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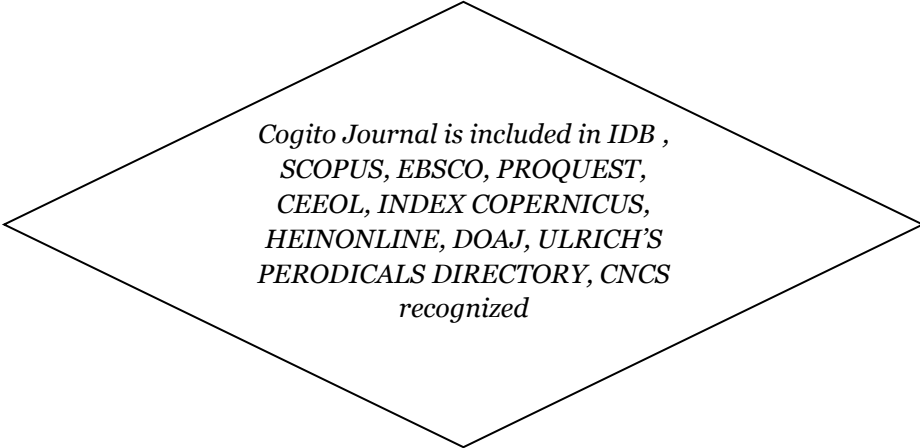
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# SYSTEMATIZATION OF PREDICATION RELATIONS IN PLATONIC DIALOGUES: AN EXHAUSTIVE ANALYSIS OF THE VARIOUS TYPES OF PREDICATION AND PARTICIPATION IN PLATO

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**Abstract:** *Based on the various senses of predications implied in the platonic texts, I attempt to shed light on the several types of predication and participation relations met in a number of selected Platonic dialogues and to construct conceptual maps including the main Platonic ideas interconnected in various modes. Various types of predication and participation (128 exemplary cases) are examined, such as the normal connective-is predication, Pauline predication, identity, difference, otherness and definition. Among them the cases of self-predication and self-participation are given special attention.*

**Keywords:** *Platonic ontology, ancient philosophy, predication, participation, Platonic ideas*

## Introduction

The meaning of the simple predicate proposition ‘A is B’ is neither trivial nor univocal. There are various types of relations, hidden under the copula ‘is’, of which the most prevalent is the relation of the participation of a sensible thing or number or an idea in an idea. The participation relation can be also noted through alternative expressions, such as ‘is affected by’, ‘has’, ‘possesses’. Apart from the participation relation there are also some other relations implied through the copula ‘is’, such as brings, ‘included in’, ‘existing within’, ‘communicating with’, ‘is the same as’, ‘is defined as’.

This article aims at locating and extracting Platonic predication relations of various types, organizing them in 9 categories. Each category is subdivided into a number of textual expressions. Within each textual expression a number of characteristic certain predications extracted from the Platonic dialogues are presented. Thus, 128 predications have been organized within 29 textual expressions, which are included in 9 categories.

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The first category concerns a thing participating in an idea and it contains 3 textual expressions.

The second category concerns an idea participating in another idea and it contains 14 textual expressions.

The third category concerns self-predication and it contains 1 textual expression.

The fourth category concerns an idea included in another idea and it contains 5 textual expressions.

The fifth category concerns Pauline predication and it contains 2 textual expressions.

The sixth category concerns identity and it contains 1 textual expression.

The seventh category concerns difference and it contains 1 textual expression.

The eighth category concerns otherness and it contains 1 textual expression.

The ninth category concerns definition and it contains 1 textual expression.

This thorough analysis of the Platonic texts in terms of the various types of predication is expected to give the researchers of ancient philosophy a useful tool for deeper understanding of the different senses of apparently the same textual expressions.

After a short introduction, a state of the art concerning the issues of Platonic predicate relations and participation mechanism is given. The various types of predications are analysed theoretically in the next chapter, leading to 9 distinct general categories. Then, a number of the most rich in predications Platonic dialogues is selected. They are examined thoroughly to extract all the included predications and categorize each of them (128 certain cases) into specific textual expressions, included in one of the 9 predefined categories. The theoretical analysis given previously presents the criteria for the inclusion of each predication relation in one of the aforementioned general categories. The article concludes with a concise exposition of all the predication expressions and the expected benefits of the presented work.

### **An outline of the basic research concerning predication in Plato**

The supporters of the *prima facie* familiar relation of participating [μετέχειν] were in front of great difficulties and logical paradoxes, the most severe being the ‘third man argument’ (TMA), as it is vividly presented in Platonic *Parmenides*. In TMA the main issue is self-participation, which, considered in a certain aspect, leads to the paradox of infinite regress, though some revered commentators claim that it can be faced without



logical fallacies. Of special interest is the mutual predication or communication between the five great genera-ideas of being, motion, rest, sameness and difference presented by late Plato in *Sophist*. In addition, some other relations are hidden under the predication form, such as the identity and the otherness, analytically presented also in *Sophist*.

The most prominent commentators of the nature of Platonic predications –considered as participations- are Allen<sup>1</sup>, Nehamas<sup>2</sup> and Ryle<sup>3</sup>.

Allen and Nehamas focus on the various levels of reality of the ideas and the participating sensibles. Additionally, Allen gives a detailed analysis of the participation process –under the name Dilemma of Participation– based on the relations proposed by Parmenides in the homonymous dialogue:

*If anything partakes of an Idea, part of the Idea is in it:*  
Assumed at Platonic *Parm.* 131c; Used at 144c-d, and required for the admission that there are sensibles and they partake of Ideas. *If something partakes of an Idea, the part of the Idea in it is part of the participant:* Assumed at 131a-c; used at 142d-e<sup>4</sup>.

Ryle has to be also mentioned for his rigorous theory about predications, focusing on the confusion caused by the familiarity of the predication relation between a particular and a universal (*instance-of* relation), which, for him, is not a valid relation, since it connects things of different types. Since *instance-of* is a common view of the participation relation, its problematic character led Ryle to a radical rejection of the whole Platonic theory of ideas<sup>5</sup>.

Of great importance is the matter of self-predication and self-participation. Nehamas discerns self-predication from self-participation as follows: the self-predication 'F is F' must be replaced by the most accurate expression 'F is what it is to be F'; self-predication only tells us what feature it is that the Form constitutes<sup>6</sup>; the self-participation 'F is F' implies 'F participates in F' or equivalently 'F is an F-thing'<sup>7</sup>. For Vlastos<sup>8</sup>

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<sup>1</sup> R.E., Allen, *Participation and Predication in Plato's Middle Dialogues*, 1960, pp.147-164, in: Vlastos G. (eds), *Plato. Modern Studies in Philosophy*, Palgrave Macmillan, London, 1971, pp. 167-183.

<sup>2</sup> Alexander, Nehamas, "Participation and Predication in Plato's Later Thought", *The Review of Metaphysics*, Vol. 36, No. 2, 1982, pp. 343-374.

<sup>3</sup> G. Ryle, "Plato's 'Parmenides' (II.)", *Mind*, Vol. 48, No. 191, 1939, pp. 302-325, reprinted in Ryle, G., *Plato's 'Parmenides'*, Collected Papers, London: Hutchinson, Vol.2, 1971, pp. 1-44.

<sup>4</sup> R.E., Allen, *The Dialogues of Plato, Volume 4: Plato's Parmenides*, Revised Edition, Yale University Press, 1998, p. 218.

<sup>5</sup> G. Ryle, *op.cit.*, pp. 9-12.

<sup>6</sup> Nehamas, *op.cit.*, pp. 355-356.

<sup>7</sup> *Ibid.*, p. 357.

self-predication constitutes what Nehamas considers as self-participation (F is an F-thing). On the contrary, Vlastos considers that self-predication is not valid for all Ideas and also that self-predication does not necessarily imply self-participation. He supports that some –not all- of the ideas are self-predicated, considering, for example, that 4 of the 5 great genera mentioned in *Sophist* (the being, the rest, the same and the different) are self-predicated, while the 5<sup>th</sup> genus of motion is not for the following reasons: the being is being (exists), the rest is rest (it rests), the same is same (with itself) and the different is different (from anything else), while the motion is not motion (it cannot move and change, since it is an Idea). Then Vlastos wonders whether Plato identifies self-predication with self-participation. The hints given by Plato in two passages of Platonic *Parmenides* about the possibility of self-participation of an idea are ambiguous: In *Parm.* 132a1-b2, it seems that something that is one does not participate in the Idea of One; thus, the One (the Idea of one), which obviously is one (that is, it has unity) cannot participate in itself. On the contrary, in *Parm.* 162a7-b1, the Being (the idea of being) is to be fully being only through participation in Being; thus in this case Being is required to participate in itself (the Idea of being) in order to be being.

Various attempts in the interdisciplinary area of digital humanities have emerged, especially in the field of the extraction of typical logic relations from philosophical texts. The benefits from the transformation of the natural language philosophical propositions to typical expressions include categorization, their manipulation in deduction rules schemata, mechanical evaluation of argumentation and more effective search and retrieval mechanisms.

In *Philosophical Views about Digital Information and Relational Schemata* a review of ancient classification schemata is exhibited in respect to modern relationship types<sup>9</sup>. It is claimed in this article that the relations mentioned in Platonic *Sophist* imply the earliest distinction between the two ways of predication: BT/NT (broader term/ narrower term) and identity (equivalence). The process of the extraction of typical predicate relations from a philosophical text and the construction of an analytical concept map has been presented in detail in the case of Platonic *Parmenides*<sup>10</sup>, concerning the various types of relations of the Idea of one.

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<sup>8</sup> G., Vlastos, *Platonic Studies*, Princeton University Press, 1973, translated in Greek, Greek edition, 1994, MIET publications, pp. 479-486.

<sup>9</sup> M., Dendrinou, "Philosophical Views about Digital Information and Relational Schemata", *Library Philosophy and Practice (LPP) Journal*, Vol. 9, No. 1, 2006.

<sup>10</sup> Idem, "Organization of the concepts of the Platonic dialogue *Parmenides* into a software ontology", *4th International Conference on Integrated Information (IC-ININFO-2014)*, Madrid, Spain. *AIP Conference Proceedings* 1644, 161, 2015.

The Ideas and their relations have been organized there in the frame of a software ontology.

### Various formulations of predication in Plato

Plato interpreted the attribution of a feature to a thing (sensible or number) as participation of the thing to a corresponding Idea. The participation process connotes, according to Plato, two interrelated situations: the first is that something has a certain feature (expressed as: the feature is predicated of a specific thing), constituting the so called predication; the second is that there is a cause of this predication in the form of an independent entity –Idea- in which the thing participates. Let call the above type of predication *Plato.type.1.thing-participating-in-idea*.

While in the most dialogues Plato presented in detail the predication and participation of sensibles to Ideas, there is also an extended theory of combination of Ideas -Ideas predicated of Ideas- which can be viewed as participation of an Idea in another Idea and in some cases even to itself (self-participation). Such predications are met in great extent in *Protagoras*, *Sophist* and *Parmenides*. Let call this type of predication *Plato.type.2.idea-participating-in-idea*. Passing from the sensibles - participants to the ideas - participants is described in Nehamas<sup>11</sup>.

The most frequent names used to denote the participation of a thing (sensible or a number) or an Idea in an idea are: through the copula *is*, that is, subject *is*\* predicate [idea in the form of adjective]<sup>12</sup> (\*ἐστίν) or through a composite verb-predicate<sup>13</sup> (without *is*), that is, subject [idea] *verb-predicate* or through the verb *participate* [μετέχει], that is, subject *participates-in*\* predicate [idea] (\*μετέχει τινός) or the verb *partake* [μεταλαμβάνει], that is, subject *partakes-of*\* predicate [idea] (\*μεταλαμβάνει τινός). Other equivalent expressions are: subject *is-near-to*\* predicate [idea] (\*πάρεστι), predicate [idea] *is-present-with*\* subject (\*πάρεστι), [subject] *is-said-as*\* predicate [idea] (\*λέγεται), predicate [idea] *exists-innately-in*\* subject (\*εγγίγνεται).

Another common expression for predication is through ‘has’. That is, a subject A has a feature B which can be transformed to an equivalent typical predication through ‘is’, such as the predication ‘one has parts’ equivalent to ‘one is divided’ and the predication ‘it has soul’ equivalent to ‘it is aminate’.

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<sup>11</sup> “In *Sophist* participation also obtains between one Form and another. Now that this categorical barrier has, for some reason, been crossed, we may want to ask whether participation can obtain between a Form and itself. Can a Form be among its own participants? The question is not without interest” (Nehamas, op.cit., pp. 351-352).

<sup>12</sup> Such as *just for justice*, *good for goodness*, *unitary for unity*, *moving for motion*, *resting for rest* etc.

<sup>13</sup> Such as something *moves* (instead of *is moving*), *rests* (instead of *is resting*) etc.

The name used to denote this type of predication is: subject [idea] *has\** predicate [idea] (\*ἔχει). The expression *is affected-by* [πέπονθεν] is also used as an alternate way to denote the participation in an idea, such as the things participating in unlimited or in limit (Plato, *Parm.* 158e4-7), and also the idea of the three participating in the idea of odd (Plato, *Phd.* 104a4). The name used to denote this participation of a sensible or an idea in an idea is: subject *is-affected-by\** predicate [idea] (\*πέπονθεν). Another interesting expression for the participation of a thing (sensible or number) in an Idea is that the Idea possesses (covers) the thing (Plato, *Phd.* 104d): predicate [idea] *possesses\** subject [thing] (\*κατέχει).

The common predication ‘A is B’ (the *is* in the role of copula) is equivalent to ‘A participates in B’. We can consider predication as a non-commutative relation  $\text{Pred}(A,B)$  with the property:  $\text{Pred}(A,B) \neq \text{Pred}(B,A)$  since ‘A is B’ does not in general imply ‘B is A’. The specific case  $\text{Pred}(A,B) \Leftrightarrow \text{Pred}(B,A)$ , that is, if B is predicated of A and also A is predicated of B, then A is the same to B. This is the identity relation (*Plato.type.6.identity*) studied later.

Following the view of Nehamas, I consider self-predication as a specific type of predication and I denote it as *Plato.type.3.self-predication*. The name used to denote this predication is: subject [idea] *is-what-it-is-to-be* predicate [idea], e.g. justice is what it is to be just.

Self-participation belongs to the general category of participations: *Plato.type.2.idea-participating-in-idea*. Following the view of Nehamas, we consider self-participation as the relation ‘F is an F-thing’. The name used to denote this type of predication of an idea to itself is: subject [idea] *participates-in-itself*, e.g. ‘the one is one’, ‘the motion moves’, ‘the rest rests’, ‘the being participates in being’.

An extended passage (*Phd.* 103e-105e) used for the final proof of the immortality of the soul presents a very interesting relation between ideas, where an idea A *brings* [ἐπιφέρει] another idea B: “not only will opposites not admit their opposites, but nothing which brings an opposite to that which it approaches will ever admit in itself the oppositeness of that which is brought”<sup>14</sup>. The above Platonic passages concerning an Idea bringing another Idea refer to a very important relation between Ideas as classes of things the one within the other. Vlastos uses the term implication for the description of this relation: If a thing x *is* A and A *brings* B then x *is* B. We could relate the bringing [ἐπιφέρειν] relation to the Pauline predication, which concerns sets of elements through inclusion. A relation of this kind is found, for Vlastos, in *Timaeus*, where the *intelligible living beings* are

<sup>14</sup> “μὴ μόνον τὸ ἐναντίον τὸ ἐναντίον μὴ δέχεσθαι, ἀλλὰ καὶ ἐκεῖνο, ὃ ἂν ἐπιφέρει τι ἐναντίον ἐκείνῳ, ἐφ’ ὅτι ἂν αὐτὸ ἦ, αὐτὸ τὸ ἐπιφέρον τὴν τοῦ ἐπιφερομένου ἐναντιότητα μηδέποτε δέξασθαι” (*Phd.* 105a)

within the *Living Being* [ $\delta \epsilon\sigma\tau\iota\nu \zeta\omega\omicron\nu$ ] (*Tim.* 39e). The inclusion relation is also stressed by describing next the intelligible living beings as *ideas existing within* [ $\epsilon\nu\omicron\upsilon\sigma\alpha\varsigma \iota\delta\acute{\epsilon}\alpha\varsigma$ ] and the Living Being as an idea that contains [ $\epsilon\nu \epsilon\alpha\nu\tau\tilde{\omega} \pi\epsilon\rho\iota\lambda\alpha\beta\omicron\nu$ ] the intelligible living beings (*Tim.* 30c-d). Another example is the Idea of unity, which *brings* oddness (*Phd.* 105c), that is, it *exists within* oddness, or -in other words- oddness *contains* unit. Thus an idea F included in an idea G has the sense that the class of things with a feature F is a subset of the class of things with a feature G.

Let call the above described type of predication *Plato.type.4.idea-included-in-idea*. The names used to denote this predication are: subject [idea] *brings\** predicate [idea] (\*  $\epsilon\pi\iota\phi\acute{\epsilon}\rho\epsilon\iota$ ), subject [idea] *is-subclass-of\** predicate [idea] (\*  $\kappa\alpha\tau\grave{\alpha} \gamma\acute{\epsilon}\nu\eta \mu\acute{o}\rho\iota\alpha$ ), subject [idea] *is-part-of\** predicate [idea] (\*  $\mu\acute{o}\rho\iota\alpha$ ), predicate [idea] *exists-within\** subject [idea] (\*  $\epsilon\nu\epsilon\sigma\tau\iota$ ), predicate [idea] *contains\** subject [idea] (\*  $\pi\epsilon\rho\iota\lambda\alpha\mu\beta\acute{\alpha}\nu\epsilon\iota / \pi\epsilon\rho\iota\acute{\epsilon}\chi\epsilon\iota$ ).

Vlastos<sup>15</sup> has presented two distinct approaches to cover the various predicative relations, under the names of *ordinary predication (OP)*, which is the above mentioned *Plato.type.2.idea-participating-in-idea*, and *Pauline predication (PP)*. The second type of predication was introduced by Vlastos in order to give meaning to some predications which seem absolutely unreasonable in his text *The Unity of Virtues in the Protagoras*<sup>16</sup>, like ‘the Justice is pious’ or ‘the Piety is just’ and also in his text *An Ambiguity in the Sophist*<sup>17</sup>, where the Stranger sets under consideration the premises ‘the Motion rests’ and ‘the Rest moves’. Pauline predication ‘X is Y’ is meant not with the ordinary meaning ‘the entity X has the feature Y’ but with the meaning ‘x has the feature y’, where x and y are sensible manifestations of X and Y respectively. Under this interpretation Vlastos can consider the proposition ‘the justice is pious’, which is completely nonsense, considered as ‘every just human is pious’ which makes sense. In the same way, the proposition ‘the Rest moves’ which seems false (under the argument that the Rest as idea cannot change-move) can be examined in the frame of the sensible world under the formulation ‘the resting things are moving’. This is a valid interpretation for Vlastos, since the Stranger in *Sophist* does not deal with the ideas in the specific context, but with the nature of the sensible things. Vlastos has spent a great effort to categorize the various predications found in *Sophist* in these two distinct classes. He considers the predications in 256a1, 256c-d as *OP*, while the predications in 250a11-12, 252d2-11, 255a6-12, 256b7-9 as *PP*. I do not agree with him, in the sense that all his mentioned predications in *Sophist*, characterized as *PP*, are

<sup>15</sup> G., Vlastos, *op.cit.*.

<sup>16</sup> Ibid, pp. 317-402.

<sup>17</sup> Ibid, pp. 403-448.

apparently, on my opinion, according to the context, *OP*. Among them 255a6-12 is indeed dubious, since, in spite of its apparent *OP* typical formulation, the typical logic proof of Vlastos can stand as a counter-argument<sup>18</sup>. All of them will be presented in detail in the next chapter.

Let call this extraordinary type of Pauline predication between ideas: *Plato.type.5.Pauline-Predication*, and the name used to denote this type of predication be: subject [idea1] *is-PP* predicate [idea2]  $\Leftrightarrow$  the class of the sensible manifestations of [idea1] *is included in* the class of the sensible manifestations of [idea2]. A similar predication concerns two ideas applied to each other in such a way that their sensible manifestations are in fact related, such as the mastership is mastership of slavery, which can be meant as a master is master of a slave (*Parm.* 133d-e). The name used to denote this type of predication will be: subject [idea1] *is-applied-on-PP* predicate [idea2]  $\Leftrightarrow$  a sensible manifestation of [idea1] *is applied on* a sensible manifestation of [idea2].

Ackrill<sup>19</sup> contributed a lot by his deep analysis of a critical part of *Sophist* leading to the clear discrimination between predication, identity and idea-to-idea communication.

At first he studies the Platonic phrase in *Sophist* about Motion: “it is because it shares in being” [ἔστι δὲ γε διὰ τὸ μετέχειν τοῦ ὄντος] [*Sophist*, 256a1]. The word because [διὰ] here does not introduce a proof that Motion partakes of being, since this has already been agreed without question before. Therefore, for Ackrill, this *is* [ἔστι] must be taken existentially: “the Motion exists”<sup>20</sup>.

The name used to denote this predication is: subject [idea] *exists\** (\* ἔστιν). The predicate *exists* is equivalent to the predicate *participates-in* being. Therefore, it is a specific case of *Plato.type.2.idea-participating-in-idea*.

The remaining meanings of *is* [ἔστιν] are the ordinary copula and the identity-sign. Where it is being used as copula it is equivalent philosophically to participating [μετέχειν], as we saw it in the beginning of the modes of participation in an idea. When the ‘*is*’ is used as identity, it is equivalent to the expression ‘shares in sameness’ [μετέχειν τοῦ ταυτοῦ], whereas the ‘*is not*’ [οὐκ ἔστιν] is equivalent to the expression ‘shares in difference’ [μετέχειν τοῦ θατέρου]<sup>21</sup>. Vlastos also marks the case where the

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<sup>18</sup> Ibid, pp. 438-439.

<sup>19</sup> J.L., Ackrill, “Plato and the Copula: *Sophist* 251–59”, *Journal of Hellenic Studies* 77 (1), 1957, pp.1-6, in: G., Vlastos (eds), *Plato. Modern Studies in Philosophy*, Palgrave Macmillan, London, 1971, pp. 211-21.

<sup>20</sup> Ibid, pp. 211-212.

<sup>21</sup> Ibid, pp. 213-214.

copula is meant as identity-sign<sup>22</sup>: Motion partakes of the same (*Soph.* 256a10), Motion/ Rest partakes of the same (*Soph.* 255b3), all partake of the same (*Soph.* 256a7-8).

Ackrill uses the vivid distinction between *is-copula* (is of predication) and *is-identity* studied by Frege, quoting some of his examples: ‘something is green’ or ‘something is mammal’ versus ‘the morning star is Venus’. The last example denotes identity, where the ‘is’ is equivalent to ‘is no other than’<sup>23</sup>.

Identity is a commutative relation, since ‘A is same as B’ implies ‘B is same as A’. Let call the identity type of relation between ideas *Plato.type.6.identity*. The name used to denote *identity* is: subject [idea] *is-same-as\** predicate [idea] (\*ταὐτόν ἐστι). The relation *is-same-as* is equivalent to the relation *participates-in* sameness to. A specific case of identity is the declaration that an idea is identical to itself, such as ‘motion is the same as motion’ and ‘rest is the same as rest’ (mentioned in *Sophist*). The predication ‘idea *is-same-as* itself’ is equivalent to ‘idea *participates-in* sameness to itself’, which can be abbreviated to the formal expression: [idea] *participates-in* sameness [μετέχει τοῦ ταυτοῦ], following the Platonic text. This predication is included as a specific case of *Plato.type.2.idea-participating-in-idea*.

Similarly, let call the difference type of relation between ideas *Plato.type.7.difference*. The name used to denote the relation of *difference* is: subject *is-different-from\** predicate (\*ἕτερόν/ ἄτερον ἐστι). The relation *is-different-from* is equivalent to not *same-as* and also equivalent to the relation *participates-in* difference from. According to the above terminology, an idea A is *different from* an idea B, when A is not the same as B. This relation could be also named as *unlike* [ἀνόμοιον], as mentioned in Platonic *Parmenides*.

Another important relation between two ideas is the relation of *otherness*, with A and B completely different, not sharing any common characteristic (the term used in *Parmenides* is ἕτερον). Let call this type of relation between ideas *Plato.type.8.otherness*. The name used to denote the relation of *otherness* is: subject [idea] *is other-than\** predicate [idea] (\*ἕτερόν ἐστι)<sup>24</sup>.

Ackrill mentions a very informative extract of David Ross, where he presents two different textual constructions: the first with the genitive for an idea sharing of/ partaking of an idea [κοινωνεῖν τινός, προσκοινωνεῖν τινός] (*Parm.* 250b9, 252a2, b9, 254c5, 256b2, 260e2) as well as the second with the dative for an idea in combination or communication with

<sup>22</sup> G., Vlastos, *op.cit.*, p.444.

<sup>23</sup> J.L., Ackrill, *op.cit.*, p. 213.

<sup>24</sup> We must make here a distinction between the relation ‘other than’ mentioned above and the concept ‘the others’ used in *Parmenides* as a term for the *not-one*.

an idea [*κοινωνεῖν τινι, προσκοινωνεῖν τινι*] (251d9, e8, 252d3, 253a8, 254b8, c1, 257a9, 260e5). Though Ross believes that the two constructions are used by Plato indifferently, Ackrill supports that the usage of the genitive or the dative is used consciously by Plato to differentiate between the non-symmetrical relation of participation and the symmetrical relation of connectedness<sup>25</sup>.

These additional expressions belong to the general category ‘participation of an Idea in an Idea’ (*Plato.type.2.idea-participating-in-idea*). The names used for these expressions are: subject [idea] *shares-in\** predicate (*\*κοινωνεῖ τινος*) and subject [idea] *communes-with\** predicate [idea] (*\*προσκοινωνεῖ τινος*), where the verbs *κοινωνεῖ* and *προσκοινωνεῖ* are followed by genitive.

Another usual practice of arranging ideas, found in the Platonic dialogues, is the trial for the definition of a term through its genus and the proper differentia. The term to be defined is a species, which is described through a higher term, the genus. These cases have been extracted from *Laches*, *Euthyphro*, *Theaetetus*, *Protagoras*, *Alcibiades I* and *Hippias Major*, where Socrates tries to define certain Ideas (usually virtues). Between them an ‘is’ is intervened. Thus, in this case, an idea (the genus) is the predicate of another idea (the species). Let call this type of predication between ideas: *Plato.type.9.Definition-Predication*, and the name used to denote this type of predication: subject [idea1] *is-defined-as* predicate [idea2].

### Constructing the Platonic conceptual scheme

Next, I present the certain cases of the various types of predication, as they are mentioned in relative passages of Platonic dialogues (the translation from ancient Greek to English is based on Perseus Digital Library of Tufts University)<sup>26</sup>. The dialogues used are: *Sophist*, *Parmenides*, *Timaeus*, *Phaedo*, *Philebus*, *Protagoras*, *Meno*, *Alcibiades I*, *Laches*, *Lysis*, *Charmides*, *Theaetetus*, *Euthyphro*, *Hippias Major*.

#### *Plato.type.1.thing-participating-in-idea*

All the various expressions that follow are categorized under the general expression: *participates-in*.

Textual expression 1.1: subject *participates-in\** predicate [idea] (*\*μετέχει τινός*)

“You would exclaim loudly that you know no other way by which any thing can come into existence than by participating in the proper essence of each thing in which it participates, and therefore you accept no other cause of the existence of two than participation in duality, and things which are to be two must participate in duality” (*Phd.* 101c).

<sup>25</sup> J.L., Ackrill, *op.cit.*, pp. 219-220.

<sup>26</sup> <http://www.perseus.tufts.edu/hopper/>



|Pred.1| [two] *participates-in* [duality]

Textual expression 1.2: predicate [idea] *possesses\** subject [thing] (\*κατέχει)

“You know of course that those things which the idea of triad possesses must be not only three but also odd” (*Phd.* 104d).

|Pred.2| [triad] *possesses* [thing]

Textual expression 1.3: predicate [idea] *exists-innately-in\** subject [thing] (\*εγγίγνεται)

“If you ask what exists innately in a number through which it becomes odd, I shall not say oddness, but unity, and so forth” (*Phd.* 105c).

|Pred.3| [unity] *exists-innately-in* [number]

*Plato.type.2.idea-participating-in-idea*

All the various expressions that follow are categorized under the general expression: *participates-in*.

Textual expression 2.1: subject [idea] *is\** predicate [idea in its very form or in the form of adjective] (\*ἐστίν)

Stranger: “But yet nothing hinders that which has parts from possessing the attribute of unity in all its parts and being in this way one, since it is all [πᾶν] and whole [ὅλον]” (*Sophist*, 245a1-3).

“must not the one which exists [ἐν ὅν] be a whole of which the one and being are parts?” “Inevitably” (*Parm.* 142d4).

“Whatever one, then, exists is a whole and has a part” (*Parm.* 142d8-9).

|Pred.4| [one] *is* [all]

|Pred.5| [one] *is* [whole]

“the existent one would be infinite in number?” “Apparently” (*Parm.* 143a1-2).

“Can the one be in many places at once and still be a whole? Consider that question.” “I am considering and I see that it is impossible.” “Then it is divided into parts, if it is not a whole; for it cannot be attached to all the parts of existence at once unless it is divided” (*Parm.* 144d1-5).

“The one, then, split up by existence, is many and infinite in number”. “Clearly.” “Then not only the existent one is many, but the absolute one divided by existence, must be many.” “Certainly”. “And because the parts are parts of a whole, the one would be limited by the whole” (*Parm.* 144e4-10).

|Pred.6| [one] *is* [infinite]

|Pred.7| [one] *is* [divided]

|Pred.8| [one] *is* [many]

|Pred.9| [one] *is* [limited]

“Socrates: Is the class of the good necessarily perfect or imperfect? – Protarchus: The most perfect of all things, surely, Socrates” (*Phil.* 20d).

|Pred.10| [good] *is* [perfect]

“Socrates: Well, and is the good sufficient? – Protarchus: Of course; so that it surpasses all other things in sufficiency” (*Phil.* 20d).

|Pred.11| [good] is [sufficient]

“Then if we cannot catch the good with the aid of one idea, let us run it down with three: beauty, proportion, and truth” (*Phil.* 65a).

|Pred.12| [good] is [beautiful]

|Pred.13| [good] is [symmetric]

|Pred.14| [good] is [true]

“Meno: Yes, I think so; for justice, Socrates, is virtue” (*Meno*, 73d).

|Pred.15| [justice] is [virtue]

“Meno: Well then, bravery, I consider, is a virtue, and prudence, and wisdom, and grandiosity; and there are a great many others” (*Meno*, 74a).

|Pred.16| [bravery] is [virtue]

|Pred.17| [prudence] is [virtue]

|Pred.18| [wisdom] is [virtue]

|Pred.19| [grandiosity] is [virtue]

“Socrates: Well now, surely we call virtue a good thing, do we not, and our hypothesis stands, that it is good? – Meno: Certainly we do” (*Meno*, 87d)

|Pred.20| [virtue] is [good]

“Socrates: But bravery was admitted to be something beautiful” (*Laches*, 193d).

|Pred.21| [bravery] is [beautiful]

“But now, is the good a friend? – I should say so” (*Lysis*, 220b)

|Pred.22| [good] is [friendly]

Textual expression 2.2: subject [idea] *participates-in*\* predicate [idea] (\* μετέχει τινός)

Stranger: “Both (motion and rest) certainly participate in the same and the other” (*Sophist*, 255b3).

|Pred.23| [motion] *participates-in* [different]

|Pred.24| [rest] *participates-in* [different]

“One participates in being” (*Parm.* 142c6)

|Pred.25| [one] *participates-in* [being]

“And the one, apparently, being of such a nature, will participate in some shape, whether straight or round or a mixture of the two” (*Parm.* 145b4-6).

|Pred.26| [one] *participates-in* [straight-shape]

|Pred.27| [one] *participates-in* [round-shape]

|Pred.28| [one] *participates-in* [mixed-shape]

“the part must participate in the one” (*Parm.* 157e5-158a1)

|Pred.29| [part] *participates-in* [one]

“prudence’s participation in good is greater than pleasure’s” (*Phil.* 60b).

|Pred.30| [prudence] *participates-in* [good]

|Pred.31| [pleasure] *participates-in* [good]

Textual expression 2.3: subject [idea] *partakes-of*\* predicate [idea] (\* μεταλαμβάνει τινός)

Stranger: “Then even if absolute motion partook in any way of rest, it would not be absurd to say it was at rest?” –Theaetetus: “It would be perfectly right, if we are to admit that some of the classes will mingle with one another, and others will not” (*Sophist*, 256b7-11).

|Pred.32| Not [motion] *partakes-of* [rest]

Textual expression 2.4: subject [idea] *participates-in-itself*

Stranger: “And in granting that they (motion and rest) exist, do you mean to say that both and each are in motion?” Theaetetus: “By no means”. –Stranger: “But do you mean that they are at rest, when you say that both exist?” –Theaetetus: “Of course, not” (*Sophist*, 250b2-7).

|Pred.33| Not [motion] *moves* ⇔ Not [motion] *participates-in* [motion] ⇔ Not [motion] *participates-in-itself* (the self-participation here is not valid)

“the existence of the existent and the non-existence of the non-existent would be best assured, when the existent partakes of the existence of being existent and of the non-existence of not being non-existent” (*Parm.* 162a7-b1)

|Pred.34| [being] *participates-in* [being] ⇔ [being] *participates-in-itself*

Textual expression 2.5: subject [idea] *participates-in* sameness\* (\*μετέχει τοῦ ταυτοῦ) – Self-sameness

Stranger: “Each of them (being, motion, rest) is, then, different from the remaining two, but the same as itself” (*Sophist*, 254d15-16).

Stranger: “Both (motion and rest) certainly participate in the same and the other” (*Sophist*, 255b3).

Stranger: “But yet we found it (motion) was the same, because all things participate in the same” (*Sophist*, 256a7-8).

|Pred.35| [being] is-same-as [being] ⇔ [being] *participates-in* [sameness]

|Pred.36| [motion] is-same-as [motion] ⇔ [motion] *participates-in* [sameness]

|Pred.37| [rest] is-same-as [rest] ⇔ [rest] *participates-in* [sameness]

“it (the one) must be the same with itself” (*Parm.* 146a9).

|Pred.38| [one] is-same-as [one] ⇔ [one] *participates-in* [sameness]

“It is, then, also (the one) unlike itself” (*Parm.* 147c1-2).

|Pred.39| [one] is unlike [one] ⇔ Not [one] is-same-as [one] ⇔ Not [one] *participates-in* [sameness]

Textual expression 2.6: predicate [idea] *exists*\* (\*ἔστιν)

Stranger: “But it (motion) exists, by reason of its participation in being” (*Sophist*, 256a1).

Stranger: “And yet you say that both (motion and rest) and each of them equally are?” (*Sophist*, 250a).

|Pred.40| [motion] *exists* ⇔ [motion] *participates-in* [being]

|Pred.41| [rest] *exists* ⇔ [rest] *participates-in* [being]

Textual expression 2.7: subject [idea] *verb-predicate*

Stranger: “According to its own nature, then, being is neither at rest nor in motion” (*Sophist*, 250c6-7).

|Pred.42| Not [being] *moves* ⇔ Not [being] *participates-in* [motion]

|Pred.43| Not [being] *rests* ⇔ Not [being] *participates-in* [rest]

Theaetetus: “Because motion itself would be wholly at rest, and rest in turn would itself be in motion, if these two could be joined with one another”. –Stranger: “But surely this at least is most absolutely impossible, that motion be at rest and rest be in motion?” –Theaetetus: “Of course” (*Sophist*, 252d6-11).

|Pred.44| Not [rest] *moves* ⇔ Not [rest] *participates-in* [motion]

|Pred.45| Not [motion] *rests* ⇔ Not [motion] *participates-in* [rest]

“This being its nature, must not the one be both in motion and at rest?” “How is that?” (*Parm.* 145e7-8).

|Pred.46| [one] *moves* ⇔ [one] *participates-in* [motion]

|Pred.47| [one] *rests* ⇔ [one] *participates-in* [rest]

Textual expression 2.8: subject [idea] *is-said-as\** predicate [idea] (\* λέγεται)

Stranger: “Why surely that which is really one must, according to right reason, be said to be completely without parts” (*Sophist*, 245a8-9).

|Pred.48| [one] *is-said-as* not [divided]

Textual expression 2.9: subject [idea] *has\** predicate [idea] (\* ἔχει)

Stranger: “Then shall we say that it has mind and life and soul, but, although endowed with soul, is absolutely immovable?” (*Sophist*, 249a11-12).

|Pred.49| [being] *has* [soul] ⇔ [being] *is* [aminate]

|Pred.50| [being] *has* [mind] ⇔ [being] *is* [thoughtful]

|Pred.51| [being] *has* [life] ⇔ [being] *is* [living]

“καὶ ὅλον ἄρα ἐστί, ὃ ἂν ἐν ᾧ, καὶ μέρειον ἔχει” (*Parm.* 142d8-9).

|Pred.52| [one] *has* [part] ⇔ [one] *is* [divided]

“always one has being and being has one” (*Parm.* 142e7-8).

|Pred.53| [one] *has* [being] ⇔ [one] *is* [being]

|Pred.54| [being] *has* [one] ⇔ [being] *is* [one]

Textual expression 2.10: subject [idea] *is-affected-by\** predicate [idea] (\* πέπονθεν)

Stranger: “But yet nothing hinders that which has parts from possessing the attribute of unity in all its parts and being in this way one, since it is all [πᾶν] and whole [ὅλον]” (*Sophist*, 245a1-3)

|Pred.55| [part] *is-affected-by* [one]

“Inasmuch as they (the others) are all by their own nature unlimited, they are all in that respect affected in the same way” “Certainly” “And surely inasmuch as they all partake of limitation, they are all affected in the same way in that respect also” (Parm. 158e4-7).

|Pred.56| [the-others] *is-affected-by* [unlimited]

|Pred.57| [the-others] *is-affected-by* [limit]

Textual expression 2.11: [subject] *is-near-to\** predicate [idea] (\*πάρεστι)

“whatever living being is near to the good always, altogether, and in all ways, has no further need of anything, but is perfectly sufficient” (Phil. 60c).

|Pred.58| [living-being] *is-near-to* [good]

Textual expression 2.12: predicate [idea] *is-present-with\** subject (\*πάρεστι)

“suppose some one tinged your golden locks with white lead, would they then be or appear to be white? - Yes, they would so appear, he replied. - And, in fact, whiteness would be present with them? - Yes” (*Lysis*, 217d).

|Pred.59| [whiteness] *is-present-with* [locks of hair]

Textual expression 2.13: subject [idea] *shares-in\** predicate [idea] (\*κοινωνεῖ τινας)

“since you comprehend and observe that they (motion and rest) share in being” (*Sophist*, 250b9).

|Pred.60| [motion] *shares-in* [being]

|Pred.61| [rest] *shares-in* [being]

Textual expression 2.14: subject [idea] *communes-with\** predicate [idea] (\*προσκοινωνεῖ τινας)

“Stranger: Well, then, will either of them (motion and rest) be, if it does not commune with being? -Theaetetus: It will not” (*Sophist*, 252a2-4).

|Pred.62| [motion] *communes-with* [being]

|Pred.63| [rest] *communes-with* [being]

*Plato.type.3.self-predication*

Textual expression 3.1: subject [idea] *is-what-it-is-to-be* predicate [idea]

“the thing you named just now, justice, is that itself just or unjust? ... then justice is of a kind that is just” (*Prot.* 330c).

|Pred.64| [justice] *is-what-it-is-to-be* [just]

“Do you say this thing itself [piety] is of such nature as to be impious, or pious? For my part I should be annoyed at this question, I said, and should answer: Hush, my good sir. It is hard to see how anything could be pious, if piety itself is not to be pious” (*Prot.* 330d-e).

|Pred.65| [piety] *is-what-it-is-to-be* [pious]

*Plato.type.4.idea-included-in-idea*

All the various expressions that follow are categorized under the general expression: *is-included-in*.

Textual expression 4.1: subject [idea] *brings\** predicate [idea] (\*ἐπιφέρει)

“If you ask what causes a number in which it is to be odd, I shall not say oddness, but the unity, and so forth” (*Phd.* 105c).

|Pred.66| [unity] *brings* [oddness]

The act of an Idea bringing another Idea is also included in the passage we had mentioned in the case of an Idea possessing a thing (textual expression 1.2).

“You know of course that those things which the idea of triad possesses must be not only three but also odd” (*Phd.* 104d).

|Pred.67| [threeness] *brings* [oddness]

Textual expression 4.2: subject [idea] *is-subclass-of\** predicate [idea] (\*κατὰ γένη μόρια)

“But we shall affirm that the Cosmos, more than aught else, resembles most closely that Living Being of which all other living beings, severally and generically, are portions” (*Tim.* 30c).

|Pred.68| [intelligent-living-being] *is-subclass-of* [Living-Being]

“mind is a subclass of one of our four classes, which was called the cause of all” (*Phil.* 30e).

|Pred.69| [mind] *is-subclass-of* [cause]

“mind was akin to cause and was a subclass more or less of that class, and pleasure was itself infinite and was a subclass of the class which, in and by itself, has not and never will have either beginning or middle or end” (*Phil.* 31a).

|Pred.70| [pleasure] *is-subclass-of* [infinite]

Textual expression 4.3: subject [idea] *is-part-of\** predicate [idea] (\*μόρια)

“Among the parts of virtue, no other part is like knowledge, or like justice, or like bravery, or like prudence, or like piety” (*Prot.* 330b).

“Socrates: Then it seems that justice or prudence or piety or some other part of virtue must accompany the procuring of these things” (*Meno*, 78d-e).

“Socrates: that it is a part, there being also other parts, which taken all together have received the name of virtue. – Nicias: Why, of course. – Socrates: ... Besides bravery, I refer to prudence, justice, and other similar qualities” (*Laches*, 198a)

|Pred.71| [knowledge] *is-part-of* [virtue]

|Pred.72| [justice] *is-part-of* [virtue]

|Pred.73| [bravery] *is-part-of* [virtue]  
 |Pred.74| [prudence] *is-part-of* [virtue]  
 |Pred.75| [piety] *is-part-of* [virtue]  
 “piety is a part of the just” (*Euthyphro*, 12d)  
 |Pred.76| [piety] *is-part-of* [justice]

Textual expression 4.4: predicate [idea] *exists-within*\* subject [idea]  
 (\* ἔνεστι)

“Reason perceives Forms existing in the Living Being itself, such and so many as exist therein” (*Tim.* 39e).

|Pred.77| [intelligent-living-being] *exists-within* [Living-Being]

Textual expression 4.5: predicate [idea] *contains*\* subject [predicate]  
 (\* περιλαμβάνει/ περιέχει).

“Living Being embraces and contains within itself all the intelligible living beings” (*Tim.* 30c-d).

|Pred.78| [Living-Being] *contains* [intelligent-living-being]

Stranger: “... all things immovable and in motion, and must say that being and the all consist of both” (*Sophist*, 249d).

Stranger: “Being, then, you consider to be something else in the soul, a third in addition to these two, inasmuch as you think rest and motion are embraced by it” (*Sophist*, 250b8-10)

|Pred.79| [being] *contains* [motion]

|Pred.80| [being] *contains* [rest]

*Plato.type.5.Pauline-Predication*

Textual expression 5.1: subject [idea] *is-PP* predicate [idea in the from of adjective]

“justice is pious and piety is just” (*Prot.* 331b).

|Pred.81| [justice] *is-PP* [pious/ idea:piety] ⇔ all just humans *are* pious

|Pred.82| [piety] *is-PP* [just/ idea:justice] ⇔ all pious humans *are* just

“Socrates: And if we are good, we are beneficial; for all good things are beneficial, are they not? – Meno: Yes. Socrates: So virtue is beneficial? – Meno: That must follow from what has been admitted” (*Meno*, 87e).

|Pred.83| [virtue] *is-PP* [beneficial]

“Socrates: Well, are all just things beautiful? – Alcibiades: Yes” (*Alcib. I*, 115a).

|Pred.84| All just things *are* beautiful ⇔ [justice] *is-PP* [beautiful]

“Socrates: And that just things are profitable? – Alcibiades: Yes” (*Alcib. I*, 116d).

|Pred.85| All just things *are* profitable ⇔ [justice] *is-PP* [profitable]

“Socrates: And everyone is good in that wherein he is prudent? – Alcibiades: Yes” (*Alcib. I*, 125a).

“And prudent men are also good? - Yes. - Well, can that be good which does not produce good men? - No, indeed. - And we conclude that it is not only beautiful, but good also” (*Charm.* 160e).

“to acknowledge this to be prudence until I have made out whether such a thing as this would benefit us or not. For, you see, I have a presentiment that prudence is something beneficial and good” (*Charm.* 169b).

|Pred.86| All prudent men are good  $\Leftrightarrow$  [prudence] *is-PP* [good]

|Pred.87| [prudence] *is-PP* [beautiful]  $\Leftrightarrow$  all prudent humans are beautiful

|Pred.88| [prudence] *is-PP* [beneficial]  $\Leftrightarrow$  all prudent men benefit (from prudence)

“Socrates: Then it is impossible to be happy if one is not prudent and good” (*Alcib. I*, 134a).

|Pred.89| All happy men are prudent  $\Leftrightarrow$  [happiness] *is-PP* [prudent/idea:prudence]

|Pred.90| All happy men are good  $\Leftrightarrow$  [happiness] *is-PP* [good]

“Socrates: And the better is also more beautiful? – Alcibiades: Yes. – Socrates: And the more beautiful more befitting? – Alcibiades: Of course” (*Alcib. I*, 135b).

|Pred.91| All good things are beautiful  $\Leftrightarrow$  [good] *is-PP* [beautiful]

|Pred.92| All beautiful things are befitting  $\Leftrightarrow$  [beautiful] *is-PP* [befitting]

“Socrates: So vice is a thing that befits slavery. – Alcibiades: Apparently. – Socrates: And virtue a thing that befits freedom. – Alcibiades: Yes” (*Alcib. I*, 135c).

|Pred.93| [vice] *is-PP* [befitting-slavery]  $\Leftrightarrow$  vicious humans befit slavery

|Pred.94| [virtue] *is-PP* [befitting-freedom]  $\Leftrightarrow$  virtuous humans befit freedom

“Nicias: I have often heard you say that every man is good in that wherein he is wise, and bad in that wherein he is unlearned. – Socrates: Well, that is true, Nicias, I must say. – Nicias: And hence, if the brave man is good, clearly he must be wise” (*Laches*, 194d).

|Pred.95| All good humans are wise  $\Leftrightarrow$  [good] *is-PP* [wise/idea:wisdom]

|Pred.96| All brave men are good  $\Leftrightarrow$  [bravery] *is-PP* [good]

|Pred.97| All brave men are wise  $\Leftrightarrow$  [bravery] *is-PP* [wise/idea:wisdom]

“who has knowledge of what is to be dreaded and what is not—the man whom I call brave?” (*Laches*, 195d).

“Socrates: do you say that bravery is knowledge of what is to be dreaded or dared? – Nicias: I do” (*Laches*, 196c-d).



|Pred.98| All brave men are learned  $\Leftrightarrow$  [bravery] *is-PP* [knowledge]

Textual expression 5.2: subject [idea] *is-applied-on-PP* predicate [idea]

“if one of us is master or slave of anyone, he is not the slave of master in the abstract, nor is the master the master of slave in the abstract; each is a man and is master or slave of a man but mastership in the abstract is mastership of slavery in the abstract, and likewise slavery in the abstract is slavery to mastership in the abstract” (*Parm.* 133d-e).

|Pred.99| [mastership] *is-applied-on-PP* [slavery], that is, mastership is mastership of slavery  $\Leftrightarrow$  a master is master of a slave

|Pred.100| [slavery] *is-applied-on-PP* [mastership], that is, slavery is slavery of mastership  $\Leftrightarrow$  a slave is slave of a master

*Plato.type.6.identity*

Textual expression 6.1: subject [idea] *same-as\** predicate [idea] (\* ταὐτόν ἐστι)

Stranger: “And will they say that the whole is other than the one which exists or the same with it?” -Theaetetus: “Of course they will and do say it is the same” (*Sophist*, 244d-e).

|Pred.101| [being] *is-same-as* [one]

|Pred.102| [being] *is-same-as* [whole]

“and likewise (the one is) the same with the others” (*Parm.* 146b1-2).

|Pred.103| [one] *is-same-as* [the other(s)]

“It is, then, also (the one) unlike the others” (*Parm.* 147c1-2).

|Pred.104| [one] is unlike [the-others(s)]  $\Leftrightarrow$  Not [one] *is-same-as* [the-other(s)]

“Socrates: Hence we have seen again that beauty and good are the same thing” (*Alcib. I*, 116c).

|Pred.105| [beautiful] *is-same-as* [good]

*Plato.type.7.difference*

Textual expression 7.1: subject *different-from\** predicate (\*ἐτερόν/θάτερόν ἐστι)

Stranger: “Then being is not motion and rest in combination, but something else, different from them” (*Sophist*, 250c3-4).

Stranger: “Each of them (being, motion, rest) is, then, different from the remaining two, but the same as itself” (*Sophist*, 249d)

Stranger: “Then we must not say that motion, or rest either, is the same or different” (*Sophist*, 255b5-6).

Stranger: “Take motion first; we say that it is entirely other than rest, do we not?” -Theaetetus: “We do”. Stranger: “Then it is not rest” (*Sophist*, 255e11-14).

|Pred.106| [being] *is-different-from* [motion]

|Pred.107| [being] *is-different-from* [rest]

Stranger: “Whatever term we apply to rest and motion in common cannot be either of those two”. –Theaetetus: “Why not?”– Stranger: “Because motion would be at rest and rest would be in motion; in respect of both, for whichever of the two became ‘different’ would force the other to change its nature into that of its opposite, since it would participate in its opposite” (*Sophist*, 255a6-b1).

|Pred.108| [motion] *is-different-from* [rest]

Stranger: “But certainly motion and rest are neither different nor the same” (*Sophist*, 255a3-4).

Stranger: “Now motion again is different from the same... Therefore it is not the same” (*Sophist*, 256a3-5).

Stranger: “Then let us recapitulate: Motion is different from the different, just as we found it to be different from the same and from the rest. Is that true?” –Theaetetus: “Inevitably”. –Stranger: “Then it is in a sense not different and also different, according to our present reasoning” (*Sophist*, 256a3-5)

|Pred.109| [motion] *is-different-from* [same]<sup>27</sup>.

|Pred.110| [motion] *is-different-from* [difference]

|Pred.111| [rest] *is-different-from* [same]

|Pred.112| [rest] *is-different-from* [difference]

Stranger: “But should we conceive of “being” and “the same” as one?”. –Theaetetus: “Perhaps”. –Stranger: “But if “being” and “the same” have no difference of meaning, then when we go on and say that both rest and motion are, we shall be saying that they are both the same, since they are”. –Theaetetus: “But surely that is impossible”. –Stranger: “Then it is impossible for being and the same to be one” (*Sophist*, 255b8-c4).

|Pred.113| [being] *is-different-from* [same]

Stranger: “If the other, like being, partook of both absolute and relative existence, there would be also among the others that exist another not in relation to any other; but as it is, we find that whatever is other is just what it is through compulsion of some other... Then we must place the nature of ‘the different’ as a fifth among the classes in which we select our examples... And we shall say that it permeates them all; for each of them is other than the rest, not by reason of its own nature, but because it partakes of the idea of the other” (*Sophist*, 255d4-e6).

|Pred.114| [being] *is-different-from* [difference]

*Plato.type.8.otherness*

Textual expression 8.1: subject *is-other-than*\* predicate (\*ἕτερόν ἐστι)  
“it (the one) must be other than itself” (*Parm.* 146a9).

|Pred.115| [one] *is-other-than* [one]

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<sup>27</sup> We must make here a distinction between the genera ‘same’, ‘different’ and the relations ‘is-same-as’, ‘is-different-from’.

