya da bu sorunun daha da artmasındaki rolünü ülke örnekleriyle ortaya koymaktır. Hükümetlerin enflasyonla mücadele etmesi ve sıkı para politikası uygulaması gerekirken seçmenlerin desteğini kaybetmemek için faiz oranlarını düşürmeye yönelik genişletici para politikası uygulamaları stagflasyon sorunun çözümünü zorlaştırmaktadır. Phillips-eğrisinde ifade edilen işsizlik ve enflasyon arasındaki trade-off ilişkisinin stagflasyonda geçerli olmaması iktisat politikası seçiminde zorluklara yol açmaktadır. Çalışmanın temel bulgusu, stagflasyonla mücadelede önceliğin enflasyon sorunu çözümüne verilmesi gerektiği ancak sıkılaştırıcı iktisat politikalarının üretimde sert daralmalara ve işsizlikte kalıcı sorunlara yol açmaması için en optimal seçim olan "policy mix" uygulamasına başvurulmasıdır.

**Anahtar Kelimeler:** stagflasyon, enflasyon, işsizlik, para politikası

# The Role of Economic Policies in the Emergence of Stagflation and Solution Proposals

**Abstract:** Stagflation is an economic situation where stagnant economic growth, high inflation and high unemployment are seen together. This study draws attention to the economic policy practices that play an important role in the emergence of stagflation. The aim of the study is to reveal the role of the conflicting tightening / expansionary monetary and fiscal policies in the emergence of the stagflation problem or in the further increase of this problem with country examples. While governments should fight inflation and implement tight monetary policy, expansionary monetary policy practices aimed at lowering interest rates in order not to lose the support of voters make it difficult to solve the problem of stagflation. The fact that the trade-off relationship between unemployment and inflation expressed in the Phillips-curve is not valid in stagflation causes difficulties in the choice of economic policy. The main finding of the study is that the priority should be given to the solution of inflation problem in the fight against stagflation, but the most optimal choice is "policy mix" applications in order to prevent hard contractions in production and permanent problems in unemployment.

**Key Words:** stagflation, inflation, unemployment, money policy