“and likewise (the one is) other than the others”<sup>28</sup>

|Pred.116| [one] *is-other-than* [the other(s)]

“It is, then, also (the one) like itself and others” (*Parm.* 147c1-2).

|Pred.117| [one] is like [one] ⇔ Not [one] is-other-than [one]

|Pred.118| [one] is like [the-others(s)] ⇔ Not [one] is-other-than [the-other(s)]

*Plato.type.9.Definition-Predication*

Textual expression 9.1: subject [idea1] *is-defined-as* predicate [idea2]

“So the wisdom that knows what is and what is not dreadful is bravery” (*Prot.* 360d).

|Pred.119| [bravery] *is-defined-as* [wisdom]

“Socrates: And self-knowledge did we admit to be prudence? – Alcibiades: To be sure” (*Alcib. I.* 133c).

|Pred.120| [prudence] *is-defined-as* [knowledge-of-self]

“our friend appears to me to mean that bravery is a kind of wisdom” (*Laches*, 194d).

|Pred.121| [bravery] *is-defined-as* [wisdom]

“Socrates: do you say that bravery is knowledge of what is to be dreaded or dared? – Nicias: I do” (*Laches*, 196c-d).

|Pred.122| [bravery] *is-defined-as* [knowledge]

“For if prudence is above all a knowledge of the knowledges, and presides too over the other knowledges, surely she will govern this knowledge of the good, and so benefit us” (*Charm.* 174e).

|Pred.123| [prudence] *is-defined-as* [knowledge]

“Then, it seems, if asked, ‘What is knowledge?’ our leader will reply that it is right opinion with the addition of a knowledge of difference; for that would, according to him, be the addition of reason or explanation” (*Theaet.* 210a)

|Pred.124| [knowledge] *is-defined-as* [right-opinion]

“Then piety, according to this definition, would be a knowledge of giving and asking concerning the gods” (*Euthyphro*, 14d)

|Pred.125| [piety] *is-defined-as* [knowledge]

“whatever is befitting for any particular thing makes that thing beautiful” (*Hippias Major*, 290d)

|Pred.126| [beautiful] *is-defined-as* [befitting]

“whatever is useful shall be for us beautiful” (*Hippias Major*, 295c)

|Pred.127| [beautiful] *is-defined-as* [useful]

“what is beautiful makes us feel joy” (*Hippias Major*, 297e)

|Pred.128| [beautiful] *is-defined-as* [joyful]

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<sup>28</sup> “καὶ τοῖς ἄλλοις ὡσαύτως ἕτερον εἶναι” (*Parm.* 146b1-2). We must distinguish between the relational term ‘other than’ and the ‘others’, which are the not-one.

## Conclusions

After a detailed analysis of a number of selected Platonic dialogues, where various forms of predication are mentioned, the following cases of predication expressions have been extracted:

The Platonic types of predication: subject *is*\* predicate [idea in the form of adjective] (\*ἔστιν), subject [idea] *verb-predicate*, subject *participates-in*\* predicate [idea] (\*μετέχει τινός), subject *partakes-of*\* predicate [idea] (\*μεταλαμβάνει τινός), subject *is-near-to*\* predicate [idea] (\*πάρεστι), predicate [idea] *is-present-with*\* subject (\*πάρεστι), subject *is-said-as*\* predicate [idea] (\*λέγεται), predicate [idea] *exists-innately-in*\* subject (\*εγγίγνεται), subject [idea] *has*\* predicate [idea] (\*ἔχει), predicate [idea] *possesses*\* subject [thing] (\*κατέχει), subject *is-affected-by*\* predicate [idea] (\*πέπονθεν), subject [idea] *shares-in*\* predicate (\*κοινωνεῖ τινος), subject [idea] *partakes-of*\* predicate [idea] (\*προσκοινωνεῖ τινος), subject [idea] *exists*\* (\*ἔστιν), subject [idea] *is-what-it-is-to-be* predicate [idea], subject [idea] *participates-in-itself*, subject [idea] *brings*\* predicate [idea] (\*ἐπιφέρει), subject [idea] *is-subclass-of*\* predicate [idea] (\*κατὰ γένη μόρια), subject [idea] *is-part-of*\* predicate [idea] (\*μόρια), predicate [idea] *exists-within*\* subject [idea] (\*ἔνεστι), [idea] *participates-in* sameness [μετέχει τοῦ ταυτοῦ], predicate [idea] *contains*\* subject [idea] (\*περιλαμβάνει/ περιέχει), subject [idea<sub>1</sub>]: *is-PP* predicate [idea<sub>2</sub>], subject [idea] *is-same-as*\* predicate [idea] (\*ταυτόν ἐστι), subject *is-different-from*\* predicate (\*ἕτερόν/ θάτερον ἐστι), subject [idea] *is other-than*\* predicate [idea] (\*ἕτερόν ἐστι), subject [idea<sub>1</sub>] *is-defined-as* predicate [idea<sub>2</sub>].

I tried to explain the distinct characteristic of each predication case, differentiating it from the remaining ones. The importance of the clarification of the various types of predication/ participation is obvious, since this relation constitutes the core of the art of dialectics and of any attempt to speak about the communication of either the sensibles with the ideas or between the ideas themselves.

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# THE PHENOMENOLOGICAL ASPECTS OF PERCEPTUAL EXPERIENCE: FROM ABSENCE TO PRIMACY

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**Abstract:** *Although the phenomenology of perception was not explicitly explained in ancient philosophy due to shortage of terminology and/or interest, the more phenomenological aspects of perceptual experience became an issue of significant importance in contemporary theorizing on perception. This paper first attempts to answer the question of why phenomenology was deemed as a subject of disinterest in the ancient thinkers' account on perception. Second, it examines the utilization of phenomenology in ancient philosophers' description of perceptual experience. Third, the paper follows the actual origin, development and importance of phenomenological perception in modern philosophy. The paper ends with an argument on the relevance of phenomenology as a philosophy of experience in modern literary works. The focus narrows to the major concerns and philosophers in relation to phenomenology.*

**Keywords:** *phenomenology, philosophy, experience, perception, subjectivity, sense-organ, body, soul*

## Introduction

The increasing passion for the topic of perception in the domain of contemporary philosophy should not let us neglect its extensive history—a history far predating so-called “western thought.” In contrast to modern discourse on perception, ancient theorists were not explicitly interested in the materialistic aspects of the interaction between the human body and the external world. There was an assimilation, rather than representation, of properties. Due to the aforementioned absence of materialism, ancient psychological and metaphysical methods likely required this conciliatory view. But, more interestingly, there is a kind of pseudo-materialistic argument; the context of perceptual experience played an integral role in the origination of the body-mind problem.

The public discourse of objectivity perhaps still dominates ideas of research and it is often associated with positivist theories. On the other

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hand, some forms of subjectivity involved in academic works provide the relevance of subjectivity in sociopolitical positions or issues. However, the interest in phenomenology was not met, that is the focus on human experiences, rather than beings already having these experiences. Phenomenology intended to name and render human experience both subjectively and objectively. Crotty (1996) refers to the problem of classical phenomenology: The problem isn't just seeing what's in front of our eyes, but also knowing exactly what we're looking at. Furthermore, we will have a tough time actually explaining what we have seen and learned. Language fails us when we try to express something we've never had to describe before. Our descriptions are inconsistent, fragmented, and a touch strange, in our opinion. We find ourselves at a loss for words, obliged to manufacture new words and bend old ones to carry the meanings we require. This has always been a feature of phenomenological analysis. In this case, we may have to be pretty original and creative.<sup>1</sup>

## Literature Review

While this is not a detailed account on the presence and importance of phenomenology in contemporary research, some current views are relevant to this examination of phenomenology. Knuuttila and Kaärkka (2008) write that the modern theorizing on perception is an attempt to explain the classical phenomenology of perceptions' non-introspective base by using solely physical causation without the concepts of "perceivable forms and spiritual species", isolating perceptual content from how things were in their natural state.<sup>2</sup> Willis (2001) asserts that in its early history, phenomenology arose as a reaction against positivism. Willis differentiates between "intuiting phenomenology" and "emphatic phenomenology."<sup>3</sup> Crotty (1996) differentiates between classical phenomenology and new phenomenology. The new phenomenology makes a concerted effort to collect "people's subjective meanings", while the classical phenomenology avoids clear explanations of human actual experience though one can infer that the central task for traditional phenomenology is description or even revelation.<sup>4</sup> Løkke (2008) writes that Carneades (214/3-129/8 BC), an academic skeptic who refuted

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<sup>1</sup> Michael Crotty, *Phenomenology and nursing research*, Melbourne: Churchill Livingstone, 1996, p. 280.

<sup>2</sup> Simo Knuuttila, and Pekka Kärkkäinen, (eds.), *Aristotle's Theory of Perception and Medieval Aristotelianism* in *Theories of Perception in Medieval and Early Modern Philosophy*, 2008, vol. 6, Springer, p. x.

<sup>3</sup> Peter Willis, *The "Things Themselves" in Phenomenology*, Indo-Pacific Journal of Phenomenology, 2001, Vol.1, No. 1, p. 2.

<sup>4</sup> Crotty, p. 3.

Stoicism and the Epicureans, has drawn a distinction between clarity in the Epicurean, objective perspective and clarity in the subjective, phenomenological perspective. What Carneades meant is a “cognitive impression” must be obvious in the phenomenological sense, that is, it must be experienced as very powerful and compelling, as many modern philosophers will agree.<sup>5</sup> Fochtmann (2008), finds that “the roots of phenomenology are found in the epoch of Plato, Socrates and Aristotle...as a philosophy of human being.”<sup>6</sup>

### **Definition and Background**

Michel Henry once emphatically claimed that “phenomenology is to 20th century philosophy what German idealism was to 19th century, empiricism to 18th century, Cartesianism to 17<sup>th</sup> century, Aquinas or Scotus to the scholastics and Plato and Aristotle to antiquity.”<sup>7</sup> But what is phenomenology? As A. Giorgi and B. Giorgi (2003) recognized, it is difficult to come up with a unanimous, unambiguous interpretation of phenomenology.<sup>8</sup> It is likely difficult to solidify a single definite definition to phenomenology due to the various styles offered by philosophers.

Phenomenological inquiry is a descriptive examination of the key qualities of experience as a whole, as well as an investigation of the structure of experiences that predates connected expression in language.<sup>9</sup> Meanwhile, phenomenology is rendered as the systematic and unbiased examination of things as they appear in order to get a fundamental understanding of human cognition and experience.<sup>10</sup> According to Willis (2001), Phenomenological researchers’ main goal was to get back to the things themselves. One of the crucial features of the phenomenological method is giving names to objects that are built in the mind, without which

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<sup>5</sup> Havard Løkke, *The Stoics on Sense Perception*, in Simo Knuuttila and Pekka Kärkkäinen (eds.), *Theories of Perception in Medieval and Early Modern Philosophy*, vol. 6, Springer, 2008, p. 44.

<sup>6</sup> cited in Sadruddin Bahadur Qutshi, *Phenomenology: A Philosophy and Method of Inquiry*, Journal of Education and Educational Development, 2018, Vol.5, No. 1, p. 216.

<sup>7</sup> D. DeSantis, C. Majolino, and B. Hopkins (eds.), *The Routledge Handbook of Phenomenology and Phenomenological Philosophy*, New York: Routledge, 2020, p. 3.

<sup>8</sup> A. Giorgi and B. Giorgi, *The descriptive phenomenological psychological method, Qualitative Research in Psychology: Expanding perspectives in methodology and design*, in American Philosophical Association, P. Camic, et al. (eds.), 2003, pp. 23-24.

<sup>9</sup> Paul Ricoeur, *Modes of thinking and the different classes of reality*, in Main trends of Research in the Social and Human Sciences, J. Havet Mouton (ed.), Publishers: The Hague, 1978, pp.12-14.

<sup>10</sup> R.S. Valle, and S. Halling, *An introduction to existential-phenomenological thought in psychology in Existential-phenomenological alternatives for psychology*, R.S. Valle, M. King, & S. Halling (eds.), New York: Plenum Press, 1989, p. 6.



they could not be considered.<sup>11</sup> Phenomenology is a philosophy that supplies researchers with a conceptual framework for understanding events “at the level of subjective reality.”<sup>12</sup> Apart from “subjectivising subjectivity”, Willis (2001) describes phenomenology as “objectivising subjectivity”— a focus on the item being experienced exclusively by the individuals themselves.<sup>13</sup> Phenomenology is both a method and inquiry aimed at providing interpretations of the lived experience at a conscious level. The problem of description is crucial in classical phenomenology. Thus, Phenomenology is a “way of thinking about knowledge—the way we know is a the philosophical and theoretical position of phenomenology.”<sup>14</sup> One can simply define Phenomenology as a philosophy of human beings’ lived experience.

### **Perception in Ancient Greek Philosophy**

Much of the Western philosophical tradition discussed the primary questions about perception in Greece. Such questions involve the metaphysics, content and the act of perception in sense experience. The basic question to raise at this stage is when the concept of perception naturally emerged. From the beginning the Greece were discussing the senses of hearing, seeing, tasting, smelling and touching. Any discussion of perception in ancient Greek philosophy should not neglect taking these senses for granted. According to some critics, the Greek philosophers did not view perception as related to cognition. The emergence of perception as a philosophical concept is found in Plato (427–347 B.C.). In those days, many people viewed perception as non-cognitive, associated with human organs and passive in nature (as compared with cognition, which is an act of the self alone). One can find discussions of perception, experience and even some phenomenology in ancient accounts on perception, although there is a tendency in philosophy to develop appropriate terminology later. For example, Democritus, in his *Canons*, differentiates between legitimate cognition and illegitimate cognition. The Greek concept of senses belongs to the second type of cognition. As a result, Plato criticized Democritus as being highly subjective.<sup>15</sup> Moreover, explanations of the comparative relationship between reason and experience predates Plato in the fifth century B.C. There are also accounts referring to other types of senses, such as desire, pain, and fear. There is a basic causal theory of perception,

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<sup>11</sup> Willis, p. 3.

<sup>12</sup> Qutoshi, p. 215.

<sup>13</sup> Willis, p. 6.

<sup>14</sup> Ibid., p. 5.

<sup>15</sup> Charles H. Kahn, *Democritus and the origins of moral psychology*, American Journal of Philology, 1985, Vol. 106, No.1, p. 19-20.

though with some variations, that the sensible qualities of the object are transmitted to the subject and affect the sense-organs in order to produce a perception of this object. It should be noted that an interest in perception as a distinct form of cognition emerged early in Greek philosophy. Presocratic thought is preoccupied with experience to achieve a better perspective of things.

Thus, perception is a major concern in Plato's philosophy. One of his explanations of perception revolved around body-soul dualism, in which the soul is independent from the body. This raises some questions concerning perception, such as whether it is the act of soul, of body, or both, and whether they have different roles. Plato considers Socrates' suggestion of neglecting sense experience and using reason alone as a separation between the soul and the body. Moreover, the possibility that the senses may offer an inaccurate interpretation, thereby causing confusion, entails that perceptions include contents.<sup>16</sup> In *Theaetetus*, Plato proposes a causal theory of perception: our perceptions are about the objects that cause them. Perceptions take place when the perceptible object and a subject's sense-organs meet and interact causally.<sup>17</sup> Interestingly, Plato presents his writings in dialogues and discusses views of his successors, such as Protagoras' relativism.<sup>18</sup> Consequently, this supports the notion that philosophers discussed idea of perception before Plato wrote his causal theory of perception.

Besides the impacts of physical causation and the mind-body dilemma on perception, there are other factors to consider. One factor of Plato's theory is his particular interest in the correlation between knowledge and perception. In this context, a perception is connected to a sense-organ change as a result of the perception's object. What is the significance of this change? Plato clarifies the connection between sense-organ change and perception as a soul act. In Plato's opinion, these matters were not fully clarified by his predecessors, such as atomists and Protagoreans. He proposes the concept of body-soul dualism, in which the body acts as a vehicle for the soul.<sup>19</sup>

Plato's pupil, Aristotle, expanded upon the former's theories. Aristotle suggests that perception is essentially about both the active and passive powers of perception viewed as the fundamental explanatory aspects of perception. Some factors of Aristotle's account were previously dealt with

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<sup>16</sup> M.J. Woods, (ed.), *Plato's Phaedo*, David Gallop (trans.), Oxford: Clarendon Press, 1975, 83a1-b4.

<sup>17</sup> John McDowell, (trans.), *Plato, Theaetetus*, Oxford: Clarendon Press, 1973, 160c4-5.

<sup>18</sup> Ibid., 160d1-3.

<sup>19</sup> Gail Fine, *Plato on Perception: A Reply to Professor Turnbull*, "Becoming and Intelligibility", Oxford Studies in Ancient Philosophy, 1988, pp. 15-28.

by Plato, such as a clear and generated subject, perception, and an identifiable object. However, Aristotle adds that when active powers and passive powers operate simultaneously in the absence of external hindrances, the active powers operate and the passive powers are affected.<sup>20</sup> According to him, the perception may only take place if one knows what perceiving is and knows his/her relation to the object.<sup>21</sup> Perception is focused on the objects and influenced by these objects. Aristotle argues that for perception, in the case of taste and touch for example, the flesh operates as the medium in the body.<sup>22</sup>

This idea of a medium is part of the physiological explanation of perception. The sensitive soul, which formalizes perception, determines the physiological components and changes in sense-organs. The sensitive soul determines changes in sense-organs, the physiological components, and causes perception.<sup>23</sup> The object of perception is either perceptible in theory or in practice. When a passive power is actualized by an object, then the perceptibility of that object is actualized as well. Both these actualities are similar, though their being is dissimilar.<sup>24</sup> However, when a perceptible object has an effect on the perceiving faculty, it is made to look like it and behave like it.<sup>25</sup> Aristotle writes that the operation of perceiving happens in the body. However, he considers sense-organs and the soul as one in the same.<sup>26</sup> Spruit (2008) sees the Aristotelian theorization on perception, which was based on the soul's ability to grasp shapes without substance, attempted to resolve the difficult problem of harmonizing physical processes and phenomenological components of experience.<sup>27</sup> Perceiving is a change caused by the object of perception, in which sense-organs are actively affected by the object.<sup>28</sup>

### Neoplatonic Philosophy of Perception

Plotinus (204/5–270 C.E.) presents an innovative metaphysical account on perception, especially in *Ennead* IV. There are two reasons why this work is incredibly helpful for this discussion of phenomenology. First,

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<sup>20</sup> Simo Knuuttila, *Modalities in Medieval Philosophy*, London and New York: Routledge, 1993, pp. 19–31.

<sup>21</sup> W.D. Ross (ed.), *Aristotle, De anima*, Oxford: Clarendon Press, 1961, II.5, 417b20–21.

<sup>22</sup> *Ibid.*, II.11, 423b20–26.

<sup>23</sup> S. Everson, *Aristotle on Perception*, Oxford: Clarendon Press, 1997, pp. 78–81.

<sup>24</sup> W.D. Ross, *Aristotle, De anima*, II.5, 417a13–14.

<sup>25</sup> *Ibid.*, II.5, 418a5–6.

<sup>26</sup> *Ibid.*, II.12, 424a24–8.

<sup>27</sup> Leen Spruit, *Renaissance Views of Active Perception* in Simo Knuuttila and Pekka Kärkkäinen, p. 222.

<sup>28</sup> W.D. Ross, *Aristotle, De anima*, II.5, 417b2–16.

Plotinus' assertion on the possibility of causal interaction between the soul and the body, and how the soul can perceive the external world, is not mapped out well in the current philosophical discussion of the mind-body problem. Second, he applies Plato's theory of perception, as laid out in *Theaetetus*, but with more metaphysical aspects. For Plotinus, the soul is truly aware of the external world's perceptible properties. This is exemplified in his opening question: *how does the soul do so?* Plotinus argues that soul embodiment is unavoidable because the soul can perceive external objects. He writes that it is obvious that the soul within the body and operating through the body is responsible for sense perception.<sup>29</sup> The second question he poses is whether the soul perceives and apprehends the qualities of the external objects "alone by itself" or "in company with something else."<sup>30</sup> Plotinus then denies the first state of the soul "alone by itself," for it apprehends what is in itself, and does not relate to the external world.<sup>31</sup> Plotinus' further cognitive stage of awareness is recognized by Marmodoro (2019). Marmodoro writes that we learn that the Plotinian philosophy of the soul is not exactly Aristotelian that it can not think about other things. Like Aristotle's "unmoved mover", it has the ability to think for itself, but it may also meet one of the requirements for thinking of other entities.<sup>32</sup>

Thus, the soul by itself, like Aristotle's self-thinking or unmoved mover, cannot turn its attention to anything else. Plotinus criticized the "Intellectual Principle" or "Divine Mind" because the best of its contents refute any division of the soul. He instead believes that the soul, by its nature, lends itself to "divisional existence...that is the world of unembodied spirits while to our world belong those that have entered body and undergone bodily division."<sup>33</sup> The soul is "one and many", partible and impartible, neither material nor immaterial thing, etc.<sup>34</sup> Plotinus affirms that if the "sensation vested in the "leading Principle", it stays as a center to other parts, then there will be no sensation in terms of other parts. Therefore, the whole parts stay soulless. As a result, the soul is both one and many; the Ideal-Form dwelling in the body is both many and one; bodies are exclusively many; and the Supreme is exclusively one.<sup>35</sup> Arguing against the theories of Plato and the like, Plotinus affirmed that perception

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<sup>29</sup> Stephen Mackenna and B.S. Page (eds.), *Plotinus, The Six Enneads*, Global Grey Books, IV.4.23.

<sup>30</sup> Stephen Mackenna and B.S. Page, *The Six Enneads*, IV.4.23.4–5.

<sup>31</sup> *Ibid.*, IV.2.23.4–6.

<sup>32</sup> Anna Marmodoro, *Plotinus on Perception*, in *The Senses and The History of Philosophy*, Brian Glenney and José Filipe Silva (eds.), Routledge, 2019, p. 82.

<sup>33</sup> Stephen Mackenna and B.S. Page, *The Six Enneads*, IV.1.1. 339.

<sup>34</sup> *Ibid.*, IV.2.1. 341.

<sup>35</sup> *Ibid.*, IV.2.2. 344–5.

is a mental act: perception is neither imprint on the soul or mind, nor should it be thought of as seal-impression.<sup>36</sup> Instead, the mind confirms something it does not contain: this is precisely a power's characteristic—not to absorb impression but to act inside its given realm.<sup>37</sup>

For Plotinus, when a part is considered in respect of other parts whose members are similar, it stands for whole and not to its deal form—that is, part among material parts. For example, “the whiteness in a portion of milk is not a part of the whiteness of milk in general: we have the whiteness of a portion not a portion of whiteness; for whiteness is utterly without magnitude; has nothing whatever to do with quantity.” Since the soul is similar to other parts within our being, Plotinus then turns to what he calls “categorical differences” to demonstrate that while it stays alone, the soul cannot resemble a tangible object. His question relates to how a point can be similar to a line. It can no longer assimilate as long as it is self-centered: assimilating a single point to an exterior line is impossible. Both the intelligible line and the sensible line are one-dimensional, and therefore similar. However, they are categorically dissimilar: the former is mental, while the latter is physical.<sup>38</sup> Plotinus is ultimately unsatisfied with this example, in which categorically different things cannot be similar and the soul cannot apprehend the external objects by being similar to them. Therefore, he does not accept these conditions as a requirement for perception. Plotinus recognized that the two lines still resemble one another by being one-dimensional. He uses other terms to distinguish between items. For example, they do not *fit* instead of they do not *resemble* one another. The problem then for Plotinus is that the soul lacks the mechanism of attending the outer world and of being causally affected by external objects when it is alone. Despite the fact that the soul is categorically distinct from objects and is not causally resistant to them, Plotinus rejects the notion that the soul is immune to external influences.

Thus, for the soul to know and grasp things outside itself, it can either can ascertain by itself (‘self-acting’) or in combination with another entity that is so assimilated. By itself, the soul is already aware of its content, but this is intellection rather than perception. In combination, there should be a third thing act as an intermediate. In order for the perception to take place, a “proper” causal link between the soul and the external object is required since the soul can neither perceive the external object by itself nor can it be causally affected by these objects. Therefore, Plotinus’ next step, the interaction in perception between the soul and the external object, takes place through an ontological intermediate—the sense organs. Sense-

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<sup>36</sup> Ibid., IV.6.1, 455.

<sup>37</sup> Ibid., IV.6.2, 456.

<sup>38</sup> Ibid., IV.4.23.410.

perception may not take place without the body. The soul has no sense perception when it is alone; sensations are associated with the body; sensation must therefore arise through the body that produces the sensations; it must be something brought about by relationship with the body.<sup>39</sup> This is Plotinus's metaphysical innovation. Plotinus designates the sense organs as intermediates to bridge the categorical difference/gap.

Marmodoro (2019) discovers that such discussion of ontological intermediacy of sense organs between the soul and body already exists in Plato's *Phaedo* and Aristotle's *Metaphysics*. However, Marmodoro notices that Plotinus' intermediacy is more sophisticated than that of his opponents. The sense-organs must act as a compromise, with a nature that is halfway between being a "receptor" and a "transmitter."<sup>40</sup> Plotinus' own metaphysics is a synthesis of Plato's idea of in-between categories of being, Aristotle's theories of perception, and mixture.<sup>41</sup> Plotinus's intermediacy must be assimilated to both soul and external object so as to grant the interaction between them to occur. Thus, Plotinus' intermediacy has both sensible and intelligible properties. Emilsson (2008) suggests that Plotinus's intermediacy might compare to "the phenomenal appearance of colors in the visual field."<sup>42</sup>

Was Plotinus able to solve the problem of categorical difference that he addressed in this theory of perception? He thinks he was: body organs are required for sense perception, as evidenced by the fact that a soul that is completely free of its body can perceive nothing in the order of sense.<sup>43</sup> Were Plotinus' categorical gap problem and the ontological intermediacy which bridges this gap, able to guarantee an innovative comprehension of the mind-body problem and perception, two of the most complex problems in the history of western thought? He thinks they were. Was Plotinus Platonic or Aristotelian? Plotinus' account on perception shows a hybrid of Platonism and Aristotelianism with some sorts of Stoic accounts.

### **Perception in Medieval Philosophy**

The philosophy of perception in the Middle Ages is mostly concerned with the way we perceive the outer world rather than with the direct perception of that world. Therefore, the overarching philosophical question progresses into pondering how we, as beings, come to know the objects' sensible characteristics in the outer world. To put it in other

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<sup>39</sup> Ibid., IV.4.24.410.

<sup>40</sup> Marmodoro, p. 86.

<sup>41</sup> Ibid., p. 87.

<sup>42</sup> E.K. Emilsson, *Plotinus on Sense Perception* in Simo Knuuttila and Pekka Kärkkäinen, pp. 28-29.

<sup>43</sup> The Six *Enneads*, IV.4.23.411.

words, the question is mechanistic, not epistemic. This leaves no possibility for the direct perception to fail if the subject is operating properly, the medium is undisturbed and the object is unhindered. From such Medieval discourse, one might extrapolate two hypotheses: first, the existence of metaphysical realism, in which objects have objective sensible properties perceived by a proper subject; second, epistemological realism, or the possibility that beings can perceive these real properties accurately and objectively.

Medieval development of the explanation of perception was mainly influenced by Avicenna's *Shifa*. In the sixth book of *shifā*, Avicenna argued that the objects of perception are either internal or external. There are internal senses and external senses. The external senses are related to common sense, the basis for perception in his view. For Avicenna, sense-perceptions, except that of smell, take place in the body. The subject of perception is the soul and sense-organs are its instruments. Avicenna, who said that sense receives all of the sensations of the senses and transforms them into unique acts of experience, impacted early medieval discussions about internal senses.<sup>44</sup> Avicenna's physiological explanations, such as that of the role of the brain and the sensory-nerves, is what differentiates his theory from that of Aristotle.

It appears that there is no particular interest in the phenomenological components of perception. The structure of perceptual experience is either wholly absent or thoroughly tied to metaphysical accounts. However, it is likely that phenomenology played a distinct role on the description of perceptual experience, such as the case with Peter John Olivi (1248–1298), Peter Auriol (1280–1322) and Walter Chatton (1290–1343). The 13th and 14th centuries were a remarkable period for actual accounts on the cognitive processes of perception. Among others, such as Roger Bacon and Thomas Aquinas, who developed Aristotelian “species-theories” of cognition, Peter John Olivi is an extraordinarily innovative philosopher in these scholarly accounts.

Olivi is known for his criticism on the indirect-realist explanation of perception, in which immediate objects are internal representations. By questioning the indirect-realist account on perception, Olivi developed both the basis of his criticism and “the starting point.”<sup>45</sup> In *Tractatus*, Olivi criticized the theory of “species” of perceptual representation. An object in the outer world is represented to the senses by image-like objects that serve as the primary points of cognition. In this view, external objects are

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<sup>44</sup> Knuuttila, *Modalities in Medieval Philosophy*, p. 9.

<sup>45</sup> Hans Kraml, *Why did Ockham Reject Species?* in *Intellect and Imagination in Medieval Philosophy*, M. Pacheco and J. Meirinhos (eds.), Turnhout: Brepols, 2006, p. 1548.

the secondary objects of cognition, which are accessed by the mediation of species. Olivi's direct realism entails that intermediary images accounting for perceptual representation is not required. Instead, the actual cognitive representation is the act of the subject's intellectual cognition. According to Glenney and Silva (2019), the "doctrine of the species being received by/in the perceiving subject worked perfectly in the context of a largely passive Aristotelian account on perception, where 'perceiving is an affection.'" <sup>46</sup> Olivi's theory of perception essentially consists of two components: first, image-like species theory would not reveal external reality; second, and alternatively, our perception is grounded in outer reality. In short, it seems that Olivi's direct realism is plausible as an explanation of perception.

### **Perception in Renaissance and Early Modern Philosophy**

Much of the debate in the Renaissance and early modern philosophy was on the ancient distinction between active and passive explanations of perception, or the objective and subjective role of perception. Renaissance and early modern thinkers are known for their natural philosophy, in which they attributed more active phenomenological features to perception. The dichotomy of active will and passive processes of perception, innate and scholastic reality of the world, dictate whether our perceptions are found on the basis of reason or our experience. According to Glenney and Silva (2019), this argument largely maps Kant's and Reid's philosophy and skepticism of direct realism as a resolution to the problem of perception. <sup>47</sup>

One philosopher worth noting is Anton Wilhelm Amo, an African natural philosopher who wrote in the Western philosophical tradition while studying and teaching in the European universities. "The human mind," Amo (1734) writes, is a substance that is both real and immaterial. <sup>48</sup> Amo's philosophical proposition has weighty philosophical consequences. One of these is the fact that the human mind is incapable of sensing. Instead, he claims that perception and the ability to perceive are solely the domain of the human body. For him, the human mind is the unchangeable and stable part of beings. He believes that perception is essentially a physiological procedure that does not involve the mind in any manner and that mental representations depend on perception. Thus, the

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<sup>46</sup> Brian Glenney and Jose Filipe Silva, *The Senses and the History of Philosophy*, London: Routledge, 2019, p. 101.

<sup>47</sup> Ibid., p. 166.

<sup>48</sup> A.W. Amo, *Dissertatio Inauguralis Philosophica De Humanae Mentis Apatheia, Seu Sensionis Ac Facultatis Sentiendi InMente Humana Absentia Et Earum In Corpore Nostro Organico Ac Vivo Praesentia*, PhD. thesis, Schlomach, 1734, p. 4.



mind is impassive and lacks perception, but operates spontaneously using the body mechanistically as a medium.<sup>49</sup> “Sensation,” writes Amo, is the perceptible properties of directly present, physical objects that operate on the sense organs, and capacity of sensing is that our biological and living body's disposition, through which a human is impacted by material and sense items and their proximity.<sup>50</sup> As Meyns (2019) writes that the human mind, according to Amo, understands and employs stimuli appearing in the body. Importantly, this does not necessitate the transfer or containment of any extrinsic attributes into or within spirit.<sup>51</sup> Amo raises a fundamental question in perception: whether and to what extent the mind may partake in passive physical perceptions. This is a major discourse on perception in the early modern philosophy, though it is likely not discussed as much as it should be. Willis (2001) infers Amo's sensation as perception: Amo considers sensation (and later, perception) to be a completely physical phenomenon and he touches on the underlying process of activation of the bodily sense-organs as “sensation.”<sup>52</sup> There is much account on the physiological properties of perception.

Interestingly, Meyns (2019) noted that the term “perception” is not mentioned by Amo. Instead, Amo uses “sensation.” Terminology is always a problem in the discussion of the history of perception philosophy. But according to Amo, sensation (perception) belong to the body, whereas, sensible objects have no effect on the mind. As Amo writes, Sensation and sensing are either mind or bodily functions. As has been extensively deduced, not to the mind. As a result, they are a part of the body. Amo rejected a collaboration between mind and body, or even a third thing. He believes that things that belong to the body and those that belong to the mind should not be mixed up. For whatever exists solely in the mind's pure function is assigned solely to mind; what actually implies sensation, the ability of sensing, and notions of substance, is to be ascribed entirely to the body.<sup>53</sup> Mind is a spirit and, as such, it cannot communicate with the body. Meyns sees the asymmetric model of mind–body interaction proposed by Amo is best taken as a physical and metaphysical advancement.<sup>54</sup> If the mind is impassive and does not sense, then how does it operate? Amo believes that the human mind works with representational ideas based on

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<sup>49</sup> Ibid., p. 10.

<sup>50</sup> Ibid., p. 10-11.

<sup>51</sup> Chris Meyns, *Anton Wilhelm Amo and The Problems of Perception*, in Brian Glenney and José Filipe Silva, pp. 175-6.

<sup>52</sup> Willis, pp. 1-3.

<sup>53</sup> Chris Meyns, *Anton Wilhelm Amo's Philosophy of Mind*, Philosophy Compass, John Wiley & Sons Ltd, 2019, p.1.

<sup>54</sup> Ibid., p. 7.

perception. His overgeneralization of mind is a theory of perception: a complete absence of perception.<sup>55</sup>

Amo's revolutionary posture is that the mind lacks the ability to have sense perception. Instead, sense perception is associated with the body. Because the body cannot act upon the mind, the latter can then use the body as a medium and instrument in its operation. Can Amo's perception be active? He seems to accept active perception theories, namely that the object stimulates the sense organs and the mind becomes active. However, this activity is not perception, and is therefore a challenge to the medieval beliefs of the mind's activity in sensory perception and Descartes's body-mind problem.

It is worthwhile to refer shortly to Franz Brentano (1838-1917), who introduced the theory of intentionality to contemporary philosophy. Brentano was arguably one of the main sources of Husserl's thinking and contemporary phenomenology of perception. He was interested in the rediscovery and renewal of medieval philosophical ideas. At the same time, he also composed his theory of intentionality, a basis for Phenomenology. The question of intentionality eventually passed down to 20<sup>th</sup>-century Phenomenology. Brentano's contribution helped to guide Martin Heidegger through the ancient philosophy. As Heidegger himself states that the origin of his philosophical writings was Franz Brentano<sup>56</sup> Brentano's participation is an explanation of the four primary modes of being, which is Aristotle's invention in his *Metaphysics*—that is, being as accidental and in itself, true, potentiality and actuality. Brentano tries to originate a new understanding of being in terms of Aristotelian invention. Therefore, Brentano re-raises the question of the analogy of being, which dominated much of medieval thought. However, this paper will not include on Brentano as a precursor to modern philosophy of perception, which would necessitate a separate, detailed section.

### **Perception in Modern Philosophy**

This section confines itself to three major phenomenological methods: Husserl's transcendental phenomenology, Heidegger's hermeneutical phenomenology, and Merleau-Ponty's primacy of perception.

#### ***Husserl's Transcendental Phenomenology***

Edmund Husserl (1859-1938) is considered as the founder of modern phenomenology concerning the interaction between beings and the outer world. In Husserl's phenomenology, this interaction is revealed as a

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<sup>55</sup> Ibid., p. 10.

<sup>56</sup> Martin Heidegger, *The Basic Problems of Phenomenology*, Albert Hofstadter (trans.), Bloomington: Indiana University Press, 1982, p. xi.

transcendental mean by the subject in connection to the object. For Moran (2013), Husserl reacts to the theory of positivism which tells us that information derived from sensory experience, interpreted logically and reasonably, forms the exclusive source of all genuine knowledge. His account on conscious experience is meant to limit the theory of positivism, therefore adding perceptions into cognition, along with resolutions and the world of reason.<sup>57</sup> Husserl (1969) calls his phenomenological posture as “transcendental phenomenology.” He writes that in its essentially representational attitude, phenomenology is compelled to reach this full complex of transcendental problems in the specific meaning on its own ground of pure awareness, and so earns the designation transcendental Phenomenology.<sup>58</sup> According to McIntyre and Smith (1989), Husserl’s transcendental posture is traced back to the idea of “intentionality.” From a philosophical standpoint, they define intentionality as a distinguishing property of “our mental states and experiences”, particularly in what we typically refer to as being “conscious or aware.”<sup>59</sup> Husserl (1969) understands intentionality as the one-of-a-kind characteristic of experiences that is the awareness of something.<sup>60</sup> Intentionality of consciousness associated with objects, both imaginarily and ordinarily created, is of great importance for Husserl. His definition of intentionality focuses on a special relationship between the subject and the object, and how we as subjects experience objects. Husserl’s explanation of subjectivity is that transcendental subjectivism is a multilevel synthesis in which individual object-types are created on a regular routine, rather than a jumble of purposeful experiences. Nonetheless, each object denotes a transcendental subjective rule-structure.<sup>61</sup> Husserl’s transcendental subjectivity requires a direct and momentary self-experience that maintains the conscious of living without one-sidedness. This seems to be Husserl’s innovation among his contemporaries.

Husserl (2003), goes further by developing his approach of phenomenological reduction and transcendental “epoché” or “bracketing” or reflection. What emerges from the phenomenological reduction is

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<sup>57</sup> D. Moran, *Edmund Husserl and Phenomenology*, in *Philosophy of Minds: The Key Thinkers*, Andrew Bailey (ed.), London: Bloomsbury, 2013, p. 44.

<sup>58</sup> E. Husserl, *Ideas: General Introduction to Pure Phenomenology*, W.R. Boyce (ed.), (Gibson. London: George Allen and Unwin Ltd., 1969, p. 198.

<sup>59</sup> R. McIntyre, and D.W. Smith, *Theory of Intentionality*, in *Husserl's Phenomenology: A Textbook*, William R. McKenna and J.N. Mohanty (eds.), University Press of America, 1989, p. 147.

<sup>60</sup> Husserl, *Ideas*, p. 242.

<sup>61</sup> E. Husserl, *The Crisis of European Sciences and Transcendental Phenomenology: An Introduction to Phenomenological Philosophy*, Cyril Welch (ed.), New Brunswick: Ateost Press, 2003 p. 19.

“bracketing,” or the suspension of lived-experience; and epoché, or forgoing beings’ judgement, cognition and genuine knowledge already existing in the world. The epoché is a kind of anti-epistemology which prepares the self to have a clearer description of a being’s essence. Transcendental reduction could also mean separating intention from transcendental ego or existence, therefore, both intention and existence can be realized by the subject. This reduction or separation helps to transmit from external existence to the present, here and now.<sup>62</sup> By momentary lived experience, transcendental reduction converts to transcendental reflexivity which directs the self towards the essence of substance. Husserl’s transcendental phenomenology relies on consciously hewed experiences in everyday life. The essence of consciousness stems from the interaction between the subject and the object. Transcendental subjectivity relies on conscious experience and social background. Willis (2001) asserts that the phenomenological operation titled as epoché or bracketing is when beings to be cognizant of the human mind’s ability to alter basic conceptions of reality in accordance with pre-existing cultural ways of thinking. The phenomenological posture does not directly address the source of distortion, preferring instead to avoid it.<sup>63</sup> The process entails bracketing out further interpretations and re-constructions. Crotty (1996) writes that instead of focusing on what the subject has created of it, the focus should be on what manifests itself in experience.<sup>64</sup> Van Manen (1990) defines the process as suspending one’s varied views about the natural world’s reality in order to examine the world’s core structures.<sup>65</sup> Willis (2001) summarizes the bracketing as the turning beings’ conscious returning to these sensations in their unclassified, unanalyzed condition necessitates finding a method to circumvent, not to eliminate, the usual ways people use to comprehend their objective reality.<sup>66</sup> Husserl (1973) writes that there is a kind of consciousness, a pre-existing common bracketing or “epoché”, which shuts out the direct perception of the world and replaces it with indirect cognition and judgment.<sup>67</sup> Phenomenology is an approach to study lived experiences at the conscious level of understanding.

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<sup>62</sup> E. Husserl, *The Crisis*, p. 20.

<sup>63</sup> Willis, p. 3.

<sup>64</sup> Crotty, p. 38.

<sup>65</sup> M. van Manen, *Researching lived experience: Human science for an action centred Pedagogy*, London: The Althouse Press, 1990, p. 175.

<sup>66</sup> Willis, p. 8.

<sup>67</sup> E. Husserl, *Experience and judgment: Investigations in a genealogy of logic*. L. Langrebe (ed.), London: Routledge & Kegan Paul, 1973, p. 53.

### ***Heidegger's Hermeneutical Phenomenology***

Martin Heidegger, tutored by Husserl, also shows his passion for phenomenology, however, his phenomenology is different from that of his tutor. Although both philosophers rejected Cartesian philosophy, idealism and positivism, Heidegger is still unsatisfied with Husserl's subjectivity and abstraction of transcendental reduction. Heidegger's phenomenological explanation has been inspired by the methodology of hermeneutics. Hermeneutics is an interpretation which takes into account the historical and social contexts in which actions take place. Heidegger's hermeneutic phenomenology is an explanation of the direct link between beings and time and history. "Being" is not only temporal but also systematic and historical. There is a need for understanding the hidden meaning and temporal framework of "Being." For Caputo (1999), Hermeneutic phenomenology makes the implicit clues explicit that structure knowledge by recognizing the Being perspective that permits bodies to look as they are, and then explicating the implicit clue that organizes and nourishes that horizon.<sup>68</sup> Heidegger (1994) emphasizes that interpretation is necessary when studying beings in social context. To do this, Heidegger uses the concept of "Dasein." He defines this term as a thing that, by its very nature, behaves in a thoughtful manner towards that being.<sup>69</sup> Thus, it's impossible to separate the fundamental nature of Dasein from lived experience because it lies in its very existence. As Nenon (2013) writes, life for Heidegger is an achievable object rather than an object of prior knowledge, knowing rather than knowledge.<sup>70</sup> Heidegger (1994) calls for a study of the *priori* knowledge or cognition and defines Phenomenology as the study of the essential elements of a *priori* cognition.<sup>71</sup> Reason (1981) understands the Hermeneutic phenomenology as an "immediate" or "expressive" of experience."<sup>72</sup>

### ***Merleau-Ponty's Idea of Perception***

For Merleau-Ponty (1908-1961), the study of essence is known as phenomenology which aims at defining perception. His idea of perception relies on the assertion that the manner of a being's existence prior to thought is an unalienable presence. Thus, being is inseparable from the

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<sup>68</sup> J.D. Caputo, *Heidegger*, in *A Companion to Continental Philosophy*, Critchley S. and Schroeder W.R. (eds.), Oxford: Blackwell, 1999, p. 225.

<sup>69</sup> Martin Heidegger, *Basic Questions of Philosophy: Selected Problems of Logic*, R. Rojcewicz and A. Schuwer (trans.), Bloomington: Indiana University Press, 1994, p. 78.

<sup>70</sup> Thomas Nenon, *A Fundamental Difference: Husserl and Heidegger on the Grounding of Ethics*, *Investigaciones Fenomenologicas*, 2013, Vol. 4, No.11, p. 169.

<sup>71</sup> Martin Heidegger, *Basic Questions of Philosophy*, p. 20.

<sup>72</sup> P. Reason and Rowan, J. (eds.), *Human inquiry: A sourcebook for new paradigm research*, New York: J. Wiley, 1981, p. 81.

outer world. Merleau-Ponty (1964) writes that “the perceiving mind is an incarnated mind, I have tried, first of all, to reestablish the roots of the mind in its body and in its world...the insertion of mind in corporeality, the ambiguous relation which we entertain with our body and correlatively, with perceived things.”<sup>73</sup> Merleau-Ponty’s phenomenology of perception is more similar to Heidegger’s Hermeneutic phenomenology than to Husserl’s transcendental phenomenology. Merleau-Ponty deduces that the purpose of phenomenology is to unveil the world’s and reason’s mysteries.<sup>74</sup> Perception shows that self and world are one and self together with the body is part of the existing world. He also presents many arguments against idealism while retaining some of Heidegger’s existential interpretations. Even so, Merleau-Ponty insists on the importance of lived experience and the complexities of everyday life. He locates consciousness in the body. Groden, et al. (2012), among others, infer that his notion of “perception” as the situated, embodied, unreflected knowledge of the world avoids divorcing the mind from the body or treating the body as a mere object. Consciousness is always incarnate, he argues, or else it would lack a situation through which to engage the world. The experience of embodied consciousness is also inherently obscure and ambiguous, he finds, and he consequently rejects the philosopher’s dream of fully transparent understanding. For Merleau-Ponty, the primacy of perception makes philosophy an endless endeavor to clarify the meaning of experience without denying its density and obscurity.<sup>75</sup>

Willis (2001) writes that in its early history, phenomenology arose against positivism, in which physical science discourses were subject to all types of human temptations and skepticism.<sup>76</sup> Willis continues writing that Husserl and his supporters launched a defense by focusing on the role of humans in the actual production of the world as we know it. There is a conflict between objectifying views, which contend that the world as we know it exists outside of human consciousness, and mentalist views, which contend that the world is solely a mental creation. The purpose of phenomenology was to help people understand what they were experiencing.<sup>77</sup> Davis (1991) concludes that the significance of things is found in the individual’s inner existence, not in the objects themselves. The aim of the researcher is to comprehend reality as it is, as it is actively

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<sup>73</sup> M. Merleau-Ponty, *The Primary of Perception and Other Essays on Phenomenological Psychology, the Philosophy of Art, History and Politics*, James M. Edie (ed.), Evanston: Northwestern University Press, 1994, pp. 3-4.

<sup>74</sup> Ibid., p. 22.

<sup>75</sup> Michael Groden, et al., *Contemporary Literary and Cultural Theory: The Johns Hopkins Guide*, Baltimore: Johns Hopkins University Press, 2012, p. 379.

<sup>76</sup> Willis, p. 2.

<sup>77</sup> Ibid. pp. 2-3.

and intentionally constructed by humans, rather than an entity that dwells somewhere out there.<sup>78</sup> This kind of perceptual experience seems to apply to literate subjects. In Willis's words, the goal of phenomenology was to find a medium ground. Importantly, the focus is on the thing itself. This phenomenological approach is applied not only to psychology, philosophy, nursing studies, but also to different education classes such as that of literature.

### **Relevance of Phenomenology in Literature**

In phenomenological theories of literature, literary works are seen as alternative intermediates between the author's consciousness and the reader's consciousness, or as attempts to expose parts of the realities of beings and the world. Ingarden (1893-1970), the founder of phenomenology of aesthetics, rejects idealism as well. He seeks to find a resolution to the dichotomy of realism and the idealism. For Ingarden, literature depends on the intentionality of its composer as well as its reader. The focus is on the intersubjectivity of life in literature<sup>79</sup> with literature acting as "an intersubjective intentional object."<sup>80</sup> There is a kind of interaction between the consciousness of the creator of literature and the consciousness of the reader of that literature. Thus, there is much focus on the immediate and momentary experience. Literary works have an "ontically heteronomous mode of existence." Literary interpretations should be based on both the author's and the reader's consciousnesses. Thus, a literary work serves as an intermediary, subject to indeterminacy and openness. This necessitates work from readers, who also need to fill in their respective sides. This indeterminacy and temporality leave more possibilities for the reader.<sup>81</sup> Ingarden contributed to the development of phenomenological reader-response theories significantly.<sup>82</sup> Poetry schools are well aware of the importance of philosophy to poetry. The American poet and philosopher Charles Olson, rector of Black Mountain College, while giving lectures to his followers, insists on the importance of Merleau-Ponty's philosophical and phenomenological researches, among others. Olson (2010) writes that "we did agree that...philosophy is very important, at least to this group, or to myself at least, and you used the word two."

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<sup>78</sup> K. Davis, *The Phenomenology of Research: The construction of Meaning in Data Analysis*, Paper presented at the annual meeting of the Conference on College Composition and Communication, 1991, p. 5.

<sup>79</sup> Roman Ingarden, *The Literary Work of Art*, George Grabowicz (ed.), Evanston: Northwestern University Press, 1973, pp. 332-340.

<sup>80</sup> Roman Ingarden, *The Cognition of the Literary Work of Art*, Ruth Ann Crowley and Kenneth R. Olson (eds.), Evanston: Northwestern University Press, 1973, p. 14.

<sup>81</sup> Roman Ingarden, *Literary*, p. 352-362.

<sup>82</sup> Michael Groden et al., p. 380.

Olson Admired philosophers of phenomenology very much and, as he writes, "I see that this Merleau-Ponty is one of those." Olson insists on reading the phenomenology of perception of Merleau-Ponty because for Olson it suggests "how completely ... the whole question of object ... I mean the objective world, is being completely fed into a discourse."<sup>83</sup> In a letter to Elaine Feinstein, Olson reveals the real meaning of his theory of projective/open verse versus closed verse: "I believe in Truth! (Wahrheit) My sense is that beauty (Schönheit) better stay in the thing itself: das Ding –Ja! –macht ring (the attack, I suppose, on the 'completed thought.'"<sup>84</sup> Olson is a phenomenologist. In his criticism of the Greek "UNIVERSE of discourse," he emphasizes direct experience and the two phenomenal universes. Discourse, thinks Olson, must now return to the only two universes that matter, the phenomenal ones, the two that a man must bear in mind since they have such an impact on him: his own, "as an organism", and his surroundings, "the earth and planets." Moreover, the relation of perception to the external stimuli is a relation of part to the whole which occurs outside our body (Olson uses the word skin, "the meeting edge" and man and external reality are so intertwined that they should be treated as one for man's purposes.<sup>85</sup>

## Conclusion

Summarily, phenomenology is inherent to the current understanding and experience of perception. Its roots in ancient Greek philosophy, predating Plato, help to inform later research and writings on the topic. From the likes of Husserl, Heidegger, and Merleau-Ponty one might gain insight into modern theories on perception, especially concerning the senses informing experience. A proper discussion and comparison of the roots of phenomenology may then apply to every aspect of collective perception, including that of literature. Some notable authors, such as Charles Olson, utilize a philosophical approach to the senses within literary text. This ultimately provides an active role for the reader, while the text simply acts as an intermediate. These definitions, theories, and explanations of perception and its involved phenomenology assist in answering ongoing philosophical questions (like the mind-body problem). By using this research, one can continue to analyze and describe various modes of perception through the lens of phenomenology.

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<sup>83</sup> Charles Olson, *Muthologos: Lectures and Interviews*. Second Edition, Ralph Maud (ed.), United Kingdom: Talonbooks, 2010, p. 108.

<sup>84</sup> Charles Olson, *Collected Prose*, Donald Allen and Benjamin Friedlander (eds.), London: University of California Press, 1997, p. 250.

<sup>85</sup> *Ibid.*, pp. 156-161.



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# GENDER DIVERSITY ON CORPORATE BOARDS – STILL A DISTANT DREAM?

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**Abstract:** *The paper discusses gender diversity on corporate boards in several developed countries in North America, Europe, and Asia. Despite women's wider access to higher education and participation in the workforce, their promotion to leadership roles is often deterred by powerful cultural, corporate and legislative barriers, which relegate women to specific realms of activity, inhibiting their career aspirations and ambitions to climb the corporate ladder. We analyzed extant literature regarding measures to achieve board gender diversity and concluded that, although mandating quotas is a successful legislative measure to enhance board diversity in some countries, others prefer to adopt measures which better suit their specific cultural and political environments.*

**Keywords:** *gender diversity, corporate boards, leadership*

## *Why women? Importance of gender diversity on corporate boards*

In recent years, many countries made notable progress regarding gender diversity. As globalization advances and more countries adhere to the ideals of democracy, social justice, diversity and equity, women join the workforce and hold professional careers in greater numbers. Unfortunately, this situation is not reflected at the higher echelons of political and corporate leadership. Here progress has been slow and the glass ceiling of gender discrimination is still in place due to deeply embedded traditions and cultural beliefs, strong gender stereotypes, male-centered corporate culture, and discriminatory policies at corporate and legislative levels.

Boards of directors are defined as “the formal link between the shareholders of a firm and the managers entrusted with the day-to-day functioning of the organization”<sup>1</sup>. In recent years, boards worldwide have come under intense scrutiny and pressure by investors to “assume a more central oversight role in the governance of organizations”<sup>2</sup>, and ensure that

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<sup>1</sup> Daniel P. Forbes & Frances J. Milliken, *Cognition and Corporate Governance: Understanding Boards of Directors as Strategic Decision-Making Groups*, The Academy of Management Review, vol. 24, no. 3, 1999, p. 489.

<sup>2</sup> *Ibidem*, p. 489.

they discharge their responsibilities efficiently and profitably. In recent years, investor pressure has mounted for firms to enhance the proportion of women directors on corporate boards. Currently, women occupy only 20% of board seats globally and continue to be excluded from top tier positions in the boardrooms<sup>3</sup>. Women are underrepresented on corporate boards not just in developing countries, but also in major economies such as the U.S., E.U., and Japan. In 2021 women held directorships in proportion of 23.9% in the United States, 29.5% in the European Union, and 10.7% in Japan<sup>4</sup>. Men continue to dominate the corporate decision-making process both numerically and in terms of tenure. Thus, in the same year, men held their board positions for an average of 7.6 years, while women's tenure was an average of 5.1 years<sup>5</sup>. With the exception of France and Norway<sup>6</sup>, gender parity on corporate boards remains a distant dream, which will take a long time and sustained efforts to achieve.

Gender diversity is important for a number of egalitarian and economic reasons. First, in an equal and balanced society, which is premised on social justice, equal representation and participation of men and women is important for a more just distribution of power and resources<sup>7</sup>. The economic rationale is that qualified and experienced professional women should have equal opportunities as men to contribute effectively to the decision-making process<sup>8</sup>.

Board effectiveness can be measured according to two criteria: board task performance and ability to continue working together<sup>9</sup>. Task performance is defined in terms of effort norms, cognitive conflict and specialized knowledge and skills<sup>10</sup>. In terms of effort norms, or the level of effort board members are expected to contribute, women were found to be more diligent than their male peers; they are better prepared and have better attendance at boards meetings, which could have a positive impact

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<sup>3</sup> DeLoitte, *Progress at a snail's pace. Women in the boardroom: A global perspective*, Seventh edition, 2022,

<https://www2.deloitte.com/content/dam/Deloitte/global/Documents/gx-women-in-the-boardroom-seventh-edition.pdf>

<sup>4</sup> *Ibidem*.

<sup>5</sup> *Ibidem*.

<sup>6</sup> *Ibidem*.

<sup>7</sup> Barnali Choudhury, *Gender diversity on boards: beyond quotas*. European Corporate Governance Institute (ECGI) - Law Working Paper Series, 2014; Mari Teigen, *The Affirmative Action Controversy*, 8(2) NORA – Nordic Journal of Feminist and Gender Research, vol. 8, no. 3, 2000, p. 63.

<sup>8</sup> Nancy Fraser, *Social Justice in the Age of Identity Politics: Redistribution, Recognition and Participation* in Nancy Fraser & Axel Honneth (eds), *Redistribution or Recognition? A Political philosophical Exchange* 101 Verso, 2003.

<sup>9</sup> Forbes & Milliken, *op.cit*.

<sup>10</sup> *Ibidem*.

on the overall level of commitment<sup>11</sup>. Regarding cognitive conflict, although some researchers argued that increased diversity might trigger conflict, lower-quality communication and trust issues<sup>12</sup>, others found that women can increase effectiveness by decreasing the levels of conflict<sup>13</sup>. Although more likely to ask difficult questions and even champion controversial issues<sup>14</sup>, women directors are more sensitive to aspects which concern the firm and its stakeholders, such as corporate social responsibility and environmental policies, and could contribute to increased effectiveness in performing strategic control tasks<sup>15</sup>. Firms with gender diverse boards have been found to have fewer issues related to fraud, corruption, bribery, and so on, and have a more transparent disclosure of stock price information and fewer reporting errors<sup>16</sup>. The unique experience and skills women bring to the table allow them to contribute different viewpoints and ideas, leading to increased innovation and creativity. Moreover, most women directors are highly educated and qualified, have broad international experience<sup>17</sup>, and tend to be more persistent and resilient.

A growing body of literature showed that, besides their contribution to board processes, women's presence on corporate boards could have a positive impact on the firm's overall performance, corporate governance, and equity outcomes<sup>18</sup>; however, other authors found their impact on

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<sup>11</sup> Morten Huse, & Anne Grethe Solberg, *Gender-Related Boardroom Dynamics: How Scandinavian Women make and can make Contributions on Corporate Boards*, *Women In Management Review*, vol. 21, no. 2, 2006, p. 120.

<sup>12</sup> Kristina B. Dahlin, Laurie R. Weingart, & Pamela J. Hinds, *Team Diversity and Information Use*, *The Academy of Management Journal*, vol. 48, no. 6, 2005, pp. 1107–1123; Katherine Williams, & Charles O'Reilly, *Demography and diversity in organizations: A review of 40 years of research*. *Research in Organizational Behavior*, vol. 20, 1998, pp. 77–140.

<sup>13</sup> Sabina Nielsen & Morten Huse, *The Contribution of Women on Boards of Directors: Going beyond the Surface*. *Corporate Governance: An International Review*, vol. 18, no. 2, 2010, pp. 136–148.

<sup>14</sup> N. McInerney-Lacombe, D. Billimoria, & P.F. Salipante, *Championing the Discussion of Tough Issues: How Women Corporate Directors Contribute to Board Deliberations*, *Women on Corporate Boards of Directors*, 2008, pp. 123–139.

<sup>15</sup> Nielsen & Huse, *op cit*.

<sup>16</sup> Laura H. Posner, *Board diversity is critical to protect shareholders, bottom line*, *Bloomberg Law*, 2021, <https://news.bloomberglaw.com/banking-law/board-diversity-is-critical-to-protect-shareholders-bottom-line>

<sup>17</sup> Val Singh, Siri Terjesen, & Susan Vinnicombe, *Newly Appointed Directors in the Boardroom: How Do Women and Men Differ?* *European Management Journal*, vol. 26, no. 1, 2008, pp. 48–58.

<sup>18</sup> Takanori Tanaka, *Gender diversity on Japanese corporate boards*, *Journal of The Japanese and International Economies*, 2018; T. Nguyen, S. Locke, K. Reddy, *Does boardroom gender diversity matter? Evidence from a transitional economy*,

firm's performance to be inconclusive<sup>19</sup> or even negative<sup>20</sup>. Women in leadership positions may act as inspiring role-models, helping increase other women's self-esteem and creating opportunities for more women to enter and succeed in male-dominated sectors<sup>21</sup>. A strong network of powerful women has the added benefit of increasing the talent pool from which future female leaders could be selected.

The mere presence of women on corporate boards does not necessarily guarantee that their contribution is valued or even noticed. Tokenism<sup>22</sup> is a serious issue concerning gender diversity in the boardroom, as many corporations continue to have only one or two female directors. The leadership of token women is more likely to be the subject of severe scrutiny, criticism, and negative evaluation bias<sup>23</sup>. Tokens may suffer more pressure from the majority and reduced support from the organization or peers, resulting in lower levels of performance, job satisfaction, and shorter tenure<sup>24</sup>. Critical mass theory underscores the importance of size in effecting significant changes in group interactions<sup>25</sup>. Critical mass is the numerical threshold beyond which a subgroup or minority can influence the opinions and decisions of the majority. The "critical mass" or number of women directors which could influence substantially the dynamics and the processes among the board members was found to be at least three<sup>26</sup>.

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International Review of Economics and Finance, vol. 37, 2015, pp. 184-202; D.C.M. Low, H. Roberts, & R.H. Whiting, *Board gender diversity and firm performance: Empirical evidence from Hong Kong, South Korea, Malaysia and Singapore*, Pacific-Basin Finance Journal, 2015; Christy Glass & Alison Cook, *Do women leaders promote positive change? Analyzing the effect of gender on business practices and diversity initiatives*, Human Resource Management, 2017, pp. 823-837.

<sup>19</sup> David A. Carter, Frank D'Souza, Betty J. Simkins, & W. Gary Simpson, *The gender and ethnic diversity of US boards and board committees and firm financial performance*. Corporate Governance: An International Review, vol. 18, no. 5, 2010, 396-414.

<sup>20</sup> Renee Adams & Daniel Ferreira, *Women in the boardroom and their impact on governance and performance*. Journal of Financial Economics, vol. 94, no. 2, 2009, pp. 291-309.

<sup>21</sup> Paulo Roberto Arvate, Gisele Walczak Galilea, & Isabela Todescat, *The queen bee: A myth? The effect of top-level female leadership on subordinate females*, Leadership Quarterly, vol. 29, 2018, pp. 533-548.

<sup>22</sup> Rosabeth Moss Kanter, *Men and women of the corporation*. New York: Basic Books, 1977.

<sup>23</sup> Alison Cook & Christy Glass, *Women and top leadership positions: Toward an institutional analysis*, Gender, Work and Organization, vol. 21, no. 1, 2014, pp. 91-103; Kanter, 1977

<sup>24</sup> *Ibidem* Cook & Glass, 2014, p. 101.

<sup>25</sup> Kanter, *op.cit.*; Mariateresa Torchia, Andrea Calabrò, & Morten Huse, *Women directors on corporate boards: From tokenism to critical mass*. Journal of Business Ethics, vol. 102, no. 2, 2011, pp. 299-317.

<sup>26</sup> *Ibidem* Torchia et al.; Sumru Erkut, V.W. Kramer, & Alison M. Konrad, *Critical Mass: Does the Number of Women on a Corporate Board Make a Difference?*, in S.



Ideally, a balanced proportion of men and women would range from 60:40 to 50:50<sup>27</sup>. In 2020 more than one-third (38.5%) of global MSCI ACWI boards had at least three women directors<sup>28</sup>. Europe leads in gender representation on boards, with countries like France, Norway, Italy and Belgium being closest to reaching gender parity<sup>29</sup>.

### **Barriers to gender diversity on boards**

There are several factors which hold women back from making a substantial contribution to board processes. These are related to gender stereotypes of leadership in corporate culture, lack of generous welfare provisions for working women and deeply ingrained cultural beliefs regarding gender roles in the family.

Gender bias and stereotyping is pervasive in Japan and in the United States, but locally in Europe as well. The “vertical segregation” of women in the workplace is considered a major cause for excluding women from leadership positions<sup>30</sup>, as leadership is generally associated with masculinity and its defining traits, such as aggression, decisiveness, willingness to engage in conflict, and strength<sup>31</sup>. Leadership stereotypes are likely to influence the perceptions of men and women and negatively affect women’s self-perceptions. A study of 95 organizations in different countries found that in male-dominated companies men rate themselves more effective than women<sup>32</sup>. Besides gendered leadership stereotypes, women’s general tendency to be less outspoken, apparently more indecisive and less conflictual than men may be an obstacle in developing

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Vinnicombe, V. Singh, R. Burke, D. Bilimoria and M. Huse (eds.), *Women on Corporate Boards of Directors: International Research and Practice* London: Edward Elgar, 2008, pp. 222–232.

<sup>27</sup> Kanter, *op cit.*

<sup>28</sup> Christina Mihomem, *Women on boards: 2020 Progress report*, MSCI, 2020 <https://www.msci.com/www/women-on-boards-2020/women-on-boards-2020-progress/02212172407>

<sup>29</sup> Iman Ghosh, *The boardroom still has a gender gap: Here’s what it looks like – and how to fix it*, World Economic Forum, 2021,

<https://www.weforum.org/agenda/2021/03/study-shows-the-state-of-female-representation-on-corporate-boards>

<sup>30</sup> Kumiko Nemoto, *When culture resists progress: masculine organizational culture and its impacts on the vertical segregation of women in Japanese companies*. Work, Employment and Society, vol. 27, no. 1, 2013, pp. 155-158.

<sup>31</sup> <https://www.ncgs.org/wp-content/uploads/2017/11/Barriers-and-Bias-The-Status-of-Women-in-Leadership.pdf>

<sup>32</sup> Samantha C. Paustian-Underdahl, Lisa Slaterry Walker, & David J. Woehr, *Gender and perceptions of leadership effectiveness: A meta-analysis of contextual moderators*. Journal of Applied Psychology, vol. 99, 2014, pp. 1129–45.

credibility in the workplace<sup>33</sup>. For this reason, women leaders are expected to work harder than men and prove themselves by contributing unique skills or expertise<sup>34</sup>. At the same time, emulating typically male behaviors such as assertiveness or aggressiveness has been found to have a negative impact on their image in more conservative cultures because women are expected to display qualities which are considered “feminine”, such as modesty and submissiveness<sup>35</sup>. Nevertheless, although their collaborative and more responsive<sup>36</sup> leadership style may differ from that of men, research found no substantial differences in the effectiveness of male and female leadership<sup>37</sup>.

The second factor is women’s double burden of family and career. The traditional, male-centric model of success relies on men’s full availability and geographical mobility<sup>38</sup>. In more conservative societies, women’s responsibility of household and childcare is often incompatible with positions of corporate leadership<sup>39</sup>. Without substantial parental and childcare provisions<sup>40</sup>, women who marry and raise a family can hardly afford to aspire to an interrupted career path. As a result, women are more likely to spend a longer time out of the workforce or in non-regular employment, and are less likely to gain relevant experience and opportunities to sit on corporate boards.

Theories of socializations have stressed the importance of the division of sex roles in society. Patriarchal societies have a distinct differentiation of male and female spheres of influence, prescribing the role of

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<sup>33</sup> A. Carol Rusaw, *Achieving credibility: An analysis of women’s experience*, Review of Public Personnel Administration, vol. 16, no. 1, 1996, pp. 19-30.

<sup>34</sup> Bettina Binder, Terri Morehead Dworkin, Niculina Nae, Cindy Schipani, & Irina Averianova, *The Plight of Women in Positions of Corporate Leadership in the United States, the European Union, and Japan*, Michigan Journal of Gender & Law, vol. 26, no. 11, 2018, p. 289.

<sup>35</sup> Geert Hofstede, *Culture’s consequences: Comparing values, behaviors, institutions, and organizations across nations*, Thousand Oaks, California: Sage Publications, 2001, p. 297.

<sup>36</sup> Priscilla Berry & Tommy J. Franks, Women in the world of corporate business: Looking at the glass ceiling, Contemporary Issues in Education Research, vol. 3, no. 2, 2010, pp. 1-10.

<sup>37</sup> Janet Shibley Hyde, *Gender similarities and differences*. Annual Review of Psychology, vol. 65, 2014, pp. 373–98.

<sup>38</sup> Louise Ashley & Laura Empson, *Convenient Fictions and Inconvenient Truths: The Role of Paradox In Understanding Female Career Progression Within Leading U.K. Accountancy Firms*. Cass Centre for Professional Service Firms – Working Paper CPSF-008 2012.

<sup>39</sup> Choudhury, *op.cit.*, p. 242.

<sup>40</sup> Siri Terjesen, Ruth V. Aguilera, & Ruth Lorenz, *Legislating a Woman’s Seat on the Board: Institutional Factors Driving Gender Quotas for Boards of Directors*. Journal of Business Ethics, vol. 128, no. 2, 2014, pp. 233–251.

breadwinner and head of household to men<sup>41</sup> and that of caregiver to women. Societal and cultural pressures on women to marry and have children undermine their aspirations to careers and leadership positions, despite their educational attainment or professional experience. Studies have showed that a country's cultural beliefs and values influence the structure of corporate management<sup>42</sup>. Compared to societies where gender roles are less rigorously prescribed, societies that hold traditional views of the clear division of men and women's roles in society are less likely to enable the access of women to leadership positions<sup>43</sup>.

### **Affirmative action: gender quotas and voluntary targets**

Affirmative action defines “programs which take some kind of initiatives, either voluntary or under the compulsion of law, to increase, maintain, or rearrange the number or status of certain group members usually defined by race or gender within a larger group”<sup>44</sup>. It is the main measure to prevent discrimination and ensure the gender balance in the boardroom. Gender quotas are a form of affirmative action aimed at correcting historical gender disparities<sup>45</sup>. They are defined as “government or industry mandated percentages of representation or numbers of each gender in leadership positions paired with clear enforcement mechanisms”<sup>46</sup>. At the corporate level, quotas work to break the “old boys’ networks” and ensure that women receive equal access to leadership positions<sup>47</sup>. They are considered the ultimate option when other (voluntary) attempts to increase gender equality on boards have failed<sup>48</sup>.

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<sup>41</sup> Yolanda Sadie, *Women in political decision-making in the SADC region*, Agenda, vol. 65, 2005, pp. 17-31.

<sup>42</sup> Ruth V. Aguilera, & Gregory Jackson, *The cross-national diversity of corporate governance dimensions and determinants*. Academy of Management Journal, vol. 28, no. 3, 2003, pp. 447-465; Amalia Carrasco, Claude Francoeur, Real Labelle, Joaquina Laffarga, & Emiliano Ruiz-Barbadillo, *Appointing Women to Boards: Is There a Cultural Bias?* Journal of Business Ethics, vol.129, no. 2, 2015, pp. 429-444.

<sup>43</sup> A. Chizema, D.S. Kamuriwo, D.S. and Y. Shinozawa, *Women on corporate boards around the world: Triggers and barriers*. Leadership Quarterly, vol. 26, no. 6, 2015, pp. 1051-1065.

<sup>44</sup> Carol Lee Bacchi, *The politics of affirmative action: ‘Women’, equality and category politics*. London: Sage Publications, 1996, p. X.

<sup>45</sup> Güler Turan, *Why quotas work for gender equality*, OECD Yearbook, 2015, <https://www.oecd.org/gender/quotas-gender-equality.htm>

<sup>46</sup> Victor E. Sojo, Robert E. Wood, Sally A. Wood, & Melissa A. Wheeler, *Reporting requirements, targets, and quotas for women in leadership*. The Leadership Quarterly, vol. 27, 2016, p. 520.

<sup>47</sup> Turan, *ibidem*.

<sup>48</sup> Heike Mensi-Klarbach & Catherine Seierstad, *Gender quotas on corporate boards: Similarities and differences in quota scenarios*, European Management Review, vol. 17, no. 3, 2020, p. 616.

Quotas can be mandated by constitution, by law, or can be applied on a voluntary basis<sup>49</sup>. Gender quotas on corporate boards were introduced as early as 2003, when Norway became the first country to enact a 40% minimum quota, to be soon followed by other European countries.

Gender quotas are enforced by the state, are legally binding, and are considered “hard laws”, as opposed to “soft laws” or voluntary targets<sup>50</sup>. As of 2021, ten European countries had mandated national quotas (Norway, Spain, Iceland, France, Italy, Belgium, the Netherlands, Germany, Austria, and Portugal), and ten E.U. member states had adopted “soft” measures (Denmark, Estonia, Ireland, Spain, Luxembourg, Poland, Romania, Slovenia, Finland, and Sweden). Hard quotas may prescribe sanctions for non-compliance, such as dissolution (Norway), fines (Italy), conditions that vacant positions be filled only by the underrepresented sex (France, Belgium, Germany, Portugal, Austria), and so on. Soft measures do not include penalties, and the “comply or explain” approach is preferred (Spain, Sweden, the Netherlands)<sup>51</sup>. In 2021 France was the only country which achieved gender balance with over 45.1% women on boards, with other countries which adopted national quotas or softer measures approaching the 40% target (Belgium 38.4%, Italy 38.4%, and Sweden 38%)<sup>52</sup>. On average, in 2020 women occupied almost 30% of the board seats in the largest publicly listed companies in the E.U. The proportion of women on E.U. corporate boards increased from an overall average of 13% in 2011 to 36.4% in countries which mandate quotas, to 30.3% in countries which adopted soft measures, and to 16.6% in countries which have taken no action<sup>53</sup>. Still, European countries have a long way to go. In 2021 gender balance was still an issue in most major companies. Almost one in five corporate boards in the E.U. had no women. Women directors continued to be underrepresented in business and finance, environment and climate change, and education, science and research.

Over the past decade the U.S. has made considerable strides towards increasing gender diversity on boards. Instead of quotas, the U.S. has used affirmative action goals, the fulfilment of which is not mandatory<sup>54</sup> and which impose no penalty for non-compliance. In 2020, 45% of the US

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<sup>49</sup> <https://eige.europa.eu/thesaurus/terms/1203>

<sup>50</sup> Ruth V. Aguilera, & Gregory Jackson, *Comparative and international corporate governance*. The Academy of Management Annals, vol. 4, 2010, pp. 485–556.

<sup>51</sup> Mensi-Klarbach & Seierstad, *op.cit.*, p. 619.

<sup>52</sup> European Institute for Gender Equality, Gender Statistics Database, 2021, [https://eige.europa.eu/gender-statistics/dgs/indicator/wmidm\\_bus\\_bus\\_\\_wmid\\_comp\\_compbm](https://eige.europa.eu/gender-statistics/dgs/indicator/wmidm_bus_bus__wmid_comp_compbm)

<sup>53</sup> <https://www.reuters.com/business/sustainable-business/womens-quotas-company-boards-eus-frontrunners-laggards-2022-01-14/>

<sup>54</sup> Binder et al., *op.cit.*, p. 304.

companies were gender-balanced or had three or more women directors. On the same year, 30% of S&P 500 board directors were women (compared to only 18% in 2015), and in 2021 all S&P 500 companies had at least one female director<sup>55</sup>. Also, 26.1% of corporate board seats on the Russell 3000 index companies were occupied by women (compared to 13.6% in 2014). Despite this progress, American women on boards remain a minority, with 55% of the companies having fewer than 2 women on boards, and significant gender disparities across industries remaining, especially in smaller firms and in the technology sector.

Until 2018 the U.S. did not have board gender quotas. One of the reasons is that businesses do not favor state intervention<sup>56</sup>, and that the states are entrusted with the task of regulating various aspects of corporate governance. Another reason would be the controversial history of racial quotas, which originally gave preference to racial categories which suffered discrimination. Racial quotas were found to be unconstitutional under the Equal Protection Clause of the Constitution, due to the exclusion of other, non-preferred groups, and “have been used to control a group that, at the time, was considered undesirable in some way”<sup>57</sup>. Starting from 2018, several states have enacted requirements to increase diversity on boards. California became the first state to require publicly traded companies to include a minimum number of female directors on their boards<sup>58</sup>. A similar measure was adopted in June 2020 when Washington State enacted the Washington Business Corporation act which required publicly traded companies to have a “gender-diverse board” of 25% women by 2022<sup>59</sup>. After California and Washington eleven other states have enacted or are considering mandatory board diversity legislation. The immediate impact of legislative quotas in California was that in 2020 the proportion of women directors in California companies increased to 23.2% from 12.9% in 2016. However, despite an increase in the proportion of women on boards, mandating gender quotas in the US has been shown to have had a negative impact on shareholder value. The passage of the California law was associated with increased costs of recruiting qualified directors

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<sup>55</sup> <https://www.catalyst.org/research/women-on-corporate-boards/>

<sup>56</sup> Anne L. Alstott, *Gender Quotas for Corporate Boards: Options for Legal Design in the United States*, Pace International Law Review, vol. 26, 2014, p. 44.

<sup>57</sup> Binder et al., *op.cit.*, pp. 304-305.

<sup>58</sup> Michael Hatcher & Weldon Latham, *States are leading the charge to corporate boards: diversify!*, Harvard Law School Forum on Corporate Governance, 2020, <https://corpgov.law.harvard.edu/2020/05/12/states-are-leading-the-charge-to-corporate-boards-diversify/>

<sup>59</sup> Catalyst, *Women on Corporate Boards (Quick take)*, 2021, <https://www.catalyst.org/research/women-on-corporate-boards/>

from a limited talent pool<sup>60</sup>, a problem Norway did not encounter upon enacting its gender quota law in 2003<sup>61</sup>.

In Japan gender diversity is a relatively new issue. In recent years, corporate reform, in particular financialization and regulatory reform<sup>62</sup> imposed the necessity of increasing female labor participation. As a result, a greater number of Anglo-American investors called upon Japanese firms to align to international standards of gender diversity<sup>63</sup>. The Basic Act for a Gender Equal Society (1999) was a first step towards promoting women in corporate leadership. The law encouraged employers to set targets of promoting women in decision-making positions, but it stipulates no quotas or penalties for non-compliance. Another initiative was the so-called “30% by 20”, which set a target of at least 30% of leadership positions to be occupied by women by 2020. In 2015 the target was downgraded to a nonbinding goal of 10% for the public and private sector by 2020 while the 30% attainment target was pushed back to 2030. The Act on Promotion of Women’s Participation and Advancement in the Workplace, adopted in 2016 and revised in 2019, calls on companies with more than 300 employees to set targets to increase the proportion of women in management. In June 2021 the revised Corporate Governance Code obliges companies to promote diversity in senior management by disclosing policies, setting measurable targets and increasing the number of external directors to reflect diversity policies.

As a result of these initiatives, the proportion of female directors increased to 10.7% in 2020 compared to only 1.6% in 2012<sup>64</sup>. However, only 5% of the companies had three or more women on board, while 33.4% of the listed companies had zero women directors. This slow progress is due to the fact that, in absence of regulations or codes to enforce gender diversity, Japanese firms tend to operate minimum changes and appoint female directors as outside directors, preferring to retain their traditional corporate governance practices<sup>65</sup>. Moreover, as firms struggle to comply with the revised codes, and against the background of a dearth of qualified women able to sit on corporate boards, there is a risk of appointing tokens,

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<sup>60</sup> Ibidem

<sup>61</sup> Sunwoo Hwang, Anil Shivdasani, & Elena Simintzi, *Mandating Women on Boards: Evidence from the United States*, Kenan Institute of Private Enterprise Research Paper No. 18-34, Oct. 13, 2018.

<sup>62</sup> Gregory Jackson, *Toward a Conceptual Framework for Understanding Institutional Change in Japanese Capitalism: Structural Transformations and Organizational Diversity*. INCAS Discussion Paper Series 2016, p. 4.

<sup>63</sup> Yukie Saito, *Female board of directors and organizational diversity in Japan*, INCAS DP Series, Discussion paper series 2018, no. 2, 2017, p. 5.

<sup>64</sup> Saito, *op.cit.*, p. 4.

<sup>65</sup> Saito, *op.cit.*, p. 10.

directors without relevant experience, or even directors sitting too many company boards.

### **Gender quotas – one size fits all?**

Although gender quotas were shown to be effective in several European countries, they remain highly controversial in the United States, and virtually non-existent in Japan. Mandatory gender quotas could enhance female representation on corporate boards; however, they may as well produce opposite effects such as tokenism, company delisting, decreasing board size and so on<sup>66</sup>. Hence, gender quotas are not the only solution to the problem. While some countries turn to hard law to enforce gender diversity, others, such as Sweden and Finland opt for the “comply or explain”, soft approach, with equally positive outcomes. Several studies point to the relationship between gender equality and other institutions such as politics, culture, and corporate culture. Ianotta et al., pointed out that gender distinctions in national culture are likely to be reflected in welfare and labor institutions, which in turn contribute to gender disparities in labor markets and result in limiting women’s career opportunities<sup>67</sup> and access to the male dominated echelons of power.

According to Terjesen and colleagues, three main institutional areas were found to influence gender quota legislation: 1) the female labor market and gendered welfare policies; 2) left leaning government coalitions; and 3) a history of gender equality initiatives in public policy and in the corporate governance codes<sup>68</sup>. Countries with generous welfare support such as maternity leave and childcare, left-leaning coalitions, and a history of gender equality initiatives from public and corporate sectors are more likely to enact gender quota laws with penalties for non-compliance. This is the case of Norway, which, besides robust parental leave and childcare provisions, has a long tradition of gender equality measures, like granting women suffrage in 1913 and introduction of The Gender Equality Act in 1978<sup>69</sup>. On the other hand, other successful countries with a long tradition of gender equality, such as Sweden, may choose not to enforce hard law and use soft measures instead which consist of “comply or explain” policies, which shows that, when all parties are in agreement regarding gender balance measures, the legal pressure of hard law is unnecessary<sup>70</sup>.

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<sup>66</sup> Navaz Naghavi, Saeed P. Sharif, Hafezali Iqbal-Hussain, *The role of national culture in the impact of board gender diversity on firm performance: evidence from a multi-country study*, Equality, Diversity and Inclusion, vol. 4, no. 5, 2021, pp. 631-650.

<sup>67</sup> Ianotta et al., *op.cit.*

<sup>68</sup> Terjesen, et al., *op.cit.*, 2015.

<sup>69</sup> *Ibidem.*

<sup>70</sup> *Ibidem.*

Mandating board gender quotas remains controversial in countries such as the U.S. and Japan, where gender stereotypes are still deeply embedded in national and corporate cultures, and whose gendered welfare policies stress the role of women as caregivers. Although Japan has one of the most generous parental leave policies<sup>71</sup>, in 2019 less than 8% of the working fathers were willing to take from paternity leave, fearing ostracism and other negative effects in the workplace<sup>72</sup>, as the belief that childcare is a woman's job is still pervasive in Japanese society. In addition, gender pay gaps, inflexible labor contracts and dual-track career paths contribute to significant disparities in promotion opportunities. Finally, tax disincentives and the social security system discourage women from returning to work after childbirth or from fully participating in the workforce<sup>73</sup>. Japan chooses to increase gender diversity on boards without enforcing regulations or codes as this is not "consistent with the traditional Japanese corporate governance practices"<sup>74</sup>. As mandating quotas is likely to produce the opposite effect of intensifying negative attitudes towards women<sup>75</sup>, some authors suggest that in countries where the national environment is not particularly supportive of gender equality, affirmative action is a better alternative to increase the number of female directors on boards<sup>76</sup>.

Women can contribute the decision-making process on corporate boards in multiple ways. Their different leadership style, unique experience and skills, as well as their ability to mediate conflicts have largely been covered in the literature. Cognizant of the immense potential of women in leadership positions, many countries have taken steps to ensure a more equitable distribution of power and resources across corporate boards. While mandating gender quotas has yielded positive effects in countries with lower gender differentiation, generous welfare provisions and overall awareness of the benefits of gender diversity, other countries have chosen softer approaches, which were deemed more suitable to their national environments. Nevertheless, despite certain progress, women remain a minority on corporate boards. As the pressure to enhance board diversity is likely to increase in the future, it is essential that governments, corporations and societies become aware of the benefits of gender diversity by creating more flexible working environments, as well as educating and inspiring women to rise to positions of corporate leadership.

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<sup>71</sup> *Ibidem*.

<sup>72</sup> <https://www.asahi.com/ajw/articles/14379538>

<sup>73</sup> *Ibidem*, pp. 25-26.

<sup>74</sup> Saito, *op.cit.*, p. 10.

<sup>75</sup> Ianotta et al., *op.cit.*

<sup>76</sup> Grosvold & Brammer, *op.cit.*



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# WORLD ENVIRONMENTAL SECURITY AND THE NUCLEAR ARMS RACE

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**Abstract:** *Today, the vast and wonderful diversity of plants, animals, humans, and the atmosphere have largely sustained the planet's ecological equilibrium. However, the earth is seriously endangered due to chronic radiation, which produces genetic mutations in human beings thanks to nuclear energy. Nuclear power supporters once claimed that it is safe, clean, and cost-effective, and that problems such as waste disposal can be solved. They have great faith in technology and dismiss their opponents as "uniformed." The images of Hiroshima and Nagasaki, as well as the Chernobyl disaster, currently haunt the world. Today, a number of nations do not just possess weapons of mass destruction; they have the capacity to destroy the entire human race. Recently, during the 2022 Russian invasion of Ukraine, Russian President Vladimir Putin threatened the world, claiming he could launch nuclear weapons against any country that interferes with his military invasion of Ukraine. This has raised ethical, legal, and philosophical questions about the existence of nuclear weapons. The essence of this work is to review the problem of nuclear weapons and environmental security. This work argues that nuclear weapons pose a threat to the global ecosystem. This paper submits that there is a need for the abolition of nuclear weapons under United Nations supervision.*

**Keywords:** *Nuclear weapon, environmental security, national security, Nuclear Arms Race.*

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## Introduction

The whole question of nuclear weapons versus security is too complex, too technical and above all too rapidly changing for ordinary men and women<sup>1</sup>. The nuclear experts to date have been incapable of providing the right answers, for the most part, they have neglected some of the essential and preliminary questions, which scholars and philosophers, have been asking long ago. These questions are all, in their different ways, philosophical; they are questions about how we do and might and should think about nuclear weapons.

This is a question of logical identification, to be pursued, however, not so much within the field of weaponry, strategy and military destructiveness, as within the ideas and feelings which the new weapons have evoked and in terms of which different justification of their development have been devised. In particular humans need to identify, in its full intellectual context, the moral imperative to be seen so powerful impelling today's anti-nuclear movement. This is a task which calling for careful study. In particular humans can find it hard to conceive how they are to conduct international relations in a world in which national security can no longer be equated with possession of the latest and most destructive weapons. The prospect of having to defend states, countries and territories, or resist oppression, without the latest, most lethal and indeed genocidal aids that science has given, fills humans with feelings of panic and of outrage which all too easily pass into either despair or devil may care self-will<sup>2</sup>.

The problem of nuclear weapon yields in sum two paradoxes. First, the nuclear problem is for humans something essentially new; yet its novelty can be coped with only in the light of the historical background from which it has sprung; this is because to cope with it means to change certain habits of thought and action which are very clearly identified through their history in the centuries that led up to the nuclear age. Second, the novelty of the nuclear problem has placed uniquely awesome responsibility on those who have lived since 1945. But we are not the first generation to feel itself specially chosen or cursed with such a burden. Moreover, when future generations will not feel the stock of its novelty, they may well continue to feel the nuclear problem.

This paradoxical combination of our moral uniqueness and our moral kinship with other generations points to the awesome and unavoidable fact that the nuclear problem is the great problem to affect, directly and all too'

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<sup>1</sup> W. Laqueur, "Postmodern terrorism", *Bioterrorism: The History of a Crisis in American Society*. Routledge, 2020. 316-328.

<sup>2</sup> N. Leonard, Ethical Issues in Arms Technology. *GNOSI: An Interdisciplinary Journal of Human Theory and Praxis*, vol.1. no.1, (2018).

materially, the human species as a whole. Herein, no doubt, lies the hope of achieving an effective unanimity in face of it. Yet to achieve unanimity across the barriers of mankind's moral, religious, political and economic heterogeneity is patently a daunting task. Although the evidence, both literary and archaeological, runs out quickly, there can be little doubt that the prehistory of mankind was a pre-military one. The history of war, which stretches from its establishment as the main means of settling differences between political units until approximately 200 years ago<sup>3</sup>. By that time the expansion of Europe was pointing toward the global wars, and the development of science based industry toward the total wars, of the twentieth century. During this phase there grew up and hardened a certain way of thinking about war.

The improvement in weaponry, tactics or methods of supply may have enabled certain powers to secure their conquests for several generations, self-evidently discoveries in military technology cannot be kept secret for long and usually spread fast and far. In Second World-War very quickly new and more terrifying forms of warfare were started appearing. Aerial bombing was developed and bombs were started dropping on land and sea, and later on production area, in the end, on densely populated area. It was thus within this existing strategic framework that the decision to drop the two atomic bombs on Japan.

After the Second World War President Roosevelt said that "The Victors looked out on a future with big dangers vastly more horrific than those which they had just overcome. They lacked the requisite energy, the words and the vision to cope with the Nuclear Age"<sup>4</sup>. Participating in debate about a number of illusions about the military usefulness of nuclear weapons, Professor Polanyi says that "the threat of a new and upward spiral of the nuclear arms race extended into space is real, frightening and imminent. This looming possibility is a classic example of the failure of imagination and understanding which has created a world already shared with thousands nuclear warhead existing in different countries.

### **Concept of Environmental Security**

A coupling of environmental and national security, as also the symbiotic links between population growths, environmental degradation and resource depletion is being increasingly recognized. These issues currently relate to land, water, fisheries and forests and could include marine resources in future.<sup>5</sup> There are different routes to conflict possible

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<sup>3</sup> Van Creveld, Martin, *Transformation of war*. Simon and Schuster, 2009.

<sup>4</sup> G. Prins, ed. *The Nuclear Crisis Reader*. Vintage, 1984, p. 187.

<sup>5</sup> B.I. Njar, and D.A. Enagu, Development and Environmental Sustainability in Nigeria: An African Perspective. *GNOSI: An Interdisciplinary Journal of Human Theory and Praxis* 2.1 (2019): 37-47.



from these causes. Decrease agriculture production, economic decline, population movement, and the decay of governance institutions chart one such route; they can have both internal and regional dimensions<sup>6</sup>. The question of security has long since preoccupied the minds of International Relationists. The traditional concept of security with the state as the main referent has been up for extensive debate. The realist view of security where it is seen as a “derivative of power” reduces the complex concept of security to a mere “synonym for power”<sup>7</sup>. This view could be considered relevant during the period of the World Wars, where states seemed to be in a constant struggle for power. However, in the post-Cold War era, the concept of Security has become much more multifaceted and complex.

In the book, “*People, States and Fear*” authored by *Barry Buzan* points out that the concept of security was “too narrowly founded”, his goal was to, therefore, offer a “broader framework of security” incorporating concepts that were not previously considered to be part of the security puzzle such as regional security, or the Societal and Environmental sectors of security<sup>8</sup>. This is clearly seen in his book when he examines the different sectors of security in relation to threats. The obvious threats that would seem to present the most pressing concerns are military, which are capable of posing threats to the state on several levels. Military threats can affect all components of the state. It can put into question the very basic duty of a state to be able to protect its citizens as well as have an adverse effect on the “layers of social and individual interest”<sup>9</sup>. The level and objectives of military threat can take on different levels of importance, and the fact that they involve the use of force puts them in a special category when it comes to security. Political threats represent a constant concern for a state as well; however, they can be more ambiguous and difficult to identify in relation to military threats. As the state is, itself, a political entity, a political threat with the purpose of weakening that entity can be considered to be on par with a military threat. They can take the form of competition amongst ideologies, or an attack to the nation itself. However it is important to distinguish between intentional political threats and those that arise structurally from the impact of foreign alternatives on the legitimacy of states.

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<sup>6</sup> D. Pedersen, Political violence, ethnic conflict, and contemporary wars: broad implications for health and social well-being. *Social science & medicine* 55.2 (2002): 175-190.

<sup>7</sup> M. Stone, Security according to Buzan: A comprehensive security analysis. *Security discussion papers series* 1 (2009): 1-11.

<sup>8</sup> B. Buzan, *People, states & fear: an agenda for international security studies in the post-cold war era*. Ecpr Press, 2008.

<sup>9</sup> T.L. Raque-Bogdan, and S.L. Margaretha, Career aspirations and the first generation student: Unraveling the layers with social cognitive career theory. *Journal of College Student Development* 57.3 (2016), p. 248.

When thinking of possible ecological threats, one often thinks of the “struggle humans have with nature” such as earthquakes and hurricanes. These events, in themselves, are impossible to control. The more recent issues of human impact on the planet that are resulting in phenomena such as global warming, pollution, and the ozone layer to name a few, is where we can see more clearly a controllably variable in relation to the environment. If these issues come to the forefront in years to come, the ecological sector will be getting more attention. Possible initiatives to address these issues will be dependent of economic security as well as political security, as these issues can be considered not only a threat to an individual state, but also global threats that will have a widespread effect. Each one of these sectors has importance in its own merit, and while military threats have traditionally taken precedence, with the evolution of the perception of security has exposed the importance of other sectors such as economic and ecological. All sectors should be taken into account when analyzing national and international security, both separately and together. The security of individuals, communities, nations, and the entire global community is increasingly jeopardized by unpremeditated, non-military environmental threats. Climate change will cause uneven effects over the entire globe for the next fifty to 100 years, with some countries benefiting and others suffering<sup>10</sup>.

Environmental security reflects the ability of a nation or a society to withstand environmental asset scarcity, Environmental risks or adverse changes, or Environment-related tensions or conflicts<sup>11</sup>. Unlike potential conventional military threats, these environmental threats are real and ongoing. Therefore when considering problems of environmental security, it is important to recognize that higher-order effects result from more intervening variables. The environment and access to natural resources clearly plays a major role in any state’s conception of what it needs to do in order to protect the well-being of its citizens. In so far as this requires it to take into account the actions of other states or interstate processes the environment will become a factor in its foreign policy and security policy<sup>12</sup>. An explicit discussion of environmental matters is now quite common in official statements of security policy. This has been fed by doomsday journalism of how environmental stresses and resource competition could become a source of inter-state disputes, conflicts, refugee flows, state failure

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<sup>10</sup> D. Deudney, The case against linking environmental degradation and national security. *Green Planet Blues*. Routledge, 2018. 273-283.

<sup>11</sup> G.T. Ramachandrappa, and M. Mehdi, Current Development Trends and Environmental Security in The Persian Gulf: A Critical Survey. *International Journal of Social and Economic Research* 3.3 (2013): 321-332.

<sup>12</sup> S. Dalby, *Environmental security*. Vol. 20. U of Minnesota Press, 2002.

and all manner of other disruptions. Water wars are a perennial in these forecasts. Almost all of these projections see this as happening in the developing world. Some also see these pressures threatening Western values and lifestyles. To the extent humankind neglects to maintain the globe's life-supporting eco-systems generating water, food, medicine, and clean air, current and future generations will be confronted with increasingly severe instances of environmentally induced changes. Such events will test our traditional concepts, boundaries, and understandings of national security and alliance politics and, if taken for granted, may lead to conflict, including violent conflict, from the global to the regional, national, local or human level. Environmental security, broadly defined, affects humankind and its institutions and organizations anywhere and at anytime<sup>13</sup>.

The relation between the environment and the security of humans and nature has been the object of much research and the subject of many publications in recent decades, but it is only recently becoming an important focus of international environmental policy. Historically, the definition of international security has been debated extensively by political scientists and others, and has varied over time. After World War II, definitions typically focused on the subject of real politics that developed during the Cold War between the United States and the Soviet Union<sup>14</sup>. As tensions between the superpowers eased after the collapse of the Soviet Union, academic discussions of definitions of security significantly expanded to encompass a far broader range of threats to peace, including, particularly, Environmental threats associated with the political implications of resource use or pollution. By the mid-1980s, this field of study was becoming known as "Environmental Security"<sup>15</sup>. Despite a wide range of semantic and academic debates over terms, it is now widely acknowledged that environmental factors play both direct and indirect roles in both political disputes and violent conflicts.

The *Nuclear Security Summit* was held in Washington, D.C., on April 12 and 13, 2010. The Summit focused on how to better safeguard weapons-grade plutonium and uranium to prevent nuclear terrorism. A non-binding communiqué issued after the summit recognized nuclear terrorism as one of the most challenging threats to international security" and saw parties: Reaffirm the fundamental responsibility of States, consistent with their respective international obligations. Call on States to work cooperatively as

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<sup>13</sup> F. Dodds, and P. Tim, eds. *Human and environmental security: An agenda for change*. Earthscan, 2013.

<sup>14</sup> B.C. Schmidt, *The political discourse of anarchy: A disciplinary history of international relations*. Sunny Press, 2016.

<sup>15</sup> B. Buzan, "New patterns of global security in the twenty-first century." *International affairs* 67.3 (1991): 431-451.

an international community to advance nuclear security. Recognize that highly enriched uranium and separated plutonium require special precautions. Endeavor to fully implement all existing nuclear security commitments and work toward acceding to those not yet joined.

### **Evolution of Nuclear Weapons**

Although power struggle had been started from the very beginning of the civilization to overpower each other. But the 20th century was the landmark in the history of warfare. Before 20th century the war was in a limited form such as in cost of war, the area of battlefield and in destruction<sup>16</sup>. In 20th century, due to the advancement in science and technology, destructive weapons like tank, Rocket and aircraft came in being. In First World War, by the inclusion of these weapons in warfare, the nature of war was changed from limited war to total war, which became the reason of worry at global level. The matter was not ended here only but during Second World War, with the birth of atom bomb, a new dimension of war, which could pose danger to the existence of mankind, had started.

During Second World War, the nuclear weapons race had started between Germany and United States of America<sup>17</sup>. The race had started after Dr. Fritz Strassmann had split the atom in 1938 at William Institute of Germany. The U.S.A had also started her nuclear programme named Manhattan in 1942. After sometime the U.S.A acquired nuclear weapons and became first nuclear state. But the Allied Forces were worried about Germany's technological know-how of nuclear field, and ultimately, before the surrender of Germany, the Allied Forces destroyed German's nuclear facilities by which the nuclear race came to an end<sup>18</sup>. The British scientists also assisted the U.S.A's scientists in the development of nuclear weapons. The United States tested its first atom bomb at Alamogordo, New Mexico on July, 16, 1945. At the time of testing first atom bomb the U.S.A had two other atom bombs which were later on carried to their targets and dropped at Hiroshima and Nagasaki on August, 6 1945 and August 9, 1945 respectively<sup>19</sup>. The effect of the bombs was that near about 2,00,000 people were killed and many lakhs were wounded.<sup>2</sup> Thus the U.S.A was the first country that acquired the capacity to inflict devastation on ground targets by means of atomic fission. Then a process of action reaction set in

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<sup>16</sup> J. Buckley, *Air power in the age of total war*. Routledge, 2006.

<sup>17</sup> K.N. Waltz, *The spread of nuclear weapons: More may be better*. Routledge, 2015.

<sup>18</sup> J. Siracusa, *Nuclear weapons: a very short introduction*. Oxford University Press, USA, 2020.

<sup>19</sup> J.D. Boice Jr, The likelihood of adverse pregnancy outcomes and genetic disease (transgenerational effects) from exposure to radioactive fallout from the 1945 Trinity atomic bomb test. *Health Physics*, 119.4 (2020): 494.

motion to acquire atomic weapons by other countries in general and the U.S.S.R in particular.

After Second World War the U.S.A and the U.S.S.R. emerged as super powers. The U.S.S.R was socialist country and the U.S.A was capitalist. To check the ideological influence both the countries became each other's adversaries. But the U.S.A having achieved atomic weapons first wanted to maintain and retain its monopoly on nuclear weapons. Whereas the U.S.S.R. was trying to acquire nuclear weapons to retain its super power status. After all the Allied of the Second World War had become rival by the end of the war. After Second World War both the powers started to strength there military power to increase the area of influence at the global level.<sup>3</sup> When the U.S.A. refused to share nuclear data with Soviet Union, then Soviet Union put her military industrial complex in an emergency action to acquire the knowhow of nuclear weapons<sup>20</sup>. And in August 1949 the Soviet Union exploded its first atom bomb and became the second nuclear power of the world.

Due to heavy losses occurred in Second World War, the economy of British was crippled. As a result Britain was not in a position to spend so large amount to keep her colonial rule intact. So, Britain had to withdraw her forces from different parts of the world. Therefore a vacuum was created at global level. The U.S.A. and the U.S.S.R. started filling up this vacuum. And there were many factors such as political, economic and ideological which brought the two giants into the field of nuclear race. Notwithstanding the U.S.S.R. going nuclear in 1949, the U.S.A. enjoyed virtual nuclear monopoly till 1953, and nuclear superiority till 1957. The U.S.A. reckoned its territory as a sanctuary as the Soviet weapons could not reach it while as it could attack any Soviet target at will, from its bases in Western Europe. When the Soviet Union tested its intercontinental ballistic missile (ICBM) in 1957 it created a missile crisis in the U.S.A. The U.S.A. tested its first thermo-nuclear weapon in 1952, and the U.S.S.R. followed suit in 1953. The political climate worsened because of repeated alarms over Berlin and the war in Korea. By July 1955 the tensions had lessened to enable a great power summit meeting to be held in Geneva, where proposal for general disarmament were presented. The British and French delegations put toward a plan for prohibition of the nuclear weapon, they did not then have, and the Soviet Union agreed to the location of foreign inspectors at several points on its territory.<sup>6</sup> The U.S.A. once again insisted on priority for verification measures and proposed that the air space of all states be thrown open for aerial inspection so as to

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<sup>20</sup> D.A. Rosenberg, The origins of overkill: Nuclear weapons and American strategy, 1945–1960. *International security* 7.4 (1983): 3-71.

prevent the launching of surprise attacks. This fear of surprise attacks has been on American obsession since Pearl Harbour was attacked by Japan in December 1941.

The transition to the nuclear power status in the United States and Soviet Union acquired between 1945 and 1955, the critical decade immediately after the Second World War<sup>21</sup>. In each case the whole infrastructure had to be assimilated to viably project their nuclear power perceptions based on the situation prevailing and their national interest. The primary nuclear power adversaries, the United States and the Soviet Union, are geographically located on two distinctly separate continents. The distance between the Soviet Republic and the United States from Alaska to Vladivostok in Eastern Russia and 7,500 to 10,000 kilometers from central United States to the heart of Russia over the North Pole<sup>22</sup>. This distance has definite implications. A viable nuclear policy would entail a realistic nuclear weapons capability' which needs to be delivered accurately over distances of thousands of kilometers. Without such a capability neither power can threaten on other. The consequences of this factor have fundamentally effected the development of their nuclear policies.

Today, there are about nine countries known to have nuclear weapons. These countries are: Russia, the United States, China, France, the United Kingdom, Pakistan, India, Israel, and North Korea<sup>23</sup>.

### **Understanding Nuclear Power: Bane or Blessing**

Nuclear power poses a major threat to the environment and to humanity. Most of the times it has proven to be safe and successful, but on some occasions its results have been disastrous. The production of nuclear power is accompanied by the production of radioactivity. Like the pollution produced when fossil fuels are burned, radioactivity can be very dangerous to living creatures. This is especially true in the case of nuclear attack and accidents, which have occurred infrequently throughout recent history. There is a deeper and more serious relationship with the Environment when Nuclear Weapons are used. Conventional wars without the use of nuclear weapons are a part of mankind's historical evolution. These wars, on many occasions, at their conclusion, led to a changed social and political order. The Environment gets regenerated mostly by natural processes and also through reconstruction. Even the scorched earth

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<sup>21</sup> R.L. Geiger, *Research & relevant knowledge: American research universities since World War II*. Routledge, 2017.

<sup>22</sup> M.S. Blinnikov, *A Geography of Russia and its Neighbors*. Guilford Publications, 2021.

<sup>23</sup> B. Larkin, *Nuclear Designs: Great Britain, France and China in the global governance of nuclear arms*. Routledge, 2018.

strategy of destruction, the natural resources recouped quickly. Nuclear war, on the other hand, has serious implications for nature and the environment, indeed for the planet Earth.

The use of two fission nuclear bombs by the USA on the Japanese cities of Hiroshima and Nagasaki in August 1945 is the only historic and empirical data which can be interpolated to study the environment impact of nuclear weapons in the short and long run<sup>24</sup>. Describing the catastrophe, the statement by the President of the United States read:

Sixteen hours ago an American airplane dropped one bomb on Hiroshima, Japan, and destroyed its usefulness to the enemy. That bomb had more power than 20,000 tons of T.N.T. It had more than two thousand times the blast power of the British Grand Slam, which is the largest bomb ever yet used in the history of warfare<sup>25</sup>.

These fateful words of the President on August 6th, 1945, marked the first public announcement of the greatest scientific achievement in history. The atomic bomb, first tested in New Mexico on July 16, 1945, had just been used against a military target. On August 6th, 1945, at 8:15 A.M., Japanese time, a B- 29 heavy bomber flying at high altitude dropped the first atomic bomb on Hiroshima. More than 4 square miles of the city were instantly and completely devastated. 66,000 people were killed, and 69,000 injured. On August 9th, three days later, at 11:02 A.M., another B-29 dropped the second bomb on the industrial section of the city of Nagasaki, totally destroying 1 1/2 square miles of the city, killing 39,000 persons, and injuring 25,000 more. On August 10, the day after the atomic bombing of Nagasaki, the Japanese government requested that it be permitted to surrender under the terms of the Potsdam declaration of July 26th which it had previously ignored.

In both Hiroshima and Nagasaki the tremendous scale of the disaster largely destroyed the cities as entities. Even the worst of all other previous bombing attacks on Germany and Japan, such as the incendiary raids on Hamburg in 1943 and on Tokyo in 1945, were not comparable to the paralyzing effect of the atomic bombs. In addition to the huge number of persons who were killed or injured so that their services in rehabilitation were not available, a panic flight of the population took place from both cities immediately following the atomic explosions. No significant reconstruction or repair work was accomplished because of the slow return

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<sup>24</sup> M. Tomonaga, The atomic bombings of Hiroshima and Nagasaki: A summary of the human consequences, 1945-2018, and lessons for homo sapiens to end the nuclear weapon age. *Journal for Peace and Nuclear Disarmament* 2.2 (2019): 491-517.

<sup>25</sup> J. Ciment, and R. Thaddeus, eds., *The Home Front Encyclopedia: United States, Britain, and Canada in World Wars I and II*. Vol. 1. ABC-CLIO, 2007, p. 1368.

of the population; at the end of November 1945 each of the cities had only about 140,000 people.

Although the ending of the war almost immediately after the atomic bombings removed much of the incentive of the Japanese people toward immediate reconstruction of their losses, their paralysis was still remarkable. Even the clearance of wreckage and the burning of the many bodies trapped in it were not well organized some weeks after the bombings. As the British Mission has stated, "the impression which both cities make is of having sunk, in an instant and without a struggle, to the most primitive level"<sup>26</sup>. Aside from physical injury and damage, the most significant effect of the atomic bombs was the sheer terror which it struck into the peoples of the bombed cities. This terror, resulting in immediate hysterical activity and flight from the cities, had one especially pronounced effect: persons who had become accustomed to mass air raids had grown to pay little heed to single planes or small groups of planes, but after the atomic bombings the appearance of a single plane caused more terror and disruption of normal life than the appearance of many hundreds of planes had ever been able to cause before. The effect of this terrible fear of the potential danger from even a single enemy plane on the lives of the peoples of the world in the event of any future war can easily be conjectured. The atomic bomb did not alone win the war against Japan, but it most certainly ended it, saving the thousands of Allied lives that would have been lost in any combat invasion of Japan.

On April 26, 1986, in Chernobyl, Ukrainian Soviet Socialist Republic (SSR). An accident occurred at Reactor 4 of the Chernobyl Nuclear Power Plant (NPP)<sup>27</sup>. There was an initial explosion and fire in the core containment facility, a subsequent fire in the reactor's graphite moderators, and a 10-day long (April 26- May 6) release of gases and aerosols containing great amounts of radioactive material that resulted in the widespread dispersion of clouds of radioactive nuclides. Reactors 1 and 2, which are physically separate from the damaged reactor, were not immediately threatened; the nearby Reactor 3 was structurally endangered by the fires. The graphite-moderated, boiling-water-cooled design of the Chernobyl reactors contributed to both the start and the severity of the accident. Soviet experts estimate that 50 MCi (million curies) of noble gases (predominantly xenon and some krypton) and a total of approximately 50 MCi of other radio-nuclides were released to the environment during the 10-day period. Approximately 20 MCi of no noble gas release occurred on the first day of the accident.

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<sup>26</sup> G. Degroot, *The Bomb: A Life*. Random House, 2011, p. 102

<sup>27</sup> G.L. Zvonkova, Chernobyl Nuclear Power Plant: Fragments Of History (1977-2000). *European Journal of Humanities and Social Sciences* 4 (2019): 17-22.



The entire population of Prip'yat (45,000) was evacuated as were all those living within 30 km of the Chernobyl plant<sup>28</sup>. Il'in estimated that individual whole-body doses for most of the town's inhabitants were about 15- 50 m Gray (mGy) (1.5-5 rads); for those providing direct services in the contaminated areas, the estimated doses were 130/30 mGy (13/3 rads) (13). He reports that iodine prophylaxis (introduced within 12 hours of the accident) for the children in Prip'yat resulted in 97 percent of them receiving less than 0.3 Gy (30 rads), with fewer than 1 (Iodine) percent receiving 1.1- 1.3 Gy (110-130 rads) to the thyroid. Il'in estimates that the collective dose commitment for the entire population of the country is approximately 326,000 man- sieverts (Sv) (32,600,000 manrem). This estimate is based on an analysis of field material, with allowances for the techniques used. Using this estimate, the increase in the cancer death rate and in the number of genetic defects in the first two generations after the accident is considered to constitute less than a 0.01 per- cent contribution to the total numbers for each category.<sup>163</sup> This estimate is approximately 2.5 times that made by the U. S. Department of Energy (DOE). DOE estimates that of the 3.5 billion inhabitants of the globe, 600 million will develop spontaneous fatal cancers, including up to 6 million fatal cancers from background radiation (1.0 percent of all fatal cancers). In addition, DOE scientists estimate that up to 100,000 fatal cancers will develop from exposure to nuclear tests (0.02 per- cent of all fatal cancers), and up to 28,000 fatal cancers will develop from the Chernobyl releases (0.004 per- cent of all fatal cancers)<sup>29</sup>.

### **Legal Principles and the Nuclear Arms Race**

The task of the international community is to identify sovereign nations and the territories of each, to prevent transgression of these territories, to prevent military invasion, to control armed forces so as to reduce the probability of such invasions, to limit their destructiveness if hostilities occur, to punish the wrong doers, to procure preparation for war dangers, and to ensure that similar conditions do not recur in the future. The sovereign equality of states is the first among the seven principles of the United Nations Charter. All members of the United Nations, irrespective of their size, population, prosperity, wealth, and resources,

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<sup>28</sup> Ginzburg, Harold M., and Eric Reis, "Consequences of the nuclear power plant accident at Chernobyl." *Public Health Reports* 106.1 (1991): 32.

<sup>29</sup> Marland, Gregg, and Ralph M. Rotty, "Carbon dioxide emissions from fossil fuels: a procedure for estimation and results for 1950-1982." *Tellus B: Chemical and Physical Meteorology* 36.4 (1984): 232-261.

have equal representation in the General Assembly, which has been nicknamed the Parliament of Sovereign States<sup>30</sup>.

In 1874, a conference of fifteen states adopted a Russian draft on the laws and customs of war, but it was not ratified. The use of poison or poisoned weapons, the use of arms projectiles or material calculated to cause unnecessary suffering, and attacks on undefended towns were among the means specifically prohibited of war weapons was the object of the first Haque Peace Conference, and one declaration was made prohibiting the use of expanding dum-dum bullets<sup>31</sup>. The First World War saw the massive slaughter of members of the armed forces. World War II added to this massive slaughter of civilians also. Today, the world is poised on the edge of a third world war with weapons in our hands that will admit of no discrimination, no distinctions, and no humanity at all. In the Geneva Protocol, it was restated that the prohibition of the use of asphyxiating, poisonous or other gases and added bacteriological methods of warfare. Over 100 countries ratified or acceded to the Protocol. Since 1945, the United Nations General Assembly has several times called for its strict observance<sup>32</sup>.

In 1950, the International Law Commission of the United Nations set down the principles of international law recognized in the Charter of the Nuremberg Tribunal and in the judgment of the Tribunal, principle IV itemized the following as crimes under international law: planning, preparation, initiation, or waging of a war of aggression or a war in violation of international treaties, agreements, or assurance; destruction of cities, towns, or villages; devastation not justified by military necessity; murder; extermination, deportation, and other inhuman acts done against any civilian population; The revolution in warfare caused by the explosion of the atom bombs over Japan in 1945 has resulted in a significant reaction in international law<sup>33</sup>. In 1956, the international committee of the Red Cross produced a set of draft rules for the limitation of the danger incurred by the civilian population in times of war. One draft rule was that combatants should confine their operations to the destruction of the military resources of the enemy and leave the civilian population outside the sphere of armed attacks<sup>34</sup>. The draft rules prohibited the use of

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<sup>30</sup> J.M. Hanhimäki, *The United Nations: A very short introduction*. Oxford University Press, 2015.

<sup>31</sup> L.C. Green, Nuclear Weapons and the Law of Armed Conflict,” *Denver Journal of International Law & Policy* 17.1 (2020): 5.

<sup>32</sup> W.H. Boothby, *Weapons and the law of armed conflict*. Oxford University Press, 2016.

<sup>33</sup> A. Carstens and V. Elizabeth, eds. *Intersections in International Cultural Heritage Law*. Oxford University Press, 2020.

<sup>34</sup> A. Alexander, A short history of international humanitarian law”, *European Journal of International Law* 26.1 (2015): 109-138.

weapons whose harmful effects could spread to an unforeseen degree or escape, either in space or in time, from the control of those who employ them, thus endangering the civilian population. It is plain that weapons producing radioactivity fall within this definition. The draft rules were submitted to governments, who did not respond.

The General Assembly of the United Nations passed a declaration in 1961 on the prohibition of the use of nuclear and thermonuclear weapons. The declaration recalled that the use of weapons of mass destruction, causing unnecessary human suffering, had in the past been prohibited as being contrary to the laws of humanity and the principles of international law. The resolution declared that the use of these weapons (a) was contrary to the spirit, letter, and aims of the United Nations and, as such, a direct violation of the Charter; (b) would cause indiscriminate suffering and destruction to mankind and civilization and, as such, was contrary to the rule of international law and to the laws of humanity; and (c) was a war directed against mankind in general, since the peoples not involved in such a war would be subjected to all the evils generated by the use of such weapons. The resolution further declared that any state using such weapons was to be considered as violating the United Nations Charter, as acting contrary to the laws of humanity, and as committing a crime against mankind and civilization. The resolution also requested the Secretary General of the United Nations to consult with the governments of member states with a view to convening a conference for the signing of the convention.

The General Assembly of the United Nations approved a resolution in 1981, proclaiming that states and statesmen that resorted first to the use of nuclear weapons would commit the gravest crime against humanity<sup>35</sup>; that there would never be any justification or pardon for the statesmen who would take the decision to be the first to use nuclear weapons; that the doctrines allowing the first use of nuclear weapons and any actions pushing the world toward a catastrophe were incompatible with human moral standards and the lofty ideals of the United Nations; that it was the supreme duty and direct obligation of the leaders of nuclear weapon states to act in such a way as to eliminate the risk of the outbreak of a nuclear conflict; and that nuclear energy should be used exclusively for peaceful purposes and only for the benefit of mankind. The resolution was passed with 82 votes<sup>36</sup>.

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<sup>35</sup> B.G. Ramcharan, Threats and Challenges, *United Nations Protection of Humanity and Its Habitat*. Brill Nijhoff, 2016. 74-107.

<sup>36</sup> S. Jasanoff and S.H. Kim, Containing the atom: Sociotechnical imaginaries and nuclear power in the United States and South Korea, *Minerva*, vol. 47, no. 2, (2009): 119-146.

Due to the nuclear arms race, there are rules of international law of particular importance to the use of nuclear weapons. International customary law recognizes three principles. The first is that the right of belligerents to adopt means of injuring the enemy is not unlimited; the second is that the use of weapons or tactics which cause unnecessary suffering or destruction of property is forbidden; and the third is that civilians not engaged in war work are entitled to special protection. No one of these principles is so clear that it can be applied as a yardstick of legality without elaboration or further specification. Some of these principles, along with others, have been more particularly condified in treaties, conventions, protocols, and declarations. None of these codes has stated explicitly that the use of nuclear weapons is contrary to international law. The strongest and the most recent set of relevant provisions are those in the 1977 Geneva Protocol-I: This concerns the protection of civilians and contains 102 articles<sup>37</sup>.

### **Ethical view and The Nuclear Arms Race**

The military threat that is now hanging over the world is unlike anything that has been known in the past. The lives of hundreds of millions of persons and the destinies of entire countries and peoples and of all mankind depend on the resolution of the problem of war. The development of fundamentally new military technology has transferred the entire globe into a potential theater of military operations. If it is not prevented, a new world war would bring unprecedented disasters. The monstrous means of mass destruction that the revolution in science and technology has made possible would produced countless victims and would transform the world's major economic and culture centres into ruins. From stones, bows and arrows of the prehistoric period, man has come along way through rifles, machine guns., TNT explosive, napalm bombs, germ bombs, atomic bombs and hydrogen bombs to the recently talked about notorious neutron bombs. The use of man's ingenuity to make weapons of mass destruction appears to be on the increase in spite of the experiences of Hiroshima and Nagasaki.

It was half a century ago, when the two nuclear bombs were used in the end of Second World War in 1945, in which two atom bombs were dropped from an aircraft on Hiroshima and Nagasaki. The effect of this explosion was that near about 2,000,000 people were killed and many lakhs wounded besides the destruction of properties worth billions of dollars. But later on, hydrogen and neutron bombs were invented which

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<sup>37</sup> L. Gisel, R. Tilman and D. Knut, Twenty years on: International humanitarian law and the protection of civilians against the effects of cyber operations during armed conflicts." *International Review of the Red Cross* 102.913 (2020): 287-334.

has many times more power of devastation. The destructive power of the Hiroshima bomb was thirteen kilotons, which is the equivalent of thirteen thousand tons of dynamite. At present the arsenals of the two nuclear powers include not only one, but many nuclear bombs of twenty megatons, which means the equivalent of twenty million tons of dynamite. The total number of nuclear weapons ready of use today is not officially known, but according to reliable estimates, is approximately 50,000 and these have a combined yield of 15,000 megatons, with an explosive power considerably higher than a million Hiroshima bombs, meaning an explosive power of almost four tons of dynamite for each inhabitant of the earth. The effects of nuclear weapons are of two kinds: On the one hand the immediate effects, produced by a most powerful blast wave, intense thermal radiation and initial nuclear radiation, on the other hand the delayed effects originated by the radioactive fallout which may last for several decades. Bearing in mind that there have been 2,00,000 dead as a result of the Hiroshima bomb, it is safe to conclude that the existing nuclear arsenals could annihilate some two hundred forty thousand millions of human beings; in other words, a figure sixty times larger than the total population of the planet. It is also worth mentioning in this connection the catastrophic climatic and biologic consequences of nuclear war that emerge from extensive scientific studies conducted over the past many years endorsed that the use of only a small fraction of the world nuclear arsenals would, among other tragic consequences produce an arctic cold and darkened skies which may spread over the entire planet and would destroy life on the Earth.

The leading nuclear power states consider “nuclear deterrence” as the remedy of this danger. In reality deterrence is not a remedy but it is a balance of terror. In order to claim that it is possible to continue, forever, to live with nuclear weapons, the balance must be maintained at all times irrespective of any technological challenges that may present themselves as a result of the nuclear arms race. In addition, there must be no accidents of a human or technical nature, which an impossible requirement as shown by the various incidents of false alarm and computer malfunctioning that are reported from time to time. Sooner or later one of these incidents may give rise to a real accident with untold consequences. For these and other reasons it is not possible to offer a blanket guarantee of eternal stability of the deterrence balance and no one should be permitted to issue calming declaration to this effect. The consequences of being wrong are too great. The chances of being wrong are too obvious. Even if the balance of deterrence was an entirely stable phenomenon, there are strong moral and political arguments against a continued reliance on this balance. It is inadmissible that the prospect of the annihilation of human civilization is

used by some states to promote their security. The future of mankind is then made hostage to the perceived security of a few nuclear weapons states and most notable that of the two or three leading nuclear powers. It is furthermore not acceptable to establish, for the indefinite future, a world system of nuclear weapon states and non-nuclear weapon states. This very system carries within it the seed of nuclear weapon proliferation. In the long run, therefore, it is a system that contains the origins of its own destruction.

So, keeping in mind the seriousness of the proliferation of nuclear weapons and its effect on mankind, there is a urgent need to take necessary steps to cessation of the nuclear arms race and to nuclear disarmament. One way out is, to short out the problem through agreements and treaties by nuclear states. Although they have signed many agreements and treaties in last fifty years, such as. Partial Test Ban Treaty of 1963, Treaty of Tlatelolco of 1967, NPT of 1968, Sea Bed Treaty of 1971, Nuclear Accident Agreement of 1971, Toxin weapons Treaty of 1972, Threshold Test Ban Treaty of 1974, Peaceful Nuclear Treaty of 1976, Protection of Nuclear weapons material treaty of 1980 and CTBT etc<sup>38</sup>. But by these treaties and agreements the nuclear powers could not reach at any conclusion. Because they doubt each other's integrity and after signing one treaty they find out other way to enhance their nuclear capability. After signing each treaty, they had searched a new way by using a web of technical language and kept on enhancing their nuclear capability.

This paper submits that there is need for the abolition of nuclear weapons. Firstly the nuclear disarmament requires urgent negotiation of Agreements, under UN supervision with the help of strong world public opinion, for cessation of the qualitative improvement and development of nuclear weapon system. Secondary, cessation of the production of all types of nuclear weapons and their means of delivery, and of the production of fissionable material for weapons purposes. Thirdly, a comprehensive, phased programme with agreed time frames, whenever feasible, for progressive and balanced reduction of stockpiles of nuclear weapons and their means of delivery, leading to their ultimate and complete elimination at the earliest possible time. Nuclear weapon proliferation poses the greatest danger to world security. So, it is essential to halt and reverse the nuclear proliferation in all its aspect in order to avert the danger of war involving nuclear weapons. We must keep in our mind that it is not possible to achieve national security by increasing universal insecurity.

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<sup>38</sup> J. Dhanapala, The Hierarchy of Arms Control and Disarmament Treaties. *Denver Journal of International Law & Policy* 19.1 (2020): p. 5.

## Conclusion

As the discussion in this work shows, environmental security poses important challenges which have transcended national boundaries and are threatening the global ecosystem. These challenges have received more focus and attention than military challenges. Recently these factors have emerged as a new dimension to security threat perceptions especially in the field of nuclear technological developments.

Nuclear power provides an important example of both the global effects of environmental destruction and the Trans- boundary political problems it can cause. The contradiction between national sovereignty and the international impact of environmental degradation is exacerbated by the wide discrepancies in the stage of nuclear technologies developments and the capacity for effective action that different countries find themselves in. As popular awareness of the dangers of nuclear power has grown, so have strain between nations over the construction and installation of reactors, enrichment and reprocessing facilities and radioactive waste dumps. Nuclear Pollution respects no human drawn borders; it jeopardizes not only the security of the country from which it emanates, but also that of its neighbours.

There is thus a fundamental contradiction between the illusion of national sovereignty and the reality of trans- boundary environmental degradation. Our common future the report of the World Commission on Environmental and Development (the Brundtland Commission), put the dilemma succinctly: "The Earth is one but world is not we all depend on one biosphere for sustaining our lives. Yet each community, each country, strives for survival and prosperity with little regard for its impact on others".

The early promise of nuclear technology to offer a cheap and safe way for generating power failed to come true and gave way to disappointment among the consumers both with respect to cost and safety. The economics of nuclear plant however took the back seat when the US along with other countries operating nuclear plants were plunged into heated debate around the question of reprocessing of the spent fuels. Highly radioactive wastes taken out from the nuclear reactor after generation of power contained about 50 radioactive isotopes with half lives ranging from two hours to 24,000 years. They are chemically reactive elements that are readily absorbed into biological matters causing cancer in human bodies and are liable to contaminate food chains. When we go through weapons of mass destruction nuclear arm race is creating a dilemma among many countries. Every country wants to keep weapons of mass destruction to secure their future. It is like a status symbol for the country that creates an imperialistic approach which we can say in other word as 'Nuclear Imperialism'.

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# LEGAL ISSUES ON LAND CORRUPTION IN VIETNAM

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**Abstract:** According to Transparency International: “Across the globe, one in every five people has paid a bribe to access land services”<sup>1</sup>. In Vietnam, one of the three areas of state management with the most serious corruption is land<sup>2</sup>. Taking advantage of the whole-people ownership of land, the dual-price mechanism and the right to distribute land, state management officials in charge of land have committed many corrupt acts to gain illicit profits. Corruption in the land sector has had a very negative impact on the socio-economic life of Vietnam. Therefore, this article will point out common types of corruption in the land sector in Vietnam to take appropriate prevention measures. The article also analyzes measures to handle corrupt acts and provides solutions to improve Vietnamese law on this issue.

**Keywords:** Land corruption, allocate, lease, planning, Vietnam.

## Introduction

Corruption is an inevitable and objective phenomenon in society where the state exists. Because corruption is always associated with state power, some people with positions and powers in the state apparatus have taken advantage of state power to corrupt, in order to gain benefits for themselves and their families or for their loved ones. Corruption is a bad phenomenon for society, it causes great damage to the country's economy. In addition, corruption also makes the state apparatus less effective and efficient, causing social injustice<sup>3</sup>.

To promote the fight against corruption globally, the United Nations General Assembly adopted the Anti-Corruption Convention on October 31,

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<sup>1</sup> Transparency International (2021), *Land Corruption*. Retrieved from Transparency International: <https://www.transparency.org/en/our-priorities/land-corruption#>

<sup>2</sup> H. Quyen, (2016), *Land is one of the three most corrupt sectors*. Retrieved 11 29, 2021, from Thoi bao Tai chinh Viet Nam: <https://thoibaotaichinhvietnam.vn/dat-dai-la-mot-trong-ba-linh-vuc-tham-nhung-nhieu-nhat-76362.html>

<sup>3</sup> N.C. Quy, (2021), *Perspectives on anti-corruption in the document of the 13th Party Congress and solutions for implementation*. Retrieved 12 06, 2021, from Hoi dong Ly luan Trung Uong: <http://hdl.vn/vi/nghien-cuu---trao-doi/quan-diem-phong-chong-tham-nhung-trong-van-kien-dai-hoi-xiii-cua-dang-va-nhung-giai-phap-thuc-hien.html>

2003, which entered into force on December 14, 2005. As of August 11, 2021, there are 188 parties to this Convention<sup>4</sup>. During the process of international integration, Vietnam ratified and joined this Convention on June 30, 2009 and officially became a member on August 19, 2009<sup>5</sup>. However, the anti-corruption situation in Vietnam has not yet made good progress, especially in the land sector. Typical corruption cases can be mentioned as: Thu Thiem urban area case, Ho Chi Minh City through the conclusion of the Government Inspector in Notice 1041/TB-TTCT dated June 26, 2019 about the amount of money at risk of loss related to the implementation of the land policy about 26,000 billion VND (equivalent to about 1 billion 130 million USD)<sup>6</sup>. Recently, the prosecution and arrest of former Secretary of Binh Duong Provincial Communist Party Committee for land management mistakes caused more than 1,000 billion VND in damage (equivalent to more than 43 million USD) partly showed this situation<sup>7</sup>. According to Transparency International's corruption perception index 2020, Corruption in the public sector in Vietnam is still considered very serious. With a score of 36/100, Vietnam ranks 104/180 countries in terms of transparency<sup>8</sup>. This is a rather low score to ensure the healthy and sustainable development of the country. Therefore, it is urgent to find radical solutions that are decisive for the prevention of corruption in general and in the land sector in particular in Vietnam.

## Literature review

Corruption is always a topical issue in Vietnam. Therefore, in fact, there have been many researches on this issue published nationally and internationally. At the international level, the book can be mentioned is *“Recognizing and Reducing Corruption Risks in Land Management in*

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<sup>4</sup> UN., *United Nation Convention Against Corruption*. Retrieved 12 06, 2021, from United Nations: <https://www.unodc.org/unodc/en/corruption/uncac.html>

<sup>5</sup> L.M. Khai, (2020), *Vietnam implements the United Nations Convention against Corruption – Outcomes and Issues*. Retrieved 11 30, 2021, from Mat Tran: <http://tapchimattran.vn/thuc-tien/viet-nam-thuc-thi-cong-uoc-cua-lien-hop-quoc-ve-chong-tham-nhung-ket-qua-va-nhung-van-de-dat-ra-37564.html>

<sup>6</sup> V.T. Hoa, *Mistakes in Thu Thiem new urban area: Urgently withdraw and refund more than 26,000 billion VND*. Retrieved 11 29, 2021, from Cong an nhan dan: <https://cand.com.vn/Su-kien-Binh-luan-thoi-su/Khan-truong-thu-hoi-va-hoan-tra-hon-26-000-ty-dong-i607352/>

<sup>7</sup> T. Hoang, *How did former Secretary of Binh Duong Tran Van Nam cause more than trillions of dollars in damage?* Retrieved 11 29, 2021, from Tuổi trẻ: <https://tuoitre.vn/cuu-bi-thu-binh-duong-tran-van-nam-gay-thiet-hai-hon-ngan-ti-nhu-the-nao-0210823122043812.htm>

<sup>8</sup> H. Phuong, *Highlights of the Corruption Perception Index 2020*. Retrieved 11 30, 2021, from Noi Chinh: <https://noichinh.vn/tin-quoc-te/202102/nhung-diem-noi-bat-cua-chi-so-cam-nhan-tham-nhung-2020-309148/>

*Vietnam*” of the authors: Soren Davidsen, James H. Anderson, Maria Delfina Alcaide Garrido, Dang Hung Vo, Dang Ngoc Dinh, Dang Hoang Giang, Tran Thi Lan Huong<sup>9</sup>. This book is based on a report of the same name prepared by the Danish Embassy, the World Bank and the Swedish Embassy. The contents of this book were prepared by the group of authors who are experts of these organizations. The book analyzes and explains the causes of corruption in land administration and the existing types of corruption. Based on the analysis of the types of corruption and identification of the risk factors that are generating corruption in land management, the authors propose actions for each specific type of corruption and make some recommendations for prevention. This book represents the views of foreign institutions. In order to provide a diverse set of viewpoints, the views and analysis of political and legal terms in this book only represent the views and opinions of the writers, not the official views of the Party and the State. However, this book has been published for more than 10 years, so many new relevant legal issues have not been updated in this book.

Article: “The Impact of Vietnam's Anti-corruption Campaign on the Real Estate Sector” by Le Long Hiep published in ISEAS magazine - Yusof Ishak Institute (ISSN 2335-6677, No.46 - 2019). This article describes and analyzes land corruption cases related to real estate projects and points out negative economic consequences such as unreasonable increases in real estate prices to compare with Vietnam's economic conditions. The article believes that anti-corruption activities in Vietnam will continue to be carried out but is not optimistic because the Communist Party of Vietnam does not want the anti-corruption campaign to negatively affect the economic and social conditions of the country and for other “sensitive” reasons.

In Vietnam, there are remarkable research articles, such as the article: “Vietnam implements the United Nations Convention against Corruption - Outcomes and Issues” by author Le Minh Khai<sup>10</sup>. This article describes Vietnam's process of joining the UN Anti-Corruption Convention, outlines and analyzes the development process of Vietnam's anti-corruption law. The article also offers solutions of general principle to perfect the anti-

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<sup>9</sup> H. James, Anderson, Soren Davidsen, Maria Delfina Alcaide Garrido, Dang Hung Vo, Dang Ngoc Dinh, Dang Hoang Giang, Tran Thi Lan Huong, (2011), *Recognizing and Reducing Corruption Risks in Land Management in Vietnam*. Ha Noi: National Political Publishing House.

<sup>10</sup> L.M. Khai, (2020), *Vietnam implements the United Nations Convention against Corruption – Outcomes and Issues*. Retrieved 11 30, 2021, from Mat Tran: <http://tapchimattran.vn/thuc-tien/viet-nam-thuc-thi-cong-uoc-cua-lien-hop-quoc-ve-chong-tham-nhung-ket-qua-va-nhung-van-de-dat-ra-37564.html>

corruption law in Vietnam and to implement the UN convention on anti-corruption.

Article: “Perspectives on preventing and combating corruption in the document of the 13<sup>th</sup> Party Congress and solutions for implementation” by Nguyen Canh Quy<sup>11</sup>. This article presents the guiding viewpoint of the Communist Party of Vietnam, which considers corruption as a “national problem” and makes valuable and oriented recommendations to improve the anti-corruption law, especially the recommendation: “If a cadre or civil servant holding positions and powers cannot prove that his/her assets are lawful, then such assets are corrupt assets”. This is something that Vietnamese law has not yet accepted.

Article: “Highlights of the Corruption Perceptions Index 2020” by Hoai Phuong in *Noi chinh*<sup>12</sup>. The article analyzes the Corruption Perceptions Index (CPI) 2020, thereby showing a “gray” picture of corruption worldwide and corruption that has not improved well in Vietnam.

Article: “Improving the law to prevent corruption, group interests in land management and use” (2021) by Nguyen Uyen Minh. This article analyzes the provisions of the land law that can be a loophole that is easily exploited by corrupt practices. The article also offers some solutions to improve the land law related to anti-corruption in the land sector. However, the recommendations in this article are not groundbreaking<sup>13</sup>.

Article: “Improving land policies and laws against corruption and waste” (2021) by Thu Hang. This article points out the limitations and inadequacies in land policies and laws as well as the overlap and inconsistency in a number of provisions between the Land Law 2013 and its implementation guidelines and with some other laws led to confusion in management and created loopholes in the law for some individuals and organizations to take advantage of for corruption; profiteering, causing waste and loss of State property<sup>14</sup>.

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<sup>11</sup> N.C. Quy, *Perspectives on anti-corruption in the document of the 13th Party Congress and solutions for implementation*. Retrieved 12 06, 2021, from Hoi dong Ly luan Trung Uong: <http://hdll.vn/vi/nghien-cuu---trao-doi/quan-diem-phong-chong-tham-nhung-trong-van-kien-dai-hoi-xiii-cua-dang-va-nhung-giai-phap-thuc-hien.html>

<sup>12</sup> H. Phuong, *Highlights of the Corruption Perception Index 2020*. Retrieved 11 30, 2021, from Noi Chinh: <https://noichinh.vn/tin-quoc-te/202102/nhung-diem-noi-bat-cua-chi-so-cam-nhan-tham-nhung-2020-309148/>

<sup>13</sup> N.U. Minh, *Improving the law to prevent corruption, group interests in land management and use*. Retrieved 12 06, 2021, from Noi Chinh: <https://noichinh.vn/nghien-cuu-trao-doi/202110/hoan-thien-phap-luat-nham-phong-ngua-tham-nhung-loi-ich-nhom-trong-quan-ly-su-dung-dat-dai-310>

<sup>14</sup> T. Hang, *Improving land policies and laws against corruption and waste*. Retrieved 12 06, 2021, from Dang Cong san Viet Nam: <https://dangcongsan.vn/thoi-su/hoan-thien-chinh-sach-phap-luat-dat-dai-chong-tham-nhung-lang-phi-584127.html>

Article: “Recovering corrupt assets: Current situation and problems” by Bui Thi Thu Huyen<sup>15</sup>. The article points out that the recovery of assets appropriated and lost in criminal cases related to corruption and economy still has many limitations and obstacles. The rate of asset recovery in most corruption cases has increased but is still low compared to the amount to be recovered. The amount of money and property lost due to corruption is very large, but the assets to ensure the judgment enforcement are small. There are no specific measures and regulations to track down the assets of the judgment debtors whose source is hidden. Procedure-conducting agencies have not focused on timely application of coercive measures, asset restraint, and account freezing in the course of investigation, prosecution, trial, and judgment enforcement. Even, in some cases, the case still allows the subject to flee or disperse assets abroad. International cooperation in the recovery of corrupt assets still faces many difficulties and obstacles.

### **Methodology**

This article is based on the corruption constitutive theory described by professor Robert Klitgaard in his work: “Controlling corruption” in order to study corruption in Vietnam. That is: “Corruption equals monopoly plus discretion minus accountability”. This formula means that: monopoly increases corruption, so therefore more competition (via decentralization or privatization) will reduce corruption; discretion causes corruption, so therefore tight controls based on formal criteria, which leave little room for individual officials to make discretionary judgment calls, will reduce corruption; and accountability reduces corruption, so therefore more accountability (more oversight, or more democratic checks, or what have you) will reduce corruption<sup>16</sup>.

In addition, the article is based on “Theories that explain corruption” presented in E4J University Module Series: Anti-Corruption by Doha Declaration of Lawfulness, Module 4: Public Sector Corruption. In particular, “Principal-agent theory” is an important factor to explain corrupt behavior: “The desire for personal gain is often understood as the primary cause of public sector corruption, but this is an over-simplification of the complex relationships between individuals and the State”<sup>17</sup>. On this

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<sup>15</sup> B.T. Huyen, *Recovering corrupt assets: Current situation and problems*. Retrieved 12 06, 2021, from Noi Chinh: <https://noichinh.vn/nghien-cuu-trao-doi/202108/thu-hoi-tai-san-tham-nhung-thuc-trang-va-nhung-van-de-dat-ra-310008/>

<sup>16</sup> R. Klitgaard, *Controlling Corruption*. Berkely: University of California Press, 1988.

<sup>17</sup> UNOD (2021), *Theories that explain corruption*. Retrieved from <https://www.unodc.org/e4j/en/anti-corruption/module-4/key-issues/theories-that-explain-corruption.html>

basis, we use desk research methods, analyzes, statistics, and synthesizes specific information and data on land corruption in Vietnam to complete our article.

## **Results and Discussion**

### **An overview of corruption in the land sector in Vietnam**

#### *A. The concept of corruption under Vietnamese law*

Vietnam's first anti-corruption law was promulgated in 2005 (out of date) but has no definition of corruption but only lists corrupt acts (Article 3). According to Clause 1, Article 3 of the Law on Anti-Corruption 2018 (effective from July 1, 2019): “Corruption is an act of a person with a position or power who takes advantage of that position or power for personal gain”. This concept is similar to the concept of corruption raised by Transparency International: “the abuse of entrusted power for private gain”<sup>18</sup>. Thus, corruption is an act of self-interest associated with and by position and authority. Corrupt people use their positions and powers to gain illegal private benefits<sup>19</sup>.

Regarding subjects performing corrupt acts, the Law on Anti-corruption 2005 only mentions individuals related to the State, including (Clause 3, Article 1 of the Law on Anti-corruption 2005):

- a) Officials and civil servants;
- b) Officers, professional soldiers, defense workers in agencies and units of the People's Army; officers, professional non-commissioned officers, officers, professional and technical non-commissioned officers in agencies and units of the People's Public Security;
- c) Leading and managerial cadres in State-owned enterprises; Leaders and managers are representatives of the State's capital contribution in enterprises;
- d) Persons assigned to perform tasks or official duties have powers while performing such tasks or official duties.

The Law on Anti-corruption 2018 has expanded and classified corruption subjects including: “Corruption acts in the state sector by persons with positions and powers in agencies, organizations and units of the state sector” and “Corruption acts in the non-state sector by persons with positions and powers in enterprises or organizations in the non-state sector”. This regulation is consistent with the common concept of

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<sup>18</sup> TransparencyInternational, (2021), *What is corruption?* Retrieved from TransparencyInternational: <https://www.transparency.org/what-is-corruption>.

<sup>19</sup> L. Anh, *Basic features of corruption*. Retrieved from Noi Chinh: <http://noichinh.vn/hoi-dap-phap-luat/201601/nhung-dac-trung-co-ban-cua-tham-nhung-299691/>



countries around the world<sup>20</sup>, of Transparency International and the spirit of the United Nations Convention against Corruption<sup>21</sup>. However, this article only discusses corrupt practices related to the abuse of state power for personal gain. The benefits gained by corruption mentioned in this article may be economic or certain political benefits<sup>22</sup>.

### *B. Corruption in the land sector in Vietnam*

According to Transparency International: “Corrupt practices within land administration and management is known as land corruption”<sup>23</sup>. This situation has been happening in Vietnam for many decades.

Since the Constitution 1980 (adopted on December 18, 1980) came into effect, land in Vietnam has been stipulated that land belongs to the entire people, is uniformly managed by the State and represents the exercise of the rights of the landowner (Article 19). This content continues to be recognized in the Constitution 1992 (Article 17) and the current Constitution 2013 (Article 53). The role of the owner (representative) of land by the State of Vietnam has been concretized in the Land laws over time and is most clearly defined in the Land Law 2003 (which has expired). According to Clause 2, Article 5 of this Law: “The State exercises the right to dispose of land as follows:

- a) To decide on land use purposes through the decision, consideration and approval of land use master plans, land use plans (hereinafter referred to as land use master plans and plans);
- b) Regulations on land allocation quota and land use term;
- c) Decision on land allocation, land lease, land recovery, permission to change land use purpose;
- d) Land valuation”.

The Land Law 2013 (currently) provides an overview of land ownership in Article 4 and details the State's right to represent the owner of land in Article 13 as follows:

- “1. To decide on master plans, plans on land use.

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<sup>20</sup> R.O. Germany, (2021), *Anti-corruption in Germany*. Retrieved from Representatives of the Federal Republic of Germany in Vietnam: <https://vietnam.diplo.de/vn-vi/themen/chinhtri/-/2168584>

<sup>21</sup> Towardstransparency (2021), *Criminalizing corruption in the private sector*. Retrieved from Towardstransparency: <https://towardstransparency.org/hinh-su-hoahanh-vi-tham-nhung-trong-khu-vuc-tu/?print=print>

<sup>22</sup> TransparencyInternational (2021), *Corruption A - Z*. Retrieved from TransparencyInternational: <https://www.transparency.org/en/corruptionary>

<sup>23</sup> TransparencyInternational (2021), *Land Corruption*. Retrieved from TransparencyInternational: <https://www.transparency.org/en/our-priorities/land-corruption>

2. To decide on land use purposes.
3. To prescribe land use quotas and land use terms.
4. To decide on land recovery and land requisition.
5. To decide on land prices.
6. To decide on hand-over of land use rights to land users.
7. To decide on financial policies on land.
8. To prescribe the rights and obligations of land users”.

Thus, the power of the State in intervening in land relations in Vietnam is increasingly regulated. These rights are decisive to the economic benefits derived from the exploitation and use of land. The exercise of the above rights is assigned to the state management agencies in charge of land, including mainly administrative agencies with general authority and agencies of natural resources and environment (Article 24 of the Land Law 2013, Article 4 of Decree 43/2014/ND-CP) and cadres, civil servants and public employees of these agencies and organizations are their executors. This is the root cause of corrupt practices in the land sector. Especially, since land is recognized as a “commodity” under the market mechanism, corruption in land has become more serious and caused many unpredictable consequences<sup>24</sup>. According to information from the Ministry of Natural Resources and Environment, land is one of the three areas with the most corruption today<sup>25</sup>. These corrupt acts not only cause losses to the state budget but also seriously affect the legitimate interests of land users. Therefore, fully identifying these behaviors in order to have solutions to prevent and combat is extremely urgent.

### **Types of corrupt practices in the land sector in Vietnam**

#### *A. Corruption related to the formulation and implementation of land use planning*

According to Clause 2, Article 3 of the Land Law 2013: “Master plan on land use means the distribution and zoning of land by use space in serve of the objectives of socio-economic development, national defense, security, environmental protection and climate change adaptation based on the land potential and land use demands of all sectors and fields, for each socio-economic region and administrative unit in a defined period of time”.

It can be said that land use planning is delineating the purpose of using different types of land based on scientific calculations of quantity

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<sup>24</sup> Ho Ngoc Son, Do Cong Thinh, (2018). *Corruption – reality and causes*. Retrieved from Thanh tra: [http://thanhtra.com.vn/theo-dong-thoi-cuoc/ky-ii-tham-nhung-thuc-trang-va-nguyen-nhan\\_t114c68n136552](http://thanhtra.com.vn/theo-dong-thoi-cuoc/ky-ii-tham-nhung-thuc-trang-va-nguyen-nhan_t114c68n136552)

<sup>25</sup> H. Quyen, (2016), *Land is one of the three most corrupt sectors*. Retrieved 11 29, 2021, from Thoi bao Tai chinh Viet Nam: <https://thoibaotaichinhvietnam.vn/dat-dai-la-mot-trong-ba-linh-vuc-tham-nhung-nhieu-nhat-76362.html>

and location according to the needs of socio-economic life. This is a land distribution activity at a macro level, where the State determines the size of the land area to allocate to each geographical area, industry, and social field. Land use planning is associated with socio-economic development orientations and depends on the profitability of each land area and affects the value of each land plot or certain area, especially is planning to build technical infrastructure such as public transport system. This is an “opportunity” for responsible individuals to take advantage of the formulation and implementation of land use planning for their own illicit gain. This type of behavior manifests through planning not based on the general requirements of socio-economic life and scientific bases, but following someone's “orders” or for economic, political and economic interests. The following specific behaviors can be mentioned:

*(i) Arbitrarily adjusting the planning in contravention of regulations or drawing a plan to benefit themselves or others in order to achieve economic and political benefits*

This type of behavior is quite common in land management practice. Competent individuals arbitrarily adjust land use planning to benefit others in order to share illicit benefits. For example, according to information from the Inspectorate of Gia Lai province, from 2015 to 2017, Mr. Nguyen Kim Dai, Vice Chairman of the City People's Committee Pleiku, in charge of Urban Management and Natural Resources - Environment, signed 13 decisions on behalf of Pleiku City People's Committee for individuals to open roads on agricultural land with a total area of 2,090m<sup>2</sup> of roads. These roads are not in accordance with the approved master plan, land use plan, connection infrastructure is not guaranteed according to planning standards, disrupting the general construction planning of the Pleiku city. At the same time, these roads have only one individual who is the land user to benefit, in order to divide and separate plots and sell them for profit. This behavior is not in accordance with the provisions of the law. In addition, Mr. Nguyen Kim Dai also made other mistakes such as: Signing decisions to change land use purposes at some locations not in accordance with the approved land use planning; signing a report on the draft land use plan submitted to the Provincial People's Committee for promulgation that is inconsistent with the land use planning; lack of responsibility in directing the People's Committees of communes and wards, handling violations in housing construction, illegal roads, ground leveling, etc., disrupting the general construction planning of the Pleiku city.”<sup>26</sup>.

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<sup>26</sup> Lap Phuc, Ha An, (2019), *Shake hands with each other to profit and destroy the planning of Pleiku City*. Retrieved from Nong nghiep Viet Nam:

“Bending” planning for “political interests” has also happened in reality. Typically, Truong Chinh Street is located in the inner city of Hanoi city, a road that should be straight and beautiful, is suspiciously “bent”. Public opinion believes that the “bending” of this road is to avoid the house and land of some army generals in order to please these people despite the common interests of society<sup>27</sup>.

According to a survey by the United Nations Development Program (UNDP) conducted by Dr. Dang Hoang Giang is the leader of the implementation team, less than 20% of Vietnamese people know about land planning and less than 30% said they had the opportunity to comment on the land use plan. Dr. Dang Hoang Giang considers this a number that shows a high risk of corruption in the land sector through land use planning<sup>28</sup>.

*(ii) Land recovery beyond planning*

According to Clause 11 Article 3 of the Land Law 2013, the State recovers land means the State decides to recover land use rights from a person that is allocated land use rights by the State, or from a land user that violates the land law. Among the cases of land recovery, local state agencies are entitled to recover land to implement master plans and plans on land use. Taking advantage of this provision, instead of acquiring land according to the approved content and scope of the planning, competent agencies and individuals seek to recover more land to benefit from this land. A typical example is the case of Thu Thiem urban area in Ho Chi Minh City, the local authority has recovered 4.3 hectares outside the planning boundary, infringing on the legitimate rights and interests of many land users here. The case has been complained to the Government Ombudsman. On September 4, 2018, the Government Inspector had an official conclusion about this violation of the City People's Committee. Ho Chi Minh City in Notice No. 1483/TB-TTCT on the results of inspection of some main contents related to the complaints of citizens of Thu Thiem New Urban Area, Hochiminh City<sup>29</sup>.

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<https://nongnghiep.vn/bat-tay-nhau-truc-loi-pha-nat-quy-hoach-tp-pleiku-post235026.html>

<sup>27</sup> TNO, (2014), *Bend Truong Chinh Street to avoid officials's houses?* Retrieved from VOV: <https://vov.vn/kinh-te/be-cong-duong-truong-chinh-vi-tranh-nha-quan-chuc-318082.vov>

<sup>28</sup> D. Ngoc, *Less than 25% of people know about land planning*. Retrieved from Nguoi Lao dong: <https://nld.com.vn/thoi-su/cong-khai-minh-bach-cai-thien-cham-chua-toi-25-nguoi-dan-biet-ve-quy-hoach-dat-dai-20190402114822833.htm>

<sup>29</sup> ThanhTraChinhPhu, (2018), *Announcement of inspection results of a number of main contents related to citizens' complaints about Thu Thiem New Urban Area, Ho Chi Minh City*. Retrieved from Thanh Tra Chinh Phu: [https://thanhtra.gov.vn/xem-chi-tiet-tin-tuc/-/asset\\_publisher/Content/thong-bao-ket-qua-kiem-tra-mot-so-noi-d](https://thanhtra.gov.vn/xem-chi-tiet-tin-tuc/-/asset_publisher/Content/thong-bao-ket-qua-kiem-tra-mot-so-noi-d)

In fact, the Thu Thiem case is not the only one. In Thua Thien - Hue province, the Inspector of the Department of Natural Resources and Environment has identified and there is a case of land expropriation that did not comply with the law with signs of self-interest. Specifically, the People's Committee of Phu Vang district in this province “colluded” with businesses (who were leased land to build petrol stations) to recover the land and impose compensation prices, seriously affecting the legal rights and interests of the current land user because this case does not belong to the cases in which the State recovers land under Articles 61 and 62 of the 2013 Land Law, not to mention the land acquisition beyond the project scope of more than 2000m<sup>2</sup>. Also, according to the inspection conclusion of the Department of Natural Resources and Environment of Thua Thien - Hue province, the People's Committee of Phu Vang district has recovered land in 3 projects with an area exceeding the resolution of the Provincial People's Council on approving the list of construction projects that need land acquisition in 2015, 2016 and the decision of the Provincial People's Committee on approving the land use plan in 2016. In which, 2 projects to build Hue Coastal Information Station in zone C of An Van Duong new urban area (Phu My commune) and upgrade the Duong Thanh Mau drainage system with a total recovered area exceeding nearly 12.000 m<sup>2</sup>. The project to improve the Dai Giang river dike system has an area recovered exceedingly nearly 110,000 m<sup>2</sup>, 8 times higher than the planned land use demand<sup>30</sup>. Obviously, this is an “intentional” behavior with signs of land corruption.

#### *B. Corruption in land allocation and land leasing activities*

According to Clauses 7, 8, Article 3 of the Land Law 2013, land allocation and land lease are specifically explained as follows:

“- The State allocates land use rights (below referred to as the State allocates land) means that the State issues decisions on land allocation to hand land use rights to subjects having land use demand.

- The State leases land use rights (below referred to as the State leases land) means that the State decides to hand land use rights to subjects having land use demand under contracts on land use right lease”.

Thus, land allocation and land lease have something in common: they are both forms of “land use right grant” by the State to land users (land use rights), are land coordination activities. In terms of the market, land allocation and land lease can be considered as a type of “transaction” arising between land owners and land users<sup>31</sup>. Land corruption in land

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<sup>30</sup> Q. Nhat, *Unlawful land recovery*. Retrieved from Nguoi Lao dong: <https://nld.com.vn/thoi-su/thu-hoi-dat-vo-toi-va-20181209214655316.htm>

<sup>31</sup> L.Q. Thai, *Legal issues on the market of land use rights in Vietnam*. Hochiminh: Hong Duc Publishing House, 2016.

allocation and lease activities is actually carried out through the following forms:

(i) *Illegally handing over land to “relatives and acquaintances”*

This behavior is also quite common in practice, whereby officials with the authority to allocate or lease land have taken advantage of their powers to allocate land to relatives or used their influence to let relatives be allocated land illegally<sup>32</sup>. Although the law clearly stipulates that the land allocation must ensure the right people with real land use needs (Clause 2, Article 19 of the Land Law 1993, Clause 2, Article 31 of the 2003 Land Law, Clause 2, Article 52 of the Land Law 2013) but this requirement is often violated.

A typical example is the case of the Head of the Department of Agriculture and Rural Development of Tuy Duc district, Dak Nong province, who was prosecuted on April 19, 2019 for related to the proposal to allocate land and issue land use right certificates for relatives<sup>33</sup>. Also, in Tuy Duc district, Dak Nong province, on February 22, 2019, the Provincial People's Procuracy approved the decision to prosecute 4 individuals related to the improper allocation (grant) of forest land to the families of the former Secretary of the District Party Committee<sup>34</sup>. Similar to these cases, at the end of 2018, functional agencies discovered that in Quang Xuong district, Thanh Hoa province, many “golden land” areas were granted to local officials and relatives of the district Vice President<sup>35</sup>. Before that, in 2015, the daughter of the former Party secretary of Da Nang also had to return 2 plots of “golden land” improperly granted under pressure from public opinion<sup>36</sup>. These cases are just examples of the abuse of public power for personal gain by allocating land to relatives, not all of the detected and undetected violations.

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<sup>32</sup> H.U. Procuracy, (2019), *Discussing corruption in land management and use today*. Retrieved from Truong Dai Hoc Kiem Sat Ha Noi: <http://tks.edu.vn/thong-tin-khoa-hoc/chi-tiet/119/633>.

<sup>33</sup> D. Phong, *Former Head of Agriculture Department applied for defense land for relatives*. Retrieved from Dan Tri: <https://dantri.com.vn/phap-luat/nguyen-truong-phong-nong-nghiep-xin-cap-dat-quoc-phong-cho-nguoi-than-20190419163606045.htm>

<sup>34</sup> T. Tan, *Prosecuting 4 officials wrongly allocating land to the family of the former secretary of the district party committee*. Retrieved from Tuoi tre: <https://tuoitre.vn/khoi-to-4-can-bo-cap-dat-sai-cho-gia-dinh-nguyen-bi-thu-huyen-uy-20190222090340521.htm>

<sup>35</sup> B. Minh, *The case of "golden land" in the name of officials in Thanh Hoa: The inspector pointed out a series of violations*. Retrieved from Dan tri: <https://dantri.com.vn/ban-doc/vu-dat-vang-dung-ten-can-bo-tai-thanh-hoa-thanh-tra-chi-ro-hang-loat-sai-pham-20181116081920953.htm>

<sup>36</sup> N. Trang, (2015), *The daughter of the Secretary of Da Nang returns the land to the city*. Retrieved from VnEconomy: <https://vneconomy.vn/con-gai-bi-thu-da-nang-tra-dat-cho-thanh-pho.htm>

(ii) *Land allocation or land lease without auction in cases where an auction is required by law*

Auction of land use rights when the State allocates or leases land is a form of land use right granting with price competition among those who have needs. This method helps to increase state budget revenue and land use efficiency because those who have real land use needs try their best to obtain land use rights and contribute to limiting the negative effects of state agencies and officials in their activities of land distribution.

The method of land allocation and land lease by auction is regulated from the Land Law 2003 (Article 58) and continues to be recognized in the Land Law 2013 (Article 118). In principle, all cases of land allocation by the State with collection of land use levy and land lease must be auctioned. On the basis of these regulations, the provincial People's Committees of all localities have specific regulations for land allocation and land lease by auction method in their respective localities.

However, many cases of “ignoring” the regulations on auction of use rights when allocating and leasing land, especially the land of great value, have occurred. For example, in Ho Chi Minh City, some “golden land” areas were not auctioned according to regulations but were “silently” delivered and leased in the form of designation. This situation has caused losses to the state budget and brought illegal benefits to individuals and officials of thousands of billion dong, for example, the land lot at 8-12 Le Duan Street, District 13<sup>7</sup>. This type of corruption is not a recent occurrence, but not every case has been clarified to handle it thoroughly<sup>38</sup>. Ho Chi Minh city is not the only locality with violations of land use right auction in land allocation and land lease, but this situation is everywhere in Vietnam<sup>39</sup>. In 2019, the State Audit Agency discovered that the local government in Quang Nam province “sold” a “golden land” of 1,231 m<sup>2</sup> because it did not go through an auction in accordance with the law, but the buyer was the wife of the former Secretary of State Provincial Party<sup>40</sup>.

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<sup>37</sup> N. Dan, (2018), *Ho Chi Minh City officially revoked the golden land 8-12 Le Duan*. Retrieved from CONG THONG TIN DIEN TU CHINH PHU: <http://tphcm.chinhphu.vn/tphcm-chinh-thuc-thu-hoi-khu-dat-vang-so-8-12-le-duan>

<sup>38</sup> N. Hang, (2007), *Why choose Vincom?* Retrieved from Tuoi tre: <https://tuoitre.vn/vi-sao-chon-vincom-207656.htm>

<sup>39</sup> V. Truong, *Phu Yen continuously allocates "golden" land without auction*. Retrieved from Tuoi tre: <https://tuoitre.vn/phu-yen-lien-tuc-giao-dat-vang-khong-quadau-gia-20180611085439005.htm>

<sup>40</sup> Le Phi. Thanh Nhat, (2019), *What did the family of the former Secretary of Quang Nam province say about buying a golden plot of land?* Retrieved from PHAP LUAT: <https://plo.vn/thoi-su/gia-dinh-cuu-bi-thu-quang-nam-noi-gi-ve-viec-mua-lo-dat-vang-834573.html>

(iii) *Land allocation, land lease for Build - Transfer projects (BT)*

According to Clause 5, Article 3 of Decree 63/2018/ND-CP dated April 5, 2018 on investment in the form of public-private partnership, a BT project is a type of project “in exchange for land for infrastructure”. This type of project has been officially discontinued from 2021 because of the negative situation. However, the consequences of corruption from these projects need to be assessed.

Corruption from land from this type of project is carried out through the following ways: undervaluing land, valuing infrastructure works above its true value to share the illegal difference. In fact, many BT projects have negative signs and corruption. For example, recently in Bac Ninh province, the local government used nearly 100 hectares of land in exchange for 1.39 km of roads in the form of exchanging land for infrastructure for Dabaco company. This case has also been examined by the Ministry of Planning and Investment and reported to the Government<sup>41</sup>. Previously in Ho Chi Minh City, the City People's Committee also implemented the project of exchanging land for infrastructure with Dai Quang Minh company with an amount of VND 12,000 billion (equivalent to more than 521 million USD) for 12 km of roads in Thu Thiem new urban area, but according to experts, only “gilded” will this road have such a high price<sup>42</sup>. However, these are not rare unusual cases, but in fact, there are dozens and hundreds of projects with similar signs of corruption. Obviously, the BT project is a lucrative “bait” for corruption in land allocation and leasing activities, it helps interest groups to sell cheap land resources and waste budget for self-seeking purposes<sup>43</sup>.

*C. Corruption through preferential land policy for state-owned enterprises*

Once thought to have a “leading” role in the economy, state-owned enterprises were always “favored” in allocating land with large areas and in favorable locations for business<sup>44</sup>. Taking advantage of this, the heads of the governing bodies of state-owned enterprises sought to “facilitate” state

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<sup>41</sup> L. Bang, (2019), “*Exchanging*” 100 hectares of land for 1.39 km of roads: four ministries concluded that “the price of duckweed”,. Retrieved from Vietnamnet: <https://vietnamnet.vn/vn/kinh-doanh/dau-tu/bac-ninh-doi-100ha-lay-1-39km-duong-doi-100-ha-dat-lay-1-39-km-duong-4-bo-kiem-tra-ket-luan-cuoi-ve>

<sup>42</sup> Ngo Cuong, Chuong Bao, (2018), *VND 12,000 billion to build 4 Thu Thiem roads: is this a golden road?* Retrieved from LAO DOND: <https://laodong.vn/xa-hoi/12000-ti-dong-xay-4-con-duong-thu-thiem-phai-chang-day-la-duong-dat-vang-606058.lldo>

<sup>43</sup> T. Nguyen, (2017), *After BOT, to BT: Lack of transparency, easy corruption, “group interests”*. Retrieved from Thanh Tra: [http://thanhtra.com.vn/kinh-te/bat-dong-san/sau-bot-den-bt-thieu-minh-bach-de-tham-nhung-loi-ich-nhom\\_t114c6n125845](http://thanhtra.com.vn/kinh-te/bat-dong-san/sau-bot-den-bt-thieu-minh-bach-de-tham-nhung-loi-ich-nhom_t114c6n125845)

<sup>44</sup> P.V. Dung, (2019), *The leading role of the state economy*. Retrieved from Tap chi Cong san: <https://www.tapchiconsan.org.vn/web/guest/nghien-cu/-/2018/815713/ve-vai-tro-chu-dao-cua-kinh-te-nha-nuoc.aspx>



enterprises to resell land to private economic organizations in contravention of the law with cheap prices to gain self-profit, causing losses to the state budget. Typically, the case of former police colonel Phan Van Anh Vu taking advantage of his relationship to acquire “golden land” in Da Nang City was criminally handled<sup>45</sup> or the case that Tan Thuan Construction Company (belonging to Ho Chi Minh City Party Committee - a Communist Party leadership organization) sold public land cheaply to a private company<sup>46</sup>... A number of similar cases are being criminally handled, such as the case of Sabeco Company under the Ministry of Industry and Trade related to a wanted former minister<sup>47</sup> or the arrest of the former Communist Party secretary of Binh Duong province showed the seriousness of corrupt practices in land management in Vietnam<sup>48</sup>.

## **Dealing with corrupt behaviors in Vietnam**

### *A. Regulations of Vietnamese law on dealing with corruption*

Vietnamese law has many provisions on handling corrupt acts. The handling of corruption is divided by law into two forms, depending on the seriousness of the violation and the consequences caused, one of two forms can be applied or both, namely: disciplinary action and criminal handling.

Disciplinary action is the first step in dealing with cadres and civil servants who are found to be corrupt. According to current regulations, one of the obligations of civil servants is not to be corrupt, and for civil servants as the head mentioned in Clause 3, Article 10 of the Law on Cadres and Civil Servants 2008, they must organize the implementation of measures to prevent corruption, anti-corruption and take responsibility if there is corruption in their agencies, organizations or units. In addition, according to Clause 1, Article 92 of the Law on Anti-Corruption, "Persons who commit acts of corruption holding any position or position must be strictly handled in accordance with the law, including people who have retired, quit their jobs, changed jobs".

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<sup>45</sup> T. Hoang, Diep Thanh, *Da Nang gold land acquisition case: "Vu Nhom" appeals against injustice*. Retrieved from Tuổi trẻ: <https://tuoitre.vn/vu-thau-tom-dat-vang-da-nang-vu-nhom-khang-cao-keu-oan-20200204191045567.htm>

<sup>46</sup> TTXVN, (2021), *The case of cheap public land: Proposing to determine the responsibility of individuals belonging to Quoc Cuong Gia Lai company*. Retrieved from Cong An: <https://congan.com.vn/an-ninh-kinh-te/vu-ban-re-dat-cong-de-nghi-xac-dinh-trach-nhiem-cac-ca-nhan-thuoc-cty-quo>

<sup>47</sup> H. Duyen, (2020), *How did 6000 m2 of "gold" land in Saigon fall into private hands?* Retrieved from Vnexpress: <https://vnexpress.net/6-000-m2-dat-vang-sai-gon-vao-tay-tu-nhan-nhu-the-nao-4130445.html>

<sup>48</sup> P. Thuy, (2021), *Mr. Tran Van Nam and leaders of Binh Duong province "favored" businesses that caused thousands of billions of dong in damage*. Retrieved from Cong An: <https://cand.com.vn/Ban-tin-113/ong-tran-van-nam-va-lanh-dao-tinh-binh-duong-uu-ai-doanh-nghiep-gay-thiet-hai>

In addition, based on the nature and seriousness of the violation, corrupt officials will be examined for penal liability. In particular, if the corrupt public servant is the head or deputy of the head of an agency or unit, he/she will be considered for increased discipline.

### ***With corrupt officials***

Corrupt public servants shall be disciplined as follows:

- Civil servants convicted by the Court of corruption crimes: Naturally, they will be forced to resign from the effective date of the judgment or decision (according to Clause 15, Article 1 of the Law amending the Law on Cadres and Civil servants).

- Civil servants disciplined to be dismissed due to corruption: Not appointed to leadership and management positions (according to Clause 4, Article 82 of the Law on Cadres and Public Officials 2008).

In addition, according to Decree 112/2020/ND-CP, if civil servants commit acts of corruption, they will be disciplined according to the nature of the acts as follows:

- Reprimand: first violation, causing less serious consequences.

- Warning: has been disciplined by reprimand but repeats or commits a first offense with serious consequences.

- Demotion: having been disciplined and warned but re-committing or violating for the first time but causing very serious consequences.

- Dismissal: having been demoted but re-committing or committing the first offense and causing particularly serious consequences but not to the extent of being forced to resign; corrupt officials have an attitude of receptiveness, correction, and proactive remedial action, and there are many mitigating circumstances.

- Forced resignation: Having been dismissed from office but re-offending; violation for the first time but causing especially serious consequences.

### ***For the head of an agency with a corrupt official***

Not only corrupt public servants are disciplined but heads and deputy heads of agencies and units under their management, if they allow their agency to have a case or corruption occurs, they may be disciplined by punishment, reprimand, warning or dismissal. Specifically, the application of the forms mentioned in Article 78 of Decree 59/2019/ND-CP is as follows:

- Reprimand: Occurrence of less serious corruption cases - corrupt public officials have not been criminally prosecuted or have only been penalized by fines, non-custodial reform or imprisonment for up to 3 years.

- Warning: There are serious corruption cases or there are many less serious corruption cases. In particular, a serious corruption case is a case in which corrupt officials are sentenced to imprisonment from over 3 years to 07 years.

- Dismissal: To have a very serious, especially serious corruption case or a lot of serious corruption cases. In which, the very serious corruption case is that of civil servants being sentenced to prison from over 07 years - 15 years; especially serious ones are sentenced to imprisonment from over 15 years - 20 years, life or death.

### ***Civil servants are prosecuted for criminal liability***

In addition to discipline, if corrupt acts violate one of the Crimes mentioned in Articles 353 to 359 of the Penal Code 1999 (currently), the maximum penalty is death, specifically the following crimes:

- Crime of embezzlement of property specified in Article 353 of the Penal Code.

- Crime of accepting bribes in Article 354 of the Penal Code.

- Crime of abusing positions and powers to appropriate property in Article 355 of the Penal Code.

- Crime of abusing positions and powers while performing official duties in Article 356 of the Penal Code.

- Crime of abuse of power while performing official duties in Article 357 of the Penal Code.

- Crime of taking advantage of positions and powers to influence others for personal gain in Article 358 of the Penal Code.

- Crime of forgery at work in Article 359 of the Penal Code.

### ***B. The current situation of dealing with corruption in Vietnam***

The Conference to summarize the Government's anti-corruption work for the period 2013 - 2020 has produced many data showing that the anti-corruption work has obtained important results. According to a published study, from 2013 to 2020, 131,000 Communist Party members were disciplined, many of which were related to corruption. Also, from 2013 to 2020, 110 officials under the central management were handled, including 27 members of the Communist Party's Central Committee, former members of the Party Central Committee, 4 members of the Politburo, 30 officers of the general rank of the armed forces. From 2016 to 2020, 87,000 Communist Party members were disciplined, including more than 3,200 cases related to corruption. From 2013 to 2020, the competent authorities have proposed to recover 700,000 billion VND (equivalent to more than 30 billion USD), 20,000 hectares of land, propose to handle the responsibility of 14,000 collectives and individuals; transfer the investigation agency to handle 700 cases with criminal signs; the recovery

rate of corrupt assets reached 32.04%. From 2013-2020, more than 1,900 corruption cases have been prosecuted, investigated and prosecuted with 4,400 defendants, including 18 centrally managed officials who were criminally handled, including: 1 Politburo member, 7 members, former member of the Party Central Committee, 4 ministers and former ministers, 7 general-level officers of the armed forces<sup>49</sup>.

However, besides the above achievements in anti-corruption work, in reality, anti-corruption work in Vietnam still has some shortcomings and limitations as follows:

- The legal system on anti-corruption still has some inappropriate regulations, low feasibility, or “holes”, but has not been amended, supplemented, completed in time to serve as a basis legislation for the prevention and fight against corruption.

- Currently, the right to access information of people and businesses has not been fully guaranteed. Some cadres and civil servants take advantage of regulations on state secrets to conceal information for corruption purposes.

- The declaration of assets and income is still heavy on form; most declarations have not been checked, verified, verified; has not yet helped the authorities control the fluctuations in the assets of people with positions and powers; Many agencies and units do not fully understand the order and procedures for declaration and public explanation.

- The handling of corruption in many cases has not been serious and timely. Corruption acts are increasingly sophisticated and complex, so detecting and dealing with corruption faces many difficulties. The behavior of “petty corruption” of some cadres and civil servants has not been thoroughly handled.

- The handling and recovery of assets appropriated and corrupt still face many difficulties due to the lack of control over the assets and income of the society, so the assets of corrupt origin are easily dispersed. Therefore, in a number of cases, the recovered corrupt money and assets are much smaller than the total amount of damage appropriated by the subjects.

### *The causes of limitations*

Based on Robert Klitgaard's theory of corruption and the actual situation in Vietnam, it can be said that the basic cause of the above limitations comes from two factors: (i) single-party state system (led by

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<sup>49</sup> N.C. Quy, *Perspectives on anti-corruption in the document of the 13th Party Congress and solutions for implementation*. Retrieved 12 06, 2021, from Hoi dong Ly luan Trung Uong: <http://hdl.vn/vi/nghien-cuu---trao-doi/quan-diem-phong-chong-tham-nhung-trong-van-kien-dai-hoi-xiii-cua-dang-va-nhung-giai-phap-thuc-hien.html>

only the Communist party) and public ownership (ownership by the whole people) of land. According to the Vietnamese Constitution, only the Communist Party has the right to lead the State and society (Clause 1, Article 4 of the Constitution 2013) and state power in Vietnam is centrally organized, not decentralized like many developed countries in the world (Clause 1, Article 8 of the Constitution 2013). It is the application of this “centralized power” regime that has prevented Vietnam from having an independent judiciary and as a result, they often have difficulty in handling corruption cases objectively and thoroughly. Recently, according to the guidance No. 02-HD/UBKTTU dated November 29, 2021 of the Central Inspection Committee of the Communist Party of Vietnam, Communist Party members must not demand the implementation of “separation of powers”, “civil society”, “pluralism, multi-party”, demanding “depoliticization of the armed forces” because these are “wrong views” (Clause 1, Article 3). Therefore, the emergence of competitive institutions as well as civil society in Vietnam is very unlikely.

In addition, the fact that information related to Communist Party and state leaders is becoming increasingly “secret” also causes difficulties for anti-corruption activities. For example, According to Article 7 of the Law on Protection of State Secrets, “Information to protect the health of senior leaders of the Party and State” (Clause 11) and “Exam questions and answers for leadership selection, management and recruitment, raising the rank of civil servants and public employees” (Clause 13) are state secrets. The worrying thing is that up to now, Vietnam has not had any regulations on publicizing the assets of cadres and civil servants. (ii) Besides that, in the field of land, the public ownership of land, which is defined as “ownership of the whole people”, is a front for cadres and civil servants to take advantage of the title of “representative of the whole people” to carry out acts of corruption.

## **Conclusion and Recommendations**

Eliminating monopoly, increasing openness and transparency are decisive conditions for effective anti-corruption. However, these are not easy requirements for Vietnam. Besides the issue of political institutions (a single-party communist state) - a big “obstacle” for Vietnam in the fight against corruption, another cause of corruption in the field of land management in Vietnam comes from the fact that too much power is vested in the land management agencies. These agencies both hold public power and exercise land ownership (economic rights). Along with the lack of thorough handling, corruption in land has become increasingly serious, adversely affecting economic, political and social life. Therefore, in order to minimize corruption in this area, the State of Vietnam needs to

eliminate the exercise of land ownership rights by administrative agencies, return it to its rightful place and function. Besides, the handling of corrupt cadres and civil servants must be really strict and thorough.

To do this, the Vietnamese government needs to study an alternative model of administrative agencies in implementing land ownership rights to control power. In addition, information on land management and use must be disclosed, transparent and timely for the whole society to know for monitoring. This is not a simple requirement because the recent Law on Protection of State Secrets 2018 stipulates that information about land resources is a state secret (Clause 6, Article 7). This regulation may make “sensitive” information related to the corruption of land not transparent. Therefore, the State needs to quickly clarify what is a state secret related to information on land resources so that the anti-corruption work in this field goes in the right direction and is really effective.

In addition, the disclosure of assets and the handling of illegal assets of state officials and employees in Vietnam is a certain thing that must be strictly regulated and implemented, if the State really wants the anti-corruption in the sector of land in particular and in state management in general to be successful.

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# NIGERIA'S ETHNO-RELIGIOUS CRISES AND ITS SOCIO-POLITICAL AND ECONOMIC UNDERDEVELOPMENT

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**Abstract:** *This work is a critical appraisal of one of the many consequences of ethno-religious crises in Nigeria. Nigeria, the most populous black nation on earth, despite its abundant human and material resources lags behind in socio-political and economic greatness. This is because the country is constantly engulfed in ethnic and religious crises which results in huge loss of life and property. This work employing the methods of historical analysis, critical and contextual analysis as well as expository method argues that ethno-religious crises constitute one of the major causes of Nigeria's socio-political and economic underdevelopment. After providing a synopsis of these crises the work identified the causes as well as the adverse consequences of these crises. In conclusion the work holds that ethno-religious crises is a threat to Nigeria's corporate existence as well as its socio-political and economic development and must be arrested by addressing the root causes and by sincere dialogue.*

**Keywords:** *Nigeria, Ethnicity, Religion, Ethno-Religious Crisis, Socio-political, Economic development.*

## Introduction

Ethnic and religious affiliations are among the most uniting factors in human societies. Experience has also shown that they constitute one of the most divisive elements among humans. The inherent passion to be associated with and defend one's ethnicity and religion is often seen as a patriotic duty. Ethnicity, religion, language, colour, race, as well as political and ideological affiliations open doors to those who share in them and also closes doors to those who cannot be identified with them. They draw attention and assistance to those who share in them and also neglect and scorn to outsiders. These sentiments are heightened when these factors are combined. Hence divisive ethno-religious sentiment is worse than mere ethnic sentiment or religious sentiment.

The Nigerian state is replete with divisive ethno-religious sentiments. Consequently when major socio-political issues are discussed, they are

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vigorously debated along ethnic, religious and regional lines with little objectivity. This sharply biased disposition creates a very delicate balance of the Nigerian state because of the multiple centrifugal forces pulling it apart along the lines of ethno-religious interests. These competing unhealthy rivalry leads to crises and instability in the Nigerian polity.

In a bid to satisfy ethno-religious interest another monster is created which is high level corruption and unrestrained looting often justified by ethno-religious beneficiaries. Corruption is in turn identified as one of the main causes of ethno-religious conflicts<sup>1</sup>, this is because injustice, poverty and other social evils which stimulates social hatred, ethnic prejudice, radicalism and violence as well as weaken the sense of mutual co-existence, social solidarity and tolerance are consequences of corruption. There is always the temptation to nurse anger and resentment towards those that are considered the cause of one's problems, this anger can be transferred to the ethno-religious beneficiaries of such proceeds of corruption.

Ethno-religious crises consist of crises emanating from ethno-religious conflicts. Where religion and ethnicity become an integral part of social and cultural life and diverse groups define themselves along ethno-religious lines this becomes a potential instrument of mobilization to assert one's identity and superiority. Ethnic crisis in most cases are results of unsettled remote grievances which continue to cause resentment among strange bird fellows. Adejo rightly observes that 'each conflict does not just happen..., they are rooted in some basic dissatisfaction or grievances which await detonation at the slightest opportunity'<sup>2</sup>. In Nigeria this has led to suspicion and unhealthy rivalry among the diverse ethnic groups including adherents of Islam and Christianity. This creates a sharp distinction between the co-existing groups and ferments conflicts. Ethno-religious conflicts are supposedly generated on the basis of real or imagined 'differences' rooted in ethnic and religious identities<sup>3</sup>. They eventually degenerate into crises causing loss of life and property and intense suffering to people who were previously living in peace. Socio-ethnic conflicts, according to Jega, 'are deflected and fought under interreligious

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<sup>1</sup> B.O. Nwankwo, 'Rhetorics and realities of managing ethno-religious conflicts: The Nigerian experience', *American journal of educational research*, vol.3, no.3, 2015, pp. 292–300.

<sup>2</sup> A.M. Adejo, 'Ethnic and Communal Violence in a Plural Polity: the Nigerian Experience', in Angya Charity (ed.) *F.S.S. Journal of Faculty of Arts Seminar Series*, Markudi, Starix Books, 2002, p. 248.

<sup>3</sup> S. Egwu, 'Ethno-Religious Conflicts and National Security in Nigeria: Illustrations from the 'Middle Belt'.' S. Adejumobi, (ed.), *State, Economy and Society in Post-Military Nigeria*, 2011, p. 49.

banner. This is because there is a strong overlap between ethnic and religious boundary in Nigeria's plural setting'.<sup>4</sup>

Nigeria has witnessed many ethnic and religious crises in the course its period of existence as one country following its forceful amalgamation by the British colonial administration that brought many heterogeneous societies with diversities together to form a country. This work wishes to examine the consequences of these ethno-religious crises with regard to the socio-political and economic development of Nigeria.

### **Research Methodology**

This research drew its data from textbooks, journals, newspapers, magazines and publications on the web. The authors' personal experience and the experiences of people known to him with regard to the devastating effects of ethno-religious crises in Nigeria are also very significant in this work. The objective is to critically assess the adverse effect of these crises to the socio-political and economic development of Nigeria. The collected data were critically analyzed. Hence the research employed the expository/descriptive, critical and analytic methods.

### **A Brief Historical Background of Ethno-Religious Crisis in Nigeria**

Nigeria is reckoned as the most populous black nation on earth with more than 200 million people. It has more than 250 ethnic nationalities with diverse historical, cultural and religious background. The country has more than 500 languages with Christianity and Islam constituting the major religious confessions<sup>5</sup>. According to Ojukwu, 'the formation of Nigeria was characterized by state system (or communities) which have a long historical existence as empires, caliphates, kingdoms, chiefdoms, city-states and village republics'.<sup>6</sup> These entities constituting the southern and northern protectorates in the British administration were forcefully merged in 1914 without their consultation. As Ugorji noted, 'the ethno-religious groups that make up the two regions had no prior formal contact with each other as a result of their geographical locations, differences in language, culture, religion, values, and other belief systems and factors'.<sup>7</sup> Though traditional

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<sup>4</sup> I. Jega, 'Tackling Ethno-religious Conflicts in Nigeria', *Newsletter of Social Science Academy of Nigeria*, September, vol. 5 no. 2, 2002, p.36.

<sup>5</sup> E.K. Iwuagwu, 'John Stuart Mill's Utilitarianism: A Panacea to Nigeria's Socio-Political Quagmire,' *Cogito – Multidisciplinary Research Journal*. vol. 13, no. 4, 2021, p.66.

<sup>6</sup> C.C. Ojukwu, 'Politics in Nigeria', in C.C. Ojukwu and M.A. Ikenna, (eds.), *Comparative Politics: An African Viewpoint*. Enugu, Rhyce Kerex Publishers, 2015, p.139.

<sup>7</sup> B. Ugorji, *Ethno-Religious Conflict in Nigeria*. A publication of International Center for Ethno-Religious Mediation May 15, 2016, p.13.

religions are also practiced across the country, the country is sharply divided by Christianity majorly in the south and Islam predominantly in the north. This history helps to account for the sharp dissection between north and south and the dichotomies within the north and the south that has been pronounced during the colonial and post-colonial eras.<sup>8</sup> The country is immensely blessed with abundant human and natural resources more than any other African country. All this notwithstanding the country is still grossly underdeveloped. This is because the country is plagued by myriads of social and political challenges including poor leadership, corruption and ethno-religious crises. These ethno-religious crises have stirred socio-political instability and have continued to remain a constant threat to peaceful co-existence among Nigerian citizens.

Because of the ethnic and religious diversity of Nigeria, the country is not new to conflicts primarily caused by the forceful amalgamation of strange bird fellows by the British colonial administration. The forceful amalgamation of people of different orientations, religions, languages, cultures and history by the British 'divide and rule' system of administration itself was a source of latent hostilities and conflicts. As a result of these unresolved issues consequent upon the forceful marriage of the north and the south, Nigeria has witnessed series of violent crises with ethnic and religious coloration. These include military coup d'états, ethno-religious massacres, civil war, religious extremism as well as interreligious and inter-ethnic violent disturbances. Before the independence in 1960 there were all kinds of skirmishes between the coexisting tribes, natives and settlers, herders and farmers, Christians, Muslims and other traditional religions largely fermented by ethnic and religious differences.

Among the earliest ethno-religious crisis is the Kano riot which broke out in May 1953 between Northerners who were opposed to Nigerian independence and Southerners who were for immediate independence for Nigeria. This was caused by the tour of the Southern delegation of Action Group (AG) and the National Council of Nigeria and the Cameroons (NCNC) to Kano to persuade the North led by the Northern People's Congress (NPC) to agree to the motion for independence for 1956. The Southern delegation met a hostile crowd in Kano who protested and later started stoning them. This degenerated into a riot that spiraled into Sabon Gari, predominantly inhabited by Igbos and Christians, and later Fagge inhabited by natives and Muslims. The riot lasted for four days claiming more than forty-six lives with many properties destroyed.<sup>9</sup> Hence the Kano

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<sup>8</sup> A. Egobueze, 'Conflicts in Nigeria Causes, Types and Consequences,' *Peace and conflict Resolution: An Anthology*. Geocilia International Services Ltd., 2021, pp. 2-3.

<sup>9</sup> The Nigerian Guardian Newspaper, 'Echoes of 1953 Kano riot', 31/01/2018. [www.m.guardian.ng](http://www.m.guardian.ng).

riots of May 1953 can be said to be the first large scale ethno-religious crisis in Nigeria.

After independence ethnic and religious hostilities and tensions heightened, leading to the attribution of ethnic and religious meaning to every national issue. Hence the first military coup d'état of 15<sup>th</sup> January, 1966 was given an ethnic and religious coloration and wrongly tagged 'Igbo coup' though soldiers of other ethnic groups were involved in the planning and execution of it. As a revenge for this coup which claimed some prominent northern politicians there was an anti-Igbo pogrom in Northern Nigeria in July and August 1966 which claimed about 30 thousand lives mostly of Igbos and other southerners as well as an unimaginable loss of property.<sup>10</sup> This massacre of Igbos led to the failed secession bid by South Easterners which eventually led to the civil war that claimed more than one million lives mostly of Igbos and other South Easterners.

### **A Brief Synopsis of Nigeria's Major Ethno-religious Crises**

A synopsis of major ethno-religious crises in Nigeria after independence will include the Maitatsine religious uprising that spread across the Northern states for more than five years between 1980 and 1985. The Islamic fundamentalists who led the uprising were clamouring for the spread of Islam in the North and abolition of any form of civilization including Western education and its fruits. This uprising claimed more than 10,000 lives before it was crushed by the military.<sup>11</sup>

There was also the 'Kano religious riots of 1985' sparked by the Muslim youths' opposition of a planned Christian crusade to be anchored by the German evangelist and preacher Reinhard Bonnke. Northern Muslims targeted Christian churches, businesses and houses belonging to Southern Nigerians and Christians for destruction. Many lives and properties were lost.

Between the year 2000 and 2010 there were multiple ethno-religious crises resulting in massive loss of lives and property. These include the 'Kaduna riots of 2000'. This ethno-religious crisis arose between Muslims and Christians as a result of the introduction of Sharia law in the state. It lasted from February 21, 2000 to May 23, 2000 and claimed between 2000 to 5000 lives and property ranging from, houses, places of worship and businesses.<sup>12</sup> Shortly afterwards there was the 'Jos riots of 2001' between Muslims and Christians as a result of the appointment of a

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<sup>10</sup> H. C. Metz, *Nigeria: A Country Study*, 1991,  
<http://www.countrystudies.us/Nigeria/23.htm>

<sup>11</sup> E. Isichei, 'The Maitatsine Risings in Nigeria 1980-1985: A Revolt of the Disinherited,' *Journal of Religion in Africa*, vol.17, no 3, 1987, pp. 194-208.

<sup>12</sup> BBC news. *Nigeria buries its dead*, *BBC News* 25 November 2002.

Muslim politician as local coordinator of a federal poverty alleviation program. This ethno-religious crisis which lasted between 7<sup>th</sup> – 17<sup>th</sup> of September 2001 claimed valuable property and an estimated 5000 lives.<sup>13</sup>

In 2002 there was the ‘Miss World Kaduna riot’. This ethno-religious crisis which led to the burning of many Christian churches and destruction of lots of properties (mostly of southerners) and also claimed more than 250 lives took place on November 22, 2002 as a reaction by Muslims of an article published on *Thisday Newspaper* about the 2002 Miss World beauty contest billed to hold at Abuja, Nigeria.<sup>14</sup> 2004 witnessed the ‘Yelwa Religious Massacre’ which took place at Yelwa, Shendam and Kano between February and May 2004. These religiously motivated killings between Christians and Muslims claimed more than 975 lives.<sup>15</sup> In 2006 there was in Maiduguri and many other Northern states an ethno-religious crises, ‘the Prophet Mohammed Cartoons Crisis,’ which occurred on February 18, 2006 resulting in the destruction of many churches, residential buildings and businesses as well as the loss of more than 50 lives as a result of the outrage by Muslims over the cartoon of prophet Mohammed in a Danish newspaper *Jyllands-Posten*.

There was also the ‘Jos riots of 2008’ between Muslims and Christians on the 28<sup>th</sup> and 29<sup>th</sup> of November, 2008 over the results of a local election. Valuable properties were destroyed with more than 381 lives lost. July 2009 witnessed the beginning of the much dreaded ‘Boko Haram religious uprising’. The Boko Haram religious terrorist onslaught which started in Maiduguri on July 26, within four days spread to Bauchi, Potiskum and Wudil claiming more than 1000 lives within days as well as burning down of villages, businesses and churches. Currently the terrorist group has spread across the Northern states of Nigeria where it is still occupying territories, kidnapping school children, farmers and committing other atrocities.<sup>16</sup> There was also the ‘Jos religious riot of 2010’ which claimed more than 992 lives.<sup>17</sup>

Ethno-religious crisis instead of abetting in Nigeria is in the increase. Between 2011 and 2021 one can lose count of the myriads of crises that have taken place in the country. The terrorist group Boko Haram attacked the United Nations Building in Abuja on August 26, 2011. This religiously motivated bombing injured more than 312 people and killed more than 116

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<sup>13</sup> J. Harnischfeger, *Democratization and Islamic Law: The Sharia Conflict in Nigeria*, Frankfurt and Main 2008, pp 35-36. Campus Verlag, Human Rights Watch, *Jos: A City Torn Apart*, December 2001.

<sup>14</sup> Human Rights Watch, *The Miss World Riots: Continued Impunity for Killing in Kaduna*, July 2003, also BBC News, ‘Nigeria Riots toll passes 200’, 24/11/2002.

<sup>15</sup> Human Rights Watch, ‘Revenge in the name of Religion’, 26 May 2005.

<sup>16</sup> The Guardian, London, 02/08/2009.

<sup>17</sup> New York Times, 08/03/2010.



people.<sup>18</sup> On December 25, 2011 the same Boko Haram religious terrorists attacked and bombed a Catholic church at Mandalla injuring about 73 people while killing 41 worshippers. Between 5<sup>th</sup> and 6<sup>th</sup> of January 2012 the same Islamic militants attacked Mubi, Yola, Gombi and Maiduguri destroying towns and villages while killing more than 37 people.<sup>19</sup> There were also mayhem caused by Boko Haram in Kaduna state between May 8 and June 7, 2012 when the terrorist group attacked communities with bombs in Kaduna, Wusasa and Sabon Gari destroying churches, communities and businesses, injuring more than 100 people and killing more than 60. It is also on record that between August 7, 2012 and June 7, 2015 Boko Haram terrorized many Northern states causing irreparable losses to lives and property. Among these numerous attacks are: the 'Okene attack on Deeper Life Church' of 7<sup>th</sup> August, 2012 which claimed about 19 lives, the 'Abuja attack' on a community on 25<sup>th</sup> December, 2012 with about 27 casualties, the 'Kawuri Massacre of 11<sup>th</sup> January, 2014' at Konduga LGA in Bornu State which killed more than 85 people and the '2014 Gamboru Ngala Massacre' where Boko Haram on May 6 attacked villages at night setting ablaze houses while shooting those escaping from the blaze. More than 300 people were killed in this horrendous attack in Bornu state, Nigeria. The Islamic terrorist group Boko Haram was also on the rampage in Gworza, Bornu state where more than 300 people were massacred during an attack on Christian villages on the 2<sup>nd</sup> of June, 2014. There was the bombing of Kano School of Hygiene in 2014 killing more than 200 people as well as the Baga massacre between 3<sup>rd</sup> and 7<sup>th</sup> of January 2015 which left more than 2000 people unaccounted for.<sup>20</sup> The heinous attacks of the dreaded Boko Haram took a new dimension in 2014 with the abduction of more than 300 schoolgirls at Chibok secondary school in Bornu state many of who are still in captivity.<sup>21</sup>

Since 2015 ethno-religious crises in Nigeria has taken a new turn as the Boko Haram terrorists have gone hell wire across all the Northern states bombing and burning government property, residential areas, religious places of worship, markets as well as kidnapping and killing school children and defenseless Nigerians. Added to the scourge of Boko Haram is the dreaded Fulani Militia and bandits who are in the Northern states kidnapping, killing and burning down villages. States such as Zamfara, Kaduna, Niger, Bauchi, Bornu, Benue, Sokoto, Adamawa and Plateau are under siege by these religious terrorist outfits.

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<sup>18</sup> New York Times, 28/08/2011.

<sup>19</sup> Reuters, 07/01/2012.

<sup>20</sup> NBC NEWS, 8 January 2015.

<sup>21</sup> The Guardian Associated Press, 15 April 2014.

These ethno-religious crises across Nigeria pose great hindrance to the socio-political and economic development of the country. It must be stated clearly that the demarcation line between ethnic and religious crises in Nigeria is very thin. Ethnic and religious crises in Nigeria are very much interwoven because of the predominance of some religions in some ethnic groups (Christianity in the south and Islam in the north). Notably many crises may begin as religious crises and increase with ethnic coloration and vice versa. Hence whenever any social crisis erupts everyone is caught in-between either from the religious angle or from the ethnic angle. Crises in Nigeria involving people from the North and the South will always end up as ethno-religious crises because it will always be fanned with both ethnic and religious sentiments and grievances.

### **Identified Causes of Ethno-Religious Crises in Nigeria**

Ethno-religious crises, like every other crisis, are consequences of unresolved conflicts. 'Conflict may be a process in which two or more social entities are linked by at least one form of aggressive psychological relation, or at least, one form of antagonistic interaction.'<sup>22</sup> Conflicts can arise from multiple causes based on challenging situations in different societies or groups. Among the several factors that can ferment conflicts in different societies and groups include: misunderstanding arising from poor communication, prejudice, arrogance, intolerance, hunger for power, ignorance, presumptions, selfishness, inadequacy of human needs and lack of compromise.

Ethno-religious crises in Nigeria are a consequence of many factors some of which have been identified by some scholars namely: Jega<sup>23</sup>; Egwu<sup>24</sup>; Iwuagwu<sup>25</sup>; Ugorji<sup>26</sup>; Canci and Odukoya<sup>27</sup>; Ngwoke and Ituma<sup>28</sup>; and Egobueze<sup>29</sup>. These scholars are unanimous in identifying the key factor as the forceful amalgamation of people of diverse cultures, history, languages and religion to form one country. Other underlying factors of

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<sup>22</sup> A. Egobueze, 'Conflicts in Nigeria Causes, Types and Consequences.' *Peace and conflict Resolution: An Anthology*. Geocilia International Services Ltd., 2021, p.5

<sup>23</sup> I. Jega, Op.cit.

<sup>24</sup> S. Egwu, Op.cit

<sup>25</sup> E.K. Iwuagwu, 'The Concept of Citizenship: Its Application and Denial in the Contemporary Nigerian Society', *International Journal of Research in Arts and Social Sciences*. vol.8, no.1, 2015, pp. 165-177.

<sup>26</sup> B. Ugorji, Op.cit,

<sup>27</sup> H. Çanci, and O.A. Odukoya, 'Ethnic and Religious Crises in Nigeria: A Specific Analysis upon Identities (1999-2013)' *African Journal of Conflict Resolution*, vol. 16, no. 1, 2016, pp. 87-110.

<sup>28</sup> P.N. Ngwoke and E.A. Ituma, 'Ethno-religious Conflicts and Sustainable Development in Nigeria', *Theological Studies*. vol. 76, no. 4, 2020.

<sup>29</sup> A. Egobueze, Op.cit.

violent ethno- religious conflicts in Nigeria include: the state of unequal ethnic relations defined in terms of access to state power and resources, exclusive practices associated with citizenship, decline of social citizenship. These major factors in turn breeds other causes such as tribalism, nepotism, ethnic competition, religious and ethnic discrimination; religious intolerance, scramble for state resources; bad governance, unemployment, poverty, illiteracy etc. which are ready-to-hand tools to escalate crises. The major causes of ethno-religious crises include:

**a) Forceful amalgamation of 1914:** Nigeria as a political entity is a forced union. The British colonial administration forcefully brought together more than 250 ethnic nationalities that existed as separate kingdoms, chiefdoms, emirates and city-states which made up the Southern and Northern Protectorate without consulting them. ‘The historical circumstances of her emergence’, according to Kolawole, ‘make her an amalgam of divergent people with divergent languages, cultures, values and beliefs’<sup>30</sup>. This forceful amalgamation of people of divergent thoughts, history, religion and orientation sowed the seeds of discord that accentuated prejudice, discrimination, intolerance and unhealthy rivalry which has continually thrown the nation into ethno-religious crises. Corroborating this factor Aruleba observed that the amalgamated Nigeria has failed to live up to its billing of proffering unity and strengthening every fabric of our co-existence. Instead, the bond further tears us apart by reinforcing a campaign of calumny on tribes and religious borders, especially in the North where more than 20,000 lives have been lost in the last decade between Muslim and Christian residents.<sup>31</sup> The failure of these multi-ethnic and multi-religious entities forcefully merged together to mutually co-exist constitutes the major factor leading to ethno-religious crises in Nigeria. Uchendu also observed that the growth of ethno-religious intolerance in the country has its foundation on the activities of the colonial masters that brought Christianity with them and antagonized African Traditional Religion as idolatry.<sup>32</sup>

**b) Tribalism, nepotism and ethnic rivalry.** These constitute another major factor that ignites ethno-religious crises in Nigeria.

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<sup>30</sup> D. Kolawole, ‘Nigeria: The Struggle for Democratic Consolidation in Post- Colonial State’, in Agagu, A.A and Ola, R.F (eds.), *Development Agenda of Nigerian State*, Ibadan, FIAG (Nigeria) Publisher, 2005, p.49.

<sup>31</sup> S. Aruleba, ‘No longer at ease with Nigeria’s Amalgamation’, *Punch*, 19<sup>th</sup> August 2017.  
<https://punchng.com/no-longer-at-ease-with-nigerias-amalgamation/>

<sup>32</sup> E. Uchendu, ‘Religious Conflicts in Nigeria: Implications on Socio-Economic and Psychological Perceptions of Muslims in Igbo Land’,

[http://www.egodiuchendu.com/index.php?option=com\\_content&view=article&id=66:-](http://www.egodiuchendu.com/index.php?option=com_content&view=article&id=66:-) 2010

According to Egobueze, Ethnicity and or tribalism is a social phenomenon associated with the identity of members of a competing communal group(s) seeking to protect and advance their interest in a political system. The key elements may be language, culture, race, religion and/or common history and it involves demands by one group on other competing group(s).<sup>33</sup>

This is one of the consequences of the unholy union called Nigeria. Every socio-political discourse in Nigeria is always done along religious and tribal lines. It determines people's opinions, support or opposition for any government policy or action. Hence ethno-religious sentiments and consciousness give birth to the other evils of nepotism, favoritism and ethnic competition which are instrumental to conflicts and crises.

**c) Religious and ethnic discrimination.** It is commonplace in Nigeria to witness the dominant ethnic groups and religions in a particular state or society discriminating against those that are in minority in those areas. In some states where some ethnic groups and religions are in majority laws and policies are made without considering how it affects them. In some Northern states of Nigeria where the Islamic Sharia laws are in vogue non Muslims complain of religious discrimination. In these places the call of the minorities for the enforcement of their ethnic and religious rights often fell on deaf ears leading to avoidable conflicts. The allusion to religious and ethnic domination, discrimination and oppression as causes of ethno-religious conflicts is also made by other scholars such as Ikelegbe<sup>34</sup>; Salawu<sup>35</sup> as well as Canci and Odukoya<sup>36</sup>.

**d) The misuse of religion and ethnicity by the political class.** There is in Nigeria the state's abuse of religion and ethnicity in every political discourse and action. There is a contentious interaction of politics, ethnicity and religions which has culminated into an 'increased sense of belonging and militancy'<sup>37</sup>. In Nigeria the political class is always quick to weep ethnic and religious sentiments in every national issue especially during elections. The electorates are always mobilized to vote along ethnic and religious lines and the people are pressured to reject candidates that are not of their ethnic or religious extraction however good or qualified

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<sup>33</sup> A. Egobueze, *op.cit.*, p.6

<sup>34</sup> A. Ikelegbe, 'The Perverse Manifestation of Civil Society: Evidence from Nigeria', *Journal of Modern African Studies*, vol.39, no.1, 2001, p.14.

<sup>35</sup> B. Salawu, 'Ethno-religious Conflicts in Nigeria: Causal Analysis and Proposals for New Management Strategies', *European Journal of Social Sciences*, vol.13 no.3, 2010, p. 348.

<sup>36</sup> H. Çancı and O.A. Odukoya, *op.cit.*, p.102

<sup>37</sup> *ibid.*

they may be. This, in most instances, lead to violence when a candidate of a different tribe or religion comes campaigning outside his own domain.

**e) Bad governance, corruption and poverty.** Maladministration by the Nigerian political class as well as corruption results in failure to promote national integration and economic growth. This in turn leads to massive unemployment, poverty, youth restiveness and all forms of criminalities which are catalysts to ethno-religious conflicts and crises. An idle mind, it is said, is the devils workshop. Idle youths are easily recruited by the political elites to instigate ethnic and religious violence for their own selfish purpose. The pauperized population is also easy prey to recruitment by religious extremists, ethnic bigots and freedom fighters such as Boko Haram, the Maitatsine, the Fulani Militia, the ISWAP, the Niger Delta Militants and the Indigenous People of Biafra (IPOB). Kura<sup>38</sup> and Mu'asu<sup>39</sup> identified bad governance by the political elite, unemployment and poverty as a reason while paid militants constitute large number of fighters in many Nigerian ethnic and religious crises.

**f) Religious and ethnic intolerance.** The failure of the political elite in Nigeria to promote national integration has spiraled into ethno-religious prejudice, competition and intolerance. Most ethno-religious crises in Nigeria can be traced to intolerance among the various tribes and religions. Onah et al<sup>40</sup> as well as Ngwoke and Ituma<sup>41</sup> identified intolerance as a key factor that causes most religious and ethnic crises in Nigeria. Hence crises such as the Maitatsine religious uprising of the 1980s, the Kano riots, the Kafanchan tumult of 1987, the Boko Haram uprising and many others are evidences of ethno-religious intolerance. The Kafanchan tumult of March 1987, for instance, started in the College of Education over a crusade being organized by Christian students and spread to Funtua, Kaduna Metropolis, Zaria and environs. It is a case of Muslims questioning the right of Christians to organize a religious crusade. The Maitatsine and Boko Haram uprising are also cases of

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<sup>38</sup> K.H. Kura, 'Muslim-Christian Cooperation for Conflict Prevention/Management, Peace Building and Reconciliation in Northern Nigeria', A paper delivered at a conference on Muslim-Christian Cooperation in states of Nigeria', 6–9 October 2010, Kaduna, PCMRA. p.36. <[https://www.procmura-prica.org/files/Kaduna\\_Report.pdf?>](https://www.procmura-prica.org/files/Kaduna_Report.pdf?>)

<sup>39</sup> A. Mu'asu, 'Understanding the Emerging Trends of Terrorism in Nigeria: A case study of Boko Haram and Similar Groups', *Responding to Emerging Trends of Terrorism in Nigeria*. Conference Proceedings, Monograph Series 16. Lagos, CLEEN Foundation, 2011, pp. 19–20.

<sup>40</sup> N.G. Onah et al, 'Ethno-religious conflicts in Nigeria: Implications on Women', *Mediterranean Journal of Social Sciences*, vol.8, no.5, 2017, pp. 61–68.

<sup>41</sup> P.N. Ngwoke and E.A. Ituma, *op.cit.*

intolerant extremist religious sects who deny others their freedom of religion.

**g) Protracted military rule in Nigeria.** Between the time of its independence in 1960 and 1979 Nigeria experienced 13 years of uninterrupted military rule. A return to a democratic rule in 1979 lasted only for four years. Thus another military regime lasted for another 15 years from 1984 to 1999. Scholars argue that there is a correlation between conflicts or crises and absence of democracy.<sup>42</sup> Long period of military rule in Nigeria and the consequent militarization of all social and political scenes tend to form people's psyche toward the employment of force and violence as legitimate tools of settling scores and effecting socio-political and economic change. Hence in present day Nigeria, because of over militarization people are more comfortable using intimidation, coercion and jungle justice in achieving their objectives than democratic dialogue. It then follows that this kind of mentality is a catalyst to ethno-religious crises.

**h) Injustice.** One of the principal causes of ethno-religious crisis in Nigeria is injustice. The domination of some privileged ethnic groups, the marginalization and suppression of some ethnic nationalities by the dominant groups and lack of equitable distribution of the wealth of the nation have given rise to ethnic militias and violent agitations in Nigeria among which are the Niger Delta Militant groups, the IPOB, the Oduduwa People's Congress (OPC) etc. These aggrieved agitators readily unleash mayhem on their perceived oppressors and those of that ethnic group or religion.

**i) Absence of vehicles of social control.** Every traditional African society had institutions of social control such as kinship, religious and political systems concerned with the wellbeing of the community.<sup>43</sup> These vehicles of social control serve effectively in matters of conflict resolution ensuring peace and mutual coexistence in the community. Presently these institutions are either weakened or absent because of the present system of governance thus leading to the escalation of ethno-religious conflicts that could have been avoided.

**j) Scramble for scarce natural resources.** In Nigeria many ethnic conflicts are caused by the fight for scarce natural resources such as land, water and pasture.<sup>44</sup> The Fulani herdsmen/native farmers' clashes which have become a daily ritual in every part of Nigeria today is as a result of this.

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<sup>42</sup> K.H. Kura, *op.cit.*, p. 37; H. Canci and O.A. Odukoya, *op.cit.*, p. 103.

<sup>43</sup> H. Canci and O.A. Odukoya, *op.cit.*, p.104

<sup>44</sup> Amnesty International, December, 2018.

When pastoralists in search of pasture and water for their animals encroach on farmlands destroying crops, there is always a fight with the farmers which escalates into crises that leads to loss of lives and property.

### **The Socio-Political and Economic Consequences of Ethno-Religious Crises in Nigeria and its Contributions to Nigeria's Underdevelopment.**

The adverse effects of ethno-religious crises in Nigeria are multiple. They range from social consequences to political, economic and religious consequences and these contribute massively to Nigeria's underdevelopment. Ethno-religious crises cause all kinds of disaffection, human and material losses, national disintegration, health crises, political instability, refugee crises, unemployment, poverty, criminal activities, educational crises, etc. This work focuses on the adverse social, political and economic consequences of ethno-religious crises and how these contribute immensely to Nigeria's underdevelopment.

Among the many factors that continue to impair the practicability of Nigerian federalism is ethno-religious crisis. The delicate balance of the Nigerian state that is already sharply divided by many contentious issues such as ethnicity, legitimacy crises, resource control, political imbalance, electoral crises, etc., is further compounded by ethno-religious crises which adversely affect its corporate existence and national security. These crises, according to Fawole and Bello, 'has weakened patriotism, commitment to national ideals and true nationhood, giving rise to parochialism, ethnicity and other cleavages which 'ethno-religious' jingoists exploit for their interest and advantage.'<sup>45</sup> Recurrent ethno-religious conflicts have dented Nigeria's image among the comity of nations, and portrayed it as a country incapable of ensuring religious harmony among its own citizens.<sup>46</sup> Ethno-religious conflict does more harm than good to Nigeria's security and corporate existence. It ferments disaffection and hatred among Nigerians and also diminishes the sense of patriotism. The perennial ethno-religious conflict in Jos, Nigeria between the native Hausas/Christians and Fulani/Muslim settlers which have claimed inestimable lives and property is a case in hand.

The primary purpose of government is the protection of lives and property. But in Nigeria ethno-religious crises has rubbished this purpose

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<sup>45</sup> O.A. Fawole and M.L. Bello, 'The Impact of Ethno-Religious Conflict on Nigerian Federalism', *International NGO Journal* vol. 6, no.10, October 2011, p. 216, October, <http://www.academicjournals.org/INGOJ>

<sup>46</sup> B.A. Shittu, 'An Overview of the Consequences of Ethno-Religious Violence in Nigeria: Implications for Muslim-Christian Relations', *Al-Asalah International Journal*, vol. 4, no, 1, 2013, p.131.

of government and have created a scene of the Hobbesian “state of nature”<sup>47</sup> where violent destruction of lives and property have become a daily ritual in some parts of the country. The state of anarchy created during ethno-religious crises is always frightening. In the event of any such unrest, fanatics usually brutally and indiscriminately attack people. Women and children are often not spared. Likewise, people are often either killed by stray bullets fired by security agents in their attempt to dislodge the fanatics, or fall victims to the police jungle justice. In most cases, casualty figures are not known. During the Maitatsine unrest in Kano and Maiduguri, for instance, women and children were mercilessly massacred. Pregnant women captured did not always escape the Maitatsine knives either; they occasionally had their womb split open.<sup>48</sup>

During ethno-religious crises many families are completely wiped out leaving no survivor, many people sustain varying degrees of injuries that leaves them permanently incapacitated, many children are orphaned, many families suffer the loss of their breadwinners, many families are displaced with some dislocated, many people are traumatized as a result of the horrifying experiences and many are plunged into avoidable poverty as a result of irreparable material losses. During ethno-religious crises, apart from loss of lives as well as physical and psychological injuries, there is also wanton destruction of both public and private properties. Private homes are burned or vandalized with many families rendered homeless. Ethno-religious crises trigger refugee crises, environmental crises, health crises and food crises. Ethno-religious crises also seriously affect the social life of the people. To quell such crises curfews are imposed, restriction of movements are enforced by military and police personnel, offices and shops are closed for fear of being looted or vandalized, intra-city and inter-city transportation are also disrupted. A state of apprehension pervades the entire society for days or weeks and people who are lucky not to be displaced stay indoors for fear of the unknown as well as fear of police or military brutality. This unfortunate situation of fear will last until the people are confident that the authorities have arrested the sad situation and normalcy has returned.<sup>49</sup>

Another adverse social consequence of ethno-religious crises in Nigeria is its disruption of school program. Education is the bedrock of every progressive society. To disrupt the education system of any society as a result of insecurity is a very great disservice to its progress and development. Ethno-religious crises in Nigeria often lead to closedown of schools from primary to tertiary level thereby disrupting school calendar.

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<sup>47</sup> T. Hobbes, *Leviathan*, London, Penguin, 1981, p. 186.

<sup>48</sup> *New Nigerian Newspaper*, February 16, 1981.

<sup>49</sup> B.A. Shittu, *op.cit.*, p.130.



During such periods also both internal and external examinations are postponed or cancelled in affected areas. A case at hand is the disruption of the examination calendar of the West African School Certificate (WASC) examination and the Unified Tertiary Matriculation Examination (UTME) in some Northern states in 2013, 2015 and 2016 as a result of the attacks by the Islamic terrorist sect, Boko Haram. The many religious attacks and mass abduction of students by Boko Haram and other Islamic terrorists and bandits in secondary schools and tertiary institutions in Bornu, Katsina, Kaduna and other northern states between 2015 and 2021 is another example of an attack on Nigeria's progress and development. Commenting on the ethno-religious crisis of Jos, Plateau State in 2004, the then president of Nigeria, Olusegun Obasanjo observed: Violence has reached unprecedented levels and hundreds have been killed with much more wounded or displaced from their homes on account of their ethnic or religious identification. Schooling for children has been disrupted and interrupted; businesses have lost billions of Naira and property worth much more destroyed.<sup>50</sup>

These incessant ethno-religious crises accounts for the backwardness of many Northern states when compared with their counterparts in the South, as well as the continued underdevelopment of Nigeria, because no one progresses by destroying its education system or by building with one hand and destroying with another.

There is also the disruption of public amenities as a result of ethno-religious crises. The destruction of public properties during crises affects electricity, portable water distribution, transportation and communication infrastructures as well as healthcare delivery. The incessant destruction of these public infrastructures, which are not even sufficient, and their consequent repairs or replacement places a huge financial burden on the government and leads to the deployment of the scarce resources that would have been used to provide other urgently needed infrastructure to attend to them. This continuous rebuilding, replacement or repairs of infrastructures vandalized during ethno-religious crises instead of providing new ones surely retard the progress and development of Nigeria.

Apart from the adverse socio-political consequences of ethno-religious disturbances in Nigeria there is also the unfortunate economic consequences occasioned by these crises which holds down Nigeria in its match towards becoming an economic power of repute. Ethno-religious crises among other things disrupt economic activities as it leads to the destruction of lives and properties. In a state of breakdown of law and

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<sup>50</sup> O. Obasanjo, 'Text of Broadcast to the Nation on the Declaration of a State of Emergency in Plateau State on Tuesday May 18, 2004' in *Daily Trust Newspaper*, Wednesday, May 19, 2004.

order shops and offices are burnt, looted or vandalized. There is always carnage of public and private transportation outfits. Markets, towns and cities are deserted and many people suffer irreparable losses that put them out of business. As Shittu remarks,

Since economic activities usually prosper in peaceful and rancor-free environment, conflicts prone areas are frequently deserted by business men and women whose goods and properties are subject to destruction and looting during unrest. Their relocation to other towns and cities often create setback for economic transactions in the affected areas. It is also worth noting that the losses incurred by some of the affected merchants are at times so huge that they find it difficult to recover from them. Thus they are forced to languish in penury for the rest of their lives.<sup>51</sup>

Hence, with the disruption of economic activities, life and every other thing are halted. Both the private and public sector suffers loss of income as transportation business is disrupted, banking and other financial activities are suspended in affected areas, all other forms of commerce are suspended, agricultural activities are put on hold because of fear of losing one's life, and other office and outdoor works that generate revenue for the government and private sector are put on hold because of the heightened insecurity caused by ethno-religious crises.

This pervading climate of wanton destruction of lives and properties occasioned by avoidable ethno-religious disturbances is a great deterrent to any serious investor because no investor will stake his hard earned money where his business will go up in flames at the least provocation. Hence business-minded people, for the safety of their lives and properties, avoid such states, towns or cities thereby promoting mass unemployment, poverty and underdevelopment of the affected areas. Decrying the adverse socio-economic impact of the 2004 Jos ethno-religious crisis the NIPSS report lamented: Some survivors have permanently lost all they labored for in their lives. As a result, one can safely argue that the aggregate of such instances negatively impact on the overall economy of these communities and by extension, the rest of the country; new armies of the unemployed, the destitute and highly aggrieved are added in the streets with its attendant consequences.<sup>52</sup>

The socio-political and economic consequences of ethno-religious crises in Nigeria are disturbing. In many instances it spurs forced migration of people, especially businessmen and women, out of the affected areas because of their huge losses as well as fear of further loss of lives and

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<sup>51</sup> B.A. Shittu, *op.cit.*, p.129.

<sup>52</sup> National Institute for Policy and Strategic Studies (NIPSS), 'Religious Coexistence in Nigeria. A Case Study of the South-West, Integrated Research Group 2, Senior Executive Course No, 26, 2004, NIPSS Kuru, Nigeria.

property. It eventually scares investors from doing business in such areas marking out such places as hotbeds of violence and unsafe for business and residence. It is on this line of thought that Fawole and Bello observed:

The climate of insecurity usually created by violent conflict deters investments. It is a truism that an insecure, crisis –and – violence - ridden polity can never attract foreign investment. No investor knowing full well that the polity is a security risk would venture his capital there. And where the polity is scaring away foreign investment, the economy becomes stagnant and democracy dividends equally become a mirage.<sup>53</sup>

Many foreign investors avoid Nigeria in spite of its abundant human and material resources because of incessant ethno-religious crises. These investors prefer neighboring African countries where there are few incidences of such problems and where they are assured of the security of their lives and investments.

### **Conclusion**

Among the top indices used in ranking nations high on development index is security. Insecurity is one of the major causes of poverty, migration and underdevelopment. Nobody wants to live or do business in an environment that is prone to crises because nobody will risk his life and property when he has an option to avoid that. The avoidable multiple ethno-religious crises that have engulfed the Nigerian state and are still prevalent in many parts of the country constitute a cog in the wheel of its socio-political and economic development. This work has identified the adverse consequences of the incessant ethno-religious crises which makes many parts of the country a hotbed of crises and a security risk for residence and business. Some of these unpleasant consequences of ethno-religious crises as elaborated above include: loss of life and property, disruption of social order, vandalization and interruption of public amenities, disruption of public and private sector businesses, disruption of education programs and calendars, increasing poverty and unemployment, forceful migration, environmental and health crises as well as all kinds of criminal activities consequent upon the breakdown of law and order. All these social, political and economic downturns retard progress and development and ferment stagnation and underdevelopment. It is the contention of this work that incessant ethno-religious crises in Nigeria constitute a major factor for its continued social, political and economic underdevelopment. No nation can thrive under the cloud of insecurity. No nation can progress by continually destroying the fabrics of its growth.

In conclusion the paper holds that the continuous wanton destruction of lives and property in Nigeria caused by ethno-religious crises is a

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<sup>53</sup> O.A. Fawole and M.L. Bello, *op.cit.*, p. 216.

serious threat to its corporate existence and a cog in the wheel of its socio-political and economic development and that this must be urgently addressed for the country to move forward and take its rightful place among the comity of nations. The problem, the paper opines, can be arrested by conscientiously addressing the above identified causes of ethno-religious crises and by sincere dialogue.

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# FROM TEXT TO FILM: A COMPARATIVE STUDY OF *MACBETH* AND *MAQBOOL*

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**Abstract:** *The plays of William Shakespeare (1564-1616) have always been a valuable source of adaptation and appropriation. Shakespeare has dramatized the universal ideas of love, death, and courtship. His characters are the most memorable and relatable ones as they become epitomes of modern drama yet are ones we can relate to. Filmmakers like Vishal Bharadwaj were inspired by the dramatic vision and art of characterization of William Shakespeare. Bharadwaj's success as a filmmaker lies in his effort to successfully translate the dramatic vision of Shakespeare into his films like Maqbool (2003), Omkara (2006), and Haider (2014) which have been inspired by Hamlet (1601) Othello (1603) and Macbeth (1606). Although Bharadwaj has made some strong references to the original text, he has taken the liberty to modify the source text to cater to the demands of the contemporary era. The present article is a comparative study of Shakespeare's Macbeth and Bharadwaj's Maqbool. Along with definitions of universality and comparative literature pivotal to the play and the film, the paper discusses the play and film's setting, scenes, art of characterization, and highlights the Shakespearean spirit in Maqbool despite being an adaptation of Macbeth.*

**Keywords:** *adaptation, appropriation, universality, Shakespearean spirit.*

## Defining the term Universality

In philosophy, universality is the idea based on the existence of facts that can be studied in opposition to relativism which states facts are governed by one's perception. Further, in the context of ethics, the term universal is applied to all equally and similarly positioned individuals. Under the Declaration of the Rights of Man and of the Citizen (1789)

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considered to be a natural right and influenced by the philosophy of enlightenment, human nature could be considered universal. In Shakespeare's adaptations and appropriations, the universal ideas revolving around crime, punishment, remorse, and retribution have been a binding force between the play and the film. However, the article seeks to compare William Shakespeare's *Macbeth* (1606) and Vishal Bharadwaj's *Maqbool* (2003) through the art of characterization, plot, theme, and the use of theatrical devices that aid in the progression of the story.

### **Defining Comparative Literature**

Through the tenets of comparative literature, it is justifiable to draw a comparison between text and cinema as the study encompasses literature across national borders, periods, language and includes music, film, dance, painting, and many more. "Comparative Literature involves the study of texts across culture that is interdisciplinary and concerned with patterns of connection in literature across both time and space".<sup>1</sup>

### **William Shakespeare as the Universal Bard**

The genius of William Shakespeare (1564-1616) has not withered with time rather it has become relevant to the present times. Even today, he is translated appropriated, and adapted worldwide based on themes and characters that characterize today's contemporary world. Perhaps, his expression of human emotions transcends the limitations of race, caste, and nation and finds recognition in eras both ancient and modern, ".... [Shakespeare] found new homes in Icelandic and Greek, in Quebecois and Korean, in Arabic and Zulu. The complete works now appear in over thirty languages and individual texts in over eighty".<sup>2</sup> In colonial India, the transcendental and universal approach of Shakespeare's writings helped in providing catharsis to the common populace who were disturbed by the communal disharmony left behind by the colonizers. According to Ania Loomba (1955), "the transcendental status of the literary text continued to be useful in containing the tensions of a society that was not rendered homogeneous by expelling its colonial masters".<sup>3</sup>

### ***Macbeth, Maqbool, an Overview***

The film *Maqbool* is set in the criminal world of Mumbai. Two corrupt officials (witches) foresee Maqbool's rise to fame through horoscopes, and their prediction is fulfilled when Maqbool (Macbeth) kills his foster father,

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<sup>1</sup> Susan Basnett, *Comparative literature: A Critical Introduction* (U.K), 1993, p.1.

<sup>2</sup> Anston Bosman, *Shakespeare and Globalisation* (Cambridge), 2009, p. 286.

<sup>3</sup> Jyotsna Singh, "Different Shakespeare's: The Bard in Colonial Postcolonial India" *Theatre Journal*, vol. 41, no.4, 1989, p. 458.



Abbaji (Duncan), the leader of the underworld. Furthermore, Maqbool is profoundly in love with Abbaji's mistress, Nimmi (Lady Macbeth), who effectively prompts Maqbool to kill Abbaji after his daughter Sameera decides to tie the knot with Guddu, the son of Kaka (Banquo). The cops foresee that Maqbool will be secure until the sea does not enter his house, metaphorically, the customs officials thwart an important smuggling contract at the seaport. Later, a frenzied Nimmi dies after childbirth— with the uncertainty about the child's real father. Initially, Maqbool decides to flee by taking his newborn child from the hospital. But when he sees his son in the caring hands of Guddu (Fleance) and Sameera, he decides to abandon the life of crime. As he leaves the hospital, he gets killed by Boti (Macduff), who has plotted with Guddu to overthrow Maqbool.

Shakespeare's *Macbeth* opens with the appearance of the three witches amidst thunder and lightning. The conversation of the witches serves the purpose of exposing the intention of the witches of meeting Macbeth in the days to come. The violent weather accompanied by rain and storm connote ideas of fear, suspense, and foul play which is common to the play and the film, though the film's setting is replaced from the world of Scotland to the Mafia world of Mumbai. Although the weird sisters have been replaced in the film by the two corrupt police officers, Pandit and Purohit, the evil in them as a universal trait remains irreplaceable. Bharadwaj states in the preface to *Maqbool's* screenplay:

Like every filmmaker, I also wanted to explore the juiciest genre of cinema the world of gangsters. I was looking for a story that could give me the scope to have the underworld as a backdrop but with a strong human story. During this period, whatever I read, any story or article I read it with only one agenda in mind to find a story for my gangster film...The first breakthrough in the screenplay was the discovery of witches in our story. What could have made the best parallel to the witches in contemporary India? Of course, cops.<sup>4</sup>

Similar to the film *Maqbool*, the Indian film *Agneepath* (1990) recreates the scene of Lady Macbeth's repentance when the actor Amitabh Bachan playing the role of a mafia don is mocked by his mother as he is washing his hands before a meal. She tells him, "all the water of Bombay will not cleanse your hands [...]"<sup>5</sup>Therefore, it becomes important to probe into the reason for a commercial Indian film's deepest affinity to canonical Shakespeare. It is interesting to note how Vishal Bharadwaj willingly acknowledges the influence of Shakespeare in his trilogy, while in

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<sup>4</sup> Vishal Bharadwaj and Abbas Tyrewala, "Maqbool, The Original Screenplay with English Translation," India: 2014.VI.

<sup>5</sup> Poonam Trivedi, "Filmi" Shakespeare," *Literature/Film Quarterly*, vol. 35, no. 2, 2007, p. 148.

*Agneepath* it is left unacknowledged and unnoticed. Despite, being a product of crossbreed genealogy and varied sources, the Hindi films flaunt their autonomous identity, with very few adapters like Vishal Bharadwaj who is indebted to the source. Thus, to locate the use of Shakespeare in Hindi films is to identify the presence of the politics of interculturalism in the adapter's approach when they say that the plays of Shakespeare are being altered to harmonize with the Indian manner of thinking and the tastes of the contemporary Indian audience.

The Elizabethan audience readily accepted the witches as representatives of evil but it would not have been the same for the Indian audience of the contemporary times. Hence, Vishal Bharadwaj expressed the idea of evil through the characters of the corrupt police officials Pandit and Purohit. Nevertheless, the film *Maqbool* acknowledges the Indian perceptions and generic obligations, "Maqbool's impressive opening sequence shows a close-up shot of a kundal motif—a horoscope grid used by Indian astrologers—on a windowpane of a van that is being deployed by Pandit and Purohit to monitor the criminal underworld".<sup>6</sup> Vishal Bhardwaj situates *Macbeth* in a precise citational atmosphere—the graphic, auditory, gestural, and resonant, "all adaptations make their habitations not only in specific geographic milieux and media but also in citational environments: generic and cultural fields that incorporate specific stances towards source materials and rules for handling them".<sup>7</sup> Thus, despite the repositioning of the film through a local mise en scene, *Maqbool* is successful in combining most of Shakespeare's plot and theme revolving around ideas of ambition and bloodshed. Besides, the relocation of the original text becomes a means to examine the contemporary situation as the film creates an intercultural "intertext" highlighting subtexts or suggestions that enable us to view the film in a new way. Perhaps, the adapter develops a postcolonial self-confidence to deconstruct Shakespeare to suit their personal needs of expression. In such adaptations, the priority is on how much the play is being moulded to suit contemporary concerns rather than fidelity to the source. The film *Maqbool* is a remarkable example of this trend as it is considered to be a "crossover film" which enhances its negotiation with Shakespeare. The film is a vision of literary inheritance as it transforms conflict-ridden Scotland to the Mumbai underworld and the weird sisters to the corrupt police officials. Both the witches and the corrupt officials as personifications of evil intensify the idea of horror and suspense. Sadiq, a local gangster lies dead in a pool of blood after he is shot by inspector Purohit. Apart from being representatives of evil, the witches also do the

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<sup>6</sup> Daniel Rosenthal, *100 Shakespeare films* (Bloomsbury Publishing), 2019, p.123.

<sup>7</sup> Thomas Cartelli and Katherine Rowe *New wave Shakespeare on screen* (Polity), 2007, p.29.

work of prophesizing. The witches confront Macbeth and Banquo upon a barren heath. They greet Macbeth as the “Thane of Glamis”, the “Thane of Cawdor”, and finally the “king of Scotland”. Like the weird sister’s inspector, Purohit makes prophecies by reading a horoscope, “in six months’ time, Abba Ji’s throne will be Miyan’s to claim . . . Kings of Kings . . .”.<sup>8</sup> Although the witches are supernatural beings and the corrupt police officials are humans, their evil nature unites them together.

### **Analyzing the purpose behind the crime in *Macbeth* and *Maqbool***

Although the film *Maqbool* is an adaptation of Shakespeare’s *Macbeth* the motive behind the murderous act of the protagonist’s Macbeth and Maqbool are different. Besides, their murderous act is not positioned at the same time in the play and the film. In *Macbeth*, Macbeth murders Duncan, the king of Scotland at the very outset of the second act whereas Maqbool murders Abbaji, the don of the Mumbai mafia world, very late in the film. The murder of Abbaji is given importance in the film to show that the real intention of murdering him was to win the love of Nimmi, the mistress of his father figure Abbaji forever. Both Maqbool and Nimmi would have never united as lovers if Abbaji was alive. However, Macbeth’s intention in murdering Duncan was set ablaze by his ambition of becoming the king of Scotland. The universal theme of desire, lust, and temptation has been beautifully expressed through the characters of Macbeth and Maqbool. Both Macbeth and Lady Macbeth share a sacred relationship of a husband and wife, unlike Nimmi who is the mistress of Maqbool’s father figure, Abbaji. Once again what unites Macbeth and Maqbool together is how they chose to murder their father figures Duncan and Abbaji to fulfill their lust for power and love. Bhardwaj has stated this change in the preface of the film’s screenplay:

the major decision was to change the character of Lady Macbeth - from Macbeth’s wife to Duncan’s mistress who was having an affair with Macbeth. This changed the dynamics of the relationships completely. Suddenly the sexual conflict became the core of the screenplay. For Macbeth, Lady Macbeth became the throne herself.<sup>9</sup>

### **Analyzing the Characters in *Macbeth* and *Maqbool***

Since the characters of Shakespeare transcend the boundaries of time and place, it becomes easier for filmmakers to adapt them.

The things he has been attracted to the most in the playwright’s canon, and which have influenced his filmmaking, are Shakespeare’s dramatic

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<sup>8</sup> Bharadwaj and Tyrewala, p. 15.

<sup>9</sup> Ibid, p. V1.

writing and characterization, in particular the way the playwright used to deal with the psyche of human beings, which is “why his writing is relevant even after 450 years.”<sup>10</sup>

Through the cinematic vision of filmmakers, the plot of Shakespeare and the story get a new meaning. Reading a text and deriving meaning from it is different from watching a film. While reading a text, it is purely the ideas of the author and the reader which are at work but while viewing a film, it is the director's vision and other cinematic techniques which are constantly working to create meanings for the viewers. The relocation of *Maqbool* surveys the movement of power politics in modern-day Mumbai. The film *Maqbool* is not only used as a means to expose the tensions of the Mumbai underworld but its departures from the source text provide insights into various other interesting facets of contemporary India. Barthes says that in postmodernity a text “is not a line of words releasing a single ‘theological’ meaning (the ‘message’ of the Author-God) but a multi-dimensional space in which a variety of writings, none of them original, blend and clash”.<sup>11</sup> In this context, Vishal Bharadwaj's *Maqbool*, the reimagining of Shakespeare's *Macbeth* rejoices in the element of a typical Bollywood “masala” movie which features hilarious cops, festivals, dance, songs. It is due to this explicit retextualisation that *Maqbool* transforms into a contemporary film of the literary world indicative of modern-day contemporary imagination which has to be read through elaborate conversational discourses. *Maqbool* follows the genre of a typical gangster film which mirrors the violence in contemporary India as showcased in films like *Satya* (1998) and *Company* (2002) which have been recognized as fictional accounts of real-life mafia dons like Dawood Ibrahim and Chota Rajan. Both the text *Macbeth* and the film *Maqbool* are accounts of people who could stoop to any level to strengthen their positions. As a post-modernist play and self-reflexive, *Maqbool* daringly speaks volumes about the connection between the Bollywood film industry and the mafia world of Mumbai. In one of the scenes from the film, Kaka/Banquo tells Abbaji/ Duncan that his real-life could be transformed into reel life. Besides, Kaka/Banquo makes a proposal before Nimmi to work in films which makes Abbaji/Duncan angry as he does not appreciate the idea of a family member working in films. It is indeed ironic that an immoral gangster-like Abbaji finds Bollywood infected by men and women who do not match his moral stature. Another reference to the Bollywood industry and the underworld becomes evident in the film when one of the corrupt police officials says about Abbaji, “had he not been in the underworld, he

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<sup>10</sup> Prashant Singh, “I am my audience: Vishal Bharadwaj”, *Hindustan Times*, 25.2015.

<sup>11</sup> Roland Barthes, *Image-music-text* (Macmillan), 1977, p.146.

would have been in films, what an actor he is”<sup>12</sup> Thus, *Maqbool* reaches another level of appropriation for the film doesn’t hover around the concepts of ethnicity or originality but embraces a postcolonial maturity in contemporizing Shakespeare’s universal ideas. Vishal Bhardwaj has transformed Shakespeare into a signifier who is no longer a stranger or the other but the one who has seeped into the cultural imagination of a native Indian. Perhaps, many believe that the cannibal theory of devouring the original to break free from the bondage of colonial control is justifiable in the context of the appropriation of *Maqbool* as the act of devouring is a defilement of an act of reverence. The idea underlying this metaphor of cannibals highlights the manipulation of the sources by adapters into loosely recognizable forms. However, such manipulation and modification have resulted due to the conditions of postmodernity. The postmodern conditions enable us to see adaptations in a new light perhaps lifting the burden from the adapters of completely plagiarising the original works. Vishal Bhardwaj’s films following the tradition of appropriation of the canonical author are described by Ania Loomba as, “Shakespearean encounters with non-English players and intellectuals, encounters that do not always result in the latter mimicking English identities and accents. Sometimes Shakespeare becomes a junior partner, a means for ‘other’ people to negotiate their own past and contemporary contexts”.<sup>13</sup>

The journey of Macbeth and Maqbool are similar. In the beginning, Macbeth enjoyed a respectable position as a noble general but he eventually deteriorated into a bloodthirsty tyrant. “infirm of purpose: he becomes domineering and even brutal, or he becomes a cool pitiless hypocrite”.<sup>14</sup> He now “welcomes disorder and confusion . . . he is plunging deeper and deeper into unreality . . . forgets that he is trafficking with things of nightmare fantasy...”.<sup>15</sup> Likewise, Maqbool is introduced to us as the loyal member of the Abbaji gang and a worthy son to his father figure Abbaji, who towards the end transforms into a murderer under the impact of the prophecies made by Pundit and Purohit and the evil influence of his lady love Nimmi.

The character of Lady Macbeth finds expression in the character of Nimmi as personifications of evil. Instead of applauding her husband for his success on the battlefield, Lady Macbeth encourages him to murder Duncan by portraying the evil deed of murder as an act of heroism. The

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<sup>12</sup> Poonam Trivedi, p.154.

<sup>13</sup> Ania Loomba, "Local-manufacture made-in-India Othello fellows': Issues of race, hybridity and location in post-colonial Shakespeare's." In *Post-Colonial Shakespeare's*, pp. 155-175. Routledge, 1998. 151.

<sup>14</sup> Bradley, pp. 300-305.

<sup>15</sup> Knight Wilson, *The Wheel of Fire* (New York), 2001, p. 176.

character of Nimmi undergoes similar experiences faced by Lady Macbeth. Both defy the universally accepted norms of morality by indulging in the heinous crime of instigating their partners hence they face the consequence of being doomed forever. Lady Macbeth, “rouses him with a taunt no man can bear, and least of all a soldier – the word “coward”.<sup>16</sup> Nimmi criticizes Maqbool by saying that he is a loyal dog of Abbaji. The conversation between Nimmi and Maqbool clearly shows how Nimmi instigates Maqbool to commit the crime,

Nimmi - Then what . . . you’d burn in my love but you’d never have the guts to touch me . . . Guddu is the real successor to Abbaji...”

Maqbool - Guddu?

Nimmi - If you don’t have a son, the son-in-law becomes the next in line.<sup>17</sup>

“The roles of the sixteenth century Eve and Lady Macbeth coincide – each ignites the ambition latent within her husband’s breast”.<sup>18</sup> Both Lady Macbeth and Nimmi instigate their partners by saying that they will be replaced by their rightful heirs, Malcolm (Duncan’s son) and Guddu (Abbaji’s son-in-law)

The repentance and guilt of Nimmi like Lady Macbeth take the form of sleepless nights accompanied by cries and tears, “All the perfumes of Arabia will not sweeten this little hand . . . will these hands ne’er be clean?”.<sup>19</sup> The character which Nimmi portrays in the film is different from the concept of an ideal Indian woman. Nimmi is not married to Abbaji nor Maqbool and has left her home for Abbaji, a man who is much older than her. She is in a vulnerable position as her relationship with Abbaji has no social or legal position nor protection “In other cultures, women are usually labelled as either saint or sinner, while in India she is both”.<sup>20</sup> Ironically, Nimmi’s possibility of becoming a saint rests on her efforts to play the role of dutiful wife as a mistress which she fails to do.

According to Juliet Dusinberre Elizabethan women lived, “in separation from the male world”.<sup>21</sup> The film *Maqbool* explores this theme in the context of women in India. This idea has been showcased in the film through closed restricted spaces and rooms symbolic of women’s confinement and man’s domination. Nimmi has no control over her life as she is dependent on an aged man for a living. Nimmi detests the idea of

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<sup>16</sup> Bradley, p.317.

<sup>17</sup> Bharadwaj and Tyrewala, pp. 38-39.

<sup>18</sup> Herbert Course, “In Deepest Consequence: Macbeth.” *Shakespeare Quarterly*, vol.18, no. 4, 1967, p. 381.

<sup>19</sup> Andrew Cecil Bradley, *Shakespearean Tragedy* (New Delhi), 2010, pp. 317-23.

<sup>20</sup> Farhat Jahan, *Women in India* (Anmol publication), 2004, p.366.

<sup>21</sup> Juliet Dusinberre, *Shakespeare and the Nature of Women* (Palgrave), 1996, p. 259.

being a mistress to Abbaji, “his repulsively fat body.” Whenever she is in bed with him, “she looks totally uninvolved and keeps looking blankly”.<sup>22</sup> Perhaps, this lack of power in Indian women like Nimmi and Elizabethan women like Lady Macbeth has created a fictional world for both as they derive their strength from it to give expression to their pent-up feelings. Lady Macbeth’s willingness to kill her child and Nimmi’s desire to end her relationship with Abbaji has perhaps, resulted from such isolation.

Although there are differences in the events between the movie and the source text, the ideas on remorse and retribution are alike. Unlike Malcolm and Donalbain who are the sons of the king Duncan, in the original text. In *Maqbool*, Abbaji has only one daughter named Sameera. As mentioned above the witches have been replaced by two corrupt officials Pandit and Purohit. The drugged chamberlains of Duncan have been replaced by the character called Usman in the film. Unlike Lady Macbeth, Nimmi becomes the mother of a child who is later looked after by Sameera after the death of Nimmi and Maqbool. Finally, in the original text, Macbeth gets killed by Macduff and in the film, Maqbool gets killed by Boti who is none other than Macduff. “Behold where stands Th’usurper’s cursed head: the time is free. I see thee compassed with thy kingdom’s pearl, That speak my salutation in their minds; Whose voices I desire aloud with mine. Hail, King of Scotland”.<sup>23</sup>

### **Analyzing the theatrical devices in *Macbeth* and *Maqbool***

A significant feature of an adapted film lies in identifying the intensity of the fidelity to the original within an adaptation about character, story, and imagery, and not just theme and environment. Most of the time in adaptations, ideas in the source text are presented in a tilted manner through effortlessly merged into translation and filmic interpretation. However, *Maqbool* paved a new path as it finds novel ways to address the issues of the text. Thus, *Maqbool* in the process of appropriation transforms into “retextualisation” of *Macbeth*. The tragic atmosphere in Shakespeare’s *Macbeth* is intensified through the use of images of violence, bloodshed, terror, crime, and murder which is the “special atmosphere of a Shakespearean tragedy”.<sup>24</sup> Like Shakespeare, Bharadwaj too employs images to suggest an atmosphere of mystery and terror. “The violent and gigantic images of blood, fire, thunder, and storm conspire with the appearances of the witches and ghostly apparitions to create an

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<sup>22</sup> Bhardwaj and Tyrewala, p. 54.

<sup>23</sup> William Shakespeare, "Macbeth, edited by Sandra Clark and Pamela Mason." *Bloomsbury Arden Shakespeare*. London: Bloomsbury 2015, (5.9:20-25).

<sup>24</sup> Bradley, p. 286.

atmosphere of horror, mystery and of supernatural dread”.<sup>25</sup> The mysterious background in the film echoes in the famous lines of Shakespeare, “the raven himself is hoarse / That croaks the fatal entrance of Duncan / Under my battlements”.<sup>26</sup> The film *Maqbool* opens amidst thunder and lightning where the viewers have been introduced to two corrupt police officials Pandit and Purohit. Their violent nature complements the thunder and lightning in the background of the film. Soon the local gangster Sadiq is shot by Purohit while being investigated about the gangster named Mughal. Meanwhile, Pandit does the work of an astrologer designing the horoscope of Mumbai on the glass of the van. As the blood gets smeared on the horoscope, it signals the fate of Mumbai of being drowned in blood. Later, in the film, Maqbool notices blood on the floor just before the murder of Abbaji. Maqbool shouts at the servant for not cleaning the floor only to realize that the floor had been already cleaned after the ceremonial goat sacrifice. This scene from the film where Maqbool imagines blood on the floor is likened to the famous dagger scene in *Macbeth* where Macbeth goes after an imaginary dagger just before the murder of Duncan. A.C Bradley thinks that “all the scenes which at once recur to memory take place either at night or in some dark spot. The vision of the dagger, the murder of Duncan, murder of Banquo . . . all come in night-scenes”.<sup>27</sup> Shakespeare in his tragedies uses darkness as a metaphor for the unholy, sinister, and evil. Darkness in his tragedies connotes a breeding place for all sinister and unnatural activities. Therefore, the murder of Duncan and Abbaji takes place in the darkness of the night. The sight of blood after the ceremonial sacrifice of the goat accelerates the sinister thought of murder in the minds of Nimmi and Maqbool. Soon after this, they commit the crime.

The play *Macbeth* and the film *Maqbool* unite in their use of irony. As Macbeth says in the very opening of the play, he has not seen such foul and fair weather. It immediately connects to the speeches of the witches of the play, “Fair is foul, and foul is fair”. There are moments in the film that indirectly criticizes the duality and religious hypocrisy in Maqbool who reads the “namaaz” (Islamic prayer or worship) but fails to live up to its pious principles. Maqbool after being slapped by the ACP says, “That slap stung me much more than it did you . . . Ramzan starts tomorrow . . . nothing doing till the Eid...”.<sup>28</sup> The irony lies in the way Maqbool a murderer chooses to wait until “Ramzan” (a holy month for Muslims) to end before reacting to the ACP’s slap.

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<sup>25</sup> Ibid, p.290.

<sup>26</sup> Shakespeare, 1.5.38-40.

<sup>27</sup> Bradley, p.287.

<sup>28</sup> Bharadwaj and Tyrewala, p.46.



## **Song and Music**

In the play, *Macbeth*, music, and song are rendered through the natural sounds of thunder and lightning to create an atmosphere of suspense and thrill but in the film *Maqbool*, it is rendered through the cinematic space. The film has three musical numbers “rone de jiya kare” (let me cry), “Tu meri rubaru hain meri akhon ki ibadat hain” (salutation to the divine power), and “jhinmin jhin” (a rhythmic chanting) celebrating the engagement of Guddu. “Specifically, he employed three songs as three festive interludes that were not inserted as mere fillers but responded appropriately to the needs of the film’s narrative”.<sup>29</sup> Thus the first song expresses the barrenness in the relationship of Maqbool and Nimmi, the second creates an atmosphere of spirituality, and the third as stated above is a celebration.

## **Analyzing Points of Association and Disassociation in *Macbeth* and *Maqbool***

Vishal Bharadwaj’s *Maqbool* is an appropriation of Shakespeare’s *Macbeth* since similarities with the source text is accompanied by deviations though the essence is Shakespearean. “However, it is worth mentioning that in deviating from the play, Bhardwaj has created a unique work of his own which remains loyal to the theme of Shakespearean tragedy”.<sup>30</sup> The play *Macbeth* begins on an optimistic note exemplifying the valor of Macbeth on the battlefield. Peace and harmony are restored in Scotland after the rebels have been suppressed by the two able warriors, Macbeth and Banquo. On the contrary, the film *Maqbool* opens amidst confusion and disorder as the honest police officer Devsare has issued a warrant against Abbaji. Before approaching Abbaji, he encounters Maqbool and slaps him adding a tone of negativity at the very beginning of the film. Further, a connection can be made between the play and the film when the three weird sisters plan to meet Macbeth before the setting of the sun amidst thunder and lightning. The film opens close to midnight amidst similar climatic circumstances with two corrupt police officials investigating a local gangster and predicting Maqbool’s rise to fame. In the text, Macbeth and Banquo defeat the rebel Macdonald and his troops likewise in the film, Maqbool (Macbeth), Kaka (Banquo), and Guddu (Fleance) defeat the leader of the rival gang Mughal (Macdonald).

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<sup>29</sup> R.M. Garcia Periago, “The Ambiguities of Bollywood Conventions and the Reading of Transnationalism in Vishal Bharadwaj’s *Maqbool*.” In *Bollywood Shakespeare’s*, New York, 2014, p. 68.

<sup>30</sup> Fatimah, Javed. “Shakespeare’s *Macbeth* and Vishal Bharadwaj’s *Maqbool*: A Comparative Analysis.” *Comparative Literature: East and West*, vol.4, no.2, 2020, p.11.

The juxtaposition of lawful and unlawful in the ambience of the film and the text is further evinced through the portrayal of the two father figures Duncan and Abbaji. Abbaji rules the underworld whereas Duncan is the rightful ruler of Scotland. Macbeth and Banquo owe allegiance to a legal ruler who is uncorrupt (Duncan) whereas Maqbool and Kaka to a corrupt underworld don (Abbaji). In *Macbeth*, the battle is won after putting down a rebellion on legal grounds whereas, in *Maqbool*, the conflict arises when the law tries to put an end to lawlessness. The film realistically portrays the world of mafias and local goons and how conflict results when the law tries to put an end to such illegal activities. As stated above confusion in the film sparked when a warrant has been issued against the underworld don, Abbaji's arrest. Bharadwaj unlike Shakespeare, "shows up the ineffectiveness of state law in a climate of all-pervasive corruption, moral decay, official apathy and political collusion with crime".<sup>31</sup> In the film, Abbaji represents lawlessness whereas in the play Duncan is the epitome of law and justice.

Bharadwaj's *Maqbool* is not just a portrayal of Indianness on-screen nor just an exploration of the struggles in adapting Shakespeare in Bollywood but it is a study on the evolution of the genre which makes it completely transnational in approach. *Maqbool* travels into the spaces of the local and the global which makes it transnational to the core. Transnationalism "enables us to better understand the changing ways in which the contemporary world is being imagined by an increasing number of filmmakers across genres as a global system rather than as a collection of more or less autonomous nations".<sup>32</sup> Vishal Bhardwaj's *Maqbool* represents the idea of transnational cinema as it is a reflection of India in contemporary times.

Apart from discourses on fidelity and Indianness, the film explores themes like lawlessness, migration, and displacement which have become the inevitable conditions of human existence. One of the significant features of transnational cinema is displacement. The shifting of Shakespeare's *Macbeth* to a Muslim background inhabited by the Hindu majority in Mumbai conveys the idea of displacement. "Through the tragic story of Maqbool, Bhardwaj ventured to depict the condition of the exiled Muslim community set in the slum areas of Mumbai suburbs. Made in 2003, the film clearly reflects the tragic consequences of Gujarat riot

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<sup>31</sup> Supriya Chaudhuri "What bloody man is that?" *Macbeth*, *Maqbool*, and Shakespeare in India." In *The Shakespearean International Yearbook*, (Routledge), 2017, p.105.

<sup>32</sup> Elizabeth Ezra and Terry Rowden, Steven Coham, and Ina Rae Hark, eds. *Transnational cinema: the film reader* (Taylor & Francis), 2006, p.1.

in2002”.<sup>33</sup> The film *Maqbool* is a depiction of a displaced Muslim community as it tries to connect to the idea of the growing terror towards Muslims after the 9/11 terrorist attack in the USA and the Gujrat religious riots in 2002. “These Hindu-Muslim conflicts might be compared with the Catholic-Protestant rivalry that was rampant in Shakespearean England, even though it is not put forward in the tragedy”.<sup>34</sup> ‘Another parallel could be made between the perception of Scotland (setting of Macbeth) in Shakespearean times and the vision of Muslim India at the beginning of the 21st century: both convey a sense of otherness and “alienness”’.<sup>35</sup> In 1603, James VI of Scotland ascended the throne as James I of England but this union of the two crowns created an estrangement between the English and the Scottish population as the English were ignorant about the Scottish culture and tradition. Likewise, the Muslims in India have been projected as minorities despite being the second-largest religious group in India after the partition. Shiv Sena, the right-wing political party in India has condemned the Muslims as invaders and outsiders.

There are many references to the Islamic practices in the film. The attire of Abbaji is typically Muslim as he wears a turban, has a beard, and applies *Surma* or blackline in his eyes. The vicinity of Abbaji is decorated with Islamic flags during *Ramadan*, a Muslim festival. The entire community is engaged in the Islamic ritual by going to the *Darga* or temple where *ghazal* or song is being sung and performed. The references to Islam find expression in Abbaji’s action of forcing his guard to drink alcohol to prove his loyalty which is against Islam. There are some cinematic moments in the film which capture Islam in a positive light. The tone of the film is secular as it shows Hindu characters like Kaka and Guddu participating in Muslim festivals. Therefore, the film can be considered a criticism of the corrupt politics of the country rather than a condemnation of the minority Muslim community. But others opine that the film indirectly glorifies the Hindu religion. The religion of Kaka in the film is captured through a mighty film shot as he is shown praying to the Hindu Goddess *Kali* with grandeur. The visual presence of the Hindu character Guddu is more pronounced in the film than Fleance and Malcolm in *Macbeth*. Besides from the beginning of the film, Guddu is

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<sup>33</sup> Doyel Dutta, "Domestication of Shakespeare in Indian cinema: A study of Vishal Bhardwaj's Shakespeare Trilogy." *Daath Voyage: An International Journal of Interdisciplinary Studies in English*, vol.1, 2016, p.152.

<sup>34</sup> Mason David, “Dharma and Violence in Mumbai,” *Borrowers and Lenders: The Journal of Shakespeare and Appropriation*, vol. 4, no. 2, 2009, pp. 1-2.

<sup>35</sup> Subarna Mondol, “All the Kingsmen and all the Kings women: reading Vishal Bharadwaj’s *Maqbool* as a “creative mistranslation” of Shakespeare’s *Macbeth*.” *Palgrave Communications*, vol. 3, no. 1, 2017, p. 2.

projected as a character who is reluctant to participate in immoral activities as his hands shake while trying to assassinate Boti. He doesn't murder Boti but asks him to join his gang. Guddu is depicted in the film as a loving and caring beloved to Sameera. Later, Guddu along with Boti decides to oust Maqbool from power. According to critical opinion, the film indirectly tries to portray through cinematic discourse the close relationship between violence and Muslims. It appears that Bharadwaj has quite riskily highlighted the differences between the Hindu and Muslim communities in the film as *Maqbool* captures the plight of the displaced community both locally and globally.

There are other coherent associations between the play and the film. For instance, when Nimmi tells Maqbool that she should be sacrificed like the goat as she is forced to become the mistress of a man who is of her father's age, she is indirectly forcing Maqbool to murder someone who is like his father. The reference to old age is also made by Lady Macbeth in *Macbeth* when she confesses to killing Duncan if he didn't resemble her father when asleep, "Had he not resembled My father as he slept, I had done't".<sup>36</sup> On the contrary, Nimmi like Lady Macbeth never summons the spirits to unsex her as her masculinity takes shape in an indomitable will to impose her will on others. Thus, both the legitimate wife of Duncan and the illegitimate wife of Maqbool force their partners to murder their father figures. Both Lady Macbeth and Nimmi not only share the same motives and desires but their destiny is also alike, "by actively seducing their men and coercing them for murder, they come dangerously close to shaping their destiny, menacingly close to controlling the narrative".<sup>37</sup> Lady Macbeth reaches the peak of her insanity as she sleepwalks driven by the guilt of the murder of Duncan while being monitored by the doctor and the gentlewoman. Nimmi on the other hand faces dual oppression of being guilt-ridden for the murder of Abbaji together with being physically and verbally abused by Guddu and Sameera. Unlike Lady Macbeth, Nimmi gives birth prematurely to a child. This child born of premature labor has been projected by Bharadwaj as a visual rendering of the child prematurely extracted from the mother's womb to defeat Macbeth, "The power of man, for none of woman born Shall harm Macbeth".<sup>38</sup> An interesting association between the film and the play can be further drawn through Nimmi's willingness to abort her child when Maqbool is not sure that the baby belongs to him and Lady Macbeth's willingness to murder her baby.

I have given suck, and know

How tender 'tis to love the babe that milks me:

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<sup>36</sup> Shakespeare, 2.2.13-14.

<sup>37</sup> Mondol, p. 5.

<sup>38</sup> Shakespeare, 4.1.80.

I would, while it was smiling in my face,  
Have plucked my nipple from his boneless gums,  
And dashed the brains out, had I so sworn as you Have done to this<sup>39</sup>

The Bollywood prophecies parallel the witches hailing of Macbeth as the “Thane of Glamis”, “The Thane of Cawdor”, and finally “the King of Scotland”. The last prophecy made by the two policemen is that he will rule the underworld, similar to Macbeth becoming the King of Scotland. In the film inspector Pandit says that Maqbool would become the undisputed ruler of the Mumbai mafia world, “Kings of Kings ...”<sup>40</sup>. Kaka is predicted to seize power from Maqbool as his son Guddu would become the ruler of the underworld. Likewise, in the case of Macbeth, the royal legacy would pass into the hands of Banquo (Kaka). For Macbeth, the prophecies of the witches foretell his future whereas for Maqbool the words of Pandit predict his downfall.

Vishal Bharadwaj’s *Maqbool* adopts the Shakespearean technique of showing the upheaval in moral order through a disturbance in nature. This chaos in the natural order signaling a breach in the moral order can be evinced through the night of Duncans and Abbaji’s murder. “Such strange weather . . . in my seventy years, I’ve never seen it rain in this month . . . lord have mercy . . .” Soon Macbeth and Maqbool decide to murder Abbaji - “Have you decided?” Maqbool - “Hmm . . .”.<sup>41</sup> The words of Maqbool’s old female servant in the film resonate with the words of the old man in the text pointing towards the confusion in nature.

Threescore and ten I can remember well,  
Within the volume of which time I have seen  
Hours dreadful and things strange; but this sore night  
Hath trifled former knowing’s.<sup>42</sup>

Towards the end of the play and the film, both Macbeth and Maqbool seek answers from the witches and the corrupt police officials. In the film, Maqbool and the two officials assemble on the seashore as Maqbool desperately wants to know whether he will drown or survive in this struggle? The cops do not answer his question with clarity rather tell him that he will drown only if the sea comes to his house, “if the sea comes into your house, obviously you’ll sink . . .”.<sup>43</sup> However, this happens symbolically when the customs officials led by ACP Devsare raid the house

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<sup>39</sup> Shakespeare, 1.7.54-58.

<sup>40</sup> Bharadwaj and Tyrewala, p.15.

<sup>41</sup> Ibid, p. 83.

<sup>42</sup> Shakespeare, 2.4. 1-4.

<sup>43</sup> Bharadwaj and Tyrewala, p. 118.

of Maqbool. Though Maqbool is secretly sent away by the two officials, he gets killed in his attempt to take his son along with him to the airport.

Unlike the Elizabethan England of Shakespearean times, Mumbai of Vishal Bharadwaj is free from ghosts, witches, and apparitions. "The only reference to witches is made by Sameera who, when the situation has already precipitated after the killing of her father, before eloping with Guddu attacks Nimmi and calls her witch".<sup>44</sup> At times Sameera appears to be a witch herself with the outpour of her venomous words and destructive gestures. Her cruel side is evident in her inhuman treatment of Nimmi. Bharadwaj through his cinematic vision replaces the ghosts and witches with visions and flashbacks. In the film, the ghost of Banquo is replaced by the vision of Kaka's dead body opening his eyes and staring at Maqbool. The final vision of Maqbool takes place when he visits the mansion after he comes back from the hospital. As he hallucinates, the vision of all those who are dead come alive. Along with the use of Shakespeare's supernatural elements through the projection of visions and flashbacks, Bharadwaj has also made use of his comic relief through the characters of Pandit and Purohit. The hilarious act of urinating to see who urinates higher by Pandit and Purohit can be paralleled to Shakespeare's fools who not only add comic relief to the play but also fit into the role of a porter in the play.

In the play Macduff kills Macbeth and Malcolm becomes the king of Scotland. The play ends on a positive note with the triumph of truth and the defeat of sin. Similarly, in *Maqbool*, peace is restored through the acceptance of Maqbool and Nimmi's child by Sameera and Guddu. With the death of Maqbool, a balance is revived in the universal law of nature through the failure of the evil cops to keep their proverbial balance. Similarly, in the play, the death of Macbeth restores a balance in the moral order through the failed attempt of the prophecies of the evil witches.

Vishal Bharadwaj's *Maqbool* can be rightfully termed as an appropriation of Shakespeare's *Macbeth*. Although, there are many strong references to the original text the differences are also very prominent. However, the film is Shakespearean in spirit despite the differences in setting, location, language, and plots. Besides, the concept of fear and evil, the idea of crime, and the depiction of the upheaval in natural order leading to the upheaval in the moral order are true to the text and the film. The most vital ability of comparative study lies in establishing associations across different cultures and contexts enhancing the idea of universal or global. In the past, it was generally believed that if comparative literature transcended the boundaries of Europe, translations became essential. In the present times, it appears that those who criticize translations are the ones who uphold the merits of translations limited to the West. They can

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<sup>44</sup> Garcia, p. 65.

be categorized as conservatives who only see what has not been preserved but fail to see what has been enriched in the process of translation. Such conservatism took birth from ideas revolving around the devotion to the word and the platonic inclination of truth being unchanged. It was believed that since Bible was the voice of Christ, the originality of the Lord's words should not be changed as translation should be orated next to the original and not replaced by the original. Unfortunately, nothing beyond the originality of the words was considered authentic not even the culture ingrained in the text. However, in the first and second part of the twentieth century Ezra Pound (1885-1972) and Walter Benjamin (1892-1940) emphasized the power of translations to infuse life on the original texts. With the advent of deconstruction questions on whether the texts could be considered a copy of the original, a version, or a paraphrase was resolved to some extent as deconstruction chooses to use translation as a metaphor for varied kinds of alterations. "But the important point here is that deconstruction severely questioned the hierarchical relationship-originally based on the sacred character of the original-between original and translation, thereby under- mining the last vestiges of the concept of accuracy"<sup>45</sup> The recent adaptations like *Maqbool* engage in their use "...of pastiche, mixing and matching past styles and genres to modernize, reinvent, or deconstruct their source texts, the most obvious examples are the many Shakespeare adaptations that have lately sought to update the bards plays for contemporary audiences".<sup>46</sup> Thus, the study not only probes into the presence of Shakespearean spirit in these adaptations but also seeks to show how the Bollywood Adaptations of Shakespeare do not dethrone Shakespeare rather enhance his scope through multiple discourses on the nation, race, gender, and class, not limited to the West.

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<sup>45</sup> André Lefevere, "Introduction: Comparative literature and translation." *Comparative Literature*, vol.47, no. 1, 1995, p.9

<sup>46</sup> Ian Onley, "Texts, technologies, and intertextualities: Film adaptation in a postmodern world." *Literature/Film Quarterly*, vol.38, no. 3, 2010, p. 167.

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# LIES AND DECEPTION IN MODERN ENGLISH DIPLOMATIC DISCOURSE: PRAGMATICS IN INTERDISCIPLINARY FOCUS

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**Abstract:** *This article considers verbal means involved in the acts of lie/deception unfolding in the diplomatic discourse during the meetings at the United Nation Security Council. The article discusses the phenomenon of lies as a part of diplomatic “power play” and suggests a logical model of lying as a systemic phenomenon pertaining to modeling alternative realities. Verbal means responsible for creating false states of affairs or conveying false information are analyzed in terms of their semantics and stylistic potential. The units under analysis function as the means of misleading, subterfuge, bluffing, and informational distortion.*

*The primary objective of the analysis is reconstruction of liars’ pragmatics intentions. Further interpretation of the reconstructed pragmatic intentions is carried out within the framework of the theory of myth-oriented semiosis and M-logic methodology. The said intentions are treated as systemic factors correlating in hierarchical, causative and complementary dimensions and shaping respective informational interactions.*

*The article treats liars-diplomats as language personalities and expands their characteristics as discourse personalities (involved in professional discourse) and model language personalities (successful liars).*

**Keywords:** *verbal means, lie/deception, pragmatics, system, English, diplomatic discourse*

## Introduction

*‘An ambassador is an honest man sent  
to lie abroad for the good of his country.’*

Sir Henry Wotton<sup>1</sup>

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Present-day realia of the supposedly globalized world that is claimed to be moving towards a “better future” and riding on the principles of democracy, tolerance, openness and diversity, reveal a number of fundamental discrepancies resulting in continuous crises and conflicts. The need for effective dialogue in all spheres of human activities, primarily in international relations, has so far been declarative rather than instrumental. The sphere of diplomacy as well as agents involved in respective relations and discourse activities have traditionally been associated with deception, manipulations and power play: *‘all usages of diplomacy and those who practice it have in common...a faint air of benign duplicity’*<sup>2</sup> while *‘diplomacy does indeed face a crisis of trust and legitimacy’*<sup>3</sup>.

Though the bulk of discourse studies are vast and growing, there have been really few insights into the nature verbal means of deception contributing to the desired “grudging compromise” as a result of diplomatic intercourse. While quite a number of works have been dedicated to lies and deception (P. Ekman, 2010; Lykken, 1959; Gamer, 2011; B.M. DePaulo, 2003; Joshua D. Greene and Joseph M. Paxton, 2009; E. Debey, 2015; K. Suchotzki, 2017; etc), this behavior in diplomatic discourse has been granted relatively little attention (Kedar, 1987; Xin Bin, 1996; Wodak, 1989; Sharp, 2004; etc.).

Diplomatic discourse involves a profusion of subtleties and semiotic representations that do not necessarily comply with the “true” (at least accepted as true and empirically verified) states of affairs. In this regard we share the definitions of a lie as “... a conscious distortion of the facts; deception – this is some half-truth, aimed at deceptive expectations, in deception there is no lie; falsehood – the involuntary factual falsity of the message”<sup>4</sup>. It is also obvious that in the sphere of diplomacy that is an informational power-play substitute for contrary systems’ direct conflicts most of issues are resolved “beyond the closed doors”. In this regard discourse practices unfolding in the United Nations Security Council (UNSC) appear to be the surface of an iceberg, thus identified as complex verbal power play involving demonstrations, declarations, persuasion, deception etc. This public diplomatic discourse results in adopting a collective solution in real time, justifies previously achieved agreements or

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<sup>1</sup> Henry Wotton, (2021, December 26). *Wikipedia*. Retrieved February 20, 2022, from [https://en.wikipedia.org/wiki/Henry\\_Wotton](https://en.wikipedia.org/wiki/Henry_Wotton)

<sup>2</sup> R. Bereson, *Lying Abroad: A Critical Study of Cultural Diplomacy* (Vol. 2) [E-book]. College of Arts & Sciences: University at Buffalo, 2007.

<sup>3</sup> T. Fletcher, *The Naked Diplomat: Understanding Power and Politics in the Digital Age* [E-book]. William Collins, 2017.

<sup>4</sup> V. Kazmirenko, *Lies and Deception as a Means of Protecting Information which is Hidden*. Legal Psychology, 2(21), 20–29, 2017.

<http://elar.naiu.kiev.ua/bitstream/123456789/13757/1/4.pdf>

fails to do so when discourse interactions slip toward excessive arguments and verbal bickering.

Therefore, this article provides multiaspectual analysis of the UNSC's representatives' verbal intercourse involving lies and deceptions. The paper suggests interdisciplinary interpretations of the respective reconstructed pragmatic intentions and discusses certain features of diplomats as "language personalities" / "discourse personalities".

### **The choice of material**

We have analyzed discourse excerpts retrieved from archive documents from UN Security Council meetings in 1994 (162), 2004 (216), and 2020 (49).

The said documents refer to a total of 427 meetings of UN Security Council diplomats, including 29 closed meetings, 5 duplicates and 2 records are missing.

### **Notes on Methodology**

The primary analysis of discourse excerpts involved identification of potentially false information with the help of the Model Statement lie detection technique<sup>5</sup>. The said technique considers stylistic and compositional peculiarities of discourse. For instance, while truth tellers employ the strategy of "spilling the beans", liars prefer a "*keep it simple*" strategy and avoid mentioning incriminating details<sup>6,7</sup>. Other markers of lies are within-statements inconsistencies<sup>8</sup>; they report more additional information after the initial free recall by truth-tellers and the lack of it in liars' responses who most likely stick to a previously construed story<sup>9</sup> and avoid providing too many core details. Yet another surface-level signal of potential lies is the invention and persistent representation of "*counter-*

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<sup>5</sup> A. Vrij, *Verbal Deception and the Model Statement as a Lie Detection Tool*. Frontiers in Psychiatry. Forensic Psychiatry. Published.

<https://www.frontiersin.org/articles/10.3389/fpsy.2018.00492/full>

<sup>6</sup> P.A. Granhag, M. Hartwig, *A new theoretical perspective on deception detection: on the psychology of instrumental mind-reading*. Psychol Crime Law (2008) 14:189–200. doi: 10.1080/10683160701645181

<sup>7</sup> M. Hartwig, P.A. Granhag, T. Luke, *Strategic use of evidence during investigative interviews: the state of the science*. In: Raskin DC, Honts CR, and Kircher JC, editors. Credibility Assessment: Scientific Research and Applications. Amsterdam: Academic Press (2014). p. 1–36. doi: 10.1016/B978-0-12-394433-7.00001-4.

<sup>8</sup> Ibidem.

<sup>9</sup> K. Colwell, C.K. Hiscock-Anisman, J. Fede, *Assessment criteria indicative of deception: an example of the new paradigm of differential recall enhancement*. In: Cooper BS, Griesel D, and Ternes M, editors. Applied Issues in Investigative Interviewing, Eyewitness Memory, and Credibility Assessment. New York, NY: Springer, 2013, p. 259–92. doi: 10.1007/978-1-4614-5547-9\_11

truths”<sup>10</sup> via diverse language means like repetitive designation of a key (fake) concept, speech rate (involving pauses and hesitations), individual word length, and the number of words from certain grammatical categories such nouns and verbs etc. (e.g., Burgoon & Qin, 2006; Sporer & Schwandt, 2006).

The secondary analysis involves the reconstruction of speakers’ pragmatic intentions, their inventorying and interpretation. Reconstruction of liars’ pragmatics is carried out within the notional framework of J. Austin’s theory as we focus on contradictions between the semantics of the message and the specific senses it causes in regard to social and political contexts, realia and states of affairs in a familiar “world” or “worldview”. Diplomatic illocutionary acts providing false information are then characterized through the prism of assumptions suggested by Searle (1975a) and A. Wierzbicka (1983, 1987).

The deep analysis targets the reconstructed pragmatic intentions and provides respective interpretations in regard to a number of universalia pertaining to open systems’ functioning. The said interpretations are carried out on the basis of the previously introduced theory of myth-oriented semiosis and the methodology of M-logic<sup>11</sup> which are applied to the mechanisms of modeling diverse alternative realities<sup>12</sup>, including fake ones.

Lies and deceptive / misleading illocutionary acts are associated with the creation of secondary myths that appear to be operational simulacra which enforce fake states of affairs and their transformations upon the participants of diplomatic discourse as well as the inferential conceptual construals generated in respective discourse space.

We employ the 7-level model of an open system’s hierarchical plane (Figure 1) for multi-vectored integrative interpretations of speakers’ pragmatics.

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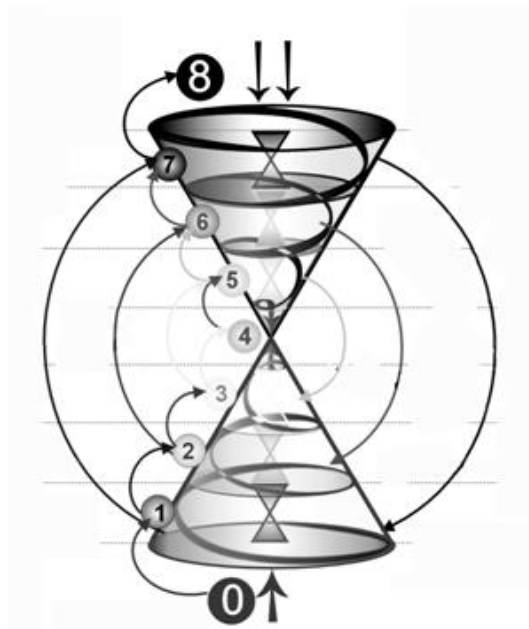
<sup>10</sup> A. Grunenberg, *How to rethink Ardent’s reflections about lying in the political realm*. Russian Sociological Review, 17, 37–46, 2018.

<https://cyberleninka.ru/article/n/lying-and-politics-how-to-rethink-arentd-s-reflections-about-lying-in-the-political-realm/viewer>

<sup>11</sup> Oleksandr Kolesnyk, *Cognitive premises of the myth-oriented semiosis* *Cognitive Studies | Études cognitives* – #19. – 2019. Warszawa : Institute of Slavic Studies, Polish Academy of Sciences URL: <https://ispan.waw.pl/journals/index.php/cs-ec/issue/view/112/showToc> (Scopus, ERihplus)

<sup>12</sup> Oleksandr Kolesnyk, *The Mythic Multiverse Through the Scope of Language: The “Procedural Anatomy” of Verbal Modelling* // *Cognitive Studies | Études cognitives* 21, 2021, Article 2447. <https://ispan.waw.pl/journals/index.php/cs-ec/article/view/cs.2447>

7. "Noo-spheric"
6. "Axiological"
5. "Communicative"
4. "Social-adaptive"
3. "Mental"
2. "Psycho-emotional"
1. "Physical-physiological"



**Figure 1. Hierarchical structure of an open system**

This model reflects a system's features and parameters in auto-focus (levels 1 - 3), in inter-systemic relations (levels 5-7), and in a transitional state (level 4). An open system's components as well as hierarchically correlated phenomena engage in the following systemic relations:

1. progressive-modificational (from level 1 to level 7);
2. determinative-regulative (from level 7 to level 1, each hierarchically higher level (subsystem) being a governing operator for the hierarchically lower one);
3. symmetric determinative-causative as in correlations of level 7 → level 1 (an "input program" attracts adequate material resources), level 6 → level 2 (axiological navigational coordinates trigger comfortable "emotional" states of a system), level 5 → level 3 (the peculiarities of inter-systemic relations determine the "mental" activities of each participant), while level 4 represents a transitional plane of an otherwise complete system<sup>13</sup>.

The model provides generalized framework for interpreting verbal phenomena, reconstructed pragmatics of discourse acts and the typological features of lying diplomats as "discourse personalities".

<sup>13</sup> Oleksandr Kolesnyk, *The Mythic Multiverse Through the Scope of Language: The "Procedural Anatomy" of Verbal Modelling* // Cognitive Studies | Études cognitive 21, 2021, Article 2447. <https://ispan.waw.pl/journals/index.php/cs-ec/article/view/cs.2447>

## **Discussion. Basic notions and definitions.**

### **Lies and Deception.**

Considering the nature of diplomatic discourse (at least in the traditional sense) and the scale of respective inter-systemic relations it would seem irrelevant to speak of lies as a productive “direct speech act”. Lying as “deliberately telling someone something that is not true”<sup>14</sup> is a verbal explication of states of affairs that does not match the empirically verified one. Blunt as it is, in present day political “powerplay” it is employed by the “political bullies” for the sake of its sheer impropriety and absurdity that render their opponents short of means of immediate response.

On the other hand, deception as “the act of hiding the truth, especially to achieve an advantage”, “dishonest or illegal methods that are used to get something, or to make people believe that something is true when it is not”<sup>15</sup> or “persuading someone that something false is the truth”<sup>16</sup>. Thus, deception appears to be more “strategic” or purposeful and is more likely to be expected in the traditional diplomatic discourse and is verbally manifested by a number of diverse speech acts and genres.

However, lies and deception complement each other as they both create simulacra shaping a “hyperreality that is perpendicular to the world we truly live in”<sup>17</sup>. We speak of “secondary mythology” as basis for verbally construed an alternative reality which could be entirely false depending on the key concepts embedded in its conceptual matrix. In this context we regard diplomatic discourse as a “procedural space” where secondary myths clash and generate further variants of reality where truth is replaced “...with an image of truth. The image still refers to the original, but it reflects reality in a very accidental way. It rather belongs to political propaganda”<sup>18</sup>.

As the logical premises of lying and deception are discussed<sup>19;20</sup>. The formal-logical characterization of lies, deception, and associated notions<sup>21</sup>,

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<sup>14</sup> Longman. (2020). lie. In Longman dictionary.

<https://www.ldoceonline.com/dictionary/lie>

<sup>15</sup> Cambridge. (2020). deception. In Cambridge online dictionary.

<https://dictionary.cambridge.org/dictionary/english/deception>

<sup>16</sup> Cambridge. (2020). deception. In Cambridge online dictionary.

<https://dictionary.cambridge.org/dictionary/english/deception>

<sup>17</sup> D. Kellner, (2006). *Jean Baudrillard After Modernity*. International Journal of Baudrillard Studies, 3. <https://baudrillardstudies.ubishops.ca/jean-baudrillard-after-modernity/>

<sup>18</sup> H. Ardent, *The origins of totalitarianism*. Mariner Books, 1973.

<sup>19</sup> Y. Wang, J. Eijck, & van H. Ditmarsch, (2011), *On the logic of lying*. Researchgate. [https://www.researchgate.net/publication/47757658\\_On\\_the\\_Logic\\_of\\_Lying](https://www.researchgate.net/publication/47757658_On_the_Logic_of_Lying)

<sup>20</sup> T. Heidenreich, (2013). *The formal-logical characterisation of lies, deception, and associated notions*. Researchgate.

we suggest the following notation of verbal LYING / DECEPTION in regard to the myth-oriented categorizational patterns.

- (1) *In* WV(M) (a;b;c;d) ; WV (R) (a';b';c';d')
- (2) D {SCEN<sub>n</sub> X (a<sup>n</sup>;b<sup>n</sup>;c<sup>n</sup>;d<sup>n</sup>) ; P (a<sup>n</sup>;b<sup>n</sup>;c<sup>n</sup>;d<sup>n</sup>)}
- (3) *if* a<sup>n</sup>  $\varepsilon$  a, a'; b<sup>n</sup>  $\varepsilon$  b, b'; c<sup>n</sup>  $\varepsilon$  c, c'; d<sup>n</sup>  $\varepsilon$  d, d'
- (4) *then* D  $\Leftrightarrow \top$ ; WV(M) *trans* WV(M)<sub>n+1</sub>; WV (R) *trans* WV (R)<sub>n'+1</sub>
- (5) *else* D  $\Leftrightarrow \perp$ ; WV(M) *trans* WV(M)<sub>n-1</sub>; WV (R) *trans* WV (R)<sub>n'-1</sub>
- (6) *elif* a<sup>n</sup>  $\Delta\varepsilon$  a, a'; b<sup>n</sup>  $\Delta\varepsilon$  b, b'; c<sup>n</sup>  $\Delta\varepsilon$  c, c'; d<sup>n</sup>  $\Delta\varepsilon$  d, d'
- (7) *then* D  $\Leftrightarrow \Delta\top$ ; WV(M) *trans* WV(M)  $\Delta n$ ; WV (R) *trans* WV (R)  $\Delta n'$

which reads: (1) in a mythic world WV(M) characterized by ontological (a), functional (b) axiological (c) and temporal-locative parameters (d) or in a real world WV (R) marked by corresponding parameters (a';b';c';d'); (2) there occurs a statement (D) about a certain (n) scenario (SCEN) involving an object (X) or a person (P) characterized by respective features (a<sup>n</sup>;b<sup>n</sup>;c<sup>n</sup>;d<sup>n</sup>) manifested to the degree / in the discourse-triggered mode of (n); (3) if verbally represented features (a<sup>n</sup>;b<sup>n</sup>;c<sup>n</sup>;d<sup>n</sup>) demonstrate similarity to corresponding features of either real or mythic reality; (4) the statement (D) is considered true and the respective reality transforms along the (n+1) or (n'+1) vector; (5) if the verbalized features (a<sup>n</sup>;b<sup>n</sup>;c<sup>n</sup>;d<sup>n</sup>) do not correlate to the features of either reality, the statement (D) becomes false and the respective reality transforms along the (n-1) or (n'-1) vector; (6) in case of partial or variable correspondence ( $\Delta\varepsilon$ ) between the said sets of features determined by different vantage points of interpretation and experience; (7) the statement (D) becomes conditionally (quasi) true or is recognized as true though being false, while either reality transforms along an infinite number of possible vectors. As diplomatic discourse pursues compromise and involves diverse worldviews (and inchoative myths) the perception and identification of lies / deception may differ up to the point of ignoring or disregarding them.

It is the sets of verbal means creating a plausible simulacrum (a contextually relevant mythic operator) and providing ( $\Delta\varepsilon$ ) that allow verbal manipulations and deception to function effectively within diverse discourse interactions: when a deception is successful or in a case when it

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[https://www.researchgate.net/publication/311969457\\_The\\_formal-logical\\_characterisation\\_of\\_lies\\_deception\\_and\\_associated\\_notions](https://www.researchgate.net/publication/311969457_The_formal-logical_characterisation_of_lies_deception_and_associated_notions)

<sup>21</sup> T. Heidenreich, (2013), *The formal-logical characterisation of lies, deception, and associated notions*. Researchgate.

[https://www.researchgate.net/publication/311969457\\_The\\_formal-logical\\_characterisation\\_of\\_lies\\_deception\\_and\\_associated\\_notions](https://www.researchgate.net/publication/311969457_The_formal-logical_characterisation_of_lies_deception_and_associated_notions)



is diagnosed yet remains “unrecognized” and accepted as a part of mutually beneficial compromise.

### **Liar as a “discourse personality”.**

We treat diplomats engaged in discourse interactions and generating false statements from the standpoint of the “language personality” theory. According to Karaulov Yu.N.<sup>22</sup>, a language user is identified as a structured set of generalized features: its first level is *“verbal-semantic, assuming standard natural language understanding for a native speaker...”* The second level is *“cognitive, the units of which are concepts, ideas, concepts that build an organized” image of the world in each linguistic individual...”* The third is *pragmatic, which involves recognizing and defining the motivations and goals that drive the formation of a language personality*<sup>23</sup>.

A language personality involved in communicative activities and repeatedly exercising discourse genres of a certain type (primarily, professionally related) could be identified as a discourse personality. In this case all three planes of a language personality acquire properties of certain “profiles” as a person’s qualities are “configured and boosted” according to the purposes and conventions of specific intercourse. Depending on the productivity and success of professional activities (achieved perlocutionary effects) a discourse personality could be regarded as a “model” one.

Each of the discourse personality’s planes can be detailed in terms of the hierarchy of their components as Figure 1 suggests. Primarily, respective sets of a diplomat’s pragmatic incentives might be identified as: successful completion of immediate missions, delivery of speeches, introducing initiatives, supporting partners or denying opponents etc. (level 1), providing positive emotional state for oneself, teammates and partners as well as causing opponents’ emotional imbalance and discomfort (level 2), successful modeling of multi-level operations and large-scale verbal construals (level 3), securing one’s position, status and recognition within the professional group (level 4), building effective partnership within blocks and coalitions (level 5), representing the interests of one’s country and promoting national values (level 6), securing planetary safety (level 7). In a bizarre way, the same logic applies to the pragmatics of lies / deception.

In our analysis we tackled speech acts of discourse personalities representing radically diverse (contrarily configured) civilizations who

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<sup>22</sup> Y. Karaulov, *Russian linguistic personality and tasks of its study*. Nauka, 1989, 3–8.

<sup>23</sup> Ibidem.

attend the SC meetings: Mr. Nebenzya (Russia), Mr. Haitao (China), Ms. Pierce (Great Britain), Mr. Turk (Slovenia), and Mr. Jaafari (Syria). The said diplomats demonstrated differences at verbal-semantic and cognitive level (Table 1).

**Table 1**  
**Verbal-semantic and cognitive levels of diplomats as discourse personalities**

Name / Country	Verbal-semantic characteristics (linguistic competence)	Cognitive level (dominant conceptual domains involved in discourse)
Ms. Pierce (Great Britain)	English	Peace, war
Mr. Haitao (China)	Chinese	Assault, crisis
Mr. Turk (Slovenia)	English	Peace, war, genocide, terrorists
Mr. Jaafari (Syria)	Arabic	War, lie, self-defense
Mr. Nebenzya (Russia)	Russian	War, terrorists
Mr. Yaacobi (Israel)	Not mentioned	Terrorists, faith

As linguistic competence dictates the use of translation and hinders effective lying, the choice of topics and dominant notions around which the speakers structure their discourse also signal of potential deceptions and manipulations.

The following linguistic markers have been considered for identifying discourse acts as representations of false information as well as speakers as “model liars”:

• **rhetorical questions:** (1) *Is it possible to occupy one's own territory?*<sup>24</sup>. The following question appears to contain an element of camouflaged accusation as it is impossible to invade one's own territory. In this case, this rhetorical question as a “mild deception” aims at misleading and ridiculing the opponent. (2) *But can we believe in its innocence? Can we agree that all of these crimes should simply be disregarded because of an unprecedented media campaign to absolve the assassins and assign them the hero's role?*<sup>25</sup> is another case of camouflaged accusation combined of having pretense good intentions. Here Mr. Bicamumpaka from Rwanda (A) accuses the Rwandese Patriotic Front (B) of pretending that they were an innocent organization that had nothing to do in the respective conflict.

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<sup>24</sup> The situation in Georgia, (1994, March 9). The Security Council Meetings. Retrieved April 2, 2021, from <https://undocs.org/en/S/PV.3346>

<sup>25</sup> The situation concerning Rwanda. (1994, March 16). The Security Council Meetings. Retrieved April 2, 2021, from <https://undocs.org/en/S/PV.3377>

• **synecdoche** cases: (1) *We, the Israeli people, have faced decades of violence by fanatic **Palestinians** and others*<sup>26</sup>. Both metonymic designations are used in a speech act that comprises elements of declaration and explanation to represent two conflicting sides while the Israelis (A) are introduced as targets / victims whereas the Palestians (B) are marked as aggressors.

(2) *The **Rwandese Patriotic Front**, the political organ of the invaders, showed **its** true colours. **It** wanted power during the transitional period, and at any price*<sup>27</sup>. The *Rwandese Patriotic Front* as a metonymic logical subject is ascribed a number of negative features (“invaders”, “power-thirsty”) that are projected onto the whole other side of the conflict.

• **Clarifications:** (1) *All this shows that UNITA’s **alleged willingness to seek a peaceful, negotiated outcome** of the Angolan conflict and the so-called unilateral cease-fire it announced last September are **merely intended to conceal its militaristic purposes** and to **avoid the imposition of sanctions by the Security Council***<sup>28</sup>. In this statement several assertive or declarative descriptors function as components of argumentation that creates a picture of UNITA is not an untrustworthy organization.

(2) *Those who voted for the designation of **Gorazde as a safe area** cannot now avoid the moral, legal and practical burden that they bear for the lives of those 70,000 individuals*<sup>29</sup>. Accentuating designations are a part of “light deception” as this statement is an unintentional reference to an error rather than a part of manipulation.

• **hyperboles:** (1) *While **Gorazde has been turned into a slaughterhouse**, and **Bosnia and Herzegovina has become a graveyard**, unfortunately this most noble of institutions has been usurped into a Chamber of false promises and rationalizations for inaction ...*<sup>30</sup> These hyperbolic designations provide a contrasting

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<sup>26</sup> The situation in the occupied Arab territories. (1994a, February 28). The Security Council Meetings. Retrieved April 12, 2021, from <https://undocs.org/en/S/PV.3340>

<sup>27</sup> The situation concerning Rwanda.(1994, March 16). The Security Council Meetings. Retrieved April 2, 2021, from <https://undocs.org/en/S/PV.3377>

<sup>28</sup> The situation in Angola. (1994, March 16).The Security Council Meetings. Retrieved March 20, 2021, from <https://undocs.org/en/S/PV.3350>

<sup>29</sup> The situation in the Republic of Bosnia and Herzegovina (1994, April 21). The Security Council Meetings. Retrieved March 25, 2021, from <https://undocs.org/en/S/PV.3367>

<sup>30</sup> The situation in the Republic of Bosnia and Herzegovina (1994, April 21). The Security Council Meetings. Retrieved March 25, 2021, from <https://undocs.org/en/S/PV.3367>

background for implicit accusations of UNSC's passive reaction and non-interference in the situation in Bosnia and Herzegovina.

(2) *As to the previous speaker's statement, I would like to emphasize that it is a disgrace that he is still sitting behind the Syrian nameplate and telling us shamelessly that **millions of Syrians**, including the newly uprooted **560,000 children, are terrorists***<sup>31</sup>. The hyperbolic numbers and a generalization are a part of slandering tactics used to attack the opponent during the UNSC's meeting.

• **irony**: (1) *Six cities and towns have been declared "**safe areas**", but more communities are under siege and threatened*<sup>32</sup>. The ironic effect, triggered by the use of "safe areas" is actually rather grim as these turned out to be locations of massive massacres perpetrated by Serbs against the Bosnian people. We can identify this statement as a camouflaged accusation of the SC members, that due to their resolution which declared this area as safe, six cities and towns were under siege and threatened, thus they were not safe.

(2) *Surviving foreign terrorist fighters will be called "moderate armed opposition" of a third or fourth country – because their masters invest in terrorism*<sup>33</sup>. The ironic designation of the Turkish military as "moderate armed opposition" provides insinuation of Turkey's intentions of occupying Syria and SC's error about assigning them the role of peacekeepers.

• **allusion**: (1) *While we can understand the position of **certain States – even of those that voted in favour of the resolution**, sponsored it or spoke honestly in the informal consultations – we shall overlook **those that support injustice** simply in order to join the ranks of the quartet of tyranny*<sup>34</sup>. A direct allusion without providing evidence is a case of slander which nonetheless incepts a simulacrum into the "collective mind" of the council and impacts decision making. As this tactics is impactful, it triggers a response that reinforces the fact that the statement above is false: *"I had not intended to speak further until, unfortunately, the representative of the Sudan strayed from the point of our deliberations and launched what we would consider to be an unseemly and uncalled-for attack on the United States"*<sup>35</sup>.

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<sup>31</sup> The situation in the Middle East. (2020f, February 28). The Security Council Meetings. Retrieved July 20, 2021, from <https://undocs.org/en/S/PV.8738>

<sup>32</sup> Resumption 1. (1994, February 14). The Security Council Meetings. Retrieved July 05, 2021, from [https://undocs.org/en/S/PV.3336%20\(Resumption%201\)](https://undocs.org/en/S/PV.3336%20(Resumption%201))

<sup>33</sup> The situation in the Middle East. (2020c, January 29). The Security Council Meetings. Retrieved February 7, 2021, from <https://undocs.org/en/S/PV.8708>

<sup>34</sup> Report of the Secretary-General on the Sudan. (2004, September 18). The Security Council Meetings. Retrieved February 10, 2022, from <https://undocs.org/en/S/PV.5040>

<sup>35</sup> Ibidem.

(2) *The information I referred to was not written at **Sixty-seventh Street – where the Permanent Mission of the Russian Federation to the United Nations is located** – it is information we received today after the situation had been clarified*<sup>36</sup>. In this statement Mr. Nebenzia referred to certain nonexistent “official documents” making a futile attempt of justifying previous lies with yet another bluff (a case of outright lying).

Constructions and figures of speech as featured above involve both direct designations as well as a number of semantic transformations based on “inverted propositions”. The latter are responsible for a number of perlocutionary effects that could either conceal information successfully or trigger an aggressive response thus destroying “the dialogue”.

### **Lies and deception in different genres of diplomatic discourse**

Discourse activities that take place in SC during discussions can introduce false information, disclose it and deviate towards accusations and allegations, shift a discussion towards different or personal topics, turn into “empty” declarations etc. The whole body of diplomatic discourse is segmented into topically relevant discourse genres. Let us consider several cases of verbally explicated lies / deception.

(1) *To avoid bloodshed, we sat down at the negotiating table, to which the people who had unleashed this war - in fact, rebels - were also invited* (President Shevardnadze (Georgia), meeting 3346, interpretation from Russian)<sup>37</sup>.

This **statement** that features elements of **declaration**, **argumentation** and **explanation**, appears to represent a “mild deception” as it aims at shifting responsibility for a military conflict and creating a secondary myth structured around the image of a peace-minded reasonable subject (A), ready for compromise with the villain (B) in order to pursue greater good. In this case the following set of pragmatic intentions are involved:

(level 1) to explicate an obvious and expected reason of actions (*To avoid bloodshed*);

(level 2) to allude at A’s attempts of easing the tension and de-escalating the situation (*negotiating table*);

(level 3) to present a logical explanation of legally correct actions undertaken by A and reinforce the idea of the opponents’ (B’s) responsibility for violence and disorder (*people who had unleashed this*

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<sup>36</sup> Ukraine, (2020, January 18), *The Security Council Meetings*. Retrieved August 24, 2021, from <https://undocs.org/en/S/PV.8726>

<sup>37</sup> The situation in Georgia, (1994, March 9). *The Security Council Meetings*. Retrieved April 2, 2021, from <https://undocs.org/en/S/PV.3346>

war) as well as trigger a bunch of negative connotations by the direct qualifying designation (*rebels*); the said ideas are reinforced by direct accusations of B's treason and hostility (*It [the conflict in Abkhazia] was then fuelled from outside by weapons, finances, personnel, information and propaganda, and was used by political groups and clans for their own selfish political and other objectives, in order to achieve political and material benefits both within the Republic and beyond its borders*) as well as B's operating outside of legal framework (*It is hard to speak about legality and law with those who violate them*), while A's good will is provided extra emphasis implying the set of level 1 and level 2 incentives (*but we engaged in dialogue and concluded agreements simply in order to halt the war and the bloodshed*);

(level 4) to create a general impression of A's legitimacy and "fitting" the standards of the international community, SC in particular;

(level 5) to imply A's ability of cooperating and conducting dialogue even with the opponent (*rebels - were also invited.*) that determines the course of actions explicated at level 3;

(level 6) to stress A's adherence to the universal values of peace, open-mindedness and dialogue thus alluding to A's role of "climate changer" explicated at level 2;

(level 7) to represent A as a reliable, sustainable and benevolent system at the global scale which is certain to follow protocols as suggested at level 1.

(2) *We, the Israeli people, have faced decades of violence by fanatic Palestinians and others. We have mourned hundreds of Israelis killed in terrorist acts* (Mr. Jacobi's speech (Israel), meeting 3340)<sup>38</sup>.

This **statement** that features elements of **declaration** and **explanation**, appears to represent a "mild deception" as it aims at shifting responsibility for an attack of terrorists from Israelis to Palestinians. Thus, here is a secondary myth structured around the image of a harmed Jewish nation (A), and the cruel murderers (Palestinians, B) representing A solely as victims. In this case the following set of pragmatic intentions are involved:

(level 1) to convince the society and all diplomats that the Israelis are good innocent people that have been suffering from violence for a long time (*We have faced decades of violence*);

(level 2) to demonstrate an attempt of A to label B as terrorists and murders (*have faced decades of violence by fanatic Palestinians and others. We have mourned hundreds of Israelis killed*);

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<sup>38</sup> The situation in the occupied Arab territories. (1994a, February 28). The Security Council Meetings. Retrieved April 12, 2021, from <https://undocs.org/en/S/PV.3340>

(level 3) to stress that the Palestians (B) are not just terrorists that are dangerous for the Israeli people(A), but they are dangerous people for everyone because you never know what is in their mind (*fanatic Palestinians*). Here we can also find lots of negative connotations towards the Palestians (*violence by fanatic Palestinians; killed in terrorist acts*) that should reject the Palestians from the rest of society. While A's impression as a victim will be increasing with the help of extra emphasis of level 1 and level 2;

(level 4) to create a general impression of A's peaceful intentions toward the whole world in general, and SC in particular;

(level 5) to imply A's ability of cooperating, but only if B has an intention of stopping their violence towards A that determines the course of actions explicated at level 3;

(level 6) to stress A's behaviour as peace-makers and basically peaceful nation that supports international set of values;

(level 7) to represent A as a reliable, sustainable and benevolent country at the international arena.

(3) *Everybody came together in saying: long live peace in Rwanda. But alas, how disappointed we were when the moment came to implement the Accords, which had been negotiated with such difficulty. The Rwandese Patriotic Front, the political organ of the invaders, showed its true colors. It wanted power during the transitional period, and at any price (Mr. Bikamumpaki's speech (Rwanda) interpretation from French, meeting 3377)*<sup>39</sup>.

This **statement** that features elements of **declaration**, **explanation**, revelation tends to represent a "mild deception" as it aims at showing the real face of the Rwandese Patriotic Front(B) that wants to wipe out from the Earth Rwandese (A) in order to save their power. In this case the following set of pragmatic intentions are involved:

(level 1) to explicate an obvious and expected reason of actions (*It (the Rwandese Patriotic Front) wanted power during the transitional period, and at any price*);

(level 2) to allude at SC's attempts together diplomats, members of different countries and invited guests in order to ease the tension and de-escalate the situation (*Everybody came together in saying: long live peace in Rwanda*);

(level 3) to explain a development of B's intentions no matter what, that at first there was a possibility to solve this situation in a positive way (*how disappointed we were when the moment came to implement the*

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<sup>39</sup> The situation concerning Rwanda, (1994, March 16), The Security Council Meetings. Retrieved April 2, 2021, from <https://undocs.org/en/S/PV.3377>.

*Accords, which had been negotiated with such difficulty*), but at the last moment they backed off, that all this time they were just pretending (*The Rwandese Patriotic Front, the political organ of the invaders, showed its true colors*); the said ideas are reinforced by direct accusations of B's deception and hidden motivation of power preservation (...*showed its true colors. It wanted power during the transitional period*); while A are good and they had the most peaceful intentions and expectations in finishing this conflict (*how disappointed we were when the moment came to implement the Accords, which had been negotiated with such difficulty*);

(level 4) to create a general impression of A as a peaceful country that completely supports peaceful intentions toward the whole world in general, and UNSC in particular;

(level 5) to imply A's ability of cooperating and conducting dialogue even with B (*came to implement the Accords, which had been negotiated with such difficulty*);

(level 6) to stress A's adherence to the currently glorified universal values of peace, open-mindedness and dialogue;

(level 7) to represent A as a reliable, sustainable and benevolent system at the global scale which is certain to follow protocols as suggested at level 1.

Any diplomat at some point of their career indulges in verbal activities that are identified as lies / deception. Diplomats involved in UNSC intercourse operate within a relatively limited number of conceptual domains and respective scenarios (those involving war, terrorism, assaults, peace, security, lying etc.) and basically reshuffle numerous verbalizations of several focal concepts. As a system "built to lie", a diplomat appears to be a "fractal avatar" of the over-system's pragmatic matrix as well as a "fractal container" of sub-systemic instrumental incentives. In each specific case of discourse interaction their pragmatics (levels 1 through 7) is "tweaked" and finalized by micro and macro settings.

Micro settings (sub-systemic plane, levels 1 through 3) are related to characteristics of a diplomat as a "language personality" (a certain conflux of mental-cognitive, language-competential and discourse-pragmatic features) and are responsible for successful deceptive / counter-deceptive activities. While a language personality exercising a certain type of discourse as part of professional responsibilities could be described as a "discourse personality", a successful diplomat (a successful liar in particular) is best described as a model personality.

Macro settings (over-systemic plane projected onto system's levels 5 through 7) that impact the potential liars' pragmatics are dictated by general agenda pursued by a diplomat's country or a certain alliance. For instance, Russia (Mr. Nebenzya) is a member of the CSTO and the SCO,



China (Mr. Haitao) represents the SCO, Britain (Ms. Pierce) from NATO, Slovenia (Mr. Turk) represents the EU, Syria (Mr. Jaafari) is the representative of the League of Arab States. As a result, three groups of interests may be distinguished: 1) the CSTO and the SCO, 2) NATO and the EU, and 3) the League of Arab States. The first two alliances are the opponents, and they are usually deceptive. The third group is often presented as a victim, whereas the first two debate and lie, blaming each other of concealing the truth.

Fundamental discrepancies between “explicit” (declared) and “functional” (pursued) pragmatics that actually constitute the essence of lies / deception in diplomatic discourse are determined by several universal systemic laws and algorithms. Primarily, any system operates within its etiological framework, is regulated by an oversystem’s program and follows its own exclusive optimal vector of development. For instance, a system construed as a “dominator / consumer” and historically manifested as an empire / super-state characterized by specific worldview and inchoative mythology (level 7) claiming to fit a balanced inter-systemic cluster (an ideal world as outlined by the UN principles) still pursues its own aggressive agenda and does not comply with the cluster’s configuration thus making the whole “collective cooperation” concept a lie. Following the logic of symmetric causation, any specific statement (declaring a country’s good will, accusing somebody else of aggression, justifying one’s action, i.e., a level 1 micro manifestation) is impacted by the level 7 informational structure and contains false information.

The same system is directed by a set of values (most likely, those of totalitarian, expansionist or extreme religious nature) that make the system’s orientation contrary to that of the cluster’s other members (level 6 discrepancies). Therefore, hidden contrary values dictate verbal lies / deception at level 2 of discourse activity: declarations of striving to ease tension, provide positive climate for dialogue are most likely false as the system in fact operates on the values of power / fear / domination and contributes from chaos and panic.

Furthermore, at level 5 this system shapes and enters alliances based on the level-6 values, reasons of profit and own security. These are not necessarily the same as officially declared during the UNSC meetings. Respectively, at level 3 a number of verbal rationalizations, false evidence, fake informational input and logical speculations are provided to create an illusion of “conceptual accord”.

The said macro-settings are generically enrooted in national and derivative secondary mythology, incorporated into irrational categorization practices, exercised by “avatar” discourse personalities and imposed upon other participants of discourse interactions.

Finally, at level 4 a system configured by both micro- and macro-settings actually participates in a scenario of a UNSC meeting and is involved in respective communicative scenarios in the “here-and-now” mode, delivering prepared speeches and situational responses containing false information.

Apart from the symmetric causality, a system’s configuration and verbal activity are determined by the law of polarity (natural ontological duality, “lies within the truth” and co-existence of contrarily configured systems), the law of alternative development (bifurcations in the choice of orientation as well as the choice of discourse tools of deception), algorithms of synergy (analogy and resonance employed in the choice of allies as well as the use of stylistic and rhetoric means for effective lying). As all systems operate on the same premises, counterparts are capable of diagnosing lies / deception. Driven by the law of duality (dialectic unity) they recognize their counterpart’s inherent presence and might choose not to expose the lies. While all participants coexist in the mode of silent recognition where every subject is capable of lying, compromise and surface unity is possible. The moment this balance is broken, diplomatic discourse loses its fluidity and turns into a verbal conflict.

## **Conclusions**

As diplomatic communication in general aims at protecting national interests in the international arena, it also pursues the objectives of establishing and maintaining contacts between countries, providing solutions to controversial issues, interacting with the public opinion, justifying governments’ actions and activities. Discourse activities unfolding at the UNSC meetings are expected to facilitate solutions to the sensitive issues that could result into conflicts or provide reactions to the current military conflicts. In the said activities the subjects of discussions indulge in diverse verbal practices that, apart from the indicated primary objectives, conceal, distort or transform information.

Though participants of diplomatic discourse interactions are aware of potential deception, the dialogue never stops for the sake of compromise. Pragmatics of deception is determined by universal laws of systems’ functioning and is fueled by super-systemic irrational axiomatic operators that shape the worldview of the collective mind represented by liar-diplomats. Sets of pragmatic intentions that stimulate misleading speech constructions follow the logic of direct hierarchical determinism (concepts and stimuli of upper levels provide programs for units of lower levers), causative symmetry (concepts and stimuli from the macro plane impact those of the micro one), hierarchical structural complementation (concepts and stimuli from the lower levels function as bases for those of the upper

levels), fractality (worldview and pragmatics of a liar-diplomat duplicate those of their over-system).

We identify a lie / deception as a deliberate act of verbal modeling an alternative variant of reality on the basis of an inchoative irrational conceptual structure (secondary myth that sets up the trajectory of “irrational-rationalized” categorization of the world). Language means involved in creating a deviant reality represent a shifted vantage point, accentuate, modify, shade or “delete” sets of features of designated objects, phenomena and processes / events. Illocutionary potential and stylistic-rhetoric effects of the language units and structures used in discourse genres like declarations, requests, warnings, apologies, complains, discussion, agreement etc. is determined by propositional inversions and juxtapositions within their inner form.

Further analysis may target semiotic characteristics of language means creating fake realities in political discourse.

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# CONCEPT CATEGORIES EXPRESSED IN ENGLISH TERMS OF THE BIOTECHNOLOGY SPHERE

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**Abstract:** *The article is devoted to the categorical analysis of the English terminology in the field of biotechnology. The typologies of conceptual categories are considered. The existing classifications of concepts types verbalized by terms are given. An attempt to distribute the terms according to the categories allocated for the study area is made. The percentage ratio of terminological lexical units included in each of the categories is indicated. The paper highlights the most and least frequent conceptual categories, which are expressed in terms belonging to the area of scientific knowledge under consideration. The importance of studying the typology of terminological units for the analysis of the systemic organization of specialized vocabulary is substantiated.*

**Keywords:** *term, terminology, conceptual category, categorization, concept, English language.*64

## Introduction

Scientific concepts represented in the language are combined by researchers into categories based on certain features, which is due to the presence in each term system of these types of concepts, according to which the main corpus of terminological vocabulary belonging to a certain area of scientific knowledge is distributed. Issues related to the categorization of reality and the reflection of this process on the linguistic level are becoming increasingly important today, which is partly due to the emergence of new approaches and areas of study. This issue is very multifaceted and wide field for research. The relevance of categorical modeling of the terminology sphere is caused, firstly, by the need to systematize terminology and, secondly, by the role of categorization in the processes of human cognition and thinking.

Today, the concept of "biotechnology" underlies a significant part of innovative research and is present in the vast majority of scientific papers in this disciplinary segment. Biotechnological science is served exclusively by English-language terminology, although the development of scientific

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research in the field of biotechnology is not a priority of the Anglo-American community. It should be emphasized that the language of biotechnology in modern English is a complex system correlated with a certain professional field of human activity aimed at creating and using genetically transformed biological objects (for example, transgenic plants, somatic hybrids, etc.).

The urgency of the study of biotechnology language is indicated by the investigations of S. Vasilieva<sup>1</sup>, A. Gainutdinova<sup>2</sup>, T. Kudinova<sup>3</sup>, O. Myshak<sup>4,5</sup>, L. Rogach<sup>6</sup>, O. Sirotin<sup>7</sup>, O. Syrotina<sup>8,9,10</sup>, who have recently paid some attention to this problem.

Despite the large number of works on biotechnological terminology, it has not received sufficient coverage in the cognitive aspect, the peculiarities of its conceptualization and categorization. The study and description of term-forming units and methods used to implement the categorical meanings of biotechnological terminology have not yet been the subject of a separate study, so it contains many unresolved issues and determines the relevance of our study.

**The purpose of our work** is to study the categorization of terminological units in the field of biotechnology according to the types of

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<sup>1</sup> S.L. Vasil'yeva, *Morphological features of single-component terms in the field of biotechnology in Russian and English*. Philological sciences. Questions of theory and practice, 2015, No. 2 (44), pp. 51-54.

<sup>2</sup> A.Z. Gainutdinova, A.D. Mukhtarova, *Structural and semantic features of multicomponent terms in the field of biotechnology*. EurAsian Journal of Biosciences. 2019. Vol. 13 (2), pp. 1463-1466.

<sup>3</sup> T.A. Kudinova, *Structural and semantic features of multicomponent terms in the "language of biotechnology (based on the Russian and English languages): author. Dissertation ... Cand. Philol. Sciences: special. 10.02.19 - theory of language"*. Orel, 2006, 21 p.

<sup>4</sup> E. Myshak, *Structural and derivational analysis of English biotechnology terminology*. Cogito: Multidisciplinary Research Journal, 2016. No. 4. pp. 131-136.

<sup>5</sup> E. Myshak, *The main means of formation of biotechnological terms*. European Journal of Research, 2017. Vol. 3 (3). pp. 19- 40.

<sup>6</sup> L. Rogach, *Semantic Phenomena Characterizing English Terminology of Biotechnology*. Modern research in foreign philology, 2019. Vol. 17. pp. 112-120.

<sup>7</sup> A. Syrotin, *Multi-Component English Terms of Biotechnology Sphere*. Cogito. Multidisciplinary Research Journal, 2017. Vol. 9. No 3. pp. 78-86.

<sup>8</sup> E. Syrotina, *Linguocognitive aspect of metaphorization in the English language terminology of biotechnology sphere*. Cogito-Multidisciplinary research Journal, 2020, (2), pp. 202-212.

<sup>9</sup> O.O. Syrotina, *Anthropomorphic metaphor in the English terminology of biotechnology*. The journal of V.N. Karazin Kharkiv National University Series "Philology", 2020, Vol. 84, pp. 62-65.

<sup>10</sup> O.O. Syrotina, *Neologisms in the English terminology of biotechnology branch*. Scientific journal «International Journal of Philology», 2020, Vol. 11 (1). pp. 90-95.

concepts they represent and the percentage of selected groups within the considered field of knowledge.

### **Materials and methods of research**

The study was based on a sample of more than 1,200 English terminological units related to biotechnology, selected from specialized dictionaries, scientific papers on biotechnology, Internet sites dedicated to the creation and production of new modified organisms and products, etc.

In the course of the analysis, we relied on the methods of continuous sampling of language material, definition analysis, classification, as well as comparative analysis and statistical methods. The use of the method of continuous sampling ensured the representativeness of the collected material, selected from specialized Internet resources, terminological dictionaries and encyclopedias. The appeal to the method of definitional analysis allowed us to consider the substantive space of terms. Using the classification method, we correlated the terms with certain conceptual categories that were considered in this study. Comparative analysis allowed establishing the affiliation of thematic groups of terms to certain categories of concepts. The method of statistical analysis was used in the calculations, as well as in identifying the quantitative percentage of terms in the field of biotechnology, belonging to certain conceptual categories.

### **The analysis of the scientific literature**

The question related to the typology of categories does not have an unambiguous solution in the works of researchers. The founder of terminology D. S. Lotte systematized technical terminology into four categories: 1) subjects; 2) processes / phenomena; 3) properties; 4) calculation concepts and units of measurement<sup>11</sup>. S. V. Grinev-Grinevich noted that the conceptual system can be reduced to three broadest categories: 1) objects; 2) processes / states and 3) properties<sup>12</sup>. The categorical approach to professional vocabulary, implemented by T.L. Kandelaki, allowed establishing nine categories: 1) subjects; 2) processes; 3) conditions; 4) modes; 5) properties; 6) values; 7) units of measurement; 8) sciences and industries; 9) professions and occupations<sup>13</sup>. Classifying special concepts, A.V. Superanskaya, N.V. Podolskaya, N.V. Vasilieva consider a much smaller number of categories of concepts, among which there are categories "object",

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<sup>11</sup> D.S. Lotte, *Fundamentals of construction of scientific and technical terminology: questions of theory and methodology*. Moscow : Academy of Sciences of the USSR, 1961, p. 29.

<sup>12</sup> S.V. Grinev-Grinevich, *Terminology*. Moscow: Academy, 2008, p. 73.

<sup>13</sup> T.L. Kandelaki, *Semantics and motivation of terms*. Moscow: Nauka, 1977, pp. 9-11.



"process", "properties", "quantities"<sup>14</sup>. Along with D.S. Lotte, T.L. Tabanakova and A.V. Superanskaya, N.V. Podolskaya, N.V. Vasilyeva, S. D. Shelov also distinguishes the category of "objects"<sup>15</sup>. E.I. Golovanova identifies four main categories in the field of professional communication: objects, processes (phenomena), properties and quantities<sup>16</sup>.

A review of publications devoted to the categorical analysis of terminologies shows that some distinguished types of concepts in the classifications proposed by different researchers coincide or are close in content, while others are very specific. The number of categories can be different and change over time, which in turn depends on the degree of coverage of terminology belonging to a particular field of scientific knowledge. The typology of categories varies depending on whether terminological corpora belong to technical, natural or humanitarian sciences.

Scientists have developed various categorical-conceptual classifications of special vocabulary, in which objects based on categorical features can be reduced to a small number – the main conceptual categories adopted in modern science: processes, states, quantities, modes, properties, units of measurement, sciences and industries, professions and occupations.

### **Categorization and categories**

According to modern cognitive linguistics point of view, categorization is directly included in the process of thinking, is associated with many human cognitive abilities, cognitive processes and in turn, is mediated by language, and language can be represented as a system of categories. In psychology, categorization is the process of assigning a single object to a certain class; categorization is one of the key concepts describing cognitive activity. From the terminology perspective, categorization is closely related to mental categories and is both a result and a tool of scientific knowledge<sup>17</sup>. In this work, categories are perceived as “a set of phenomena in their highest generalization”<sup>18</sup>, the categorization process is referred to as categorical modeling.

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<sup>14</sup> A.V. Superanskaya, N.V. Podolskaya, *General terminology. Questions of theory*. Moscow: Nauka, 2003, p. 118.

<sup>15</sup> S.D. Shelov, *Experience in constructing a terminological theory: the meaning and definition of terms: author. dis. ... Dr. philologist. Sciences*. Moscow, 1995, pp.3-13.

<sup>16</sup> E.I. Golovanova, *Introduction to cognitive terminology: textbook*. Moscow: FLINTA: Nauka, 2011, p. 105.

<sup>17</sup> V.A. Tatarinov, *General terminology: an encyclopedic dictionary*. Moscow: Moscow Lyceum. 2006, p.102.

<sup>18</sup> V.A. Tatarinov, *Categorical ambiguity of terms as a language method of systematization and structuring of the scientific world*. Alma mater (Bulletin of Higher School), 2013, Issue, 8. p. 84.

According to the definitions given in the dictionaries of linguistic terms, "a category in cognitive linguistics is one of the cognitive forms of human thinking, with the help of which experience is generalized and its classification is carried out"<sup>19</sup>.

Categories form around themselves classes of terms integrated according to categorical features based on a common concept. They organize a separate level in the conceptual and subject hierarchy of a special subject area. As a generic concept, these categories are used to designate objects in the scientific, technical and natural sciences. The selected categories serve as a support and reference point for professional thinking and professional activity.

### **Categorical groups expressed in terms of the biotechnology field**

In the course of the study, based on a sample of terms in the field of biotechnology in the amount of more than 1200 terminological lexical units, we formed 11 categorical groups, each of which was named a key generic term: 1) biological object (25.2%); 2) substance (12.2%); 3) process (12.1%); 4) features and properties (12.6%); 5) place (7.2%); 6) technology (5.8%); 7) apparatus (4.9%); 8) quantities and units of measurement (5.8%); 9) product (10.2 %); 10) sciences and industries (3.5%); 11) actor (0.5%).

The first of the categories that was considered is "biological object". This category includes terms that name objects of biological origin and their components.

The group of nominations associated with this category is one of the most representative and makes up 25.2% of the total number of our sample. This is mainly due to the fact that biotechnology studies the possibility of using living organisms or their metabolic products to solve technological problems, as well as the possibility of creating living organisms with the necessary properties by genetic engineering. It deals with biomolecules, microorganisms, cells and tissues of plants and animals.

The conceptual category "biological object" includes nominations, which are divided into four subgroups.

The first subgroup includes terminological units that denote the name of biological cultures used for technological manipulations, for example: *aquaculture, biological agents, hydrobiont, callus culture, cell culture, consortium of microorganisms, organ culture, mariculture, meristem culture, objects of aquaculture, producer, technological microorganism, pure culture, strain*.

The second subgroup includes terms representing components of biological objects, for example: *antigen, anticodon, anti-oncogene*,

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<sup>19</sup> T.V. Zhrebilo, *Dictionary of linguistic terms*, Nazran: Pilgrim, 2010, p. 142.

*attenuator, candidate gene, constitutive gene, cytotoxic T cell, codon, joining segment, stress protein, supernatant, primary meristem.*

The third subgroup is represented by terms that are nominations of microorganisms that serve as biological objects in genetic engineering. Examples of such nominations are the following: *allopolyploid, polyploid, chimera (or chimaera), aerobe, anaerobe and others.*

The fourth subgroup is represented by terminological units denoting raw materials and substrate used in biotechnological processes, for example: *agar, biotechnological raw materials, animal raw materials, feedstock, mineral raw materials, organic raw materials, vegetable raw materials, substrate.*

The next quite frequently verbalized category is “substance” (12.2%) within the terminology of biotechnology it is represented by such terminological units: *antinutrient, antioxidant, antiseptic, carcinogen, alcohols, alkaloids, enhancer, denatured protein, histone and others.*

In the terminology of biotechnology, among the named categories, the category “process” is frequent too (12.1%), representing “the concept of actions and functions that correlate with one or more objects of scientific or professional knowledge and are considered essential for the development of a certain area”<sup>20</sup>.

The category "process" is widely represented in the terminology of biotechnology, as it has a pragmatic significance, which is explained by the need to accurately indicate the movement of biological objects and processes that occur when using biotechnology.

Our study showed that the category "process" in the terminology of biotechnology has a binary structure and is represented by two subgroups: 1) terms that nominate the processes that are used to form the final biotechnology product; 2) terms referring to the processes related to the monitoring of safety of biotechnology usage.

The processes used in biotechnology together constitute a biotechnological process, which is a sequence of stages of work with biological objects, which leads to the final product.

The conceptual category of the process is perceived as some change that unfolds in time and space. The means of expressing the grammatical and lexical meaning of the action are the terms of procedural semantics and their structural word-forming elements. A sample of biotechnological terminology indicates a significant number of terms with prefix-suffix derivatives that express the category "process".

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<sup>20</sup> M.N. Latu, *Nomination in developing term systems: monograph*. Pyatigorsk: SNOW, 2015, p. 106.

Among the most productive prefixes, which form biotechnological terms representing processes are of Greek-Latin origin: *de-* (decomposition), *di-* (dialysis, diffusion), *in-* (inbreeding), *inter-* (interference, interaction), *re-* (recombination, regeneration), *trans-* (transcription, transformation, translation), *ultra-* (ultrasonication), *ex-* (excision, explanation, expression).

In biotechnological terminology that verbalizes the category "process", terminological units are widely represented with a number of specialized suffix term elements (-ion, -tion, -ing), which form nouns with the meaning of action or process, for example: *aeration, evaporation, immobilization, cocultivation, contamination, cultivation, fermentation, pasteurization, sterilization, centrifugation, extraction, cloning, sequencing, mapping, profiling*<sup>21</sup>.

A significant number of terms representing the category "process" are metaphors. The metaphorical terms of the sphere of biotechnology, which verbalize the processes, reflect the desire to synthesize in the metaphor the new and already known. The use of a ready-made language names occurs most often on the basis of "ordinary" stereotyped associations.

In the process of studying the semantic content of the formed terminological units that nominate biotechnological processes, characteristic types of metaphorically formed terms were identified: 1) metaphorical terms that appeared in the terminology of biotechnology as a result of a semantic rethinking of common literary words, for example: *chromosome jumping, chromosomal landing, chromosome walking*<sup>22</sup>; 2) metaphorical terms, with borrowed and rethought elements of the conceptual spheres of various sciences: chemistry, physics, medicine, biology, molecular biology, for example: *gene flow, cell fusion, gene transfer, gene translocation, gene splicing, genetic drift, gene sequencing*<sup>23</sup>.

The second subgroup of the category of processes related to monitoring the safety of the use of biotechnologies is represented by a few terminological phrases that nominate means of controlling the negative consequences of the use of biotechnologies for human and animal health or the environment. As a result of the increased attention of scientists to this problem, several verbal signs (terms) have arisen to denote such concepts: *risk analysis* is a process consisting of three components: *risk assessment, risk management and risk communication*<sup>24</sup>. Risk analysis is

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<sup>21</sup> A. Zaid, H.G. Hughes, E. Porceddu, F. Nicholas, *Glossary of biotechnology and genetic engineering*. Food and Agriculture Organization of the United Nations, 1999, p. 112-115.

<sup>22</sup> Ibid, p. 158.

<sup>23</sup> Ibid, pp. 168-169.

<sup>24</sup> Ibid, p.137-139.

carried out to understand the nature of undesirable, negative consequences for human and animal health or the environment; risk assessment is a scientifically based process consisting of the following steps: a) hazard identification; b) hazard characterization; c) impact assessment; d) risk management is a process other than assessing risks, weighing policy alternatives, consulting with all stakeholders, taking into account risk assessment and other factors relevant to protecting consumer health and promoting fair trade practices, and, if necessary, selecting appropriate prevention and control options<sup>25</sup>.

The next widely represented in biotechnological terminology is the category "place" (7.2%), which has pragmatic significance, it is explained by the need to accurately indicate the specific location and movement of objects used by humans for manipulation.

The very meaning of the word biotechnology (from the Greek. *bíos* – life, *techné* – art and *logos* – teaching) points to the creation of biological objects in an artificially created space.

Our study showed that the category "place" in the terminology of biotechnology is represented by two groups of terms: 1) terms expressing the location of biological objects used to form the final biotechnological product (*cambial zone*, *gene bank*, *gene library*, *genomic library*); 2) terms that serve to nominate the place where biotechnological processes are carried out: *in vitro* (lat.) – growing plant objects "in glass" (test tube, flask, bioreactor) on artificial nutrient media under aseptic conditions<sup>26</sup>, *in vivo* (lat.) – cultivation of living material in natural conditions<sup>27</sup>, *in silico* – in a computer file, a term denoting computer modeling (simulation) of an experiment, predominantly a biological one. The phrase was created by analogy with the phrases *in vivo* (in a living organism) and *in vitro* (in a test tube), which is often used in biology, and is not itself Latin<sup>28</sup>; *in situ* (lat.) - in the natural environment or in the original place.

The spatial category "place" in the terminology of biotechnology is also represented in the internal form of terms through the use of term elements with characteristic semantics. The most popular in English biotechnological terminology are word-formation models, where the features of space are expressed by adding spatial prefixes to the substantive basis (bases). These include prefixes of Greek origin (endo-, exo-, pan-, hemi-, epi-, para-) and Latin origin (infra-, intra-, sub-, retro-, inter-), e.g.: *endoderm*, *endodermis*, *endomitosis*, *endocytosis*, *endonuclease*, *endopolyploidy*, *exogenous*, *exogamy*, *exotoxin*, *epistasis*,

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<sup>25</sup> Ibid, p.112-114.

<sup>26</sup> Ibid, p.135.

<sup>27</sup> Ibid, p.138.

<sup>28</sup> Ibid, p.139.

*epidermis, epiphyte, epicotyl, episome, intercalary, internode, interference, intermolecular, interleukin, intersex, intracellular, intracytoplasmic, intragenetic, intraspecific and others.*

The spatial relations associated with the category "place" in the field of biotechnology form the meanings of the terms obtained by means of metaphorization. Such terms are formed as a result of figurative nomination, that is, on the basis of the identification of a special object with an object that has already received verbal formalization in the language. For example, here are the terms used to describe the location of biological objects: *intergenic regions, terminator region, cloning site, constant domains, hypersensitive sites, recognition site, hypervariable region, cambial zone, embryo sac, variable domain, insertion site, flanking region, gene bank, gene library, genomic library, accessory bud, integration-excision region.*

When studying the category "place" in English biotechnological terminology, one should pay attention to the fact that standard word-formation models are actively used to represent it, where the indication of various locative properties of space serves as an onomasiological feature. The terminology under study is characterized by terminological models with structural elements of an attributive phrase, for example: *cloning site, flanking region, complementarity-determining regions, ribosomal binding site.*

The next rather frequently verbalized category within the terminology of biotechnology is "feature" (12.6 %), which is one of the fundamental categories for the terminology of all scientific fields.

The category "feature" is one of the most complex epistemological categories in terms of conceptual and linguistic aspects. In our opinion, this can be explained by the multiplicity of forms of manifestation of biotechnological processes, the evolution of biological knowledge reflected in the semantics of terms, and the relative subjectivity of human thinking, which creates definitions of scientific concepts based on various analogies and personal associations. The conceptual category of feature in biotechnological terminology has a pragmatic significance, which is explained by the need to accurately indicate the specific features and properties of objects used by humans for manipulation. The studied terminology reflects a number of universal categorical features, namely: temporary; spatial; metric; quality, etc.

The category of feature in the terminology of biotechnology is widely represented in the language by the grammatical category of an adjective. Adjectives name individual features (or properties) of objects, in contrast to nouns, with the help of which names are related to integral sets of features and properties.

Productive derivational means of adjectives that participate in the representation of the feature category in biotechnological terminology are suffixes: -ic (*antigenic, cryogenic, homeotic, genetic, inorganic, heterotrophic, intragenic, metabolic, aerobic, anaerobic, allogenic*); -al (*asexual, microbial, mitochondrial, artificial, bacterial, clonal, monoclonal, functional*); -able (*degradable, predictable, vegetable, usable, favourable, inflammable*); -ive (*alternative, reproductive, defective, degradative, competitive, extensive, positive, negative, relative*); -ar (*extranuclear, nuclear, unicellular, multicellular*); -ant (*tolerant, dominant, constant, abundant, toxicant*); -ous (*analogous, autonomous, autologous, dangerous, gaseous, endogenous, hazardous*); -ful/less (*harmful, harmless, careful, careless*); -y (*complementary, sedimentary, hereditary, fragmentary*); -ent (*dependent, independent, effluent*) and prefixes: anti- (*anticlinal, antibiotic, antimicrobial, antisense RNA*), a- (*abiotic, acellular, asexual*), hyper- (*hypertonic*), inter- (*intercellular, intercalary, intergeneric intergenic*), multi- (*multigenic, multicopy*), mono- (*monogenic, monophyletic, monoecious*).

Reflection of the features of biotechnological process and its objects in the scientific language requires referring to the grammatical category of the word-combination as the main nominative unit of terminology. An attributive word-combination has a unique ability to expand its boundaries by introducing new definitions that reflect the features of the object of study revealed in the process of scientific knowledge<sup>29</sup>.

The main number of such attributive phrases in biotechnological terminology consists of two-valued phrases, that is, terms that include two words, associated mainly with such structural types:

**A + N** (*asexual embryogenesis, intergenic regions, constant domains, hypersensitive sites, hypervariable region, cambial zone, variable domain, genomic library, intergenic regions, catabolic pathway, intercellular space, structural gene, asexual reproduction, bacteriostatic agent, recessive allele, monoclonal antibody, pure line, genetic code*);

**Past Participle + N** (*staggered cuts, supercoiled plasmid, cloned strain or line, stacked genes, linearized vector, bio-based products, linked genes / markers, relaxed plasmid, folded genome, conserved sequence*);

**Present Participle + N** (*controlling element, immortalizing oncogene, flanking region, cloning site, polycloning site, joining (J) segment, wilting point (WP), lagging strand, coding strand, non-coding strand, leading strand, reading frame, transforming oncogene, intercalating agent*).

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<sup>29</sup> E.V. Bekisheva, *Forms of linguistic representation of epistemological categories in clinical terminology: author. diss. ... doc. philol. sciences: spec. 10.02.19 - theory of language*. Moscow, 2007, p.16.

N + N is less productive in substantive terms with an attributive relation, where the main component N is located in the end of the word-combination, for example: *molecular marker, copy DNA, crown gall, culture medium, culture room, gene bank, immune response, fusion gene, fusion protein, fusion toxin, gene construct, gene conversion*.

Properties and features of biotechnological objects in the studied terminology are reflected not only in the form of direct nomination (*bacteriostatic agent, folded genome, recessive allele, monoclonal antibody, etc.*), but also through metaphorical rethinking.

As the analysis showed, in the field of biotechnology, the metaphorical representation of the feature category, giving an idea of technology and related realities, occurs through the involvement of a greater social fragment of the conceptual sphere of "Man". In this sense, technology, like human beings, performs various functions.

Examples are metaphors that draw analogies between human qualities and biotechnological processes and objects: *passive immunity, silent mutation, hypersensitive response, hypersensitive site, temperate phage, temperature-sensitive mutant, competent cell*.

The use of metaphor in the terminology of biotechnology is typical for the representation of spatial features of biological objects, such as: *intergenic regions, cloning site, constant domains, hypersensitive sites, hypervariable region, cambial zone, variable domain, flanking region, genomic library*.

Metric features of biotechnology objects represent terminological models with structural elements of the attributive phrase, for example: *double helix, hairpin loop, folded genome, sieve cell, sieve element, sieve plate, sieve tube; circular DNA, double-stranded DNA, folded genome, etc.* The first component in these phrases marks the metric characteristic, the second one indicates the object.

There are significantly fewer terms in our material that denote the category of "technology" (5.8%). This category is expressed in the following terms: *agrobacterial transformation, aeroponics, bioleaching, biodegradation, biodesulfurization, bioengineering, bioconversion, biological testing, biotransformation, genotyping, hydroponics, humification, introduction, clonal propagation, cloning, molecular breeding, technology transfer*.

Finally, among the least representative nominative groups in our sample are terms from "apparatus" category, which combines concepts of instruments, equipment, devices in the terminology of biotechnology, such as: *bioreactor, dissecting microscope, pneumatic reactor, photo-bioreactor, pH-electrode-based sensor, oligomer, loop bioreactor, laminar air-flow cabinet, inoculation cabinet, filter bioreactor, enzyme*



*bioreactor, gene gun, dendrimer, dissecting microscope, electron microscope.*

The share of terms from this category in our sample is 4.9%. This category exists due to the fact that researches are carried out by means of various equipment.

The category "products" is represented by 10.2% of the terms from our sample. This category is represented by terminological units that nominate products derived from the activity of microorganisms or used as a biological agent, for example: *biomass, unicellular protein, primary metabolites, amino acids, vitamins, organic acids, idiolites, antibiotics, alkaloids, growth hormones, toxins, biogas, alcohols, bioinsecticides and biofertilizers*. Due to the development of the latest methods of biotechnology (engineering enzymology, cellular and genetic engineering), the nominations of target products are constantly updated. Among them, the share of diagnostic and treatment tools (*hybridomas, monoclonal antibodies, vaccines and serums, hormones, modified antibiotics*) constantly grows.

The "values and units of measurement" category contains 5.8% of the sample terms: *parts per million, passage number, null allele, null mutation, multi-copy, multigene family, multigenic, multi-locus probe, multivalent vaccine, monohybrid, monolignols, monoecious, megaDalton, kilobase, kilobase pairs, double crossing-over, double fertilization, double recessive, centiMorgan (Abbreviation: cM)*. This category consists of concepts that describe biotechnological processes and properties by means of numbers.

The category "science and industry" (3.5%) is represented by terms nominating sections of biotechnology: *biogeotechnology, aquatic resource biotechnology, wood biotechnology, molecular biotechnology, food biotechnology, environmental biotechnology, industrial biotechnology, agricultural biotechnology*.

The category "actor" combines only 0.5% of the nominations of the total sample of biotechnology terms: *biotechnologist, biomedical engineer, biochemist, microbiologist, expert in bioproduction, biotechnician*.

## **Conclusions**

Thus, in the course of the investigation, we studied the categorization of terminological units in the field of biotechnology in accordance with the types of concepts they represent, and the percentage of nominations of selected subgroups within the considered field of knowledge.

An analysis of biotechnology terms showed that they are structured according to the following categories: "biological object", "substance", "process", "features and properties", "place", "technology", "apparatus",

“values and units of measurement” “product”, “science and industry”, “actor”. These categories perform a number of functions in the studied terminology: classifying, informational, identifying.

The study of terminological units made it possible to conclude the following: the most representative in the terminology of biotechnology are the groups of linguistic facts that name the concepts of such categories as “biological object”, “substance”, “process”, as opposed to the most unrepresentative groups of terms from the categories “sciences and industries”, “actor”. Obviously, objects of natural origin, substances and processes are the most studied in biotechnology, so the number of terminological units representing these conceptual categories significantly exceeds the number of terms in other categories. The analysis of terminological units of biotechnology made it possible to predict an increase in the number of terms related to the category “Products”, since with the development of the latest methods of biotechnology, the nominations of target products are continuously supplemented.

As one can see, the typologies of conceptual categories and their number, expressed in terms, are determined primarily by the specifics of the scientific industry, in our case, biotechnology.

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# LINGUISTIC REPRESENTATION OF THE FEATURE CATEGORY IN THE ENGLISH CLINICAL VETERINARY TERMINOLOGY

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**Abstract:** *The article is devoted to the study of peculiarities of feature category in the clinical terminology of veterinary medicine and to identify a set of tools in English that are used to express this category. Conceptually and linguistically, the feature category in veterinary medicine is one of the most complex epistemological categories. This is due to the variety of concepts of veterinary science, the number of manifestations of pathological processes, the evolution of medical knowledge reflected in the semantics of terms, and the relative subjectivity of human thinking being able to create definitions of scientific concepts based on various analogies and personal associations. A number of universal categorical features are reflected in the studied terminology: temporal, spatial, color, causative, metric, etc.*

*It is established that at the language level in the expression of the category "feature" various means are involved: specialized attributive vocabulary, syntactic constructions and terms created on the basis of metaphorical transference. The category of feature is widely used in clinical terminology of veterinary medicine, as it is one of the basic categories used to classify the concepts of veterinary medicine.*

**Keywords:** *veterinary terminology, feature category, means of verbalization.*

## Introduction

Scientific concepts represented in the language are grouped by researchers into categories on the basis of common and recognizable features, due to the presence in each terminological system of types of concepts, which distributes the main body of terminological vocabulary belonging to a particular field of scientific knowledge. Different scientific disciplines have their own set of categories based on existential (ontological) categories as the most abstract qualities, which are integral characteristics of reality and reflect its most common properties and connections.

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Based on the fact that the conceptual field of clinical veterinary medicine is represented by morphological units (organs, tissues, cells), nosological forms (diseases) and pathological processes affecting these organs, as well as a system of therapeutic measures, we can conclude that veterinary clinical terms are represented by such epistemological categories as the categories of process and state, action, object, feature, space, time. One of the most difficult epistemological categories in clinical veterinary medicine in conceptual and linguistic aspects is the category of feature. This is due to the variety of concepts of veterinary science, the number of forms of pathological processes, the evolution of medical knowledge reflected in the semantics of terms, and the relative subjectivity of human thinking, being able to create definitions of scientific concepts based on various analogies and personal associations<sup>1</sup>.

However, the study and description of term-forming units and methods used to implement the categorical meaning of the feature in clinical veterinary terminology has not yet been the subject of a separate study, so it contains many unresolved issues and determines the relevance of our investigation.

**The purpose of our work** is to study the role of the feature category in the terminology of clinical veterinary medicine and identify a set of language tools in English for its verbalization.

### **Materials and methods of research**

The source base of the work were the terms obtained by the method of continuous sampling of scientific texts in English (issues of scientific journals, materials from the Internet) and veterinary lexicographical sources. To achieve this goal, a set of methods was used: systematization, comparison, classification, linguistic analysis, structural-semantic method and metaphorical analysis of the terminological array of veterinary clinical terminology.

### **Literature Review**

Today studies of the English veterinary terminology have been conducted by many linguists only in certain aspects: modern veterinary and medical terms as presenters of anatomical terminology<sup>2</sup>, veterinary

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<sup>1</sup> E.V. Bekisheva, *Forms of linguistic representation of gnoseological categories in clinical terminology*. Abstract of dissertation to obtain a degree of doctor of philological sciences, Moscow, 2007, p. 51.

<sup>2</sup> I.I. Vakulyk, *Modern veterinary-medical terms as representatives of anatomic lexicon*. Philological studies, Scientific herald of Kryvyi Rih State Pedagogical University, vol. 9, 2013, pp. 66-73.

medicine eponyms in English, and sources of veterinary terminology<sup>3</sup>, terminological abbreviations in the English original texts on veterinary medicine, the study of the veterinary terminology in the cognitive aspect, and derivational processes in the terminology of veterinary medicine<sup>4</sup>, categories of space and time in the English terminology of veterinary medicine<sup>5</sup>, classification of the English veterinary terminology and English lexical-grammatical units of the terminological field “Veterinary medicine”<sup>6</sup>.

The issues of veterinary medicine language were studied in the works of S. Amelina S. and I. Hopak<sup>7</sup>, I. Vakulyk<sup>8</sup>, T. Nemova and M. Lychuk<sup>9</sup>, Yu. Rozhkov<sup>10</sup>, O. Sirotina<sup>11</sup>, Yu. Timkina<sup>12</sup>,

Despite the large number of scientific papers on veterinary terminology, in the domestic and foreign literature, the study of the feature category role and analysis of language tools in English for its representation, did not receive sufficient coverage.

### **Subcategory features**

One of the main categories of terminology of clinical veterinary medicine, as well as for other scientific fields, is the feature category.

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<sup>3</sup> L.N. Komarova, *Sources of veterinary terminology*. II International scientific and practical conference. New word in science: strategies of development, Cherboksyary: ChSU publishing house, vol. 1(9), 2017, pp. 209-211.

<sup>4</sup> Yu. Rozhkov, *Processes of derivation in the terminology of veterinary medicine*. Scientific proceedings of National University Ostroh Academy, Philology, Ostroh: Ostroh Academy Publishing House, vol. 60, 2016, pp. 227-229.

<sup>5</sup> E.A. Sirotina, *Categories of space and time in the English terminology of veterinary medicine*. Moscow: ISGI Publishing house, Studia Humanitatis, 2020, vol. 3.

<sup>6</sup> Yu. Yu. Timkina, *Classification of veterinary terminology in English*. Philological sciences. Issues of theory and practice, Tambov: Gramota, vol. 72, 2017, pp. 156-158.

<sup>7</sup> S.M. Amelina, I.M. Hopak, *Structural and semantic characteristics of the English terms of veterinary medicine sublanguage in the context of Ukrainian translation*. Scientific herald of NULES of Ukraine, Philological sciences, vol. 248, 2016, pp. 156-161.

<sup>8</sup> I.I. Vakulyk, *Modern veterinary-medical terms as representatives of anatomic lexicon*. Philological studies, Scientific herald of Kryvyi Rih State Pedagogical University, vol. 9, 2013, pp. 66-73.

<sup>9</sup> T.V. Nemova, M.I. Lychuk, *Clinical veterinary terminology: peculiarities of formation and translation problems*. Scientific journal “International Journal of Philology”, 11 (3), 2021, pp. 90-96.

<sup>10</sup> Yu. Rozhkov, *Processes of derivation in the terminology of veterinary medicine*. Scientific proceedings of National University Ostroh Academy, Philology, Ostroh: Ostroh Academy Publishing House, vol. 60, 2016, pp. 227-229.

<sup>11</sup> E. A. Sirotina, *Categories of space and time in the English terminology of veterinary medicine*. Moscow: ISGI Publishing house, Studia Humanitatis, 2020, vol. 3.

<sup>12</sup> Yu. Yu. Timkina, *Classification of veterinary terminology in English*. Philological sciences. Issues of theory and practice, Tambov: Gramota, vol. 72, 2017, pp. 156-158.

The category "feature" that is widely represented in the terminology for animal diseases has a pragmatic significance, which is explained by the need to accurately indicate the specific features of pathological processes.

The feature category can be divided into several subcategorical features, namely: 1) temporal; 2) color; 3) causal; 4) spatial; 5) metric, which are its main components and more often than others find their linguistic representation in the grammatical category of word-combinations.

Temporal subcategorical features that indicate the specifics of the disease, its duration and nature, represent terminological models with structural elements of the attributive phrase, for example: latent infection – a very long, often lifelong infection without clinical manifestation and with difficult-to-identify markers<sup>13</sup>; slow infections – a group of diseases, the hallmarks of which are the incubation period from several months to several years, long clinical course, lesions, lethal outcome<sup>14</sup>; epidemic period – the period of time after the extinction or elimination of the epizootic to a new rise in morbidity in the same area, during which there were no clinically obvious or typical cases of infectious disease<sup>15</sup>. Infectious period – the period of time during which an infected animal (human) is able to transmit the pathogen to another susceptible organism and (or) vector<sup>16</sup>. Secondary infection – an infection, which occurs due to a decrease in the body's resistance to primary infection and occurs as a consequence<sup>17</sup>.

The second of the subcategorical features, which is often represented by terms for animal diseases, is color. This feature is one of the indicators of the state of the organism, plays an important role in diagnosis, stage of the disease and the degree of its spread<sup>18</sup>.

Terms with a coloristic feature represent the presence in the conceptual structure color feature of the affected organs of the animal, by means of which the names of diseases are formed by metonymic transfer, for example: Black leg disease of pigs – reproductive and respiratory syndrome of pigs; Pink eye – acute infectious conjunctivitis<sup>19</sup>.

The third subcategorical feature, represented by English terms for animal diseases, is causative, which indicates a causative relationship. The

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<sup>13</sup> V. Nedosekov, V. Lytvyn, L. Polishchuk, *Dictionary of epizootological terms*. Kyiv: VAT Riabina, 2014, p. 66.

<sup>14</sup> Ibid, p. 32.

<sup>15</sup> Ibid, p. 42.

<sup>16</sup> Ibid, p. 16.

<sup>17</sup> Ibid, p. 61.

<sup>18</sup> Yu. Rozhkov, *Verbalization of Animal Diseases in English: Linguocognitive and Structural-Semantic Aspects*. Dissertation to obtain a degree of a Doctor of Philosophy in Philology, Kyiv, 2021, p. 141.

<sup>19</sup> Ibid, p. 155

causative feature finds its expression in terms for animal diseases caused by the following factors:

- 1) pathogenic microbes and viruses, for example: Amoeba encephalitis; B virus, Mad dog disease, Food-born infection;
- 2) external mechanical damage or endogenous (internal) mechanical factors: cut wound, stab wound, lacerated wound.
- 3) various exogenous (external) causes, for example: grass seeds abscess, solar burn, sunstroke, radiation sickness, Grass Sickness, etc.;
- 4) insufficient content or excess of any substance in the body: oxygen deficiency, iron deficiency anemia, autoimmune haemolytic anemia.
- 5) the consequence of medical intervention or medical treatment: iatrogenic diseases and injuries – diseases (including infectious) and injuries resulting from medical intervention<sup>20</sup>; anesthetic slough – necrosis induced by anesthetic (necrotic area of skin, veins and underlying tissues, formed as a result of the analgesic solution entering the vascular space, occurs when using irritating drugs<sup>21</sup>.

It should be noted that the undiscovered cause of the disease is also marked by attributive terminological components: idiopathic (from Greek *idios* – special, *pathos* – suffering) – independent (about the disease), of unknown origin; cryptogenic, (from Greek *kryptos* – hidden, secret and *genes* – the one which happened, was born) – arose in an unknown way (about the disease)<sup>22</sup>.

The next subcategorical feature, which is represented by terms for animal diseases, is spatial. Often this feature is represented by toponymic terms. In the lexicon of epizootology, phrases with a toponymic component indicate a disease which name is associated with the place of its origin and spread, for example: Newcastle disease, Marburg disease, Stuttgart disease, African Horse Sickness, Wesselsbron disease, Aleutian mink disease<sup>23</sup>.

### **Attributive word-combinations**

Our research showed that the study of the reflection of the features of a pathological process and its objects in the scientific language requires referring to the grammatical category of the word-combination as the main nominative unit of terminology. Based on the closest type of syntactic connection, the attributive word-combination clearly shows the ability to

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<sup>20</sup> V. Nedosekov, V. Lytvyn, L. Polishchuk, *Dictionary of epizootological terms*. Kyiv: VAT Riabina, 2014, p. 56.

<sup>21</sup> B. V. Petrovskiy, *Encyclopedic dictionary of medical terms in 3 volumes*. Around 60000 terms, Moscow: Soviet encyclopedia, 1984, p. 191.

<sup>22</sup> F. Orlov, *Dictionary of clinical veterinary terms*. Moscow: Rosselkhozizdat, 2018, p. 139.

<sup>23</sup> Ibid, p. 52



act as an independent nominative unit and serves as the main building material in various terminological systems. An attributive word-combination has a unique ability to expand its boundaries by introducing new definitions that reflect the features of the object of study revealed in the process of scientific knowledge<sup>24</sup>.

The main amount of such attributive word-combinations in veterinary clinical terminology is composed of double-valued phrases, so that terms are composed of two words, one of which is expressed by the noun (the main element), the other is used to convey the characteristics.

For example, Bacillary haemoglobinurea, Verminous dermatitis, Radiation sickness, Neonatal diseases, Atypical pneumonia, where second part of the term indicates that the ailment belongs to a particular group (syndromes, namely diseases, different types of pneumonia, ulcers etc.), and first – the main one, names the species differential feature, which clarifies the content of the concept, giving it a sound.

The most productive models from the two-component English terminological word-combinations are represented by the following structural types:

**Model A+N.** Allergic shock, Atopic dermatitis, American trypanosomiasis, Amoebic encephalitis, Bacillary haemoglobinurea, Biliary fever, Bright blindness, Brown nose, Bursal disease, Caseous lymphadenitis, Cerebral palsy, Contagious agalactia, Digital dermatitis, Ulcerative tonsillitis, Respiratory mycoplasmosis, Wooden tongue, Verminous dermatitis.

**Model A + N.** Allergic shock, Atopic dermatitis, American trypanosomiasis, Amoebic encephalitis, Bacillary haemoglobinurea, Biliary fever, Bright blindness, Brown nose, Bursal disease, Caseous lymphadenitis, Cerebral palsy, Contagious agalactia, Digital dermatitis, Ulcerative tonsillitis, Respiratory mycoplasmosis, Wooden tongue, Verminous dermatitis.

The attributive model **A + N**, which consists of a noun and an adjective, denotes a subject concept. The terminological word-combinations of this model have a connection between the object and its qualitative feature. For example: Communicable diseases, Congenital diseases, Neonatal diseases. In terms of cognitive approach, the leading role in such terminological word-combinations belongs to the adjective. It, highlighting the most significant features of the name of the disease, determines the noun and greatly affects it. These features are rational – identified in the process of rational cognition by a veterinarian. L.

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<sup>24</sup> E.V. Bekisheva, *Forms of linguistic representation of gnoseological categories in clinical terminology*. Abstract of dissertation to obtain a degree of doctor of philological sciences, Moscow, 2007, 22 p.

Manerko believes that they are a "bridge" where conceptual and linguistic knowledge confront each other<sup>25</sup>.

Analysis of terms has shown that the performance of the **A + N** model, which is due to the fact that the outlined terminological word-combinations are a convenient means of systematizing terms.

A variant of the adjectival-noun model is the **P + N** model, which consists of an adjective (Participle II) and a noun. For example, differentiated carcinoma, propagated outbreak, acquired agranulocytosis, acquired ichthyosis, Dilated cardiomyopathy.

The **N + N** model is less productive in substantive term word-combinations with an attributive relation, where the main component N is located at the end of the connection, for example: Vestibular disease, Radiation sickness, Abdomen diseases, May sickness, Travel sickness, Clover disease, Texas fever, Summer mastitis, Wall eye, Wedge osteotomy.

**Three-component** terminological word-combinations that indicate features of animal diseases are formed by the following models:

**A + A + N:** Abdominal cystic lymphangioma, Abdominal aortic aneurysm, Congestive heart failure, Cutaneous lupus erythematosus, Enzootic nasal granuloma, Transmissible spongiform encephalopathy, Ulcerative dermal necrosis, Anaerobic bacterial infection, Chronically renal disease, Chronic renal disease, Chronic renal disease White sponge nevus, Abdominal cystic lymphangioma.

This model predominates among three-component terminological combinations.

**A + N + N:** for example, African swine fever, Mad dog disease, Fat cow syndrome, Chronic pulmonary histoplasmosis, Interstitial cell tumor.

**V (ed) + A + N:** for example, Inherited hypoplastic anemia, Isolated urinary syndrome,

**A + V (ing) + N:** for example, Cardiac racing syndrome,

**N + V (ed) + N:** for example, Obesity linked inflammation, Inflammation related damage.

Mixed terminological phrases are used to express concepts about objects. Adjectives and participles are clarifying words expressing a species feature.

**Four-component** terminological word-combinations, represented by a small number of terms, formed by the following models:

**A + A + A + N:** for example, Acute Febrile Neutrophilic Dermatitis, Arrhythmogenic right ventricular cardiomyopathy, Chronic obstructive pulmonary disease;

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<sup>25</sup> L.A. Manerko, *Modern tendencies of domestic cognitive linguistics development*. Cognitive linguistics: new problems of perception, Collection of scientific works, Moscow-Riazan, vol. 5, 2007, pp. 136-137.

**A + A + N + N:** for example, Benign Essential Tremor Syndrome, Diffuse parenchymal lung disease, European brown hare syndrome,

**A + N + Prep. + N:** for example, Fibromuscular dysplasia of arteries, Sebaceus Hamartoma of Jadasson.

Thus, the study showed that to display features of disease and pathological conditions of animals in English, attributive two-word terminological word-combinations are used, the attributive component of which is a marker-clarifier, which distinguishes the name of the animal from its group and classifies it into subgroups. The low frequency of terminological phrases of this type can be explained by the fact of language economy due to professional specifics, as well as the fact that attributive two-word terminological word-combinations often act as a nuclear source phrase.

### **Metaphorization**

A sign of a disease (symptom) or a set of signs (syndrome) is one of the main components of a clinical diagnosis. During the period of extensive clinical and anatomical manifestations, the disease is expressed in the form of certain objective signs that are reflected in the scientific language not only in the form of a direct nomination (Salt loss syndrome, Dry eye syndrome, Warfarin necrosis, Sleeper syndrome, etc.), but also through metaphorical rethinking (Cold cow syndrome, Walking dandruff, Crazy chick disease, Communicable diseases, Aluminum lung).

The most modern explanation of the mechanisms of metaphorization is provided by cognitive linguistics, in which the most common activity, according to O. Selivanova, is the theory of conceptual metaphor by J. Lakoff and M. Johnson<sup>26</sup>.

According to this theory, metaphor is a property of thinking, and metaphorical expressions in language are only a superficial expression of the conceptual metaphors that underlie them. Thus, in the theory of conceptual metaphor, the definition of metaphor acquires a new essence - it is "understanding and perception of one thing in terms of another"<sup>27</sup>.

Researchers have described conceptual metaphor as the intersection of knowledge about one conceptual area within another conceptual area. With regard to the conceptual field, it must be said that conceptualization is the process of defining a set of cognitive features (including categorical) of any phenomenon of the real or imaginary world that allows a person to have, keep in mind and add new information to any defined concepts and ideas about a particular phenomenon, to distinguish it from other

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<sup>26</sup> G. Lakoff, M. Johnson, *Metaphors we live by*. Moscow: LKI publishing house, 2008, p. 69.

<sup>27</sup> Ibid, p. 72.

phenomena. Metaphorization is based on the process of interaction between knowledge structures (frames, scenarios, schemes) of two conceptual domains – source domain and target domain. The source area is more specific, known from direct experience, anthropocentric – through one-way metaphorical projection (metaphorical mapping) "supplies" signs for a less clear conceptual target area, so the metaphor becomes a bridge from obvious to less obvious.

In the concept of metaphorical models of J. Lakoff and M. Johnson<sup>28</sup> the existing source domain and target domain are interpreted as donor domains and recipient domains in the research of E. Selivanova<sup>29</sup>, E. Kittay<sup>30</sup>, V. Rudzka-Ostyn<sup>31</sup>. In the studied English terminology, the associative-terminal parts of the names of animal diseases act as recipient domains, and the donor domains are domains of other conceptual spheres that provide their own signs.

Temporal, qualitative, causative, color and metric subcategorical features, which are main components of the feature category, more often than others find their linguistic objectification by means of metaphorization.

The analysis of the actual material allowed to identify four donor domains that served as a source of metaphorical nominations representing the category of FEATURE in English terminology for animal diseases: HUMAN (38.7%), NATURAL FACT (25.0%), ANIMAL (19.3%), ARTIFACT (17.0%).

According to the analysis of the studied terminology, the dominant among the English-language terms for animal diseases were metaphorical terms that have a causative subcategorical feature that indicates the cause of the disease. The donor for such metaphorical names of animal diseases was the NATURFACT domain. "A group of natural facts is formed by phenomena and objects of the surrounding reality, created by nature and those that exist in it"<sup>32</sup>. The study found that the motivators of the donor domain NATURFACT are components of such areas as flora, natural objects, landscape, rock and products of natural origin.

Examples of such metaphors are the following names of diseases in which metaphorical transference is based on an analogy between the

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<sup>28</sup> G. Lakoff, M. Johnson, *Metaphors we live by*. Moscow: LKI publishing house, 2008, p. 178.

<sup>29</sup> E. Selivanova, *Cognitive onomasiology*. Kyiv: Phytosociocenter, 2000, p. 65.

<sup>30</sup> E. Kittay, *Metaphor: Its Cognitive Force and Linguistic Structure*. Oxford: Clarendon Press, 1987, p. 63.

<sup>31</sup> B. Rudzka-Ostyn, *Topics in cognitive linguistics*. Amsterdam: Benjamins, 1988, p. 104.

<sup>32</sup> A.S. Yankubaeva, *Metaphoric identification of natural facts (based on materials in German)*. Herald of young researchers: Collection of scientific words, Gorno-Altai: State University of Gorno-Altai, 2007, Vol. 4. 154 p.

corresponding natural object for which the injury occurred and the name of the disease, for example: clover disease – “intoxication that occurs in animals when eating large amounts of pink clover on bright sunny days”<sup>33</sup>. Potato eczema – “manifests itself in the form of vesicular inflammation of the skin in the lower extremities. This disease occurs in cattle when feeding them a large number of potatoes in the spring”<sup>34</sup>; grass seeds abscess – “mechanical damage to tissues and organs of animals caused by aphids of seeds of various cereals”<sup>35</sup>; Rain scald – dermatophilosis – “skin disease that is observed in young cattle, but especially in young animals”, which is usually associated with wet weather<sup>36</sup>; grass sickness – “disease with an acute course, characterized by hyperexcitability, clonic and tetanic seizures due to impaired electrolyte composition of the blood, dairy cows in the first 4-5 weeks of grazing, rarely – in the fall are amenable to this disease”<sup>37</sup>.

The donor domain HUMAN is productive for the formation of English metaphorical terms for animal diseases that represent a causative feature, because human consciousness tends to percept the outside world in close associative connection with personal experience of biological and social nature. Such metaphors are constructed by transferring to the terminology of animal diseases the names of human actions, ways of its movement, mental states and moods, social behavior. For example, a specific sign of human action *to bear* (give birth) in English can be transposed to a certain scenario of the pathogen. According to this principle, a number of terms are formed, for example, foodborne infections – “diseases which pathogens spread through contaminated food and enter the body through the digestive system alimentary”<sup>38</sup>; food-born, water-born, tick-born, rodent-born and similar diseases, literally – “caused by food, water, mites, rodents”; *walking dandruff* is an infestation by a parasite in the Cheyletiella family<sup>39</sup>.

The next subcategorical feature, which is represented by metaphorical terms, is qualitative. Most metaphors of this type are based on a comparison of as yet unnamed animal diseases with similarities in color, appearance, or shape of natural objects. Therefore, the donor for the verbalization of qualitative features in such metaphors is the NATURFACT domain. The form and color of the natural fact as motivating features of

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<sup>33</sup> C. Brown, D.A. Hogg, D.F. Kelly, *Concise veterinary dictionary*. Oxford: Oxford University Press, 1988, p. 45.

<sup>34</sup> Ibid, p. 75.

<sup>35</sup> Ibid, p. 126.

<sup>36</sup> Ibid, p. 88.

<sup>37</sup> Ibid, p. 58.

<sup>38</sup> V. Nedosekov, V. Lytvyn, L. Polishchuk, *Dictionary of epizootological terms*. Kyiv: VAT Riabina, 2014, p. 77.

<sup>39</sup> E. Black, *Black's Veterinary Dictionary*. London: Bloomsbury, 2015, p. 154.

the terms are explained in the English names of animal diseases, the motivators of which are selected from the following subject areas:

1) natural objects: marble bone disease – “rare disorder in which the bones become extremely dense, hard, and brittle”<sup>40</sup>, kidney stone disease – “characterized by the formation of stones in the renal tubules, renal pelvis and bladder”<sup>41</sup>, milk stones – “formed in the milk ducts as a result of deposition of phosphorus in them”<sup>42</sup>, soil infections – “diseases which pathogens persist in the soil for a long time and are transmitted through it”<sup>43</sup>;

2) landscape: lumpy jaw (lumpy – hilly) – actinomycosis of the jaw – “agricultural animals disease, which is manifested by the formation of granulomatous damage to various tissues and organs”<sup>44</sup>; trench mouth – (trench-like, deep furrows).

3) plant: rose rash – roseola (from Latin *roseola* – rose) – “one of the forms of infectious rash – small rounded well-contoured red spots caused by inflammatory hyperemia of skin vessels and disappear when pressed”<sup>45</sup>; fungal ulcer – “characterized by pathological granulation, which emerges from the depth of the wound and forms a fungal elevation above the skin”<sup>46</sup>;

4) products of natural origin: Aluminum lung (also known as Aluminosis) is a restrictive lung disease caused by exposure to aluminum-bearing dust<sup>47</sup>; fleshy mole – “pathological formation of yellow-red color in the uterus with the death of the ovum”<sup>48</sup>; milk fever – “a metabolic disorder caused by insufficient calcium, commonly occurring around calving”<sup>49</sup>; milk fistula – “narrow canal connecting the cavities of the milk tank or nipple canal with the surface of the udder nipple, from which milk is constantly released in drops”<sup>50</sup>, proud flesh – “growth of tissues above the wound surface”<sup>51</sup>; wooden tongue – actinomycosis of the tongue.

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<sup>40</sup> Ibid, p. 123.

<sup>41</sup> F. Orlov, *Dictionary of clinical veterinary terms*. Moscow: Rosselkhozizdat, 2018, p. 122.

<sup>42</sup> Ibid, p. 45.

<sup>43</sup> V. Nedosekov, V. Lytvyn, L. Polishchuk, *Dictionary of epizootological terms*. Kyiv: VAT Riabina, 2014, p. 82.

<sup>44</sup> F. Orlov, *Dictionary of clinical veterinary terms*. Moscow: Rosselkhozizdat, 2018, p. 36.

<sup>45</sup> E. Black, *Black's Veterinary Dictionary*. London: Bloomsbury, 2015, p. 112.

<sup>46</sup> F. Orlov, *Dictionary of clinical veterinary terms*. Moscow: Rosselkhozizdat, 2018, p. 67.

<sup>47</sup> Ibid, p. 55.

<sup>48</sup> Ibid, p. 88.

<sup>49</sup> Ibid, p. 111.

<sup>50</sup> Ibid, p. 121.

<sup>51</sup> Ibid, p. 21.

The donor domain HUMAN is productive for the formation of English terms-metaphors to denote animal diseases with a qualitative feature. Examples are metaphors that draw analogies between the qualities inherent in human behavior and the characteristics of animal disease: crazy chick disease – nutritional encephalomyelitis of chickens - "disease characterized by loss of coordination, weakness, tremor, muscle spasms"<sup>52</sup>; slow infections – “a group of diseases, the hallmarks of which are the incubation period from several months to several years”<sup>53</sup>.

Less common in the terminological array for animal diseases were metaphorical terms that have a temporal subcategorical feature that indicates the specifics of the disease and its duration. The NATURFACT domain was used to form such metaphorical names for animal diseases. Examples are metaphorical names of animal diseases, which are formed on the basis of one related concept (season or natural phenomenon that causes the disease): summer mastitis – “this disease is also called pyogenic mastitis. The name comes from the name of the pathogen – the bacterial rod cell *Arcanobacterium pyogenes*, which is regularly found in the secretions of sick animals. On the other hand, the name suggests a close connection between the disease and the time of year when most new infections occur<sup>54</sup>; rain scald – dermatophilosis – “a skin disease that is observed in the eyelids of cattle, but especially in young animals. It is usually associated with wet weather (hence the name)”<sup>55</sup>; May bee disease – pollen toxicosis, this phenomenon is most often observed in May<sup>56</sup>.

The donor domain ANIMAL was used to form metaphorical terms with metric features that indicate the shape of the body parts of the diseased animal. Among the terms motivated by the visual gestalts of other animals, we have identified those formed on the basis of the similarity of the shape of the body parts of the diseased animal with the body parts of a particular animal, for example: cancer.

Hippocrates was the first to give cancer its name. It was he who introduced the medical term “carcinoma”, which comes from the Latin word “cancer”, which means “crab”. The term-metaphor is based on the similarity of a malignant tumor with the form of crayfish or crab, because in addition to the main “body” the tumor has inflammatory branches

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<sup>52</sup> E. Black, *Black's Veterinary Dictionary*. London: Bloomsbury, 2015, p. 154.

<sup>53</sup> V. Nedosekov, V. Lytvyn, L. Polishchuk, *Dictionary of epizootological terms*. Kyiv: VAT Riabina, 2014, p. 48.

<sup>54</sup> V. Nedosekov, V. Lytvyn, L. Polishchuk, *Dictionary of epizootological terms*. Kyiv: VAT Riabina, 2014, p. 49.

<sup>55</sup> E. Black, *Black's Veterinary Dictionary*. London: Bloomsbury, 2015, p. 127.

<sup>56</sup> C. Brown, D. A. Hogg, D. F. Kelly, *Concise veterinary dictionary*. Oxford: Oxford University Press, 1988, p. 135.

resembling the limbs of a representative of crustaceans. This group of terms also includes such names as hare lip (from Latin labiurn – lip, leporinus – hare) – “congenital defect: bifurcation of the upper lip”<sup>57</sup>; elephant leg, or elephantiasis – “chronic thickening of the skin and subcutaneous fat, accompanied by severe stagnation of lymph”<sup>58</sup>.

The NATURFACT domain is also a donor for the verbalization of metric features in metaphorical names of animal diseases. For the formation of such metaphorical terms, the most characteristic is the use of visual gestalts based on the external similarity of the symptoms of animal diseases to man-made objects or as a result of their associations with the color of artifacts. In the terminology of animal diseases, this group includes such names as coronavirus infection – coronavirus most often affects cattle, birds, cats, dogs and humans, resembles a solar corona, for which it got its name), foot pad disease – a viral disease that affects a wide variety of mammal families, including domestic and wild species of dogs, coyotes, foxes, pandas, wolves, ferrets, skunks, raccoons, and felines, as well as pinnipeds, some primates, and a variety of other species, drum belly – “excessive accumulation of gases in the intestine, caused by increased fermentation processes and disruption of its motor-secretory function”<sup>59</sup>.

The next subcategory of feature, which is verbalized in terms of animal diseases, is color. This subcategory is one of the indicators of the state of the organism, plays an important role in diagnosis, stage of the disease and the degree of its spread. Color plays a significant role in the categorization of scientific concepts, showing that something new is recognized by a veterinarian primarily through visual aids. Coloristic terms represent the presence in the conceptual structure of a color feature of the affected organs of the animal, through which the names of diseases are formed by metonymic transfer, for example: Blue tongue – infectious catarrhal fever of sheep, Blackleg – disease of cattle (emphysematous carbuncle), Blue-ear disease – reproductive-respiratory syndrome of pigs, Blue-nose disease (in horses), Brown nose – hypopigmentation of the nose of animals, Pink eye, White sponge nevus<sup>60</sup>.

Coloristic terms are fixed by the scientific concept, usually in the early stages of the study of any pathological phenomenon, when the etiology and pathogenesis of the disease are still unknown. As knowledge about the nature and course of the disease deepens and expands, a new term is often

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<sup>57</sup> S. Guthrie, S. Griffith, *Dictionary of Veterinary Nursing*. Amsterdam: Elsevier Health Sciences, 2007, p. 71.

<sup>58</sup> Ibid, p. 49

<sup>59</sup> C. Brown, D.A. Hogg, D.F. Kelly, *Concise veterinary dictionary*. Oxford: Oxford University Press, 1988, p. 148.

<sup>60</sup> E. Black, *Black's Veterinary Dictionary*. London: Bloomsbury, 2015, p. 145.



used to describe it, such as Pink eye – an acute infectious conjunctivitis; Blackhead – an infectious disease of birds (infectious enterohepatitis)<sup>61</sup>.

## Conclusions

Thus, the feature category is widely represented in veterinary terminology, especially in terms to denote animal diseases, as it is one of the key categories used to express specific signs of pathological processes.

Analysis of the studied terminology in English through representation of the feature category gives a reason to consider as terms those metaphorical names of animal diseases, the semantics of which contains information about their properties and characteristics. The category of feature is represented by a number of subcategorical features, such as causative, temporal, qualitative; color; metric, etc., which are its main components and more often than others find their linguistic objectification by means of secondary nomination.

At the linguistic level, the expression of the category “feature” involves various means: special attributive vocabulary, syntactic constructions and terms created on the basis of metaphorical transference.

The source of metaphorical nominations that represent the category “feature” in English terminology to denote animal diseases are four donor domains: HUMAN, NATURAL FACT, ANIMAL, ARTIFACT.

So, feature category is widely used in clinical terminology of veterinary medicine, as it is one of the basic categories used to classify the concepts of veterinary medicine

We see the prospect of research in identifying a set of language tools in English, such as special attributive vocabulary; specialized morphemes and syntactic constructions used in veterinary terminology to verbalize the feature category.

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